ETHNIC MINORITY POLICY FRAMEWORK (EMPF)

Final Report

Project locations: 10 provinces of the central region
THANH HOA, NGHE AN, HA TINH, QUANG BINH, QUANG TRI,
ĐA NANG, QUANG NAM, QUANG NGAI, BINH DINH AND NINH THUAN

Ha Noi, February 2012
PREFACE

This Ethnic Minority Policy Framework (EMPF) has been prepared to ensure that the World Bank’s *Indigenous Peoples policy* (OP4.10) is applied to all subprojects activities of components under the VN-Haz’s project where Ethnic Minority Peoples (EMP) are living. The objectives of the EMPF are to avoid adverse impacts on EMs peoples, and to provide them with culturally appropriate benefits from the project.

The EMP policy recognizes the distinct circumstances that expose EMP to different types of risks and impacts from development projects. As social groups with identities that are often distinct from dominant groups in their national societies, Ethnic Minority Peoples are frequently among the most marginalized and vulnerable segments of the population. Their economic, social, and legal status often limit their capacity to defend their rights to lands, territories, and other productive resources, and restricts their ability to participate in and benefit from development. Therefore, the EMPF is prepared based on results of the social assessment in the project area and the free, prior and informed consultations with ethnic minority communities which were conducted in 7 ethnic minority villages where the potential affected ethnic minority people are living to ensure all their needs and concerns are included in the project activities and confirm their broad support for the project. The EMPF describes the policy requirements and planning procedures that project executing agencies will follow during the preparation and implementation of subprojects.

During implementation stage, the EMPF will be updated and amended suitable to changes in related policies of Government or scope of the project activities. Updating and revising the EMPF should be consulted with the World Bank and the revised EMPF has to be approved by the Bank.
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LIST OF ABBREVIATIONS

CPC Commune People’s Committee
CPO Central Project Office
DARD Department of Agriculture and Rural Development
DMS Detailed Measurement Survey
DPC District People’s Committee
DRC District Resettlement Committee
EM Ethnic Minority
EMPF Ethnic Minority Policy Frameworks
EMDP Ethnic Minority Development Plan
EMP Ethnic Minority People
GOV Government of Vietnam
HH Household
IOL Inventory Of Losses
LAR Land Acquisition and Resettlement
LURC Land Use Rights Certificate
MOF Ministry of Finance
MOLISA Ministry of Labor, Invalids and Social Assistance
NGO Non-Governmental Organization
OP 4.10 Operation Procedures on Ethnic minority peoples
PAD Project Appraisal Documents
PPC Provincial People’s Committee
PPMU Provincial Project Management Unit
PAP Project Affected Persons
PRA Participatory Rural Appraisal
RAP Resettlement Action Plan
TOR Terms of Reference
VND Vietnam Dong
WB World Bank
DEFINITION OF TERMS

*Project impact* means positive and negative impacts on EMs by all project components. Adverse impacts are often consequences immediately related to the taking of a parcel of land or to restrictions in the use of legally designated parks or protected areas. People directly affected by land acquisition may lose their home, farmland, property, business, or other means of livelihood. In other words, they lose their ownership, occupancy, or use rights, because of land acquisition or restriction of access.

*Displaced (affected) people* refers to individuals or organizations that are directly affected socially and economically by Bank-assisted investment project caused by the involuntary taking of land and other assets that results in (i) relocation or loss of shelter; (ii) loss of assets or access to assets; or (iii) loss of income sources or means of livelihood, whether or not the affected persons must move to another location. The involuntary taking of land includes the exercise of possession when the proprietor has allowed and benefited from others’ occupation of the area. In addition, displaced person is one for whom involuntary restriction of access to legally designated parks and protected areas that result in adverse impacts on livelihoods also; this category of displaced person would be unlikely in the urban area, however.

*Indigenous Peoples* (equivalent with *ethnic minority peoples* in Viet Nam) to refer to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees: (i) self-identification as members of a distinct indigenous cultural group and recognition of this identify by others; (ii) collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories; (iii) customary cultural, social, economic, social or political institutions that are separate from those of the dominant society and culture; and (iv) an indigenous language, often different from the official language of the country or region.

*Vulnerable groups* distinct groups of people who might suffer disproportionately or face the risk of being further marginalized by the effects of resettlement and specifically include: (i) women headed household (widow, disabled husband with elderly or children), (ii) disable or the elderly alone, (iii) poor people (living below the state poverty threshold), (iv) the landless, and (v) ethnic minority groups.

*Culturally appropriate* means having regard for all facets of the cultures, and being sensitive to their dynamics.

