

**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 ACTION PLAN

(For the Waste Water Treatment Plant)

[Final draft, September 10.2014]

Ho Chi Minh City, September 2014

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(For the Waste Water Treatment Plant)

CONSULTANCY

**SAIGON WATER, ENVIRONMENT AND
INFRASTRUCTURE JOINT STOCK COMPANY**

(SAIGON WEICO)

Ho Chi Minh City, September 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 survey 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 the land acquisition purpose (for the WWTP) is officially and publicly announced by the Compensation Committee of District 2 People's Committee (in accordance with the letter approving the location of the WWTP by HCMC People's Committee and announcement of land acquisition need (for the WWTP) from District 2 People's Committee. Project affected households and local communities will be informed of the cut-off date for the 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. The Resettlement Action Plan (prepared for the WWTP) will provide general guidance on this but the eligibility criteria will not be definitively confirmed until the actual RAP 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 Survey. 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 RAP, 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 landholding, or lose 10% or more of their productive landholding 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 peoples 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 Board
GOV	Government of Vietnam
HCMC PC	Ho Chi Minh People's Committee
HOC	House Ownership Certificate
IMA	Investment Management Authority
LURC	Land Use Rights Certificate
NGO	Non-Governmental Organizations
PAP	Project Affected Person
PRC	Project's Resettlement Council
PC	People's Committee
PIM	Project Implementation Manual
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 have caused the environment of Ho Chi Minh City to become ever more heavily polluted, as a result, a serious 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) for the NhieuLoc – ThiNghe Basin was completed by the end of 2012. The project has improved the environmental sanitation for the people in the project area. However, although wastewater is collected into the interceptor system, it has not been treated before discharged into the SaiGon River. As such, 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 Ho Chi Minh City 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 the two select basin; NhieuLoc – ThiNghe and District 2, is absolutely essential.

1.2. Project Objective

As stated in the Project Detailed Objective document approved by the Prime Minister of the Government of Vietnam, the project objective is to 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.

1.3. Project activities

The Project in Phase 2, namely HCMCES 2 for short, consists of the following activities, as per the Project Detailed Objective document approved by the Prime Minister of the Government of Vietnam:

- a. Construction of an wastewater interceptor system to collect and transport wastewater from SaiGon river East bank shaft to NhieuLoc – ThiNghe wastewater treatment plant (WWTP).
- b. Construction of NhieuLoc – ThiNghe wastewater treatment plant with the capacity of 480,000m³/day in Thach My Loi ward, District 2.

- c. 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.
- d. Capacity building in environmental sanitation management and project implementation.

The project is expected to bring about an overall positive impact of improved environmental sanitation for a) the NLTN catchment area and b) some select areas from district 2 catchment areas. This objective will be achieved through the construction of a) an interceptor (about 8km long) in District 2 to collect the waste water from both sources (NLTN catchment area and district 2 catchment area) and b) a Waste Water Treatment Plant (WWTP) (to the downstream of the interceptor) to provide treatment to the waste water collected.

1.4. Objectives and Scope of the Resettlement Action Plan

Rationale for RAP: Many project activities involve land acquisition for civil works. Land may need to be acquired temporarily or permanently. In certain situations, structures may need to be dismantled and people may lose access to resources and assets. In some cases, households may also have to be relocated. Due to the potential for land acquisition in this project, the World Bank's OP 4.12 (Involuntary Resettlement) is triggered and a Resettlement Policy Framework was prepared by IMA to guide addressing all potential impacts related to the land acquisition, including the impact related to the loss of land, crops, structures, businesses, resources and assets incurred by local peoples.

The current Resettlement Action Plan (RAP) lays out the procedures for land acquisition, compensation, relocation and other measures that have to be put in place when land is acquired for this project. This Resettlement Action Plan was prepared for the purpose of the acquisition of 38.47ha of land (most is of non-productive agricultural land) in Thanh My Loi ward, District 2 to allow the construction of the Waste Water Treatment Plant (WWTP). This RAP was prepared by IMA in line with the Resettlement Policy Framework in accordance with the World Bank's OP 4.12 (on Involuntary Resettlement), and the relevant Laws and Decrees of the Government of Vietnam.

Objectives of the WB's OP 4.12 (Involuntary Resettlement):

- 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. IMPACTS OF LAND ACQUISITION

This section describes the specific impacts on households that are affected by the acquisition of 38.47ha of land for the construction of the WWTP. Various engineering design options have been studied, among other things, to identify the location of the Waste Water Treatment Plant to reduce the need for permanent land acquisition as well as other environmental adverse impact during the construction of the project.

Project Affected Households: The recent surveys and census for this RAP have identified a **total of 63 households** and 2 Companies that will be affected by the land acquisition for the WWTP.

59 households are land owners, 2 Companies are land owners and 4 households have structures (thatch hut, restaurant, graves) that will be affected by the land acquisition. All these entities will have to be compensated in accordance with the entitlement matrix detailed in this document. The detailed list of the names of the head of household is attached in Annex 2. The table below summarizes the main impacts of the land acquisition on these households.

59 Households owning agricultural land
 2 Companies owning agricultural land
 4 Households with affected structures
TOTAL: 63 Project Affected Households and 2 companies

Table 1: Summary table of affected households and asset type

Number of affected households	Category of Affected Persons	Name	Asset Type Affected	Quantity of Asset Affected
59	Land Owners (Households)	See detailed table in Annex 2	Agricultural Land	279,971 m ²
1	Land Owner (Company)	SaiGon Industrial Zone Development Company	Agricultural Land	32,000 m ²
1	Land Owner (Company)	Thanh My Loi JC Company	Agricultural Land	4,500 m ²
1	Structure Owner	Nguyen Van Kim	Crop attendance thatch hut	2
1	Structure Owner	Nguyen Thai Nhan	Restaurant (5 thatch cottages)	1
1	Structure Owner	Mrs. Huynh Thi Thanh	Graves	2
1	Structure Owner	Nguyen Van Lam	Graves	4

The socioeconomic profile of the affected households is summarized in section 6 of the RAP. A series of consultations have been carried out with the households as is required during RAP preparation. Details of these consultations are described in section 6.3.

Cut-off date for eligibility: The cut-off date for eligibility was 14 July, 2014 in accordance with the Vietnam's regulations related to compensation/resettlement. This is the date when the Project's Compensation Council (already established on 16 May 2014 for HCMCES2 in accordance with the Document No. 2258/QD-UBND issued by District 2 PC) publicly announced the location and boundary of the WWTP (on the basis of the Document No. 80 dated 19 March 2014 issued by District 2 PC and Document 6631 dated 11 December 2013 issued by HCMC PC) to finalize the location, boundary and area of the proposed WWTP. (See table under Section 11 -Implementation Plan). Project affected households and local communities were informed of the WWTP location and boundary and there was a moratorium on anyone moving into the delineated WWTP area (to stay, grow further crops, or build structures). It was clarified that such persons would not be entitled to compensation payment and assistance under the Project (for the loss of assets arising after the cut-off date).

Due Diligence Report: As mentioned above, two companies (Sai Gon Industrial Zone Development Company and Thanh My Loi Joint Stock Company) are land owners who are affected by land acquisition for the WWTP. HCMC PC had allocated these affected land areas to the two companies prior to the establishment of the WWTP boundary, and will now have to be acquired for the WWTP. These companies had at that time acquired the land from local households and paid them compensation. Since this land is now part of the project, WB OP 4.12 requires that a Due Diligence be done to evaluate if the compensation done by the two companies were in line with HCMC PC's compensation regulations then, or reflected the willing buyer willing seller basis. Such a study was completed in August 2014. The due diligence focuses on land transactions happening within the two affected area (mentioned above) only. Findings are presented in the Social Due Diligence report and attached in Annex 3 (section 4.3). The due diligence confirms that there was compliance with HCMC PC's regulations and that the transactions made by the companies were on willing buyer willing seller basis. Hence there are no pending legacies issues, and no further action is required under this WWTP RAP. However, in the event any issues arise out of the earlier land acquisition for the three sites mentioned in the DD report (Annex 3 of this RAP), the information will be recorded and brought to the attention of the relevant agencies as part of the monitoring and evaluation of the current project RAP.

Linked Activities: As per WB requirements, Due Diligence has been carried out in activities that are considered linked to the current project. The Due Diligence Report is included in Annex 3.

There are 2 such linked activities covered.

a. By the time of project appraisal, Da Phuoc landfill area (47ha, located in BinhChanh district, Ho Chi Minh City) has been considered ancillary facility of the Project. A social

due diligence has been done to verify how this land was acquired from households using it previously.

b. Screening for area covered by the Interceptor for waste water. This is located in District 2 and will be 8 km in length. However, most of it will be located underground with some shafts above the ground. This area had been acquired by the Thanh My Loi Company prior to the design of the Interceptor. The DD hence verifies how this land was acquired from households using it previously.

The report indicates that based on the sample surveyed, all affected people were compensated in accordance with relevant laws and decrees and livelihood standards have been restored. Hence there is no need for any follow up action.

13 households remain to be compensated by Thanh My Loi Company in the interceptor area. The monitoring of these households will be carried out as part of the monitoring of this RAP (see section 12 on Monitoring and Evaluation).

3. LEGAL FRAMEWORK FOR THE RESETTLEMENT ACTION PLAN

a) The Vietnam legal framework that governs the preparation and implementation of the Resettlement Action Plans, inter alia, includes the followings:

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

Table 2: 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>	Not mentioned. However, there is a provision of support to be considered by PPC to ensure affected households have a place to live, to stabilize their living and production. (Article 25 of Decree 47). In case the amount of compensation/support is not enough for resettled people to buy a minimum resettlement plot/apartment, they will financially supported to be able to buy a minimum resettlement plot/apartment (Article	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.

Subjects	Bank's OP 4.12	Government of Vietnam	Project Measures
		86.4 of Land Law 2013 and Article 27 of Decree 47)	
<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 status of the PAP's land and structure.</i>	No compensation	Compensation at full replacement cost will be given for all 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	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.

Subjects	Bank's OP 4.12	Government of Vietnam	Project Measures
		prices, which will be appraised by land appraisal board before Provincial/City People's Committee approval.	
<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 assistance</i>	<i>Provision of livelihood restoration and assistance to achieve the policy objectives.</i>	Livelihood restoration and assistance measures are provided. No follow-up for full livelihood restoration after resettlement completion.	Provision of livelihood restoration and assistance measures to achieve the policy objectives. These will be monitored as detailed in the RAP
<i>Consultation</i>	<i>Participation in</i>	Focus mostly on	Consultation and

Subjects	Bank's OP 4.12	Government of Vietnam	Project Measures
<i>and disclosure</i>	<i>planning and implementation, specially confirming the eligibility criteria for compensation and assistance, and access to Grievances Redress Mechanisms</i>	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.	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.	An effective Grievance and Redress mechanisms will 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	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
		monitoring of the 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 RAP confirms that in committing to this document, 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 the project's Resettlement Policy Framework and this Resettlement Action Plan. The measures taken to address the differences between Government's law/regulations and with the WB's safeguards policies are addressed under this project's RPF and presented again under this RAP.

4. PRINCIPLES AND POLICIES FOR RESETTLEMENT, COMPENSATION AND REHABILITATION

4.1 General principles

All project 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 RPF of this Project. 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 ensure 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. These PAPs 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 full 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.
- IMA will not issue a notice of possession to contractors until the head of the Resettlement Board or Center for Land Development Fund officially confirms in writing that (i) payment has been fully disbursed to the PAPs and rehabilitation

measures are in place as per the Resettlement Action Plan; (ii) already-compensated PAPs have cleared the area in a timely manner; and (iii) the area is free from any encumbrances. Land acquisition and site clearance are not carried out until the final Resettlement Action Plan is agreed by both IMA and the World Bank and until provisions in the Resettlement Plan are implemented satisfactorily.

4.2 Compensation Policies

4.2.1 Compensation Policy for Permanent Impact:

a) For Loss of Agricultural Land

Legal land users:

- If the lost area represents less than 20% of the HHs' land holding (or less than 10% for the 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' landholding, (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, the IMA must demonstrate this to the WB's satisfaction before proceeding. If land is not available or at the PAP's choice, cash compensation will be provided for the lost area at 100% of land replacement cost and the PAP will be provided with rehabilitation measure to restore the lost income sources such as agricultural extension, job training, credit access, provision of a non-agricultural land at a location accessible 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 PAP 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 (PAP 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 the Government's regulations.

Where PAPs receive land on a contractual basis but are other than the individuals specified, 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 2013. These PAPs will be entitled to rehabilitation measures to ensure their living standards are restored.

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

In case when the affected persons utilize public land (or protected areas), with an obligation to return the land to the Government when requested, the PAP will not be compensated for the loss of use of the land. However, these PAPs will be compensated for crops, trees, 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 City People's Committee.

Loss of residential land with structures built thereon and the remaining 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.
- If PAPs have to rebuild their houses, they will be provided with a rental allowance for a period of 3 months while their houses are being rebuilt.

Losing residential land with structures built thereon and without remaining land sufficient to rebuild the structure (relocating PAP):

(i) The PAP, who have legal or legalizable rights to the affected land:

- A land plot in a well developed resettlement site or apartment, if the land is not available, will be provided to the PAP, in consultation with them, with full land title or apartment ownership without any cost.

OR,

- On request of the PAPs as their fully 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 will be provided for them to arrange the relocation by 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) The PAP, who do not have formal 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 the 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 Houses/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

- The tenants of state-owned 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 if they/he/she has a demand for; or (ii) provided an assistance equal 60% of replacement cost of the affected land and houses. The structure created by the PAPs themselves will be compensated at their full replacement costs.
- The tenants who are leasing a private house for living purposes will be provided with transportation allowance for moving assets, as well as will be assisted in identifying alternative accommodation.

d) For loss of Standing Crops and Trees

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 CPC 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 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 is covered in the resettlement plan, the WB OP 4.11 on Physical Cultural Resources has been triggered and relevant cross references should be made to the Environmental Management Plan or Project Implementation Manual. The consultation with the owners of six affected graves has showed that they have agreed to move the graves once compensation is made.

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), wells, these shall be compensated according to unit price of installing new units offer service in accordance with the service providers regulations.

h) Compensation for Loss of Public Structures

In cases where community infrastructure such as schools, factories, water sources, roads, sewage systems 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.

4.2.2 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 land temporarily acquired in the form of rent which is at least equivalent to the net income that would have been derived from the affected property during the period of disruption.

For damages caused by contractors to private or public structures, damaged property will be restored by contractors immediately at full replacement value, after completion of civil works, to its former condition. 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 pay compensation immediately to affected families, groups, communities, or government agencies at the same compensation rates that are applied to all other assets affected by the 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 RAP and World Bank OP 4.12. Any disruption of business will be compensated in accordance with the principles of the project's RPF/RAP.

4.2.3 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 with compensation of 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. As part of the RAP to reflect local compensation regulations, there entitlements are proposed on the basis of the current regulation of HCMC People's Committee,

which will be updated to reflect the change, if any, in HCMC PC's regulation prior to RAP implementation.

- 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 landholding (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 be 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 choose 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 has 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 CPC 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 is 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.

5. 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 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.

If there are more than households beyond the 63 households as identified – due to the inaccurate inventory of District 2 People’s Committee, rather than new households moving into the WWTP as mentioned above, these households are eligible for compensation payment as per the RPF/RAP.

6. SOCIOECONOMIC INFORMATION ON AFFECTED POPULATION AND COMPLETED CONSULTATION

6.1 Background

This section of RAP was prepared on the basis of six consultation series, including three series conducted by the consultant (in April 2012, February 2014 (right after the boundary for the WWTP area was publicly announced by District 2 People’s Committee), and July 2014), and three consultation series led by Thanh My Loi Ward PC (January, April, and July 2014). As of 11 August 2014, a total of 63 households were identified as potentially affected with the planned acquisition of 38.47ha of agricultural land in Thanh My Loi ward, District 2 for the purpose of WWTP construction.

Consultation approach employed was in accordance with the consultation principles set forth in the project’s RPF. Invitation letters were sent to all identified land owners to invite them to the consultation meeting, and to participate in the socioeconomic survey. As of August 11, 2014, 78% of potentially affected households (49/63 households), have been consulted through various meetings, and socioeconomic survey. The remaining households (14) are still be contacted since they are not local peoples and live in other districts of HCMC City or other provinces.

6.2 Social profiles of the affected households and affected companies:

- *Social profiles of affected households:*

Of the 45 households (out of total 63 from the WWTP) already consulted (through socioeconomic survey and consultations), 17 households considered themselves “economically average²” household while 28 considered themselves “better off”. The remaining 14 households not yet consulted are not local people and are likely “better off” households.

- **For the 17 “economically average” households:** these are local people. They live in Thanh My Loi ward (1.5km away from the proposed WWTP site). Most of these households (16/17 ³households) are retired and are living with their children. The affected land (from the WWTP) is all the agricultural land that they own. If their land is acquired for the WWTP purpose, this means they would lose a 100% of their agricultural land. Although losing all (100%) of one’s agricultural land is considered “severely affected” (as per Bank’s OP 4.12), for these 17 households, their daily livelihood is not directly affected as a result of land acquisition since for years they have not used their land for agricultural purpose, or for any other income generation activities. All these households consider their existing agricultural land (from the WWTP) their “saving”. Thus when the land is compensated, the compensation money would be deposited in a bank (as their saving), or give to their children. For these people, the loss of the land (as a result of the proposed WWTP) does not make them vulnerable. When asked, all of them indicated their support for the construction of the WWTP.
- **For the 28 “better off” households:** according to the consultation, they are not local people (who live in Thanh My Loi ward). They live in other districts of HCMC (some live in other provinces). They bought land (from the WWTP area) for resale purpose, not for agricultural production. Consultation with these 28 households indicated that 21 of 28 are doing private businesses, 5 are company employees, 2 are retired. If their land is acquired for the purpose of the WWTP, they just need to be appropriately compensated. They have indicated their support to the construction of the WWTP.
- **For the remaining 14 households:** (who have not showed up in the consultation meetings conducted so far by IMA’s consultant and Thanh My Loi Ward People’s Committee ⁴): Four (out of 14 households) have been contacted during late July 2014. However, these households indicated that they have sold their land and did not have contacts of the new land owners. For the remaining ten households, addresses are not available for the six households while for the remaining four households, the addresses are wrong. According to Thanh My Loi Ward People’s Committee, effort is being made by both District 2 People’s Committee and Thanh My Loi People’s Committee to identify and invite these households to show up in the upcoming consultation – to consult with them and to verify against the government’s land use record. Please see Section 10 (Implementation Plan) for the next steps.

²Household being “economically average” is roughly equivalent to near-poor household (whose annual income is from 16 to 21million VND per capita).

³The 17th household till work as hired worker.

⁴ In addition to 3 consultation series and 2 series of socioeconomic survey done by IMA and their social consultant, Thanh My Loi Ward People’s Committee has already conducted their own consultation for two times (on 12 April and 12 July 2014). However, only 30 households showed up in the two consultation meetings convened by Thanh My Loi Ward People’s Committee.

- ***Social profiles of two affected companies:***

As of 11 August 2014, in addition to 63 households who have been identified as potentially affected households by the WWTP, two companies (including Sai Gon Industrial Zone Development Company and Thanh My Loi Joint Stock Company) also become affected by the WWTP, particularly following the adjustment of WWTP boundary by HCMC PC. While Sai Gon Industrial Zone Development Company is to be affected with 3.2ha (out of their 58ha project area), Thanh My Loi Joint Stock Company is affected with 0.45ha (out of their total 1.88ha). Both of these areas have been designated as the project area by HCMC PC before. Since the project area of these two companies now become part of the WWTP area, HCMC PC has started the process of withdrawing the 0.45ha (of Thanh My Loi) and 3.2 ha (of Saigon Industrial Zone Development Company) to hand over to IMA for the WWTP construction. The two companies, at the instruction of HCMC PC, also have agreed to hand the required land over to IMA for the WWTP construction. Since the two piece of land (0.45ha area of Thanh My Loi JC company and 3.2ha of Saigon Industrial Zone Development Company) are acquired from local households for their own project (as approved by HCMC PC) before, for these two pieces of land, and the findings are presented in the Social Due Diligence report⁵. Since the findings confirm there is no pending legacy issues associated with the above two pieces of land, no further action is required under this WWTP RAP (Please see the Social DD report for more). Compensation costs that these two companies already paid to local households will be repaid to these companies later on under this project. Such costs has been estimated in the overall compensation costs under this RAP.

6.3 Consultation results

As mentioned above, there are three consultation conducted by IMA and their consultation (in addition to three consultations done by Thanh My Loi Ward Peoples' Committee). The first consultation done by IMA and their consultant was on 25 April 2012 as part of the social assessment done for the entire project. The second consultation was conducted on 18 February 2014 (right after the boundary for the WWTP area was publicly announced by District 2 People's Committee). The third consultation was conducted on 9 August 2014 (in attempt to consult the households who have not been consulted in the previous consultation meetings).

⁵**For the 0.45ha of Thanh My Loi project area**, the compensation was paid from 2007 to 2013 (according to the company report). There are 6 households associated to this 0.45ha but only 3 are from the 63-household list (of the WWTP). These 3 households are still in the 63-household list because they still have land in other part of the WWTP area. Record shows 9,689,380,000 VND was paid by Thanh My Loi Company to these 6 households (see more in due diligence report, section 4.3, annex 3). **For the 3.2ha of Sai Gon Industrial Zone Development Company**, three households were paid (3,475,000,000VND) in 2002. This 3.2ha area is now owned by the Sai Gon Industrial Zone Development Company. An agreement has been made between IMA and this company in which the company will hand the 3.2ha over to IMA (as required by HCMC PC) for the purpose of WWTP construction. It was also agreed that both companies will be paid back by IMA using counterpart fund (from HCMC PC). The amount of repayment has been estimated, and reflected under item a of Table 2 (Estimated Compensation Costs) in this RAP.

The first consultation was organized for households owning land from the area of the wastewater treatment plant. The meeting was given at the meeting hall of the People's Committee Thanh My Loi ward of District 2 with 22 potentially affected households participating. The second consultation meeting was held with 15 households attending. In the third consultation attempt (in late July and earlier August 2014), 8 households showed up. So, all together, 49 (out of total 63) potentially affected households participating the social consultation so far.

All the 49 affected households attending the consultation were informed of the project purpose and the compensation policies, including the key principles of the World Bank's OP 4.12. They all supported the project implementation and their overall expectation is to be adequately compensated for the loss of the land and assets associated to the land. All the affected households consulted (49/63) account for 19.5ha (63%) out of total 31.15ha to be acquired from the local households for the WWTP construction.

Specific consultation on potential impact on affected households:

a) On the potential impact on affected agricultural land: all 59 households will be affected with their agricultural land. However, the impact is different. According to the consultation and socioeconomic survey done with 45 households already consulted, these 45 households could be categorized into two groups, based on their current economic situation: “economically average”, and “better off”.

- **For the 17 “economically average” households:** these are local people. Since these households would lose 100% of their agricultural land that they have, they are considered as “severely affected” households (as defined in this RAP). However, since these households are not relying/using these affected agricultural land area for subsistence, or daily livelihoods (most of them are living with their children and rely on their children support), and they are not “vulnerable” (as defined in this RAP), an income/livelihood restoration program is not required under this RAP. However, in the additional upcoming consultation during RAP implementation, these households will be further consulted to establish a basis for design of their compensation and support package to ensure they are not worsen off as a result of the land acquisition.
- **For the 28 “better off” households:** these are not local people. They live in other districts of HCMC (some live in other provinces). They bought land (from the WWTP area) for reselling purpose, not for agricultural production. Consultation with these 28 households indicated that they just need to be appropriately compensated if their land is acquired for the WWTP purpose. They have indicated their support to the project implementation.

b) On the potential impact on existing businesses of local households:

The project would affect the businesses of two households who rent/borrow the land for their businesses. Specific consultation results from these two households are below:

The first household (Mr. Nguyen Van Kim) is the one who occasionally uses 60m² land (which he borrows from the land owner) for occasional farming (duck raising during wet season and small cropping). He has two temporary thatch houses (observable from the site) that he used to use to attend his crops. These thatch houses are not for resident

purpose as he lives in his own house in a different place in Thanh My Loi ward. When consulted (February 2014), he said he already abandoned this farming activity since last year which used to earn him 3 million VND a month (on average) to foster their children education. For the time being, his two thatch households will be compensated. Since he has no standing crops at the moment (as of August 2014), and since he used to use this borrowed land for his income generation activity, more consultation with this household will be done at the time of RAP implementation to identify additional support that he would need to help him maintain his livelihood (if he continue to rely on this borrowed piece of land for farming purpose). This household considered himself “economically average”.

The second household (Mrs. Nguyen Thai Nhan) is the one who owns a countryside-type restaurant made of thatch (consisting a main thatch house and 5 small dining cottages) using the land she rented (0.35ha) from the three land owners. According to Ms. Nhan, her business has been started for one and a half year. The income earned from the business is not stable (about 1 million VND a day as net profit, on average). Consultation with Ms. Nhan indicated that she knew of the project, and supported the project implementation. She indicated she expects appropriate compensation to resume her business/income generation activity. According to Ms. Nhan, she has a license for her business and is paying tax monthly. More consultation with this household will be done during RAP implementation to calculate the compensation and support package for Mrs. Nhan. This household is considered “better-off”.

c) On the project’s potential impact on graves:

For the time being, six graves are identified as being affected as a result of the project. Consultation with two owners (Mrs. Huynh Thi Thanh: 2 graves and Mr. Nguyen Van Lam: 4 graves) indicated that they support for project implementation provided that financial support is provided to enable them to relocate the graves on their own in accordance with the local practice. It is important to note that these two households have sold their land to other peoples a long time ago. Thus, these graves, when relocated, will be done by themselves (as they indicated in the consultation with them), not by the actual land owners. As the field observation indicated, and as consulted with local people from Thanh My Loi Ward, it is a general local practice that local people buried the dead in the vicinity of their households (within their land). For the WWTP area, since it is not known exactly if there are any other graves (which are unobservable, or identified by the owners as of today), a find chance procedure will be adopted by local government, thereby, once explored, but owner does not show up, a public announcement will be made for a period of two months (on TV and a popular newspaper). If no one claims the ownership of the grave(s) when the announcement expires, the relocation of grave will be conducted – as per government’s regulations (Decision 04/2007/QD/UBND dated 22 June 2007). A record of graves (a map showing its location, photo, and details on the graves, if any) will be maintained in case the grave owner(s) show up later on. Compensation for grave location will be in accordance with this RAP.

d) On the potential impact on trees:

Although no planted crops are found (as of August 2014) from the proposed WWTP area, trees (mainly water coconut, and some orchard trees at places) are found on an estimated 9ha within the WWTP area. These trees are to be compensated to the people who own the land. Inventory of loss will be done by local government during RAP implementation.

e) On the potential impact on remaining households (who are not yet consulted):

For the remaining 14 households who have not yet shown up (despite being invited to six consultations meetings organized so far, every effort is being made by both District 2 People's Committee, Thanh My Loi People's Committee, and IMA to continue to invite them to show up in the upcoming consultations/meetings. According to Thanh My Loi People's Committee, the remaining 14 households are not local residents. They bought land from local peoples years ago for reselling purpose. Thus, they do not rely on the agricultural land (from the WWTP) for daily income generation activity.

f) On the potential impact on the two companies:

There is no adverse impact anticipated as a result of land acquisition of 1.88ha of Thanh My Loi Company and 3.2 ha of Saigon Industrial Zone Development Company for construction of the WWTP. It was agreed that the two companies will be repaid by IMA, using counterpart fund. The amount of repayment has been estimated, and reflected under item (a) of Table 3 (Estimated Compensation Costs) in the RAP for the WWTP.

7. CONSULTATION DURING PROJECT IMPLEMENTATION AND PUBLIC DISCLOSURE

7.1 Consultation during project implementation

Consultation with all affected households from the Waste Water Treatment Plant is ongoing at the moment. Effort is being made by local government to consult with the remaining 14 households through a **Tracer mechanism**. As mentioned before, there have been six consultations (three done by IMA and three by Thanh My Loi Ward PC) carried out to date. 49 of the 63 affected HHs have been consulted so far. Only 14 land owning households have not as yet been consulted with as they do not live in the area. An Implementation Plan has been put in place by IMA, District 2 PC, and other relevant stakeholders to consult the remaining households, as well as having ongoing consultations with previously consulted households as the RAP is implemented. (See Section 11 – Implementation Plan). The World Bank will be kept informed regarding the progress made on contacting and surveying the remaining 14 households.

As part of the RAP implementation plan (See Section 11), IMA will undertake the following:

- a) Provide the final RAP, RPF to the District 2 People's Committee and District 2 Resettlement Committees, and provide orientation training workshops to relevant district and ward officials to ensure they are familiarized with the principles and requirements set forth the project's RPF, and RAP (for the WWTP).
- b) Conduct additional consultation with all potentially affected households, for both those who already participated in the first three consultations, and those who have not attended, including socioeconomic survey, if needed, to establish baseline data for livelihood restoration monitoring.
- c) Upon completion of the Replacement Costs Survey and proposed compensation package, conduct consultation with affected households to arrive at a consensus on compensation package with all PAP.

Consultation Process and Information to be disclosed:

Prior to the beginning of the detailed design, additional public consultation meetings will be organized in each ward to provide PAPs with additional information and an opportunity for open discussion about resettlement policies and procedures in each affected wards. Letter of invitation will be sent to all PAPs at least one week before the meeting in their area. These meetings are 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. Both men and women from affected households, as well as other interested community members, will be encouraged to attend. The meetings will clarify the Project purpose, and entitlements of affected households, and provide opportunities for participants' feedback/questions. Such meetings will be conducted periodically and systematically during the life of the Project, particularly after the project becomes effective when the impacts of the WWTP become clearer.

Relevant information will be given to the PAPs 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:

- a) Explanations given verbally and in visual format, including written information and drawings of the proposed design for the different works supported by the Project.
- b) Adequate opportunities would be provided for PAPs to respond with questions and comments. PAPs will be encouraged to contribute their ideas for PAP rehabilitation options.
- c) District Resettlement Board would establish a complete list of all PAPs present at the meetings.
- d) District Resettlement Board would 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 consultation information will be given to PAPs:

- a) **Project components and subprojects:** This includes the places where they can obtain more detailed information about the Project.
- b) **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.
- c) **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.
- d) **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 Board 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.

- e) **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 Board, and the representative for the PAP will be present whenever commune/district/provincial committees meet to ensure their participation in all aspects of the project.
- f) **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.
- g) **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.
- h) **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 Boards at all levels.

7.2 Public disclosure

The Vietnamese version of this RAP will be made available to the general public at the office of IMA, HCMC PC, District 2 People's Committee, and Thanh My Loi Ward People's Committee, and Bank's VDIC in Hanoi after it is accepted by the World Bank, both prior to and after project appraisal. The English version of this RAP (for the Waste Water Treatment Plant) will also be disclosed in English at the World Bank's InfoShop prior to commencing project appraisal, and after the final version is approved by the Bank and HCMC PC.

8. IMPLEMENTATION ARRANGEMENTS

8.1 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 sections outline the key implementation responsibilities of each stakeholders involved in implementation of the RPF/RAP under the project.

8.1.1 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, including the implementation of the RPF/RAP(s) prepared under the project. The HCMC PC will take lead and provide guidance to the Investment Management Authority and District 2 People's Committees, and relevant agencies involved in any aspects of RAP implementation to ensure the RAP for the WWTP is updated 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, is reviewed by both HCMC PC, and by the World Bank before the compensation payment/resettlement under this RAP could be commenced.

8.1.2 District level

District 2 People's Committee

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

- i. 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).
- ii. 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.
 - iii. 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.
 - iv. 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.
 - v. Review and advise Ho Chi Minh PC of emerging issues related to resettlement under the project to obtain timely guidance from HCMC PC.
 - vi. 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
 - vii. 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.
 - viii. Establish procedures for prompt implementation of correction measures and actions in response to PAP's grievances.
 - ix. 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.
 - x. 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:

- i. 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.
- ii. Submit the updated RAP to District 2 PC and share the 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.
- iii. Receive and appoint inspectors to redress PAPs' grievances related to resettlement policies and entitlements;
- iv. Pay special attention to the needs and demands of specific groups and vulnerable people (the elderly, woman/single headed households...);
- v. Extend full cooperation and working closely with IMA, and with the independent monitoring consultant.

8.1.3 Ward People's Committee:

Thanh My Loi Ward People's Committee is responsible for the followings:

- i. Participate as member of District 2 Resettlement Board, and Project's Resettlement Council;
- ii. 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;
- iii. Assist other project agencies, including IMA, in implementing project information disclosure, and facilitating public meetings and consultation with PAPs;
- iv. 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.
- v. 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;
- vi. Participate in all activities related to land acquisition and allocation, resettlement, rehabilitation measures and social development support activities;

- vii. Support PAPs in all resettlement and rehabilitation-related activities; co-signing compensation documents with the PAPs,
- viii. 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).
- ix. 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.

8.2 Approval of RAP

HCMC PC and District 2 PC will be responsible for reviewing and approval of this RAP, once it is appraised by the Bank. After that, content of the RAP should be summarized and disseminated to the PAPs for information. The approved RAP will be disclosed at relevant Ward’s PC, District 2 PC, and IMA office so that the PAPs can conveniently access. The RAP will also be disclosed in Vietnamese at the WB’s VDIC in Hanoi, and in English at Bank’s Inforshop in Washington DC before and after appraisal of this RAP.

WB shall not approve any civil works contracts for any project’s sections to be financed from the loan proceeds unless the compensation payment and provision of rehabilitation measures in the respective sections have been satisfactorily completed, in accordance with the project’s Resettlement Policy Framework.

9. 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 (Law on complaint, 2011).

- **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 City PC. The City PC has 45 days within which to resolve the complaint to the satisfaction of all concerned. The City PC is responsible for documenting and keeping files of all complaints handled by the City PC. At the same time 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 City PC, the aggrieved affected household does not hear from the City PC, 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 satisfactorily 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.

Escrow Account for Disputed Compensation and Households who cannot be Contacted: As agreed with HCMC PC, and confirmed in the RPF, the costs associated with compensation payment, including assistance, and relocation payments will be covered by HCMC PC. As per WB requirements, an escrow account will be set up by the Project's Resettlement Council (already established for this project). In the event where any proposed compensation package is rejected or disputed by any affected household, or it is not possible to locate the head of household, the calculated compensation amount will be deposited in the Bank (plus 10 percent) in a secure form of escrow, or other interest-bearing deposit acceptable to the Bank. This will be done prior to the land acquisition being carried out. IMA (in conjunction with Project's Resettlement Council) will also propose a means satisfactory to the Bank to resolve the dispute related to the offer of compensation - in a timely and equitable manner, before the land acquisition could be started, and through the above mentioned Grievance Redress Mechanism.