*Free, prior and informed consultation* is consultation that occurs freely and voluntarily, without any external manipulation, interference, or coercion, for which the parties consulted have prior access to information on the intent and scope of the proposed project in a culturally appropriate manner, form, and language.
Collective attachment means that for generations there has been a physical presence in and economic ties to lands and territories traditionally owned, or customarily used or occupied, by the group concerned, including areas that hold special significance for it, such as sacred sites. “Collective attachment” also refers to the attachment of transhumant/nomadic groups to the territory they use on a seasonal or cyclical basis.

Customary rights to lands and resources refers to patterns of long-standing community land and resource usage in accordance with Ethnic Minority Peoples’ customary laws, values, customs, and traditions, including seasonal or cyclical use, rather than formal legal title to land and resources issued by the State.
EXECUTIVE SUMMARY

Vietnam Managing Project Natural Hazard (VN-Haz) is one of the projects invested by the Government to support the implementation of the aforesaid national Strategy. The project is partially funded by the World Bank's loan and carried out in 10 provinces in the central region, including Thanh Hoa, Nghe An, Ha Tinh, Quang Binh, Quang Tri, Da Nang, Quang Nam, Quang Ngai, Binh Dinh, and Ninh Thuan.

Objectives of the Project are (i) strengthening capacity of natural disaster risk management agencies at the national, provincial, and district levels to improve plan preparation and risk mitigation; (ii) enhancing early natural disaster forecast and warning systems; (iii) building capacity at communal and village levels to support development of “Plans of safe villages and safe communes”; (iv) mitigating natural disaster risks at highly prioritized areas through arrangement of effective structural measures and investments in construction of small and medium-scale infrastructure; (v) improving capacity of project management and implementation, environmental and social management in integrated management of natural disasters.

The project is designed with five main components to achieve following outcomes:

- Improved instructional management of natural disasters at all levels.
- Improved early forecast and warning systems.
- Upgraded prevention and mitigation infrastructure for natural disaster damages in the project provinces.
- Promoted the community-based natural disaster management program of Vietnam.
- Enhanced project organization, management, and implementation skills.

This EMPF is prepared to provide the framework in which negative impacts to the ethnic minority people are mitigated and positive impacts are enhanced based on the free, prior and informed consultations with the affected ethnic minority people which was conducted in 7 villages where the ethnic minority people affected by subprojects are living. The EMPF develops measures to (a) avoid potential adverse impacts on ethnic minority communities; or (b) when potentially adverse impacts on Ethnic Minority Peoples are unavoidable, those adverse impacts should be minimized, mitigated, or compensated for; and (c) ensure that EMP receive social and economic benefits in a culturally appropriate manner and inclusive in both gender and intergenerational terms.

The project will bring about pragmatic benefits for the country and communities, including ethnic minority communities. Specifically: (i) strengthening disaster management and response capacity for levels, sectors, and communities; (ii) mitigating risks caused by loose safety of reservoirs and dikes; (iii) protecting approximately 900,000 people (more than 210,000 households), including people of 5 ethnic groups: Muong, Thai, Kotu, H’re and Cham, and nearly 50 thousand of hectares of productive land from annual floods and droughts; (iv) resolving up the lack of irrigative water, domestic water, and improving living standards for local people in the project areas; and (v) improving the eco-environment and local transportation, contributing to socio-economic development and creating landscapes for the project areas.

Beside of the positive impacts, the project will entail land acquisition of some households, including ethnic minority households belonging to ethnic minority groups of Muong (in Thanh
Hoa), Thai (in Thanh Hoa and Nghe An), Cham (in Ninh Thuan), H’re (in Quang Ngai) and Kotu (in Quang Nam and Da Nang). However, these impacts are marginal because the selection of works and technical alternatives, i.e. minimizing land acquisition and assets of the local people. According to the results of preliminary surveys in the project provinces and social impact assessment, it is estimated that about 3,000 households (HH) with 12,900 people, including EM peoples, will be marginally affected by the sub-projects, specifically Cham people (in Ninh Thuan), Muong and Thai people (in Thanh Hoa) H’re (in Quang Ngai) and Kotu (in Quang Nam and Da Nang). In addition, the sub-projects will affect local trees and crops of farmers. Results of social impact assessment also indicate that the project will not affect physical cultural structures, historical sites, nature and biodiversity reserves and collective land attachment of the ethnic minority people. The social assessment also found that there is not EM peoples present in area of the six first-year subprojects. Precise data of affected people and assets by each sub-project will be updated in the RAP of the sub-project after completion of detailed measurement survey (DMS).

The project will be conducting further social assessments for each proposed sub-project and to be implemented from the second year onwards, to gather relevant information on demographic data, including social, cultural and economic situation; and social, cultural and economic impacts. The social assessment must (i) be culturally-appropriate and gender sensitive, (ii) define project benefits and mitigation measures for identified impacts, with a detailed commensurate of the scale of expected impacts.