10. COSTS AND BUDGET

The HCMC People's Committee is committed to assuring that counterpart funding is sufficiently and timely available for the compensation/assistance/resettlement in accordance with the approved RAP.

During the time when this RAP was prepared, the estimation of costs associated with the acquisition of land (38.47 hectare from 63 households from the WWTP area) was made in reference with the following HCMC PC's regulations:

1. Decision No. 35/2010/QD-UBND dated 28 May 2010, issued by HCMC PC on compensation, supports and resettlement.
2. The document No.4815/UBND-DTMT dated 27 September 2011 issued by the HCMC People's Committee on the price of agricultural land to calculate the compensation and identified price principles to support the price of agricultural land interspersed for residential areas in HCMC.
3. Decision No. 60/2013/QD-UBND dated 26 December 2013 issued by HCMC People's Committee on regulations on prices for land types within HCM City applicable for 2014.

Once the replacement costs survey is completed to enable the finalization of the compensation rates for affected land/structures/crops/trees, this costs estimate will be updated incorporating the results of the replacement costs survey which will be approved by HCMC PC.

Table 3: Estimated Compensation Costs

No .		Items	Unit	Areas to be affected (m)	Compensation unit price (VND)	Amount (VND)
A		LAND TO BE AFFECTED		384,755.40		645,758,667,400
	a	Agricultural Land (under use by local peoples and two companies (Thanh My Loi JC Com. & Saigon Industrial Zone Development Com.))	m ²	316,470.80	380,000	120,258,904,000
		Additional Price support (for agricultural land that is located within the administrative boundaries of wards).		316,470.80	1,660,500	525,499,763,400
	b	Public land (managed by District government)		68,284.60	Not compensated	0
		Traffic Land (land designed by the government for the traffic purpose and is managed by government)		2,284.30	Not compensated	0
		Canals Land (the area of land occupied as the actual area of the canal).		48,148.60	Not compensated	
		River Land (the area of land adjacent to the river edge, as defined by government).		17,851.70	Not compensated	
B		LAND-BASED ASSETS TO BE AFFECTED				4,858,000,000
	a	Two temporary thatch houses (of Mr. Nguyen Van Kim) (for crop attendance, not for residential purpose)	m ²	60	700,000	42,000,000

	b	Restaurant (consisting of a main thatch and five small dining cottages).			250,000,000	250,000,000
	c	Graves	Unit	6	11,000,000	66,000,000
	d	Unplanted trees, mainly water coconut	m ²	90,000.00	50,000	4,500,000,000
C		SUPPORT POLICY				147,500,000
		Incentive bonus: (PAPs who timely hand the affected land over to the project will be given a bonus as per HCMC's regulations)	HH	63	2,500,000	147,500,000
D		ADMINISTRATIVE COST FOR COMPENSATION, ASSISTANCE AND RESETTLEMENT BOARD (rate 2%), (D)=2% X (A+B+C)	VND	2%		13,015,283,348
E		CONTINGENCY E=(10%) X (A+B+C+D)		10%		66,377,945,075
TOTAL		(A+B+C+D+E)				730,157,395,823

11. IMPLEMENTATION PLAN

This RAP will be implemented to allow the construction the WWTP. As such, it will be carried out in connection with the plan set up for the WWTP construction.

Procedures adopted for this RAP implementation will be in full compliance with the regulations and procedures set forth in the Government's regulations.

HCMC PC will be the key implementation agency. However, IMA will be carrying out the tasks, through working closely with other governmental agencies, including District 2 PC, District 2 Resettlement Board, and District 2 Public Service Company – as set forth in the project's RPF.

The following key activities will be done:

Table 4: Implementation plan

No	Activities	Duration		Implementation Agency	Status
		Start	Finish		
1	The location of the WWTP approved		December 2013	HCMC PC	Completed
2	Public announcement made on the need for land acquisition for the purpose of the WWTP		March 19, 2014	District 2 PC	Completed
3	Safeguards consultation conducted (social + environment)		April 2014	IMA's safeguards consultants	Completed
4	District 2 Compensation Committee established for the WWTP purpose		16 May 2014	District 2 PC	Completed
5	Public announcement land acquisition exercise (cut-off day)		12 July 2014	Compensation Committee of District 2	Completed
6	Decision and guidance on applying new Land Law (2013) made		August 2014	HCMC PC	Not yet.
7	Inventory of Loss and Detailed Measurement Survey (combined with consultation with PAP)	July 2014	December 2014	District 2 Public Utilities Company (designated by HCMC PC to lead the resettlement activities, including compensation payment)	Starting
8	General compensation plan (prepared on the basis of project's RAP). IMA consultant may combine to collect additional socioeconomic information from PAP, or sooner if the final list of PAP are verified by Compensation Committee of District 2		December 2014	District 2 Public Utilities Company, IMA, Compensation Committee of District 2 and District 2 PC.	Not yet.
9	Replacement Costs Survey conducted.		December 2014	District 2 Public Utilities Company, IMA, Compensation Committee of	Not yet.

No	Activities	Duration		Implementation Agency	Status
		Start	Finish		
				District 2 and District 2 PC.	
10	Detailed compensation plan (prepared on the basis of project's RAP, general compensation plan and consultation feedback).		March 2015	District 2 Public Utilities Company, IMA, Compensation Committee of District 2 and District 2 PC.	Not yet.
11	Consensus with PAP on compensation/support package arrived.		May 2015	District 2 Public Utilities Company, IMA, Compensation Committee of District 2 and District 2 PC.	Not yet.
12	Update the SA and RAP to reflect the required information of all affected households.		May 2015	Social consultant & IMA	Not yet.
13	Submit updated RAP/SA to the Bank and HCMC PC for review		June 2015	IMA	Not yet.
14	Approve updated RAP (detailed compensation plan) approved District 2 People's Committee		August 2015	District 2 PC	Not yet.
15	Disclosure of approved updated RAP (detailed compensation plan		September 2015	District 2 PC	Not yet.
16	Decision to acquire affected land (from each of affected households accordance with the new Land Law 2013)		October 2015	District 2 PC	Not yet.
17	Compensation completed		December 2015	District 2 Compensation Committee (established for WWTP)	Not yet.
18	Handover of affected land from District 2 Utilities Company to IMA	January 2016	February 2016	District 2 Public Utilities Company and IMA	Not yet.

12. MONITORING AND EVALUATION

12.1 Purpose.

Monitoring and evaluation of the implementation of the RAP is 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.

12.2 Aspects of RAP implementation subject to monitoring

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.

Since an Interceptor section of 1.4km will go (underground) through a housing project area (owned by Thanh My Loi company), and the resettlement work of this company is still underway, IMA is expected to monitor the resettlement work being done by Thanh My Loi company. In particular, if there are any complaints or inconsistencies with the objectives and outcomes of OP 4.12, IMA is expected to bring these issues to attention of the company for their timely processing.

12.3 Monitoring methods

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

Internal monitoring

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 in accordance with the project RPF. Monitoring of RAP implementation is required by IMA, usually on a monthly and quarterly basis, to ensure the RAP implementation is on track and that any emerging issues/shortcomings are timely solved.

- a) Internal monitoring will be conducted quarterly by the IMA. Internal monitoring reports will provide information on the progress of the compensation and resettlement.
- a) The payment of compensation to affected households based on the results of the detailed measurement survey (DMS) and the compensation prices are market prices at the compensation stage.
- b) The resettlement activities approved in RPF and RAP.
- c) Income restoration allowances/supports is provided as scheduled.
- d) Evaluate if income restoration allowances/supports provided for affected households are suitable but did not achieve expected results of the project (better living conditions or the same conditions as before the project implementation).
- e) The information disclosure and public consultation was conducted.
- f) Procedures for complaints are publicized and the resolutions of complaints/grievance redress (if any) comply with the procedures.
- g) There are appropriate priority policies for groups of displaced, poor and vulnerable households.
- h) Affected households receive the compensation, support and resettlement arrangement (if any) prior to the project construction.

In the event any issues arise out of the earlier land acquisition for the three sites mentioned in the DD report (Annex 3 of this RAP), the information will be recorded and brought to the attention of the relevant agencies as part of the monitoring and evaluation of the current project RAP.

External Monitoring

External monitoring is carried out by an external consulting firm (typically referred to as independent monitoring agency). IMA, following the effectiveness of the project, need to procure the independent monitoring service – either from a local or an international consulting firm. 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 30% of the remaining affected households. Stratified sampling method is recommended to ensure the sample taken is representative of the affected population.

Table 5: Monitoring indicators for the RAP implementation

Monitoring contents	Monitoring indicators
Budget and progress of implementation	<ul style="list-style-type: none"> • Have persons in charge of the compensation and resettlement plan been assigned? What time? • Have the resettlement activities been implemented as planned? • Has the and budget allocation for the agencies for the RAP implementation been on time and in full? • Have the agencies in charge of the resettlement been received the disbursement as planned? Period and the amount allocated to each phase? • Has the DMS and compensation been paid in accordance with the updated RAP? • Progress in the implementation of resettlement: amounts disbursed in compensation and cash assistance and date these are given to the AHs, and whether progress is on schedule of resettlement indicated in the agreed updated RAP • Identify any discrepancy between policy requirements and actual implementation of resettlement; • Has the social consultation been implemented as planned? • Has the land been recovered and handed in time for the construction?
Distribution of entitlement of affected households	<ul style="list-style-type: none"> • Confirmation of the number of severely affected AHs, the number of marginally affected AHs, and the number of category affected other AHs. • Survey of the replacement cost for land, property damage to assess the appropriateness of the compensation rate is compared with the MPC issued replacement cost to ensure the implementation of the principles of the RPF: How do is done, what time? • Have all affected households been received full benefits and entitlement on the number and types of damages as provided in the entitlement matrix? • Have affected households been received the compensation on time? • Have households whose land and property/income are temporarily affected been compensated? • Have affected households been provided with assistance, grants and income restoration measures as regulated in the RAP?

Monitoring contents	Monitoring indicators
Community consultation, grievance redress and satisfaction level of affected households for RAP	<ul style="list-style-type: none"> • Has the community consultation been carried out as planned? • Information dissemination and public participation: <ul style="list-style-type: none"> + the number of public Consultation-meetings held during the updating of the RP? + the number of AHs that participated? + Comments suggestions and concerns of the Ahs? and how these were addressed? • Have project information documents relating to the compensation and resettlement rights been distributed? • How many affected households acknowledged about these rights? How many affected households receive such benefits? • If affected households know and use the grievance redress as established in the RPF-RAP? What's the result? • Grievance redress: number of AHs with complaints, nature of the complaints? • Status of the resolution of the complaints: <ul style="list-style-type: none"> + Are the number of complaints and types of complaints classified by gender, vulnerable groups? + The problems remain unresolved? How do will solve? • Assessment of efficiency of the grievance redress mechanism <ul style="list-style-type: none"> + How are the levels of satisfaction with the process of the compensation and resettlement? + How are the levels of satisfaction with the rights and entitlement? + How are the levels of satisfaction with the grievance redress mechanism?

ANNEX

ANNEX 1 - Entitlement Matrix

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
1. Productive land⁶ (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 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 and other

⁶The 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
			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 rights to the affected land</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 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	Compensation for loss of land in cash at (i) replacement cost to the legal and legalizable land users; (ii) A financial assistance	- Affected household to be notified at least 180 days before

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
	and not requiring relocation).	<p>of an agreed amount to the land users not having recognizable land use right.</p> <p>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.</p>	<p>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 in full.
	2.2. Relocated PAPs	<p><i>(i) Legal or legalizable land users:</i></p> <p>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.</p> <p>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.</p> <p>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 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</p>	<ul style="list-style-type: none"> - 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: <ul style="list-style-type: none"> - If the selling cost of minimum plot(s)/apartment at the new site is more than the value of the affected residential land, PAPs receive new plot/apartment at no additional cost. - 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

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		<p>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>will receive plot/apartment and the difference in cash.</p> <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 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>

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
			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
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, require no relocation.	- 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. - Compensation for other structures/fixed assets will be at full replacement cost and will be in cash.	The calculation of rates will be based on the actual affected area and not the useable area.
	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).	- 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. - 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)	The calculation of rates will be based on the actual affected area and not the useable area.

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		<p>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>	
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 between District Compensation Board and owners of assets.	For public structures, the displacement will be carried out 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. 	

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
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 the affected land)</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 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; Assistance for agricultural, garden and pond land in the residential area adjacent to residential land, but not recognized as residential land: 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</p>	

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		<p>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>	
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</p>	

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		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.	
	<i>Relocating shop owners regardless of tenure status.</i>	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.	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.
10. Allowances /Assistance Targeted Vulnerable Households to	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>	Specific assistance to vulnerable groups would be as follows: - 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).	- 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

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		<p>- 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.</p> <p>- These households are entitled to take part in Income Restoration Program</p>	
<p>11. Other Allowances/Assistances</p>	<p>Loss of land and non-land assets</p>	<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 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>	
<p>12. Temporary impacts</p>	<p>Temporary loss of land and assets.</p>	<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>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</p>

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		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.	envisaged cost of losses.
13. Any other impacts that may be identified during implementation	Individuals, organizations in the project area	Entitlements to compensation and other assistance would be provided in accordance with the compensation policy. Secondary impacts on production and business or PAPs isolated from access to resources temporarily have to be compensated and supported in accordance with RAP.	In case of impacts on livelihoods of PAPs, the contractors, construction units have to agree with the households on payment for disruption of business.

ANNEX 2 - List of 63 affected households and 2 companies whose land are affected

	No	The name of affected households	Address	Acquired area of land (m2)	Note
A	List of 59 households whose land are to be potentially affected by the WWTP				
	1	TRƯƠNG THỊ ĐÂY	17 đường 22, KP 4, P.TML	8,869	
	2	NGUYỄN VĂN TRUNG & THẠCH T.H.HƯƠNG	1/7A , KP1, P. TMLOI	970	
	3	TRẦN VĂN LIÊN	1/102 BÌNH LỢI, P.TMLOI,	12,691	
	4	TRẦN VĂN THỆ (Trần thị Lan)	17 đường 22, KP 4, P.TML	1,928	
	5	CAO VIỆT BIÊN	A10/1 CƯ XÁ LAM SƠN, P.17, GÒ VẤP	5,041	
	6	PHẠM THỊ KHANH	41 đường 28, P.CÁT LÁI,Q.2	3,601	
	7	TRẦN VĂN PHƯỚC	554/121B NGUYỄN ĐÌNH CHIỀU Q3	7,048	
	8	CAO VĂN VY, LÊ THỊ ANH	73 HỒNG LĨNH, CƯ XÁ BẮC HẢI, P.15,Q.10	17,031	
	9	LÊ THỊ MỸ, DIỆP VĂN PHÁT	477 AN DƯƠNG VƯƠNG,P.3,Q.5	6,621	
	10	DIỆP THỊ KIM XUÂN	190/27 SƯ VẠN HẠNH, P.9,Q.5	4,738	
	11	DIỆP THỊ KIM MAI	190/23 SƯ VẠN HẠNH,P.9,Q.5	19,311	
	12	TRƯƠNG VĂN KHÔI	28 CỘNG HÒA, P.4,Q. TÂN BÌNH	1,751	
	13	LÊ NGỌC TRÀ	77/13C QUỐC LỘ 13, P.26, Q.BÌNH THẠNH	2,560	
	14	NGUYỄN VĂN HOA	1/15 KP1 P.TMLOI,Q.2	1,306	
	15	HUỖNH THỊ NGÓ	1/89 Ấp BÌNH LỢI, P.TMLOI,Q.2	1,591	

	No	The name of affected households	Address	Acquired area of land (m2)	Note
	16	NGÔ THỊ HỎI	518 KHU PHỐ 2 ,P.TML	1,344	
	17	VÕ KHẮC ĐỀ	284/30 CÔ BẮC, P.CÔ GIANG,Q.1	10,803	
	18	TRẦN THỊ HỒNG LAI	95-97 CALMETTE, P. NT BÌNH,Q.1	3,370	
	19	HUỖNH KỶ TRÂN	241BIS CMT TÁM, P.4,Q.3	2,085	
	20	MAI TẤN DŨNG	241 BIS,CMTT,P.4,Q.3	8,034	
	21	PHAN THANH GIANG & VÕ THI MỸ DUNG	94 PHAN VĂN KHỎE, P.2, Q.6	2,022	
	22	VƯƠNG THỊ MINH TUYỀN	5B, ĐƯỜNG SỐ 5, P.8 Q11	2,690	
	23	NGUYỄN VĂN HỒNG & TRẦN THỊ THUẬN	1/114A Ấp BÌNH LỢI, P.TMLOI,Q.2	896	
	24	ĐỒNG THỊ NGUYỆT	1/15 PK1, P.TMLOI,Q.2	6,885	
	25	NGUYỄN THỊ NGỌC LOAN	1/83A Ấp BÌNH LỢI,P.TMLOI,Q2	4,280	
	26	ĐẶNG VĂN THUẬT	55/1 ĐƯỜNG 22, KP1, P.BÌNH TRUNG TÂY,Q2	2,096	
	27	NGUYỄN TRÍ TUỆ	94/2 AN BÌNH, P.5, Q.5	9,588	
	28	NGUYỄN THỊ BẠCH HUỆ, HOÀNG VĂN TÂM	56 NGUYỄN TẮT THÀNH,P.12,Q.4	2,850	
	29	VÕ THỊ MINH	191B NGUYỄN CHÍ THANH, P.12, Q.3	3,339	
	30	NGUYỄN VĂN GIỎI, PHẠM THỊ KIM THOA	522G/C28-29 NGUYỄN TRI PHƯƠNG,P.12,Q.10	11,784	
	31	NGUYỄN THỊ TÚ NGA	90D THẠCH THỊ THANH,P.TÂN ĐÌNH,Q.1	7,460	
	32	LÝ TRỌNG QUÝ	714 TỔ 6, AN ĐIỀN, AN PHÚ, Q.2	4,483	