For VN-Haz project, a two-step consultation process (during project preparation and implementation) ensures compliance with the Indigenous People Policy (OP4.10) of the World Bank as to (i) confirm a broad support project objectives; (ii) inform about project benefits, and confirm its cultural appropriateness; (iii) identify EMPs preferences and constraints, related to compensation and resettlement options as well as natural disaster protection.

During project preparation, free, prior and informed consultations were conducted through focus group discussions with a small group of EMP (from 15-30 people/group) who are both positively and adversely affected by the project. Participants were selected through a combination of random and purposive sampling to gain a wider range of perspectives. All participants expressed their aspiration and concerns for mitigation of natural disaster risks and broadly support for the project.

In the context of the VN-Haz Project, the ethnic minority groups in the subproject areas are likely to receive long term benefits through the improved natural disaster management and capacity building, but some of them may be negatively affected by land acquisition and/or relocation. Specific policy and action plan to maximize project benefits and mitigate the potential impacts due to land acquisition and relocation will be addressed through the preparation of EMDPs and the Resettlement Action Plans (RAPs).

During project implementation, EMP and other local communities and stakeholders may raise their grievance, claims to executing agencies or local authorities. As a result, a Grievance Redress Mechanism supported for the whole project’s components all subprojects, will also serve EMs. To assure the mechanism is pragmatic and acceptable to affected EMP, consultation with local authorities and affected communities about this mechanism was carried out. To ensure the EMDP accountability during its implementation as defined in the EMPF and the World Bank’s Indigenous People Policy (OP4.10), Monitoring and Evaluation mechanisms are established to be carried out through project implementation cycle as a continued process. The PPMU will be in charge of internal monitoring and an external agency recruited by CPO will be in charge of independent monitoring and evaluation.

To ensure full disclosure with EMP, all communication concerning the Project will take place in an appropriate manner - in the ethnic language of the ethnic minority groups (if they cannot speak and
read Vietnamese) and in a culturally proper way. Public meetings will be arranged in villages, using participatory methodology and the ethnic minority language(s) (if required). Information will be posted in a central public location such as the ward/commune level People’s Committee office or at EM leader’s house. Information will be mostly oral and with illustrations in order to guarantee accessibility of the information for ethnic minority people with poor literacy skills.

CPO under MARD will be responsible for overall EMDP implementation, including capacity building and strengthening for executing agencies and stakeholders. The PPMU with technical support of CPO is in charge of conducting social assessment and preparing EMDP for proposed subproject where ethnic people live. It is also responsible for internal monitoring of EMDP implementation. DRC under DPC’s direction is responsible for implementing EMDP.
I. INTRODUCTION

1.1 Project Description

1.1.1 Background

1. Vietnam is one of 10 countries in the world that usually suffer severe consequences of natural disasters. The common disasters include typhoons, tropical storms, floods, landslides, and droughts, of which typhoons and floods are by far the most frequent and severe. Every year, natural disasters cause significant economic, social, and environmental damages, directly hindering the country from sustainable socio-economic development. Particularly, the Central Region, which is a narrow land strip along the coastlines on the eastern side of Truong Son mountain range and has a complex terrain sloping towards the East Sea, suffers the most frequent influence of typhoons, tropical storms, and floods (counting for 65%). Storms often happen repeatedly in a short time, even two or three storms of high intensity occur in one month, and floods appear quickly and strong, resulting in serious damages.

2. Natural disasters are factors that directly impede sustainable socio-economic development and booster poverty. With profound awareness of human casualties and material losses caused by natural disasters, the Government of Vietnam has considered natural disaster management and mitigation as one of important activity of the sustainable development process. In 2007, the Government developed “National Strategies for Natural Disaster Prevention and Mitigation to 2020” which include tasks of ensuring safety for dyke systems and improving anti-storm capacity of embankment system in all provinces of the Northern region and the Central coastal region, reinforcing and enhancing sea dykes in the whole country, ensuring safety of reservoirs, particular those near dense population areas and sensitive areas in economic, politic, and cultural terms, as well as near important works relating to national security and defense.

3. Vietnam Managing Project Natural Hazards (VN-Haz) is one of the projects invested by the Government to support the implementation of the aforesaid national Strategy. The project is partially funded by the World Bank’s loan and carried out in 10 provinces in the central region, including Thanh Hoa, Nghe An, Ha Tinh, Quang Binh, Quang Tri, Da Nang, Quang Nam, Quang Ngai, Binh Dinh, and Ninh Thuan.

1.1.2 Project Objectives

4. Short-term objectives of the Project are (i) strengthening capacity of natural disaster risk management agencies at the national, provincial, and district levels to improve plan preparation and risk mitigation; (ii) enhancing early natural disaster forecast and warning systems; (iii) building capacity at communal and village levels to support development of “Plans of safe villages and safe communes”; (iv) mitigating natural disaster risks at highly prioritized areas through arrangement of effective structural measures and investments in construction of small and medium-scale infrastructure; (v) improving capacity of project management and implementation, environmental and social management in integrated management of natural disasters.

5. Long-term objectives of the Project are (i) increasing the capacity of natural disasters prevention, response, and mitigation at the national, provincial, district, and communal levels in Vietnam; reinforcing the preparedness for community-based disaster management; improving weather forecast and early warning capacity; and mitigating negative disaster impacts on selected provinces in Vietnam; (ii) improving the Natural Disaster Management system in Vietnam in accordance with the national strategy, providing disaster mitigation measures and
climate change solutions for Vietnam. Reinforcing natural disaster management capacity and institution to better meet short-term and long-term demands of the most vulnerable areas to mitigate human, economic, and financial losses when natural disasters happen. Besides, the project will focus on strengthening capacity at the national, regional, and provincial levels in early prediction and warning.

1.1.3 Project Components

6. The project is designed with five main components to achieve following outcomes:
   - Improved instructional management of natural disasters at all levels.
   - Improved early forecast and warning systems.
   - Upgraded prevention and mitigation infrastructure for natural disaster damages in the project provinces.
   - Promoted the community-based natural disaster management program of Vietnam.
   - Enhanced project organization, management, and implementation skills.

Component 1: Institutional Strengthening

7. This component will strengthen institutional capacities for Disaster Risk Mitigation (DRM) planning at national and provincial levels. It will help prepare a national DRM database to track the progress of actions taken, strengthen the capacity of the newly formed Central of Disaster Prevention and Mitigation (CDPM); improve/extend provincial level integrated disaster risk management planning, support provincial disaster mapping and zoning, support dam safety database management, support further work on disaster-resilient building code design based on different geographical regions; strengthen disaster management communications; and build co-operation mechanisms among national/regional/provincial/district/communal Disaster Management Centers to provide effective and consistent disaster prevention and response activities.

Component 2: Strengthening Weather Forecast and Hydrometerological-Originated Early Warning Systems

8. Main activities of this component are to provide modern hydro-meteorological observation equipment and communication facilities, develop databases, and strengthen systems for the dissemination of forecasts and early warnings to different stakeholders.

Component 3: Community-Based Disaster Risk Management

9. This component will mainly support the Community-Based Disaster Risk Management Program (CBDRM). Provincial level Centers of Disaster Prevention and Mitigation (CDPM) will be established (or strengthened where already exist) and will provide support for district- and commune-level disaster prevention and mitigation activities, encompassing planning and mitigation strategy development. Support will be provided for disaster prevention and mitigation training at community levels as well as for small-scale priority investments, especially for flood and drought mitigation. Training will be provided for communities for disaster prevention and response measures through training activities on campaigns and dissemination of knowledge about storm/ flood prevention and disaster mitigation; capabilities of on-site disaster response will also be enhanced for local organizations and individuals in hazard-prone areas.
Component 4: Support for Priority Disaster Risk Mitigation Investment

10. The project will be implemented in 10 coastal provinces of the central region. Main activities of this component are to support the Government in implementing significant structural measures proposed in the Implementation Plan of the National Strategy for Natural Disaster Prevention, Response, and Mitigation to 2020. A river basin approach was used to identify and prioritize investment subprojects within the selected basins in the Central Region. The structural measures will mitigate risks posed by floods, landslides, and major storms.

11. The project provinces have proposed investment items to be implemented in the project, including reinforcing, improving, and upgrading degraded dikes, embankments, dams, and rescue paths in order to enhance the ability of preventing natural disasters, ensuring safety for production, assets, and lives of the local people in the river basins in 10 provinces of the Central Region.

Component 5: Project Management

12. This component would provide support for project management activities including preparation, implementation and monitoring of social and environmental safeguard policies, fiduciary and financial management, etc. It also will support the development of an M&E system for the project.

1.2 Ethnic Minorities in Viet Nam

13. Viet Nam has 54 officially recognized as ethnic groups, of which the Kinh (the Việt or mainstream Vietnamese) account for 87 percent. The 53 ethnic minority groups vary in size from 500,000 to a few hundred members each. Ethnic minorities account for 13% of the total population, but nearly a third (29%) of Viet Nam’s people classified as in poverty are ethnic minority people. With the exception of the Hoa (Chinese) and the Khmer and Cham groups, the remaining 50 ethnic groups mostly reside in remote, mountainous rural areas and are economically and socially disadvantaged across a range of dimensions. The members of ethnic minority groups are more likely to be malnourished, illiterate, and suffering from poor health. Although Viet Nam has made impressive progress on poverty reduction over the last 15 years, in every region of the country. The improvements have been much more rapid for the Kinh populations than for the ethnic minorities. Past trends show that poverty is increasingly becoming an issue of ethnicity.