	No	The name of affected households	Address	Acquired area of land (m2)	Note
	33	TRẦN THỊ MAI	409 Ấp TÂY B, XÃ BÌNH TRUNG, THỦ ĐỨC	10,835	
	34	HOÀNG QUỐC THUẬN	361/16 LÊ LAI, P.BẾN NGHÉ Q.1	631	
	35	PHẠM THỊ LÙNG	1/11 KHU PHỐ 1,P.TML,Q.2	685	
	36	DƯƠNG THANH HẢI	343/8A,P.TÂN QUY,Q.7	1,110	
	37	NGUYỄN THỊ LÊ MAI	24/4 CÁCH MẠNG T.8,P.15,Q.T.BÌNH	310	
	38	NGUYỄN THỊ HOA, NGUYỄN TRỌNG QUANG NGHI	138/2C TRƯỜNG CÔNG ANH,P.13,Q.TÂN BÌNH	1,170	
	39	ĐỖ THỊ THU TRÂM	554/121B NGUYỄN ĐÌNH CHIỂU, Q.4	1,500	
	40	HUỲNH VÕ THIÊN HƯƠNG	241 BIS,CMTT,P.4,Q.3	7,000	
	41	HUỲNH VĂN CẬM	62/5/2, THÍCH MẬT THÊ,KP4, P.TML, Q.2	4,600	
	42	HUỲNH VĂN KIỀM	62/5/1, THÍCH MẬT THÊ,KP4, P.TML, Q.2	5,504	
	43	NGUYỄN THỊ HOA	1/76A, ĐƯỜNG 25,P.TML,Q.2	4,100	
	44	NGUYỄN VĂN HẢO (DƯƠNG THỊ TỤ)	50, ĐƯỜNG 23,KP.4, P.TML,Q.2	6,000	
	45	NGUYỄN VĂN MỪNG	14,ĐƯỜNG 23,KP.4,P.TML,Q.2	4,000	
	46	NGUYỄN VĂN NHỢ	1/62 A, ĐƯỜNG 23,KP.4, P.TML,Q.2	1,318	
	47	NGUYỄN VĂN VÔ	1207/12,THÍCH MẬT THÊ,KP4,P.TML,	2,022	
	48	TRẦN THỊ HƯỜNG (con là TRẦN NGỌC QUÝ)	1/54A, ĐƯỜNG 24,KP.4, P.TML,Q.2	6,469	

	No	The name of affected households	Address	Acquired area of land (m2)	Note
	49	NGUYỄN THỊ LIỄU (Son: Trần Văn Diệt)	41, ĐƯỜNG 23, KP4, P.TML, Q.2	3,500	
	50	TRẦN VĂN GIỎI	41, ĐƯỜNG 23, KP4, P.TML, Q.2	4,434	
	51	NGUYỄN THỊ DIỄN (NGUYỄN VĂN LẠI)	1230 THÍCH MẬT THỂ, KP4, P.TML, Q.2	500	
	52	TRẦN VĂN TO	Khuphố 4, p.TML, Q.2	2,689	
	53	DƯƠNG PHƯỚC HẢI	Not available	563	
	54	HUỲNH THỊ KHANH	Not available	2,690	
	55	TRẦN LỆ QUÂN	Not available	7,323	
	56	TRẦN THỊ CÚ	Not available	5,585	
	57	TRẦN THỊ CỬ	Not available	10,521	
	58	TRẦN VĂN HIÊN	Not available	649	
	59	PHẠM TRƯỜNG SƠN	Not available	5,197.00	
B	List of 4 households who do not have land to be affected but have assets/structure on land that would be affected by the WWTP				
	60	NGUYEN VAN KIM*	KP4, P.TML, Q.2		2 temporary thatches
	61	NGUYEN THAI NHAN*	QUAN 7, TP.HCM		restaurant
	62	HUYNH THI THANH*	P.BINH TRUNG TAY, Q.2		2 graves
	63	NGUYEN VAN LAM*	HUYEN NHON TRACH, TINH DONG NAI		4 graves
C	List of 02 companies affected by the WWTP				
	1	SaiGon Industrial Zone Development Company	26 HOÀNG VĂN THỤ, P.9, Q.PHÚ NHUẬN	32,000	
	2	Thanh My Loi JC Company		4,500.00	
I	TOTAL AREA OF LAND TO BE COMPENSATED			316,471.00	

	No	The name of affected households	Address	Acquired area of land (m2)	Note
	(I=A+B)				
	C	TRAFFIC LAND		2,284.30	
	D	CANAL LAND		48,148.60	
	E	RIVER LAND		17,851.70	
II	TOTAL LAND ARE NOT TO BE COMPENSATED (II=C+D+E)			68,284.60	
III	TOTAL LAND AREA OF WWTP (III=I+II)			384,755.60	

*See detail list of 4 household below.

Detail list of 4 households who do not have land to be affected but have assets/structure on land that would be affected by the WWTP

No	Name of affected households	Type of Assets	Notes
60	Mr. Nguyen Van Kim	2 temporary thatches (for occasional crop attendance)	This household does not live in these temporary houses. He lives in his own house in Thanh My Loi Ward
61	Mrs. Nguyen Thai Nhan	1 countryside-type restaurant (made of thatch), consisting a main thatch house and 5 small dining cottages	This restaurant owner rent land from other 3 land owners to build and run the restaurant.
62	Mrs. Huynh Thi Thanh	2 graves	This household sold her land but claimed ownership of the two graves of her parents
63	Mr. Nguyen Van Lam	4 graves	This household sold his land but claimed ownership of the four graves of his relatives

ANNEX 3 - Social Safeguard Due Diligence Review

Social Safeguard Due Diligence Review

Second Ho Chi Minh City Environment Sanitation Project (P127978)

20 August, 2014

Background

A due diligence regarding social safeguard for the proposed Second Ho Chi Minh Environment Sanitation Project (HCMC ES2; the Project) has been undertaken as part of the project appraisal. This due diligence should be read in conjunction with other key project documents such as Project Information Document (PID), the Social Assessment (SA); Resettlement Action Plan (RAP) developed with respect to the Wastewater Treatment Plant (WWTP) to be built under the Project; and Resettlement Policy Framework (RPF), developed for the Interceptor (covering some land that has not yet been acquired that would be needed temporarily or permanently for construction of the Interceptor) and for the sewerage network to be built in District 2.

The due diligence report covers 3 sites which are considered 'linked' to the current WB project i.e. they are necessary to meet the objectives of the current project:

- (a) Interceptor: Land acquisition was carried out by local government and/or private project developers within the 14m right of way of the Interceptor, prior to the Bank's Identification mission. The interceptor is 8 km long and is to be laid underground.
- (b) Da Phuoc Landfill – Land acquisition was carried out by the government at the 47ha Da Phuoc landfill⁷ and completed prior to the Bank's identification mission (undertaken in September 2011). The landfill is located in Binh Chanh District of Ho Chi Minh City and is part of a larger Da Phuoc area.
- (c) The land area to be acquired for the WWTP includes some land which had previously been acquired from local households by two companies: 0.45ha of 1.88 ha project area from Thanh My Loi Company; and 3.2ha from Saigon Industrial Zone Development Company.

Purpose of the Due Diligence

The due diligence aims to:

- (a) review and evaluate if the resettlement done by local government and/or private project developers for the above mentioned areas - interceptor area, Da Phuoc Landfill, and land in the Wastewater Treatment plant area that was allocated to two companies (1.88 ha for Thanh My Loi Company, and 3.2ha from Saigon Industrial Zone Development Company)- were in compliance with the

⁷The compensation for Phase 1 was started in 2005 and was completed in 2009.

compensation/support/resettlement regulations of Ho Chi Minh City People's Committee then; and

- (b) review and evaluate whether the above resettlement outcomes met the objectives of Bank's OP 4.12.

Methods

This report has been compiled from a range of desk review of documents and field visits to the various sites. Representatives of affected persons, the 2 affected Companies and relevant government and implementing agencies were also contacted and consulted with.

- (a) The due diligence used the following techniques: **Desk review** of project documents, decisions/regulations, compensation plans, compensation records (where possible). (See Annex 1 for a list of documents that have been reviewed).
- (b) **Interviews** with relevant governmental officials, representatives from affected households, Investment Management Authority (IMA), private investors (i.e. 2 Companies), and District Resettlement Committees.
- (c) **Interviews** with representatives from affected households from the Interceptor area, and Da Phuoc Landfill.⁸
- (d) **Field observations** to validate desk review results and interviews.

The due diligence was undertaken by a Consultant engaged by IMA and the Bank, who also provided technical input and review. Consultations with a sample of affected households took place to inform this report. The minutes of the consultation are duly documented and available in project files. The table below shows the sample size and the dates for the consultation.

Areas subject to DD	Number of Affected land (N) [Dates of consultation]	Sample size		Notes
		Representative from affected households	Representative from local government	Breakdown of sample size for representative from affected households (not including interview with local officials)
Interceptor (within the 14m right of way, section from Area No. 1 to 6; see Table 1 below)	34 Jan 28 and 29, 2013; and July 30 and 31, 2014	25 (74%)	5	10 hhs have resettled and 15 hhs have agriculture land that were affected

⁸ It was not possible to contact the families who had been resettled by the 2 Companies from the WWTP area as they were paid cash compensation and there is no record of their location. The report had to rely on the payment records and receipts of the 2 Companies.

Areas subject to DD	Number of Affected land (N) [Dates of consultation]	Sample size		Notes
		Representative from affected households	Representative from local government	Breakdown of sample size for representative from affected households (not including interview with local officials)
Interceptor Area (within the 14m right of way, section under Thanh My Loi housing project area. Area No. 7. See Table 1 below)	56 Feb 25, 2012; and Jul 30 and Aug 1, 2014	13 (23%)	6	The 56 households are potentially affected under the Thanh My Loi project (not connected with the Bank project) but have not yet been compensated/resettled
Da Phuoc land fill area (47ha)	70 Jan 28, 2013 and Jul 30 and Aug 1, 2014	20 (29%)	8	12 hhs have been affected due to loss of agricultural land. In addition 8 hhs were resettled.

The following factors were reviewed and evaluated as part of the due diligence:

- compliance with Government's relevant Laws/Decrees/Regulations (with regard to compensation/support/resettlement), including entitlements for affected households, and support for livelihoods restoration;
- census survey and detailed measurement survey;
- information disclosure;
- consultation with affected households and relevant stakeholders;
- compensation payments;
- schedule for compensation and resettlement;
- grievance redress mechanism (GRM);
- livelihoods restoration; and
- monitoring of impacts.

Findings

The due diligence findings are presented below (by geographical areas subject to the due diligence).

4.1 Interceptor area

The proposed 8 km Interceptor (3.95m in outer diameter) will be located in District 2 with most part of it in current public land and along the Saigon River. The entire Interceptor line will be installed underground – at varying depth – from 7 to 20m below the natural ground surface. The right of way for the interceptor is a total of 14m (7 m from the center line of the interceptor on both sides). This area goes through 7 zones (See Table 1 below) which are currently under the management and authority of local governments and project developers.

Although most of the proposed right of way of the interceptor is currently in public land, these areas used to be populated by local households and were acquired by government and private project developers (from 2002 to 2012) as District 2 was urbanized. This period was prior to the Bank's Identification Mission in 2011, and hence prior to commencement of the current project.

As shown in Table 1, households were affected only in zones 1, 3, 4, 5; hence this due diligence study covers these areas. Zone 2 is under the river so there were no impacts on any households. There were no impacts in zone 6 as this village was not part of any development project and not handed over to any Company nor acquired by any entity. Hence no households were impacted in zones 2 and 6 and the due diligence does not cover these zones. It should be noted, that in zone 7, land acquisition for Thanh My Loi Company's housing project is still ongoing (commenced in 2007). Review of compensation policies indicated that payment for affected households (within respective project developers) were in accordance with the relevant national Laws, decrees, and the regulations of HCMC People's Committee. This was confirmed by the review of the documents (Documents No. 4, 6, 9, 10 from Annex 1), and by consultation with representative from affected households.

Table 1: Interceptors by sections/project developers

Zone	Project Owners	Length of the Interceptor (in meter)	Number of affected households (within the 14m right of the way of the Interceptor)	Compensation unit price for residential land (VND)	Total compensation costs (VND)	Year by which land acquisition was started/ completed (by project developers)	Lead agencies carrying out land acquisition
1	Investment Management Building the Thu Thiem New Urban Area	3.493	24	3,000,000	2,882,700,000	2002/2012	People's Committee of District 2
2	Saigon river	1.028	River, covered by water				
3	21st Century Company)	0.265	1	4,000,000	1,146,800,000	2006/2011	People's Committee of District 2
4	Huy Hoang Construction and Garment Joint Stock Company	0.500	4			2005/2010	People's Committee of District 2
5	Phu Nhuan Construction and Housing Trading Company	0.613	5	2,500,000	7,776,750,000	2003/2006	People's Committee of District 2
6	Ham Long Artisan Village JSC	0.600	0				Ham Long is artisan village formed by a group of local people. The land was not

Zone	Project Owners	Length of the Interceptor (in meter)	Number of affected households (within the 14m right of the way of the Interceptor)	Compensation unit price for residential land (VND)	Total compensation costs (VND)	Year by which land acquisition was started/ completed (by project developers)	Lead agencies carrying out land acquisition
							acquired and hence there are no resettlement impacts associated with this section.
7	Thanh My Loi Company	1.464	56	2,625,000	11,528,645,625	Started from 2007. Still ongoing (49ha of 120ha project area) was compensated.	People's Committee of District 2 and Company
	Total	7.963	79		23,334,895,625		

The following was reviewed and evaluated through project documents/ records/ compensation plans, and confirmed through interviews with various stakeholders (including representative from affected households, government officials), and field observations:

- ***Compliance with Government of Vietnam's relevant Laws/Decrees/regulations.*** Based on the relevant Decisions/Documents issued by HCMC, and Compensation Plans for the compensation/resettlement under respective projects (Table 1) where the Interceptor will go through, the compensation plans/regulations adopted for the respective projects were in full compliance with *Government of Vietnam Laws* (i.e., the Land Law 2003, Decree No.181/2004/ND-CP, Decree No.197/2004/ND-CP, Circular No.116/2004/TT-BTC, Decree No.188/2004/ND-CP), and respective regulations of HCMC PC at the time the compensation plan was implemented. For all projects mentioned above, the Resettlement Board of District 2 (under District 2 People's Committee) was assigned by District 2 People's Committee to prepare the resettlement plans for respective projects in accordance with the relevant Laws/Decrees, and the relevant regulations of HCMC PC. The Resettlement Board of District 2 was also in charge of preparation and implementation of the land acquisition exercise. Fund for payment came from respective project owners.
- ***Entitlements:*** Entitlements were delivered on the basis of, and in compliance with, the applicable Laws/Decrees/regulations at the time of compensation payment/resettlement. These packages were accepted by affected households. Households received these payments as scheduled. This is confirmed through interviews with representatives from local governments, affected households, as well as supporting documents. By the time when this due diligence was first started in 2012, all the affected households (within the 14m right of the way and beyond) have received their entitlements/support, and have handed the land area over to the government/private investors for their project purpose. Those households affected with residential land have now resettled, most in the resettlement sites developed by government in the vicinity and have restored their livelihoods (as the interview with them indicated).
- ***Options provided to affected households.*** These were as follows: (a) for loss of agricultural land, affected households were offered cash compensation; (b) for affected houses and structures, compensation were paid at market prices as per regulations of the HCMC PC at the time of compensation payment; and (c) for affected residential land, households were offered one of the two options: cash compensation or land-for-land in the resettlement site built within District 2.
- ***Census survey and detailed measurement survey.*** While attempts were made to review these documents, access to records related to the detailed measurement survey could not be located. Given the lack of supporting documents, interviews were conducted with the relevant stakeholders in lieu of written documents. Interviews were also conducted with affected households to confirm the evaluative review of these factors (which were done via review of documents). The interviews confirmed that the census and detailed measurement surveys were done to identify the magnitude of impacts. Despite efforts/shortcomings happened (e.g., incorrect measurements, wrong application of compensation rates),

corrections were made appropriately and timely, to the satisfaction of the affected households.