14. Regarding ethnic minority groups, potentially affected by activities of all project’s components, share common characteristics as below:

- Settled in the project areas since a long time ago (some hundred years ago),
- Speak their own language with their family/kins or within their communities. Speaking and writing Vietnamese for public communication and documents,
- They wear traditional cloths/dresses during traditional festivals,
- There is not apparent gender inequality in the ethnic minority groups in the project area in terms of confronting barriers to access to development opportunities between male and female. Ethnic groups practice equal rights to access to the public services such as education, health care, social welfares, and social security,
- Their community administration is based on the State governance system,
15. However, very EM group also has some specifically cultural characteristics which should be taken into account during project implementation:

**Thai people**: living mostly in Thanh Hoa and Nghe An subprojects areas together with Kinh people:
- House on stilts but not popular now because it is replaced by flat house.
- No reburial of grave because Thai people concern death means continuously living in another World.
- Having traditional handicrafts such as knitting, weaving brocades, and some of them make pottery.

**Muong people**: living mostly in Thanh Hoa subproject area together with Kinh people,
- Paddy rice is the main food crop. Significant secondary income of Muong families is exploiting forestry products such as agaric, cat’s ear, bastard cardamom, sticklac, cinnamon, honey, timber, bamboo, rattan, etc.
- Typical handicrafts of Muong are weaving, knitting, reeling silkworms, etc.
- House on stilts but not popular now because it is replaced by flat house as Kinh’s

**Cham people**: living in Ninh Thuan subproject area together with Kinh people.
- Existing matriarchy pattern in Cham families,
- Having a form of community self governance by the old and prestigious man and a customary committee of village (both selected by villagers).
- Having many traditional handicrafts such as embroidery, weaving, pottery, brick making, shipbuilding, sculpture ...

**Co Tu people**: living mostly in Da Nang and Quang Nam subprojects areas.
- Growing crops on the mountain slopes, harvesting of forest and natural products. Other economic activities include farming, weaving, knitting, gathering, fishing, hunting.
- Having no own form of community governance, based on the State governance system.

**H’re people**: living in Quang Ngai subproject
- Having a form of community self governance by the old and prestigious man of village (selected by villagers).
- Economic activity mainly is paddy rice cultivation.

### 1.3 Reasons for Preparing the Ethnic Minority Policy Framework

16. According to the World Bank’s policy on *Indigenous People (OP4.10)*, for all projects that are proposed for Bank financing and affecting or benefiting EMs. The OP 4.10 requires free, prior, and informed consultation and confirm broad community support to the project by the affected Ethnic minority people. The Bank recognizes that the identities and cultures of EMP are inextricably linked to the lands on which they live and the natural resources on which they depend. These distinct circumstances expose EMP to different types of risks and levels of impacts from development projects, including loss of identity, culture, and customary livelihoods, as well as exposure to disease. Gender and intergenerational issues among EMP also are complex. As social groups with identities that are often distinct from dominant groups in their national societies, EMP are frequently among the most marginalized and vulnerable segments of the population. As a result, their economic, social, and legal status often limits their capacity to defend their interests in and rights to lands, territories, and other productive
resources, and/or restricts their ability to participate in and benefit from development. Hence, before project preparation, the WB Mission required the borrower to conduct a screening to identify whether EM peoples are present in, or have collective attachment to the project areas. At the project preparation it was confirmed that there is not EMs communities, or households in the project areas where regarding the 6 sub-projects will implemented during the first year. For the following years during project implementation the Ethnic Minority Policy Framework (EMPF) prepared in accordance with the World Bank’s policy on Indigenous People (OP4.10), will define the objectives and principles for preparing the corresponding plans if confirmed that EMs are leaving in the subproject’s areas.

1.4 Objectives of the Ethnic Minority Policy Framework

17. The EMPF provides the framework to address negative impacts mitigation and positive impacts enhancement based on the free, prior and informed consultations with the affected ethnic minority people. The EMPF ensures as to how: (a) avoid potential adverse impacts on ethnic minority communities; or (b) when potentially adverse impacts on Ethnic Minority Peoples are unavoidable, those adverse impacts should be minimized, mitigated, or compensated for; and (c) ensure that EMPs receive social and economic benefits in a culturally appropriate manner and inclusive in both gender and intergenerational terms, and obtain broad community support for the proposed sub-projects.
II. POTENTIAL IMPACTS OF THE PROJECT ON ETHNIC MINORITY PEOPLE

2.1 Positive Impacts

18. Four Project’s components, will positively and negatively affect EMP in the Thanh Hoa, Nghe An, Quang Nam, Da Nang and Ninh Thuan provinces. Through the proposed investment items such as improving and upgrading reservoirs, reinforcing dams, upgrading river embankments and dykes, constructing rescue roads, the project will bring benefits for the country and communities, including ethnic minority communities. Specifically: (i) strengthening disaster management and response capacity for all levels, sectors, and communities; (ii) mitigating risks caused by loose safety of reservoirs and dykes; (iii) protecting approximately 900,000 people (more than 210,000 households), including people of 5 EMs groups: Muong, Thai, Co Tu, H’re and Cham, and nearly 50 thousand of hectares of productive land from annual floods and droughts; (iv) resolving up the lack of irrigative water, domestic water, and improving living standards for local people in the project areas; and (v) improving the eco-environment and local transportation, contributing to socio-economic development and creating landscapes for the project areas.