- ***Compensation payments.*** Funds for compensation payment, support and resettlement (including construction of resettlement sites) were provided by the project developers. Fund could not be disbursed after the compensation/support/resettlement plans (prepared by District 2 Resettlement Board) were approved by District 2 PC (in accordance with current government's laws/regulations). The Resettlement Board of District 2 and private project developers (from Table 1) paid the affected households (through the District 2's State Treasury). Affected households would hand their land over to District 2 government once they receive the full compensation/support/resettlement package (which they agreed in accordance with the compensation/resettlement plan).
- ***Schedule for compensation and relocation.*** The compensation for the interceptor was implemented by Resettlement Board of District 2, started in 2002 and completed in 2012. This review confirmed that all affected people in the project areas were fully compensated in accordance with the regulations of the HCMC People's Committee, and in line with the relevant Law/Decrees. All affected households have handed the affected land over to the government/project developers and the construction of the projects was completed, except for Thanh My Loi project (No. 7 from Table 1 above). Please see Annex 2 for more on the status of land acquisition under this project.
- ***Information disclosure and consultations.*** Interviews were conducted with the affected households and relevant stakeholders to confirm if affected households were consulted and information on the project/compensation plans were disclosed as per government's regulations. The review found that with each project area, there were at least 2 rounds (depending on projects) of community meetings - undertaken to consult with the affected households (arranged by the private project developers in coordination with Resettlement Board of District 2 and the project commune's leaders). During the meetings, compensation plans were clarified and feedback from affected households were noted, and clarified (in addition to the disclosure of the compensation plan at commune and districts' offices. Before carrying out the inventory of loss, all of the affected households were informed about the implementation schedule to enable them to participate and confirm the inventory of loss. The affected households were also informed of the compensation policy and implementation schedule for necessary preparation. Comments, feedback and recommendations from affected households were gathered during consultation meetings, and were brought up for the city's consideration/adjustments. Information disclosure as well as consultation meetings with affected households were appropriately done as per the requirements of the Government of Vietnam.
- ***Grievances Redress Mechanism (GRM).*** The GRM system was in place and close collaboration between the Resettlement Committee of District 2 and private developer(s) has enabled concerns/questions from affected households were received and addressed. The staff from Resettlement Committee of District 2 provided instructions on how to submit complaints at district/commune levels. According to the records in the project area, complaints typically included inaccurate measurements, wrong application of compensation rates for land,

structures and crops (which were addressed to the satisfaction of affected households before they agreed to hand their affected land over to the developers). The due diligence found that complaints from affected households were typically related to inaccurate detailed measurements survey results, which resulted in incorrect compensation package, were timely addressed and resolved by the Resettlement Committee of District 2 and project investors. According to the information gathered in the interviews with the local authorities in charge and affected households, it was confirmed that there are no pending cases remaining to be resolved concerning any of the aspects of compensation/resettlement. All affected people have accepted and received their entitlements, and have handed their land over to the government for the project purpose.

- **Livelihood Restoration.** None of the households (within the interceptor 14m right of way) needed to resettle. However, interview with affected households (25), including resettled households indicated that their livelihoods have been fully restored. The interviewees mentioned that the living condition in the resettlement site is better (particularly no more flooding at the resettlement area). In addition to being allocated with a house (condominium) from the resettlement sites, the affected households have been provided with support and allowances (as part of the compensation plans) according to regulations of HCMC PC. Support for loss of agricultural land/residential land include livelihood restoration allowance, vocational training allowance, and other special allowances for those who are classified as poor and/or vulnerable households (as per HCMC regulations then). Resettlement sites were from 23km away from the affected households' previous places. So the relocation, as well as access to previous schooling (for their children), and health care services is convenient. Interviews with some of the relocated households indicated that they have been settled in the new resettlement site for years. Most interviewed could keep their previous jobs, and some do retail business. Interviewed households confirmed their livelihoods have been restored.
- **Monitoring.** The land acquisition and site clearance were conducted and financed using the budget provided by the seven companies (Table 1 above) in their respective project areas. An internal monitoring system was set up where the District 2 People's Committee monitored the consultation/compensation process and made sure grievances were timely addressed in accordance with the relevant Laws/regulations.

During the project consultations, affected households expressed their support for the project implementation and believed that this project will bring benefits to them and other neighboring areas through improved environmental sanitation. They also stated that the land acquisition impact is quite marginal to them since the affected land is not productive for agricultural purpose.

The due diligence review confirmed that all affected houses within the 14 right of way of the interceptor had been compensated. Note that the section of 1.464m within Thanh My Loi project area still has land acquisition for the housing project (not connected to the current World Bank project) underway. There are no legacy issues that remain pending within these projects. The compensation was made by the District 2 PC, in coordination

with project investors, and in accordance with the government's laws and regulations. The livelihoods of affected households were fully restored.

As mentioned above, since the entire Interceptor for the World Bank project will be laid underground, acquisition of land for installation of Interceptor is not required. Within the 14m right of way above the Interceptor, there about 56 existing houses. As confirmed by the technical consultant (CDM), these houses do not need to be resettled out of the right of way as a result of the project.

However, land will be required for the construction (temporarily) and maintenance (permanently) for 21 shafts for the interceptor (Note: the 22nd shaft will be within the area of the WWTP). The design for the interceptor and shafts is not complete but the expected land to be required and related impacts is listed in Annex 2. Temporarily each shaft will take up an area of 10.9 m diameter space during the construction. Once the shafts are constructed a land area of about 1.85x2.35 m for each shaft will be permanently required above the shafts to access the interceptor for maintenance purposes.

15 (out of 21) of the shafts to be installed for the interceptor are on vacant public land and there are no resettlement impacts. These shafts (S0 to S14) are on land managed by District 2 People's Committee. 6 shafts (Shafts S14, S15, S16, S17, S18, and S19) will fall in areas where land will need to be acquired. Consultations in these areas indicate that the households have no objection to the project. Shafts S14 and S15 are part of Ham Long Village and land will be acquired by IMA in accordance with a World Bank approved RAP. Shafts S16, S17, S18, and S19 are within the Thanh My Loi housing project area where the Thanh My Loi is carrying out land acquisition for its housing project which is not connected to the Bank project.

4.2 Da Phuoc Landfill Area (an ancillary facility)

As part of the Project, a Waste Water Treatment Plant will be built in the Thanh My Loi ward of District 2 to provide treatment to the wastewater collected from the Nhieu Loc – Thi Nghe (NLTN) and District 2 catchment areas. Once the WWTP is operational, sludge from the treatment plant will be transported to and disposed of at the Da Phuoc landfill area⁹ which is located in Da Phuoc commune, Binh Chanh District.

An area of about 47 ha (within the 306.5ha Da Phuoc area) will be used to receive sludge generated from the WWTP¹⁰. Because this 47ha area is to be used for the Bank project, it is considered an ancillary facility. The social due diligence for this ancillary facility focused on the 47 ha. area (which is part of entire Da Phuoc area that comprises 306.5ha). It is also noted that since the compensation plan (for Phase 1) was approved in 2005 (prior to Bank's identification mission in 2011), Bank's due diligence for this 47ha area aims to: (a) review and evaluate if the resettlement done by Binh Chanh District PC was

⁹The Da Phuoc landfill was developed by HCMC government to receive sludge generated from other WWTPs within HCMC. It is 306.5ha in total area, and the 47ha landfill allocated for use of HCMCES 2 is under construction.

¹⁰ Apart from the sludge to be generated by the WWTP, this 47ha area is designed to receive sludge from other sources – as recommended by DONRE and approved by HCMC PC.

in compliance with the compensation/support/resettlement regulations of Ho Chi Minh City PC then; and (b) review and evaluate whether the resettlement outcomes met the objectives of Bank's OP 4.12.

Overview of Da Phuoc landfill.

The Da Phuoc landfill area is located in Da Phuoc Commune, Binh Chanh District, Ho Chi Minh City (5km away from the proposed Waste Water Treatment Plant). The Da Phuoc landfill project was established since 2004 in accordance with HCMC's master plan with total area of 306.5ha. The project has been developed in 3 phases (Phase 1: 101ha; Phase 2: 150.5ha; and Phase 3: 55ha) (please note the 47ha (allocated to HCMCES2) is from Phase 1). Land acquisition implementation was started in 2005 by the Binh Chanh Resettlement Board in accordance with the Decision 5735/QĐ-UBND (dated November 07, 2005). The compensation plan (DMS, entitlements and cost estimates for compensation) was prepared and approved by Binh Chanh District People's Committee by November 2005. The unit price paid for land compensation was defined in line with the guidance from HCMC City's Peoples Committee as per the Land Law 2003, particularly the Government's relevant decrees.

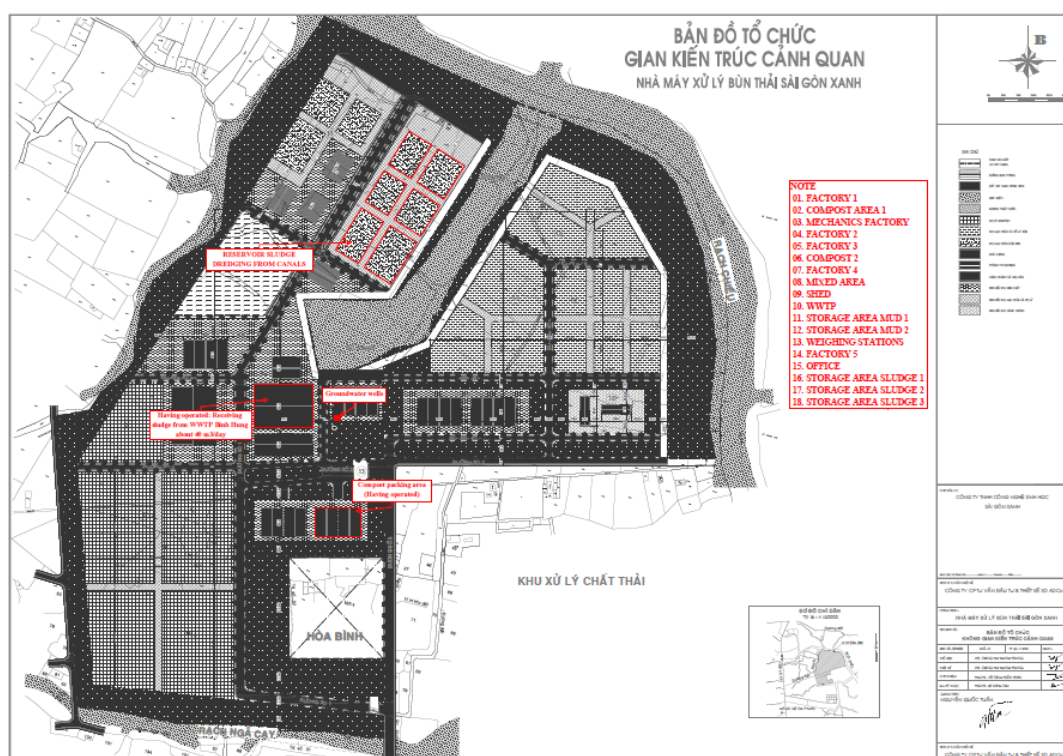
By December 2013, land acquisition was completed for Phase 1 and Phase 2. A total of 337 households were affected under Phase 1 and Phase 2. All have been compensated and have handed the affected land over to the local government. A total of 283.5 billion VND was paid to the 337 affected households.

For the 47ha area to be used under HCMC ES2 for sludge disposal, 70 households were affected, of which 53 had their agricultural land affected, while the remaining 17 households lost residential land. On the land acquisition, consultation with Da Phuoc commune and Investment Management Agency (IMA) confirmed that the land acquisition and compensation for 47ha area was completed as part of Phase 1 land acquisition. The construction of the facility (for sludge treatment) is at the moment underway. The treatment of sludge (from HCMC ES2, within the allocated 47ha) will be performed by the Saigon Xanh Biological Technology Company (as approved by HCMC PC). The construction of waste treatment facility by this company was approved by the HCMC Department of Construction (Document GPXD-83XDT dated 4 July 2014). An MOU (dated 24 July 2014) between IMA and Saigon Xanh Biological Technology Company also indicated that Saigon Xanh Biological Technology Limited Company will provide treatment of the sludge generated under HCMCES 2. HCMC PC also confirmed that above arrangement at their Document No. 1664/UBND-QLDA (dated 21 April 2014) summarizing the agreement which is made following Bank's pre-appraisal mission.

Consultation with representatives of twelve affected households (in December 2012), and further consultation with 8 affected households (in July 2012), and eight staff members of the commune People's Committee (December 2012) indicated that the full compensation payments were already provided the affected households. Those who needed to be physically relocated have now settled down in the resettlement site (Resettlement Site No. 4, located in Phong Phu commune, Binh Chanh district). Some households who

wanted to continue their farming could be able to buy new improved farmland to continue their farming. Others had pursued non-farm small business activities. All households consulted indicated that their livelihoods were fully restored.

For Da Phuoc landfill, all affected people in the 47ha area were fully compensated in compliance with the HCMC's regulations. They have handed the land over to the government, and the construction of the sludge treatment facility has been approved by HCMC PC. The construction is underway, and part of this area has been put into use to treat sludge from other project. The picture below shows the layout of the sludge treatment facility which is being built by Sai Gon Xanh Biological Technology Company. Sludge cells in red rectangles indicate they are completed and are in use. For the steps that HCMC government has taken following the completion of land acquisition to start the construction of the sludge treatment facility is outlined in Annex 4.



4.3 Waste Water Treatment Plant

The area and boundary of the WWTP was finalized in December 2013. The determined area includes land that had earlier been given to two private companies for development projects. Consultation with these two companies (Thanh My Loi Company and Saigon Industrial Zone Development Company) indicated that the first has 1.88ha and the latter has 3.2ha that fall into the boundary of the WWTP. Consultations revealed that both companies had cleared the land by compensating local families at the time of acquisition. In the case of the Thanh My Loi company, of their 1.88ha project area (which now becomes part of the WWTP), 0.45ha has been cleared and compensation paid to 6 households from 2007 - 2013. The rest of the 1.88 ha was already clear and not being

used by anyone, hence no compensation needed to be paid. For the 3.2ha owned by Saigon Industrial Zone Development Company, all 3.2ha was compensated in 2002. This involved paying compensation to 3 households who owned the land.

Since the above two areas (owned by the two companies) now becomes part of the WWTP area, social due diligence was done. Results are as follows:

- For the 3.2ha owned by Saigon Industrial Zone Development Company, payment records (provided by the company) indicated that the 3 households have sold their land to the company on a willing buyer willing seller basis. The three households were paid (3,475,000,000VND) in 2002, and the 3.2ha area is now under the ownership by Sai Gon Industrial Zone Development Company.
- For 1.88ha which was part of the Thanh My Loi Housing Project area of Thanh My Loi JC Company, the Company's land map showed that 0.45ha has been cleared and compensated for. Payment record provided by the company indicated 6 households (associated to this 0.45ha) were paid from from 2007 to 2013. Payment records shows 9,689,380,000 VND was paid by Thanh My Loi Company to these 6 households. This cost includes land transactions outside the 1.88ha and the WWTP area and could not be split exclusively for the 1.88ha. According to the payment record, 6 households have sold their land to the company on a willing buyer willing seller basis (with contracts certified by local government). (List of households selling land and the payment is in Annex3).For purpose of clarity, it should be mentioned that 3 of these 6 households also happen to have additional land that is outside the 1.88 ha acquired and compensated by Thanh My Loi JC Company, but that is within the remaining WWTP boundary. Hence they are listed in the list of 59 land holding households in the Resettlement Action Plan (RAP).

For the 3.2 ha area, since the land acquired from the 3 households was completed in 2002, and the acquired land has been under the ownership of Saigon Industrial Zone Development Company, these 3 households will be excluded from the original list of 59 potentially affected households associated with the WWTP. For the 1.88ha under the housing project of Thanh My Loi Company, since the selling of land of local households (to Thanh My Loi company) was made on a willing buyer willing seller basis, there is no pending legacy.

An agreement has been made between IMA and the 2 Companies that the Companies will hand over the 3.2ha and 1.88 ha of land falling in the WWTP boundary to IMA. It was also agreed that the companies will be repaid by IMA, using counterpart fund. The amount of repayment has been estimated, and reflected under item (a) of Table 2 (estimated compensation costs) in the Resettlement Action Plan (RAP) for the WWTP. While processing is underway at HCMC PC, the two companies have agreed to transfer the land to HCMC PC for the WWTP purpose. HCMC Department of Natural Resources and Environment (DONRE) has submitted a letter to HCMC PC recommending HCMC PC to issue a decision to take the land back for the WWTP construction from the two companies.

The due diligence confirms that the land acquisition was in compliance with HCMC PC's regulations and that the transactions made by the companies were on willing buyer willing seller basis. Hence there are no pending legacies issues, and no further action is required under this WWTP RAP.

Conclusions & Recommendations:

The conclusions and recommendations made below are for each of the areas subject to the due diligence exercise:

1.1 INTERCEPTOR:

- For the interceptor section between S0 and S13, land acquisition (associated with project developers No. 1,3,4,5 from Table 1) commenced since 2002 and was completed by 2012. The due diligence review (first conducted in December 2012 and repeated in July 2014) confirmed that implementation of the resettlement, compensation and assistance plans and processes is in compliance with the Government's laws and regulations and the resettlement outcomes met the objective of Bank's OP4.12 (based on the review of the criteria/factors mentioned above and consultation with affected households). For this section, public land will be used for construction of the 15 shafts.
- For the interceptor section between S14 and S15, land will be required for the construction of two shafts. The land will be acquired from households belonging to the Ham Long Artisan Village JSC.
- For the interceptor section between S16 and S19, land will be required for the construction of four shafts. The land for these shaft areas is being acquired by the Thanh My Loi company for its own project (not connected with the Bank project) and the land acquisition process is not complete.