2.2 Negative Impacts

19. The project will upgrade and improve river dyke systems, revetments, dams, and rescue roads which were constructed long time ago and being deteriorated, so land acquisition and negative impacts on production of the local households in the works sites are unavoidable. However, these impacts are marginal because selection of works and technical solutions comply with the project requirements, i.e. minimizing land acquisition and impact to assets of the local people. According to results of preliminarily social assessment and inventory of losses surveys of the project provinces, it is estimated that about 3,000 households (HHs) with 12,900 people will be affected by the sub-projects. Among EMs Cham people (in Ninh Thuan) Muong and Thai people (in Thanh Hoa and Nghe An), H’re (in Quang Ngai) and Kotu (in Quang Nam and Da Nang) will benefit and be marginally affected by the project. In addition, the sub-projects will affect local trees and crops of farmers. Results of social assessment also indicate that the project will not affect physical cultural structures, historical sites, collective attachments of ethnic minority people, and nature and biodiversity reserves.

According to the census, and surveys done for six first-year subprojects, approximately 1,294 households (with about 5,525 persons) would be affected by six subprojects, of which about 3.2% of these households are severely affected as a result of loss of more than 20% (10% for poor and vulnerable households) of their agricultural land, 3 relocated HHs, 8 business HHs, 81 female headed households and 137 poor households. The total area of land permanently affected at these six subprojects is 26.12 ha, of which residential land is 1.8ha, agricultural land - 19.23ha, aquaculture land – 3.56 ha, forest land – 0.0 ha and garden land – 1.44ha; total temporarily affected land area is 55.89 ha. The number of grave affected is 22, concentrated in Binh Dinh province (18 graves). According to the information gathered in the mentioned surveys and census, there is not ethnic minority peoples or their collective attachments are present in area of the six first-year subprojects.

The project will follow this EMPF, to ensure that EM people will benefit and/or mitigate any impacts as a result of the project intervention for all the components activities, as summarized in the table below

Table 1 summarizes potential negative and positive impacts of the project.
Table 1: Potential Adverse Impacts and Benefits of the Project

<table>
<thead>
<tr>
<th>Potential Positive Impacts</th>
<th>Description of potential positive Impacts</th>
<th>Measures to enhance benefits of the project</th>
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<tbody>
<tr>
<td>Support for Priority Disaster Risk Mitigation Investment.</td>
<td>- Protection of more than 210,000 HHs with more than 900,000 people, including ethnic people and 50,000ha of agricultural land from annual flood and drought. - Improving irrigation conditions. - Reinforce dams, dykes</td>
<td>Consultation with and participation of Ethnic Minority peoples during implementation to ensure that the project adequately deals with their needs, priorities, preferences, enhances benefits and addresses impacts.</td>
</tr>
<tr>
<td>Introduce and Practice community-Based Disaster Risk Management</td>
<td>- Strengthening disaster management and response capacity for levels, sectors, and communities, including ethnic communities. - Strengthening awareness of ethnic peoples on the reasons and consequences of natural disaster.</td>
<td>- Training and practicing for EMs as to ensure how their communities deal with before, during and after disaster communities. - Subproject proposes activities includes ways to improve services delivery for EMs - The project strengthens capacity of EM community for self-development, facilitates their participation on project monitoring during implementation. - Clear institutional arrangements and activities for capacity building and training for executing agencies’ officials ensure that EM peoples benefit from the project. - Annual progress report evaluates the extent to which EM peoples are reached and are benefiting from the project. - The distribution of benefits to indigenous peoples assess and reports periodically; and identifies obstacles for accessing projects benefits, to be addressed through the project.</td>
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<tr>
<th>Potential Adverse Impacts</th>
<th>Description of the problem/Potential impacts</th>
<th>Proposed mitigation measures</th>
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<tbody>
<tr>
<td>Land acquisition</td>
<td>Proposed subprojects may acquire marginal land of EMs</td>
<td>- Upgrades existing works without or with small land acquisition. - If unavoidable, minimize, mitigates, or compensates for losses in culturally appropriate manner. - Conducts free, prior, and informed consultation with affected ethnic communities.</td>
</tr>
</tbody>
</table>
| Relocation | - Loss of residential land and houses leading to relocation in other places.  
- Loss of culture and social cohesion due to relocation. | - Compensates for all losses at replacement cost and providing replacement land within their village or commune where relocating HH is acceptable so that their cultural and social cohesion could be maintained.  
- Consults and on resettlement sites location relocating EMs HHs.  
- Supports HHs to restore their livelihood and living conditions. |
|---|---|---|
| Affected business | Some households may affect business during construction or have to remove their shops | - Avoids to remove their shops  
- If unavoidable, compensates for losses and provide replacement land for affected HHs to continuing their business.  
- Conducts free, prior, and informed consultation with affected EMs |
| Grave relocation | The proposed subprojects do not affect graveyards of EMP but may affect some scatter tombs of EMP relocated in construction sites. | - Avoids to relocate graves  
- If unavoidable, conducts free, prior, and informed consultation with affected EMs and compensating for them in culturally appropriate manner. |
| Adverse health impact during construction. | During construction of the works, ethnic people may be affected by dust and noise pollution, accident, HIV which directly impact on ethnic minority people’s health. | - Supports development and implementation of an Environmental Management Plan meeting the national norms for infection control, health care and waste management. Discloses Plan among EMs residing close to the construction sites.  
- Conducts free, prior, and informed consultation with affected on HIV/AIDs and/or social evils. |
III. LEGAL AND POLICY FRAMEWORK