Recommendations: IMA will continue to work closely with Thanh My Loi company. According to IMA, IMA and Thanh My Loi company have agreed that land acquisition under Thanh My Loi project will continue as per HCMC PC decision. Any resettlement related to the housing project of Thanh My Loi Company will follow national law and HCMC PC agreements. This will be monitored through the WWTP RAP, with close attention to land acquisition within the Interceptor area. By December 2015, if Thanh My Loi has not yet acquired the land at the above 4 shaft locations (to allow required shaft installation), IMA will request HCMC PC to directly acquire the land from private land owners for the shafts. In this case, IMA will prepare a Resettlement Action Plan (RAP) following the project's Resettlement Policy Framework (RPF) and OP 4.12 standards and get it approved and cleared by World Bank.

The land for 2 shafts that fall into the area of the Ham Long Artisan Village JSC will have to be acquired by IMA. This will follow the RPF for this project and will require the preparation of a RAP which will need to be approved by the World Bank. The RAP will comply with WB OP 4.12 requirements.

1.2 DA PHUOC LANDFILL:

- For Da Phuoc landfill, all affected people in the 47ha area were fully compensated in compliance with the HCMC's regulations. They have handed the land over to the government, and the construction of the sludge treatment facility has been approved by HCMC PC. The construction is underway, and part of this area has been put into use to treat sludge from other project. Please note Da Phuoc landfill will not be used by HCMCES2 until the WWTP is put into operation by 2019.
- *Recommendation:* No further action is required.

1.3 WWTP:

- The area that will be acquired from the 2 Companies for the WWTP has already been cleared and compensated for by these 2 Companies. Hence no households are affected on this 1.88 ha and 3.2 ha that falls into the WWTP boundary.
- Payment records of both Companies show that all payments were made to a total of 9 households (6 from the Thanh My Loi Company; and 3 for the Saigon Industrial Zone Development Company). There are no pending grievances and hence there is no further action required.
- Given the WWTP land includes land that belongs to the two above mentioned private Companies, HCMC PC will need to acquire this land (1.88ha and 3.2ha) for the purpose of the WWTP, and compensate the two Companies. This has been agreed to by both sides. Payment of compensation to these two companies will be arranged by HCMC PC and will come under the HCMC PC budget. Costs estimate (for repayment to the two companies) are been included in the compensation costs estimate in the RAP for the WWTP.
- *Recommendation:* No action required specific to this DD as all 9 households were paid fully when the 2 Companies acquired the land, prior to the WWTP boundary decision.
- IMA is to compensate the 2 Companies for their land (1.88 ha and 3.2 ha) as per the Resettlement Action Plan (RAP).

In the event any issues arise out of the earlier land acquisition for the three sites mentioned in the DD report, the information will be recorded and brought to the attention of the client as part of the monitoring and evaluation of the current project RAP.

Appendix 1 of Annex 3 –Social Safeguard Due Diligence Review

LIST OF KEY DOCUMENTS REVIEWED AS PART OF THE DUE DILIGENCE

Documents related to compensation/support/resettlement at Interceptor area and Da Phuoc landfill area:

1. Document No.113/PA-UBND dated 10 February 2002 issued by Board of Compensation and Clearance for Infrastructure Investment Project - Residential Area in Thanh My Loi Ward, District 2 PC on acquisition of land and assets for Infrastructure Investment Project - Residential Area in Thanh My Loi Ward (174ha), District 2.
2. Documents No.34/PA-UB dated 02 May 2002 issued by Board of Compensation and Clearance for East-West Highway Construction Project, District 2 PC on acquisition of land and assets for East-West Highway Construction Project in District 2, Ho Chi Minh City.
3. Decision No.135/2002/QD-UBND dated 21 November 2002 issued by Ho Chi Minh City PC promulgating the regulation on compensation, assistance and resettlement in construction plan of Thu Thiem new urban zone and resettlement site in District 2, Ho Chi Minh City;
4. Decision no. 417/QD-UBND dated 23 January 2003 issued by President of Ho Chi Minh City PC approval detailed compensation, assistance and resettlement plan(s) on acquisition of land and assets for major sector of Infrastructure Investment Project - Residential Area in Thanh My Loi Ward, District 2.
5. Decision No. 3307/QD-UBND dated 30 June 2004 issued by Ho Chi Minh City PC approval detailed compensation plan(s) on acquisition of land and assets for Infrastructure Investment Project at Sector 1 - Residential Area in Thanh My Loi Ward, District 2.
6. Document No. 63/PA-UB dated 01 June 2006 issued by Board of Compensation and Clearance for Infrastructure Investment Project of Sector 1, District 2 PC on acquisition of land and assets for Infrastructure Investment Project at Sector 1 - Residential Area in Thanh My Loi Ward, District 2.
7. Decision No.123/2006/QD-UBND dated 16 August 2006 issued by Ho Chi Minh City PC amending and supplementing Decision 135/2002/QD-UBND dated 21 November 2002 and attached regulation on compensation, assistance and resettlement in construction plan of Thu Thiem new urban zone and resettlement site in District 2, Ho Chi Minh City;
8. Document No. 167/HDBT dated 01 December 2006 issued by Board of Compensation of International cultural recreation tourism zone project, Binh Khanh, Binh Trung Tay Ward, District 2 PC on acquisition of land and assets for International cultural recreation tourism zone project, invested by 21st Century International Development Co. at Binh Khanh, Binh Trung Tay Ward, District 2.
9. Decision No. 4476/QD-UBND dated 05 December 2006 issued by District 2 PC, Ho Chi Minh City approval detailed compensation, assistance and resettlement plan(s) on acquisition of land and assets for International cultural recreation tourism zone project

,invested by 21st Century International Development Co. at Binh Khanh, Binh Trung Tay Ward, District 2 (Plan 167/HDBT dated 01 December 2006).

10. Document No. 21/HDBT dated 29 January 2007 issued by Board of Compensation, assistance and resettlement of Construction Investment Project of Residential Area at Thanh My Loi Ward, District 2 PC on acquisition of land and assets for Construction Investment Project of Residential Area at Thanh My Loi Wad, District 2 invested by Volunteer Youth Investment and Construction Company.

11. Document No. 18/PA-HDBT dated 6 February 2009 issued by Board of Compensation, regarding developing resettlement and temporary residence area for the Residential Area at Thanh My Loi Ward, invested by Volunteer Youth Investment and Construction Company.

12. Payment Records of Saigon Industrial Zone Development Company.

13. Payment Records of Thanh My Loi JC Company.

14. Decision No. 06/2009/QĐ-UBND dated 21 January 2009 amending and supplementing a number of content of attached regulation of Decision 135/2002/QĐ-UBND dated 21 November 2002 and Decision 123/2006/QĐ-UBND dated 16 August 2006 issued by Ho Chi Minh City PC on compensation, assistance and resettlement in construction plan of Thu Thiem new urban zone and resettlement site in District 2, Ho Chi Minh City;

15. Document No. 1105/KH-BBT dated 06 April 2011 issued by Board of Compensation and Clearance, District 2 PC on acquisition of land and assets at sector 2, 3, 4 of 143ha Residential Area Project in Thanh My Loi Ward, District 2.

16. Decision 5735/QĐ-UBND (dated 7 November 2005) issued by Binh Chanh district People's Committee

17. Decision 7320/QĐ-UBND (dated 30 December 2010) issued by Binh Chanh district People's Committee to adjust the compensation and support costs for Da Phuoc landfill area.

Documents related to construction of sludge treatment facility within the 47ha Da Phuoc landfill:

1. Document 110/TB-VP (dated 21 Feb 2014) issued by HCMC PC instructing the Department of Natural Resources and Environment to hand over the 47ha land area (of Da Phuoc Land fill) to Sai Gon Xanh Biological Technology Company to guide this company to build the treatment facility within this 47ha area to timely process the sludge generated from works that was approved by HCMC PC, including the sludge from the WWTP (once operated).

2. Document 1664/UBND-QLDA (dated 21 April 2014) issued by HCMC PC instructing DONRE to follow up and step up the construction for the sludge treatment plant within Da Phuoc area.

3. Memorandum of Understanding – signed between IMA and Sai Gon Xanh Biological Technology Company (Document 32/BB/VSMTP dated 24 July 2014) thereby Sai

Gon Xanh Biological Technology Company (as assigned by HCMC PC) will receive all the sludge generated from the WWTP when the WWTP comes into operation.

4. Document 330/TB-VP (dated 6 May 2014) issued by HCMC PC instructing Department of Transport, DONRE, and relevant city Departments to check the land status and site of Da Phuoc landfill and provide temporary construction permit to allow Sai Gon Xanh Biological Technology Company to construct the treatment facility (as approved by HCMC PC).
5. Document 83/GPXDT dated 4 July 2014 issued by Department of Construction to issue a temporary permit to Sai Gon Xanh Biological Technology Company to allow building of the sludge treatment plant within the 47ha area.

Appendix 2 of Annex 3 – Social Safeguard Due Diligence Review

EXISTING LAND STATUS

(WITHIN THE 14M RIGHT OF WAY OF THE INTERCEPTOR)

- There are NO houses located within the 14m right of way of the Interceptor from Shafts S0 to S15. For the section from Shaft S15 to S19, there are some existing 56 houses. These houses DO NOT NEED to be physically relocated since the Inceptor will be laid underground using pipe jacking technology, which will not affect the existing houses on the top of it.
- Agreement has been made with all relevant land users where the Interceptor will go through (underground) on the basis of that the Document No 1856/UBND-QLDA dated 05/05/2014 was issued by HCMC PC for the alignment of the Interceptor.
- Where “River Corridor” is noted (below), “River Corridor” means the area approximately from 50m (from the higher edge of the river) that was designed by the government as a corridor which should be protected and heavy structures are permitted within it (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 construction permit) to leave a 50m wide River Corridor even though they compensated local people who might live within this 50m area prior to their acquisition of land for their project purpose.

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	Park	No land acquisition required under	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
		Thiem Board)		this project	
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 Phu Nhuan 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</i>			

Interceptor (sections by shafts)	Length (m)	Current land status (within the 14m Interceptor right of way)	Future land status	Comments	Project Developers
		<p><i>of two owners.</i></p> <p>First owner: Phu Nhuan Company (292.3m long). Already cleared and owned by. This section is vacant.</p> <p>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.</p>	<p>Internal Road along Saigon River</p> <p>Internal Road along Saigon River</p>	<p>No land acquisition required under this project</p> <p>No land acquisition required under this project</p>	<p>Phu Nhuan Housing Company</p> <p>Ham Long Artisan Village</p>
S14-S15	230	Vacant land	Internal Road along Saigon River	No land acquisition required under this project	Ham Long Artisan Village
S15-S16	370	<p><i>This Interceptor section will go through project area of two owners.</i></p> <p>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.</p> <p>Thanh My Loi housing project area (162m, vacant</p>	<p>Internal Road</p> <p>Internal Road</p>	<p>No land acquisition required under this project</p> <p>No land acquisition required under</p>	<p>Ham Long Artisan Village</p> <p>Thanh My Loi Company</p>

Interceptor (sections by shafts)	Length (m)	Current land status (within the 14m Interceptor right of way)	Future land status	Comments	Project Developers
		land with one single storey house). No resettlement is required by the household for the laying of the interceptor.		this project	
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
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)

There are NO houses/physical structures that are found located within the area required for installation of all 21 shafts as of 5 August 2014.

Most of the shaft locations are within vacant public land and there are no resettlement impacts. This is the case for S0-14 which are on District 2 land, and S22 which is in WWTP area. 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. Shafts No. S16, 17, 18, and 19 are within the Thanh My Loi project area. This land will be acquired as part of the ongoing housing project and monitored under the WWTP RAP. If this is not done by December 2015, IMA will directly acquire the land in accordance with a World Bank approved RAP. S14 and 15 are part of Ham Long Village JSC and land for these shafts will be acquired by IMA in accordance with a World Bank approved RAP.

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	
									7.69	This shaft has been constructed from Phase 1

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	

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
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	
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	

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
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	
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	

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
							Board)			
10	S8	10.6	1.85x2.35	0		3900	Vacant land (near Ca Tre Lon bridge)	Public land (along Ca Tre Lon bridge)	14.59	
					Constructed road (Mai Chi Tho)					
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	

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
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	
					Waterway					
15	S13	10.6	1.85x2.35			3768	Vacant land (cleared and owned by Phu Nhuan Company)	Road along Saigon River	16.51	
					Waterway					

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
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

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
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
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

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
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

Appendix 3 of Annex 3 - Social Safeguard Due Diligence Review

**List of households (owning land from the 1.88 ha part of the WWTP)
who have sold their land to the Thanh My Loi Company**

No.	Names of households	Amounts agreed and paid (VND)
1	NGUYỄN TRỌNG QUANG NGHỊ NGUYỄN THỊ HOA	915,000,000
2	NGUYỄN THỊ TÚ NGA Assigned to NGUYỄN THÀNH HUNG	3,993,930,000
3	TRẦN THỊ HỒNG LAI Assigned to BÙI THỊ HỒNG YẾN	1,846,170,000
4	TRẦN THỊ HỒNG LAI	1,365,280,000
5	TRẦN NAM ĐẠT	806,000,000
6	NGUYỄN THỊ NHÂN NGUYỄN VŨ ÁI KHANH	805,000,000
		9,731,380,000

Appendix 4 of Annex 3 - Social Safeguard Due Diligence Review

Steps Taken for the Da Phuoc Landfill

Following the completion of land acquisition in December 2013, the following actions (in chronological order) have been taken by HCMC PC and its relevant departments to convert the 47ha agricultural land into the landfill area:

- **February 2014:** HCMC PC has instructed the Department of Natural Resources and Environment (DONRE, who is responsible for land use management) to hand over the 47ha land area (of Da Phuoc Land fill) to Sai Gon Xanh Biological Technology Company (a company designated by HCMC PC), and guide this company to build the treatment facility within this 47ha area to timely process sludge generated from works that was approved by HCMC PC, including the sludge from the WWTP under the project (Document 110/TB-VP dated 21 Feb 2014).
- **April 2014:** HCMC PC instructed DONRE to follow up and complete the construction for the sludge treatment plant (in Da Phuoc landfill) to ensure the sludge from other sources, and the WWTP (once operationalized) could be processed within this 47ha area.
- **April 2014:** IMA signed a Memorandum of Understanding with Sai Gon Xanh Biological Technology Company (Document 32/BB/VSMTP dated 24 July 2014) through which Sai Gon Xanh Biological Technology Company will receive the sludge generated from the WWTP when the WWTP comes into operation. The MoU was signed in line with HCMC PC's Document 1664/UBND-QLDA dated 21 April 2014.
- **May 2014:** HCMC PC instructed Department of Transport, DONRE, and relevant Departments (within 7 days from the date of issuance of the instruction) to check the land status and site of Da Phuoc landfill and provide temporary construction permit to allow Sai Gon Xanh Biological Technology Company to build the treatment facility (as approved by HCMC PC). HCMC PC urged DONRE to complete the land rental contract to allow Sai Gon Xanh Biological Technology Company to rent the 47ha (of Da Phuoc landfill) to provide treatment for sludge from sources designated by HCMC PC, including sludge from the wastewater treatment plant under the project (Document 330/TB-VP, dated 6 May 2014).
- **July 2014:** Department of Construction issued a temporary permit to allow Sai Gon Xanh Biological Technology Company (via Document 83/GPXDT dated 4 July 2014) to build the sludge treatment plant on the 47ha area. The construction of the sludge treatment facility, as of 14 August 2014, is underway.

ANNEX 4 - Summary of Community Consultations, Meeting Minutes, and List of Participants

Summary of Community Consultations

Round No.	Time	Attendants/ Form of Consultation	Conclusion	Minutes	List of participants
1	Apr. 25 th , 2012	14 person (7 women, 7men). Community Meeting	- All consulted participant supported project implementation, including the WWTP construction	See Minute No. 1	See List No.1A
	June and July, 2012	Direct consultation with households combined with socioeconomic survey	- They wish to be adequately compensated. - Compensation should be at replacement costs, so that people can buy similar land in District 2.		See List No.1B
2	February, 18th, 2014	20 persons (8 women, 12 men), including 15 new persons and 5 who was first meeting)	- All of consulted households agreed with the WWTP construction. - Compensation should be at replacement costs - All of them hoped the project will be implemented in a near future.	See Minute No. 2	See List No.2
3	From July-August.2014	5 persons (2 women, 3 men)	- All of consulted households agreed with the WWTP construction. - Compensation should be at replacement costs		See List No.3A
		03 persons (3 women)	- All of them hoped the project will be implemented in a near future.	See Minute No.3	See List No.3B

MEETING MINUTES, AND LIST OF PARTICIPANTS

MINUTE No. 1

DỰ ÁN VỆ SINH MÔI TRƯỜNG TP HỒ CHÍ MINH GIAI ĐOẠN 2
Chương trình : Tham vấn cộng đồng phục vụ báo cáo Tái định cư
Thực hiện bởi : Tư vấn Sài Gòn WEICO

BIÊN BẢN THAM VẤN CỘNG ĐỒNG

Phường: Chanh Mỹ Lợi Quận: 2
Nội dung họp: Giới thiệu dự án vệ sinh môi trường TP HCM và vấn đề tham
Địa điểm họp: Hội trường UBND P. TM việc cộng đồng các hộ bị ảnh hưởng.
Thời gian: 9 giờ 00 ngày 25 tháng 4 năm 2012
Thành phần tham dự: (Có danh sách đính kèm)

STT	TÊN ĐƠN VỊ	TÊN NGƯỜI DỰ HỌP	CHỨC VỤ
1	<u>BQL Dự án</u>	<u>Ông Phạm Văn Chín</u>	<u>Giám đốc DA</u>
2	<u>BQL Dự án</u>	<u>Cô Đỗ Thị Hoàng Sứ</u>	<u>Chuyên viên</u>
3	<u>UBND phường TM</u>	<u>Ông Nguyễn Hữu Thọ</u>	<u>Phó ban chỉ đạo chính P. TM</u>
4	<u>Tư vấn</u>	<u>Bà Nguyễn Thị Nhật</u>	<u>Chuyên viên</u>
5	<u>Tư vấn</u>	<u>Bà Dương Thị Lệ</u>	<u>Chuyên viên</u>
6	<u>UBND phường TM</u>	<u>Ông Quách Văn Chung</u>	<u>Phó ban văn hóa XH phường</u>
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Chủ trì cuộc họp: Ông Phạm Văn Chín Chức vụ: Giám đốc dự án
Thư ký: Bà Dương Thị Lệ

NỘI DUNG

1. Giới thiệu mục tiêu, nội dung, ý nghĩa của buổi tham vấn
2. Ban Quản lý dự án trình bày tóm tắt về dự án:
 - Mục tiêu của dự án:
 - Quy mô của dự án:

- Lợi ích của dự án
- Các tác động dự kiến của dự án đến môi trường sinh thái của khu vực thượng lưu/hạ lưu và các biện pháp giảm thiểu

3. Các ý kiến trong buổi họp (ghi chép thô mọi ý kiến)

Ông Khanh: Gia đình không có của cải nhiều nên nhà nước
thù thời nên đến bù thỏa đáng, gia đình
muốn được đất đai vì nếu còn tiền thì bán lâu rồi

Ông Trung: Chúng tôi không phải có nhiều tiền chỉ có chút
tất để cho con cái, trước đây có di sản
tên 500.000 m²/1m và lỗ lỗ thêm một
số tiền chuẩn... còn di sản này nếu nhà
nước áp giá thì người dân sẽ đồng tình
ủng hộ những chủ trương của nhà nước
nhằm ích nước lợi dân nhưng đáng lo
lạc phần là bán nên, nhưng nếu vì
lợi ích chung thì nên đến bù thỏa đáng
và không đòi hỏi phải đền bù bằng nên
và khi thỏa thuận giá phải đưa tiền lên
không chậm trễ vì để lâu tiền mất
giá như vậy thiết thời cho dân
giá di sản 1m x 1m là 500.000 m²/1m²... còn
giá thì tương lai sao biết được do giá đất
lên xuống, làm thế nào ích nước lợi dân
thì dân đồng tình.

Ông Khôi: Dân cần tiến hành một cách bình tĩnh từng
hạng một cách biết hướng lúc đầu của nhà nước
về sau thăng lợi ích.

Nguyên vọng có đất đền bù đất, hoặc khu tái
định cư. Hoặc phải đền bù với giá cả để
có thể mua lại đất để thuê lại.

Có di sản đền bù lần 1 sau đó dân phần
ảnh hưởng đền bù lần 2, lần ba...

Giá cả là quan trọng để cho người dân không
bị thiệt thòi. Cái gì thuộc về dân thì trả cho

dân.

Ông Cao Văn Uy: Nghe dự án này đã lâu, đất của TM lại rất rộng, chúng tôi nghĩ rằng đến khi làm thế nào cho công bằng, đất này khu dân cư đến gia khác đất xây nhà này đến gia khác, vì dự án nên người dân cũng thế làm gì, mua bán chuyển nhượng cũng khó khăn vì vậy nên theo mức qui định cũ 20/70 và 20/30 đất ở khu phường Bình Trưng Tây thì dân đồng tình.

Kết luận:

Ông Phan Văn Chín giám đốc BQL dự án phát biểu ý kiến trả lời trong cuộc họp: Đây là dự án về sinh môi trường việc xây dựng nhà máy xử lý nước thải ít nhiều có ảnh hưởng về môi trường và theo qui hoạch của Quận 2 thì đây là khu vực xây dựng công viên, nhà máy xử lý nước thải nên không thể có mục đích xử dụng khác hẳn với thời trước để được thông nhất do UBND Quận làm chủ đầu tư dự án thì thường GP.M.B. sẽ trình UBND TP. phê duyệt và ban hành và công bố cho các hộ dân bị ảnh hưởng biết.

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Buổi họp kết thúc lúc:10.....giờ, ngày 25...tháng 4....năm 2012

Biên bản được đọc lại và được lập thành 3 bản (1 gửi UBND Phường, 1 gửi tư vấn, 1 lưu tại khu vực)

Đại diện tư vấn	Thư ký	Chủ trì cuộc họp
 Nguyễn Thị Nhật	 Dương Thị Mỹ	

Đại diện UBND phường

 
Trần Thị Xuân Hương



MINUTE No. 2

DỰ ÁN VỆ SINH MÔI TRƯỜNG TP HỒ CHÍ MINH GIAI ĐOẠN 2

Chương trình : Tham vấn cộng đồng phục vụ báo cáo Kế hoạch tái định cư

Thực hiện bởi : Tư vấn Sài Gòn WEICO

BIÊN BẢN HỌP THAM VẤN CỘNG ĐỒNG

Phường: Thạnh Mỹ Lợi Quận: 2

Nội dung họp: Tham vấn cộng đồng

Địa điểm họp: Hội trường A, P. 30.1, Ủy ban Nhân dân P. Thạnh Mỹ Lợi

Thời gian: 8 giờ 18 ngày 18 tháng 2 năm 2014

Thành phần tham dự:

STT	TÊN ĐƠN VỊ	TÊN NGƯỜI DỰ HỌP	CHỨC VỤ
1	UBND P. Thạnh Mỹ Lợi	Đoàn Phước Lương	Phó Chủ tịch
2	UBND P. Thạnh Mỹ Lợi	Nguyễn Huỳnh Thọ	Chuyên viên ĐC-XD
3	BQLĐT DA VSMTTP.HCM	Cao Minh Dũng	TP. Kế hoạch-Đầu tư
4	BQLĐT DA VSMT TP.HCM	Võ Đình Dũng	Phó Ban
5	BQLĐT DA VSMT TP. HCM	Nguyễn Thanh Khuê	Chuyên viên
6	BQLĐT DA VSMT TP. HCM	Ngô Tường Anh Triết	Thành viên
7	Tư vấn CT. Sài Gòn Weico	Nguyễn Thị Nhật	Trưởng nhóm Tư vấn
8	Tư vấn CT. Sài Gòn Weico	Đinh Nhò Thanh Thảo	Thành viên
9	Tư vấn CT. Sài Gòn Weico	Nguyễn Thị Thịnh	Thành viên
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- Các hộ dân bị ảnh hưởng: 20 người (có danh sách đính kèm)

Chủ trì cuộc họp: Ông Võ Đình Dũng Chức vụ: Phó Ban BQLĐT DA VSMT TP. HCM

Thư ký: Nguyễn Thị Thịnh

NỘI DUNG

1. Giới thiệu mục tiêu, thành phần tham dự:

Ông Nguyễn Hữu Thọ
Chuyên viên Địa chính - Xây dựng UBND Phường Thanh Mỹ Lợi

2. Đại diện Ban QLDA trình bày tóm tắt về dự án:

Ông Nguyễn Thanh Khuê
Chuyên viên BQLĐT-DA-VSMT TP Hồ Chí Minh

- Mục tiêu của dự án,
- Quy mô của dự án,
- Lợi ích của dự án,

3. Đại diện tư vấn trình bày về Tham vấn cộng đồng, các cơ sở pháp lý về chính sách bồi thường và giới thiệu các hộ dân làm phiếu khảo sát Kinh tế xã hội.

Bà Nguyễn Thị Nhật
Trưởng nhóm Tư vấn Công ty Sài Gòn Weico

4. Các ý kiến trong buổi họp (ghi chép thô mọi ý kiến)

YK1: Trần Văn Phước: ... Giá đền bù là bao nhiêu? Tôi định cư cho
hộ bị mất trắng thì khi nào tiến hành?

YK2: Cao Văn V: ... Tại sao lại đặt NM ở vị trí này? Tại sao quy
mô lại lớn thế? Có ảnh hưởng tới môi trường xung quanh không?
Nếu 6-7 người mua 1 mảnh đất, 1 người đóng tiền thì giải quyết
thế nào? Đây không phải cuộc họp cuối cùng vậy thì khi nào
hết thúc? Tôi không đồng ý thực hiện dự án tại đây

YK3: Phạm Thị Thanh: Quy hoạch không cho cất nhà 3 tầng
hỏi về nhà của thì ghi sao?

Trả lời:

Tư vấn: Bảng hỏi là hỏi hoàn cảnh gia đình hiện đang ở
để biết điều kiện kinh tế hộ bị ảnh hưởng

BQLĐT: Ông Võ Đình Dũng: Phó Ban QLĐT

- Đặt NM tại vị trí này vì 3 lý do: Vì từ năm trong Quy hoạch của

- UBND Thành phố, vị trí nằm ở hạ lưu sông và là vị trí gần nhất.
Đất ở vị trí cuối sông để đảm bảo VSMT và an sinh XH. Nước
thải sau xử lý sẽ đạt TC loại A, đảm bảo VSMT.
- Quy mô lớn 38 ha và: Giai đoạn 1 là thu gom nước
thải của 7 Quận trên TP HCM. Quận 2 là trung tâm, tương lai
sẽ phát triển mạnh. Quy mô lớn để đảm bảo VSMT và
An sinh XH, trong quy mô này chỉ xây dựng công nghệ xử lý
và vớt đại an toàn để đảm bảo VSMT và mỹ quan khu vực.
 - Đây không phải cuộc họp cuối do có 80 hộ BATH, hôm nay chỉ
có hơn 20 hộ tham gia. Hôm nay họp để tìm hiểu tâm tư
nguyện vọng của các hộ BATH.
 - Ông Nguyễn Thanh Khuê: - CV BQLĐT.
 - Đây là công nghệ kín, mảng xanh xung quanh để hạn
chế mùi.
 - Thiết kế bãi thường và giải tỏa sẽ thực hiện trong năm 2019.
Trước tiên phải căn cứ theo luật. Thủ tục và đơn giá sẽ được gửi
và công bố. Sau đó sẽ tổ chức 1 buổi thường lượng đơn giá bãi
thường sẽ qua UBND Thành phố và Ban Quản lý Bãi thường. Cuộc
họp này ghi lại ý kiến của bà con để đưa lên Cơ chế năng xem xét.
 - Theo khung chính sách và luật để tính bãi thường.
 - Nếu nhiều người sẽ hiểu 1 mảnh đất mà 1 người đứng tên
khi Bthường sẽ căn cứ theo UBND TP. Bà con nên ghi ý kiến
vào bảng hỏi tất cả đều ghi.
 - Đất QH không cho cất nhà, bạn hỏi có hỏi để hiểu diện
hiện KT hộ để có những chuyển cáo phù hợp. Đây là đất nông
nghiệp nên không được xây nhà, đầu tư hoặc chuyển nhượng.
 - Không muốn xây NM. rất khó vì trong QH của UBND TP HCM.
 - Đây chưa là cuộc họp cuối do có 80 hộ BATH, tuy nhiên hôm
nay chỉ có gần 30. Bà con về thông báo những hộ khác
để họ điền bảng hỏi và ghi ý kiến, sau đó nộp tại UBND Phường.


5. Kết luận các nội dung chính trong buổi họp:

Đề nghị Ban Dự án có công văn Đề nghị UBND Quận 2
hỗ trợ tích cực Danh sách các chủ sử dụng đất
hiện tại trong cảnh dự án

Buổi họp kết thúc lúc: 11 giờ 00, ngày 18 tháng 08 năm 2014

Biên bản được đọc lại và được lập thành 3 bản (1 gửi UBND Phường, 1 gửi tư vấn, 1 lưu tại khu vực)

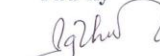
Đại diện hộ dân


Cao Văn Kỳ

Đại diện Ban QLDA


Ngô Thanh Khoa
Võ Đình Dũng

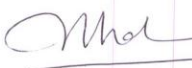
Thư ký


Nguyễn Thị Thịnh

Chủ trì cuộc họp


Võ Đình Dũng

Đại diện tư vấn


Nguyễn Thị Nhật

Xác nhận của UBND phường



Đoàn Phước Lương

MINUTE No. 3

DỰ ÁN VỆ SINH MÔI TRƯỜNG TP HỒ CHÍ MINH GIAI ĐOẠN 2

Chương trình : Tham vấn cộng đồng phục vụ báo cáo Kế hoạch tái định cư
Thực hiện bởi : Ban quản lý đầu tư - Tư vấn Sài Gòn WEICO

BIÊN BẢN HỌP THAM VẤN CỘNG ĐỒNG

Phường: Thạnh Mỹ Lợi Quận: 2
Nội dung họp: Thảo luận về kế hoạch tái định cư
Địa điểm họp: Hội trường UBND Phường Thạnh Mỹ Lợi Q.2
Thời gian: 9 giờ ngày 9 tháng 8 năm 2014
Thành phần tham dự:

STT	TÊN ĐƠN VỊ	TÊN NGƯỜI DỰ HỌP	CHỨC VỤ
1	Sài Gòn Weico	Trần Thị Hương Dung	Nhà thầu
2	Sài Gòn Weico	Hà Thị Hồng Ân	Nhà thầu
3	Ban Bồi thường GPMB Quận 2	Trần Hoàng Tân	Chuyên viên
4	UBND Phường 2, M. Thạnh Mỹ Lợi	Trương T. Anh Ngọc + L. Văn Tâm	Nhà thầu
5	Nguyễn Thanh Việt	Ban QLĐT DAVSMTTP	CV
6	Ngô Thị Diễm Dung	Chủ tịch Quận 2	L.V
7	Võ Đình Dũng	Ban QLĐT DAVSMTTP	Phó Ban QLĐT
8	Sài Gòn Weico	Phạm Văn Nhật	Trưởng xã hội
9		Trần Thị Ngọc	Nhà thầu
10		Nguyễn Thị Mỹ	Nhà thầu
11		Lê Thị Linh	Nhà thầu
12		Lê Thị Linh	Nhà thầu
13	UBND P. Thạnh Mỹ Lợi	Bà Anh Linh	Công chức
14			
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- Các hộ dân bị ảnh hưởng: 08 người (có danh sách đính kèm)

Chủ trì cuộc họp: Ông Võ Đình Dũng Chức vụ: Phó Ban QLĐT
Thư ký: Nguyễn Thị Mỹ

NỘI DUNG

1. Giới thiệu mục tiêu, thành phần tham dự:

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2. Đại diện Ban QLDA trình bày tóm tắt về dự án:

- Mục tiêu của dự án,
- Quy mô của dự án,
- Lợi ích của dự án,

3. Đại diện tư vấn trình bày về Tham vấn cộng đồng, các cơ sở pháp lý về chính sách bồi thường và giới thiệu các hộ dân làm phiếu khảo sát Kinh tế xã hội.

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4. Các ý kiến trong buổi họp (ghi chép thô mọi ý kiến)

Chị Lê Minh Châu - Bà chủ phải đưa được giá đền bù và khi họp phải nói rõ chủ của nhà này xử lý việc này như thế nào phải cho người dân biết trước phải rõ đặc biệt là khu vực Khuôn 2 địa nhân mình có người dân nghèo nhất là gia đình được hưởng lợi về về sinh sản không thì người dân mới dễ dàng đồng thuận với điều kiện của đền bù là các người dân bị ảnh hưởng thì dựa vào rất quan trọng muốn nghe khi mà người dân đi họp thì phải đưa ra các cơ sở pháp lý và thể các vấn đề trên nhất là về giá cả đền bù thì dân sẽ đi họp xét tổng.

Những vấn đề ý kiến đã được sử dụng nguồn tiền thuế tài chính để làm gì

Khi họp thì cần nói rõ các vấn đề của nhà này sẽ đền bù thế nào cụ thể là xử lý nước đất đai này thì cần sẽ giải thích xử lý cho người dân biết rõ

- Chú Bách Liên: Tôi đây là người dân sống ở TTP thấy cảnh bị ngập nước mỗi khi trời mưa họ kêu xóc họ mong nếu có làm nhà máy xử lý nước thải thì sẽ giảm hoặc hết ngập để không phải đi dọn dẹp vệ sinh môi trường được tốt, chủ-lên đồng thuận với nhà nước để làm dự án này.

- Thời gian thực hiện nhà máy là bao lâu?

Ông Dũng (thành viên QHKT địa phương) giải thích:

- Thời gian dự kiến 2010 xây dựng và đưa vào vận hành năm 2012. Tôi được về tham gia cho 3 phường lân cận.

Q.2: Lưu vực Tháo điện - Nam Tháo điện, Bình Hưng Di Bình Hưng Tây

Bà Chất: Trong danh sách có 62 hộ dân hướng những nhà họ tên như những đường địa chỉ (3 hộ), họ làm đất có quy định, họ đi chuyển nơi khác ở hộ, nên gây khó khăn cho nhóm là vẫn rất nhiều.