3.1 National Legal and Policy Framework for Ethnic Minority People

20. All ethnic groups in Viet Nam enjoy full citizenship and are protected in terms of equality under the law and national constitution. The Constitution of Viet Nam (1992, amended 2001) acknowledges equality among ethnic groups and includes general principles as stipulated in Articles 5, 30, 36 and 39 of the Constitution:

a. Viet Nam is a united nation of all ethnic groups living within the country.
b. The State applies a policy of equality, solidarity and mutual support among the various ethnic communities and prohibits all acts of ethnic discrimination and division.
c. All ethnic groups have the right to use their own languages and writing systems and to preserve their traditional customs and culture.
d. The State implements policies of all-round development aimed at gradually improving and raising the material and spiritual conditions of life of ethnic minorities.
e. The State will take charge of and will ensure the promotion of the cultural values of all the nationalities in Viet Nam.
f. The State gives priority for development of education and health care to mountain inhabitants and ethnic minorities.

Policies related to Ethnic Minorities

21. The Government of Viet Nam has passed a series of policy resolutions related to ethnic minority development, particularly in remote mountainous areas. One of the most relevant of these is Decision No.134/2004/QD-TTg (referred to as “Program 134”) of the Prime Minister, dated on 20 July 2004, which includes a number of policies to provide support in terms of land for agricultural production, residential land, dwelling houses and clean water for daily-life to poor ethnic minority households meeting with difficulties.

22. Decree No.60/2008/ND-CP the Prime Minister, dated on 9 May 2008, prescribes the functions, tasks, powers and organizational structure of the Committee for Ethnic Minority Affairs (CEMA). This ministerial level agency under the Government performs its functions of state management on ethnic minority affairs nationwide, and on public services within its authorities, and provincial departments. Provinces with a significant ethnic minority population have a Department of Ethnic Minority Affairs under the Provincial People’s Committee. The functions of CEMA ranges from development of laws to implementation of the programmes, their monitoring and acting as inter-agency of different ministries of Viet Nam and cooperating with international organizations within its authorities regulated by law. In 1995, CEMA developed a framework for External Assistance with the Development of Ethnic Minorities. This framework resulted in a strategy for the development of ethnic minority people within the Government’s goal of stability, sustainable growth and reduction of poverty. The key points of this framework are: a) To fight against poverty; b) To encourage active participation of the populations of ethnic minorities in their own development; c) To reinforce the institutions involving ethnic minorities; d) To develop natural and human resources in a sustainable manner; and e) To ensure mutual respect between, and increase responsibility of the parties involved.

Participation/Grassroots Democracy

23. Documents from the Government relating to grassroots democracy and public participation are also relevant to this EMPF. Ordinance No.34/2007/PL-UBTVQH11, dated on
20 April, 2007 (superseding Decree No.79/2003/ND-CP of 7 July 2003) on the implementation of democracy in communes, ward and township levels, provides the basis in Viet Nam for community participation in the preparation of development plans and their supervision. Prime Minister’s Decision No. 80/2005/QD-TTg, dated on 18 April 2005, promulgates regulations on investment supervision by the community.

24. The adaptation of economic and social policies to each region and each group, taking the needs of ethnic minorities into account, is a requirement. The Socio-Economic Development Plan and Socio-Economic Development Strategy of Vietnam specifically call for attention to ethnic minorities. Major programs targeting ethnic minority people include Program 135 (socioeconomic development for extremely poor communes in ethnic minority and mountainous areas, Phase 1 &2) and Program 134 (support of productive land, residential land, housing and clean water for poor ethnic minorities and hard life). A policy on education and health care for ethnic minorities is in place. All legal document references are in Table 2.