Vấn đề: - Nhà UBND phường xác định địa điểm xem xét lấy mẫu của người dân như thế nào vì hiện nay tại Thủ Đức rất quan tâm đến ý kiến và sự đồng thuận của người dân.

Ông: nếu vậy họ sẽ có kế hoạch nhà máy xử lý nước thải ở phường Thủ Đức lấy mẫu dân địa phương họ đi đến đây - kế hoạch (trên bản đồ) có ghi công khai và thông tin là gì đây

LIST OF PARTICIPATION IN COMMUNITIVE CONSULTATION

LIST No.1A

DỰ ÁN VỀ SINH MÔI TRƯỜNG TP HỒ CHÍ MINH GIAI ĐOẠN 2
Chương trình: Tham vấn cộng đồng phục vụ báo cáo Tái định cư
Thực hiện bởi: Tư vấn Sái Gòn WEICO

Danh sách tham dự viên buổi họp ngày 25-04-2012

TT	Họ và tên	Chức danh	Địa chỉ	Điện thoại	Ký tên
1	Lê Thị Mỹ		477 An Dương Vương Q5	3832356	
2	Diệp Thị Kim Mai		40/23-67 Võ Văn Tần Q5	0908272708	
3	Diệp Thị Kim Xuân		196/37-10 Võ Văn Tần Q5	0913910354	
4	Phạm Vũ Khanh		45 Đường 28 P. Cát Lái Q9	0979649736	
5	Đào Văn Ngọc		11/02 KP4 Pháo Đài Q2	093488492	
6	Nguyễn Văn Hưng		474 Kh. Lạc Long Quân Q5	090876459	
7	Lê Văn Đức		35/29 Xuân 7 P.17 BT	0902608480	
8	Trần Văn Tài		17 Chiểu 22 P.4 P.11 Q5	093862898	
9	Đào Văn Tài	xã bán vé	17 Chiểu 22 P.4 P.11 Q5	093862898	
10	Cao Văn Vy	Caerlyss	93 Hàng Lữ P.5 Q5	0908831185	
11	Cao Văn Vy	yahoo.com	40/1 Cư xá Lam Anh P.17	0908847814	
12	Trần Văn Tài		28 Cống Hòa P.7 Q5	0977865323	
13	Trần Văn Tài		554/1213 Nguyễn Văn B. Q5	0906581888	
14	Trần Văn Tài		28 Cống Hòa P.7 Q5		
15	Trần Văn Tài		554/1213 Nguyễn Văn B. Q5		
16	Trần Văn Tài		28 Cống Hòa P.7 Q5		
17	Ông Phạm Văn Chín	Giám đốc	ĐRL Đ.Đ. VSMT TP HCM Q12		
18	Ông Hồ Thị Hoàng Sa	Chuyên viên	Đ.Đ. VSMT TP HCM Q12		
19	Ông Nguyễn Văn Hùng	Chuyên viên	Đ.Đ. VSMT TP HCM Q12		
20	Ông Nguyễn Văn Hùng	Chuyên viên	Đ.Đ. VSMT TP HCM Q12		
21	Ông Nguyễn Văn Hùng	Chuyên viên	Đ.Đ. VSMT TP HCM Q12		
22	Ông Nguyễn Văn Hùng	Chuyên viên	Đ.Đ. VSMT TP HCM Q12		

Người lập bảng: *[Signature]*
 Dương Thị Mỹ

LIST No.1B

(8 HOUSEHOLDERS WERE INTERVIEWED)

No.	The name of the householder	Address
1	NGUYỄN VĂN HOA	1/15 KP1 P.TMLOI,Q.2
2	HUỖNH THỊ NGÓ	1/89 Ấp BÌNH LỢI, P.TMLOI,Q.2
3	NGÔ THỊ HỒI	518 KHU PHỐ 2 ,P.TML
4	VÕ KHẮC ĐẾ	284/30 CÔ BẮC, P.CÔ GIANG,Q.1
5	TRẦN THỊ HỒNG LAI	95-97 CALMETTE, P. NT BÌNH,Q.1
6	HUỖNH KỶ TRÂN	241BIS CMT TÁM, P.4,Q.3
7	MAI TẤN DŨNG	241 BIS,CMTT,P.4,Q.3
8	PHAN THANH GIANG & VÕ THỊ MỸ DUNG	94 PHAN VĂN KHỎE, P.2, Q.6
Total	8 Householders	

LIST No. 2

ĐIỀU AN VỆ SINH MÔI TRƯỜNG TP HỒ CHÍ MINH GIAI ĐOẠN 2
Chương trình : Tham vấn cộng đồng
Thực hiện bởi : Tư vấn Sài Gòn WEICO

**DANH SÁCH CÁC HỘ CÓ ĐẤT BỊ ẢNH HƯỞNG BỞI
NHÀ MÁY XỬ LÝ NƯỚC THẢI NHIỀU LỘC THỊ NGHỆ P. THẠNH MỸ LỢI**
Tham dự buổi họp ngày.....18...../ tháng.....2...../ năm 2014
(nhớ đóng dấu treo của UBND phường để đính kèm biên bản)

TT	TÊN CHỦ SỬ DỤNG ĐẤT	ĐỊA CHỈ NHÀ				DIỆN THOẠI LIÊN LẠC	GHI CHÚ
		Số nhà	Đường	Số 7	Phường Quận		
1	Trần Văn Dũng	21/28	Số 7	Phước	2	0918189567	Dũng
2	Nguyễn Thị Hối	658	Nguyễn Thị Hối	Mỹ Lợi	2	0121321911969	Hối
3	Trần Văn Dũng	554/12A	Kỹ Bình Chấn	Phước	3	0913144998	Dũng
4	Vương Thị Minh Thuận	5A đường	Số 5 C KBT 780M			0903876170	Thuận
5	Nguyễn Văn Lợi	1230	Đường Th. Mãi Thề	TML	2	09076011203	Lợi
6	Nguyễn Văn Dũng	14	Đường 27	TML	2	08.37425132	Dũng
7	Nguyễn Văn Nhỏ	1102A	Đường Th. Mãi Thề	TML	2	01686562159	Nhỏ
8	Nguyễn Thị Hoa	1/76A	25	TML	2	01229782203	Hoa
9	Trần Ngọc Quý	1/50A	24	TML	2	0913913479	Quý
10	Đường Thị Tú	50	Đường 23	TML	2	01698049249	Tú

1

Resettlement Action Plan for the Waste Water Treatment Plant

11	Nguyễn Thị Diên	6/5/11	Thích Mật Thể	TML	2	01265291217	Red
12	Huỳnh Văn Gấm	6/5/12	Thích Mật Thể	TML	2	01667382322	Green
13	Nguyễn Văn Vở	12/7/12	Thích Mật Thể	TML		0906825393	Orange
14	Tô Văn Tâm	5/8/12	TML	TML		0918104575	Blue
15	Nguyễn Chí Liều	11	23	TML	2		Green
16	Trần Văn Diên	11	23	TML	2	0902876889	Blue
17	Cao Văn Lý	10/11/11	Ngô Thị Đình	Cát Lái	2	0903831185	Blue
18	Phạm Thị Khanh	41 đường 28 P. Cát Lái			2	0979649736	Khánh
19	Cao Diết Bình	24 đường An Khuê	17/5/11		2	0908847817	Orange
20	Trần Thị Lan	17 đường 22 KP4 phường 17				0938628899	Blue
21							
22							
23							
24							
25							
26							
27							

LIST No. 3A

No.	Name of the householder	Address
1	NGUYỄN VAN HONG & TRẦN THI THUAN	1/114A Ấp BÌNH LỢI, P.TMLOI,Q.2
2	DANG VAN THUAT & NGUYEN THI THU THUY	-55/1 ROAD. 22, Neighborhood no.1, W.BÌNH TRUNG TÂY, D.2 -G37-311, No.8, khu 17.3ha, W. AN PHU, D.2
3	PHAM THI LUNG	1/11, Neighborhood no1, R.no1, W.TML,D.2
4	NGUYEN TRÍ TUE	94/4 AN BÌNH, W.5, D.5, HCM CITY
5	NGUYEN VAN GIỚI, PHAM THỊ KIM THOA	-522G/C28-29 NGUYEN TRI PHUONG, W.12, D.10, HCM CITY -New adress: P.5- 44, Residential areas PHI LONG, R.NGUYỄN VĂN LINH, W. BÌNH HƯNG, D. BÌNH CHÁNH
Total	5 Households	

LIST No. 3B

DỰ ÁN VỆ SINH MÔI TRƯỜNG TP HỒ CHÍ MINH GIAI ĐOẠN 2

Chương trình : Tham vấn cộng đồng

Thực hiện bởi : Tư vấn Sài Gòn WEICO

**DANH SÁCH CÁC HỘ CÓ ĐẤT BI ANH HƯỞNG BỞI
NHÀ MÁY XỬ LÝ NƯỚC THẢI NHIỀU LỘC THỊ NGHE P. THẠNH MỸ LỢI**

Tham dự buổi họp ngày/ tháng/ năm 2014

(đóng dấu treo của UBND phường để đính kèm biên bản)

TT	TÊN CHỦ SỬ DỤNG ĐẤT	ĐỊA CHỈ NHÀ				DIỆN THOẠI LIÊN LẠC	GHI CHÚ
		Số nhà	Đường	Phường	Quận		
1	Lê Minh Tâm	15/2/5	Mê Linh	19	Bình Thạnh	0903981249	Mục Lan cuối Đ. Nguyễn Thị Ngọc Thảo 6
2	Đoàn Thị Bạch Liên	99	Nguyễn P. Khánh Tân	Tân Định	Q.1	0908329658	Mục Lan đầu Đ. Nguyễn Thị Ngọc Thảo 6
3	Đoàn Thị Sen	13/33	Khánh Hưng	chợ Vĩnh Hội	Rach Gia		Mục Lan đầu Đ. Nguyễn Thị Ngọc Thảo 6
4	Đoàn Thị Sen						
5	Đoàn Thị Sen						
6	Đoàn Thị Sen						
7	Đoàn Thị Sen						
8	Đoàn Thị Sen						
9	Đoàn Thị Sen						
10	Đoàn Thị Sen						

Đang mất
B. Ngọc Thảo
đang

ANNEX 5 - Questionnaire for Socioeconomic Survey

HO CHI MINH CITY ENVIRONMENTAL SANITATION PROJECT - PHASE II NHIEU LOC-THI NGHE WASTEWATER TREATMENT PLANT

Interviewing HHs who have affected assets within the project area

Thạnh Mỹ Lợi Ward, District 2, HCM City.

No	
----	--

Full name of household (land owners:

Address:, Road:.....Phone:.....

Hamlet: Ward:District:

Name of respondent:, household: ☐, other: ☐

Age:; Male ☐, Female: ☐

Name of interviewer:..... Date of interview:

PART A. GENERAL INFORMATION FOR HOUSEHOLDS

Full name of household: Age:....., Occupation:

1.1 Gender: a. Male ☐ b. Female ☐

1.2 Age:

1.3 Ethnicity:

1.4 Education Level: Class.....

1.5 Occupation:

His household / she is assigned to one of the following does not?

☐ a- Poor ☐ b- Average ☐ c-Rich

Is your household eligible for social policy?

☐ a- No ☐ b-Yes. If yes, please specify:.....Total family size:.....person

Include: Male:person; Female:person.

PART B. ASSET INVENTORY AFFECTED BY PROJECT

I/ LAND:

a/ Land affected:

No	Land type	Number of plots recorded on the land use right certificates	Sheet map	Total land area	The area of land clearance	The origin of the papers on land	Note
	(1)	(2)	(3)	(4)	(5)	(6)	
1							
2							
3							
4							
5							

* **Type (6)** The origin of the papers on land:

- (i). There are certificates of land use rights (LURE)
 (ii) There is a temporary certificate and can Validation (LURE)
 (iii) No lure and can not be validated (LURC)

b/ Total land area of the family are:m2

c/ The origin and wishes to use your owns land:

The land left by your parents and you are the heirs. ☐

The land left by your parents and all siblings who are the heirs. ☐

Purchase to stay. ☐

Purchase for Business. ☐

Purchase to spend ☐

Purchase to the children later ☐

Has been here from yearto year.....

Reason not to continue in:

Have been planted trees.....and livestock.....; from year to the year

The reason for not continuing to do:.....

Other opinions:

II/ HOUSE:

a/ Housing affected: (The main house is in and should be displaced)

(i) Homeless are in and no where in any other ☐

(ii) And the homeless are in place in other ☐

b/ type house:(i) Permanent ☐

(ii) Semi-permanent ☐

(iii) tabernacle ☐

c/ Located on the position:

III/ THE INDEPENDENT WORKS:

No	PROJECT NAME	STRUCTURAL WORKS					Total Area	Clear AREA
		ROOF	GROUND	WALL	COLUMN	SUBSTRUCTURE		
1								
2								
3								
4								
5								

IV/ Crops:

1/ Fruit:

No	GROUP / TYPE OF PLANT	UNITS	TOTAL QUANTITY	TYPE OF TREE		
				Basic construction period	The period began for the	Yields a stable period
1						
2						
3						
4						

2/ Food crops and vegetables: (annual crops)

o	TYPE OF TREES	UNITS	Area
1			
2			
3			
4			

3/Timber trees, leaves:

STT	TYPE OF TREES	UNITS	TOTAL QUANTITY
1			
2			
3			
4			

4/ Other Trees:

STT	TYPE OF TREES	UNITS	TOTAL QUANTITY
1			
2			
3			
4			

V/ graves:

No	TYPE OF GRAVES	UNITS	QUANTITY	NOTE

VI/ Other assets affected:

.....

PART C. MOVING ISSUES AND RESETTLEMENT

Apply for housing relocation households ,(Households affected by relocation housing selected one of the aspiration after):

- Be paid compensation and self-seeking new land and building a new order ☐
- Of land allocation in resettlement areas to households affected by building a new home ☐
- Assigned housing forest products in the resettlement areas ☐

Agricultural land:

- Land to change land (if have land) ☐
- Receiving compensation to automatically purchase new land ☐

Support professional training:

Households affected by the loss of agricultural land, in need of vocational training for job change: The number of people aged vocational training need to change career in the household is:people

Full name.....age..... career I want to learn:

Full name.....age..... career I want to learn:

Full name.....age..... career I want to learn:

Other aspiration of the household:

.....

PART D. ECONOMIC CONDITIONS OF THE CIVIL SOCIETY

1. Information on household members

No	The full name of the house	Gender 1=Male, 2=female	Year of Birth	Education Level
1	householder			
2				
3				
4				
5				

Code: Education Level

Incomplete primary = 1

Primary (level 1-5) = 2

Colleges (level 6-9) = 3

High school (level 10-12) = 4

Secondary vocational = 5

Colleges, Universities = 6

Higher University = 7

Unlettered = 8

2. Living conditions of households:

2.1. Water food, drinks / activities of the family from? (Select a primary source)?

Water sources	Water food, drinks	Water activities
a. Water through its own clock	<input type="checkbox"/>	<input type="checkbox"/>
b. Water machines over sentence	<input type="checkbox"/>	<input type="checkbox"/>
c. Rivers, canals, ponds,	<input type="checkbox"/>	<input type="checkbox"/>
d. Rainwater	<input type="checkbox"/>	<input type="checkbox"/>
e. Well water	<input type="checkbox"/>	<input type="checkbox"/>
f. Well water drill	<input type="checkbox"/>	<input type="checkbox"/>
g. change water	<input type="checkbox"/>	<input type="checkbox"/>
h. Other	<input type="checkbox"/>	<input type="checkbox"/>

2.2. Waste water and sewerage household use is:

☐ 1. Pool self destruction

☐ 2. Directly connected to sewage system

☐ 3. Self-absorbed

☐ 4. Other:

2.3. Families used the toilet:

- ☐ 1. The toilet have pool self destrucyion ☐ 2. The toilet flowing out drainage system
☐ 3. Public Toilets ☐ 4. Toilets on the canals, ponds
☐ 5. Other:.....

2.4. Families using electricity from any source:

- ☐ 1. Own clock ☐ 2. By neighbor
☐ 3. Other:..... ☐ 4. No electric

2.5. The family has no durable (only consider those items are used)

No	Type of furniture	Units	No	Type of furniture	Units
1	Expensive furniture		6	Computer	
2	fridge		7	Microwave	
3	Washer		8	Motobike	
4	Rating bath heater		9	Car	
5	Mobile		10	Other	

3. Employment, Income, Spending:

Incomes of families in the past year? How many people in families with income?

No	Name	Occupation	No Occupation	Regular income VND / year	Irregular Income VND / year
a	b	c	d	e	g
1					
2					
3					
4					
5					
	Total				

* How to write job code:

1 = State employees; 2 = Army/Police; 3 = Doctor, Architect, engineers; Teacher
4 = Worker; 5 = Business; 6 = Small Sun Production;
7 = Service; 8 = Wage labor, 9 = Retirement; 10 = Other

* How to write an average monthly expenditure: recorded separately or the whole family

Thanks to the cooperation of Mr. / Ms

The record ends on Minutes of the consistent theme that now can read the minutes of protection and recognition of data is sufficient distraint, correct and signed. /.

Date month ... Year

1. Investigators

Full Name:
Signature

2. Mainly affected households / people to declare

Full Name
Signature