### Table 2: Legal documents relating to ethnic minority

<table>
<thead>
<tr>
<th>Year</th>
<th>Document Reference</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010</td>
<td>Decree No. 82/2010/ND-CP</td>
<td>Of government, dated 20 July 2010 on teaching and learning of ethnic minority languages in schools.</td>
</tr>
<tr>
<td>2008</td>
<td>Resolution No. 30a/2008/NQ-CP</td>
<td>Of government, dated 27 Dec. 2008 on support program for rapid and sustainable poverty reduction for 61 poorest districts</td>
</tr>
<tr>
<td>2008</td>
<td>Decision No. 74/2008/QD-TTg of the Prime Minister</td>
<td>Dated 9-June-2008 on support productive land and residential land for poor ethnic minority households in Mekong Delta area.</td>
</tr>
<tr>
<td>2008</td>
<td>Decree No. 60/2008/ND-CP</td>
<td>Dated 9-May-2008 of the government on the functions, tasks, authorities and structure of the Committee for Ethnic Minorities Affair.</td>
</tr>
<tr>
<td>2007</td>
<td>Decision No. 33/2007/QD-TTg of the Prime Minister</td>
<td>Dated 20-July-2007 on the policy of assistance to improve knowledge of laws as a program of 135, phase 2.</td>
</tr>
<tr>
<td>2007</td>
<td>Decision No. 01/2007/QD-UBDT</td>
<td>Of the Committee for Ethnic Minorities Affair dated 31-May-2007 on support program for rapid and sustainable poverty reduction for 61 poorest districts</td>
</tr>
<tr>
<td>2007</td>
<td>Decision No. 05/2007/QD-UBDT</td>
<td>Of the Committee for Ethnic Minorities Affair on the recognition of communes, districts in the mountainous areas</td>
</tr>
<tr>
<td>2007</td>
<td>Decision No. 06/2007/QD-UBDT</td>
<td>Of the Committee for Ethnic Minorities Affair on its acceptance for three regions of ethnic minorities and mountainous areas based on development status</td>
</tr>
<tr>
<td>2007</td>
<td>Circular No. 06 dated 20-September-2007</td>
<td>Of the Committee for Ethnic Minorities Affair guidance on the assistance for services, improved livelihood of people, technical assistance for improving the knowledge on the laws according the decision 112/2007/QD-TTg</td>
</tr>
<tr>
<td>2007</td>
<td>Decision No. 06/2007/QD-UBDT</td>
<td>Of the Committee for Ethnic Minorities Affair on the strategy of media for the program 135-phase 2</td>
</tr>
<tr>
<td>2001</td>
<td>Decree No.70/2001/ND-CP</td>
<td>Of all documents registering family assets and land use rights must be in the names of both husband and wife.</td>
</tr>
</tbody>
</table>
3.2 World Bank’s Operational Policy on Ethnic Minority Peoples (OP 4.10)

25. The WB’s Operational Policy 4.10 (Ethnic Minority Peoples) requires to engage in a process of free, prior, and informed consultation.¹ The Bank provides project financing only where free, prior, and informed consultation results in broad-based community support to the project by the affected Ethnic Minority Peoples. Such Bank-financed projects include measures to (a) avoid potentially adverse effects on the Ethnic Minority Peoples’ communities; or (b) when avoidance is not feasible, minimize, mitigate, or compensate for such effects. Bank-financed projects are also designed to ensure that the Ethnic Minority Peoples receive social and economic benefits that are culturally appropriate and gender and intergenerationally inclusive.

26. As a prerequisite for an investment project approval, OP 4.10 requires the borrower to conduct free, prior and informed consultations with potentially affected ethnic minority peoples and to establish their broad-based community support to the project objectives and activities. It is important to note that the OP 4.10 refers to social groups and communities, and not to individuals. The primary objectives of OP 4.10 are:

- to ensure that such groups are afforded meaningful opportunities to participate in planning project activities that affects them;
- to ensure that opportunities to provide such groups with culturally appropriate benefits are considered; and
- to ensure that any project impacts that adversely affect them are avoided or otherwise minimized, mitigated or compensated.

27. In the context of the VN-Haz Project, the ethnic minority groups in the subproject areas are likely to receive a long term benefits from the improved natural disaster management and capacity building in natural disaster protection, but they may be negatively affected by land acquisition and/or relocation. Specific policy and action plan to mitigate the potential impacts due to land acquisition and relocation will be addressed through the preparation of the Resettlement Action Plan (RAP).

¹ Free, prior, and informed consultation with the affected Indigenous Peoples’ communities” refers to a culturally appropriate and collective decisionmaking process subsequent to meaningful and good faith consultation and informed participation regarding the preparation and implementation of the project. It does not constitute a veto right for individuals or groups.
IV. PLAN FOR CONDUCTING THE SOCIAL ASSESSMENT FOR PROPOSED SUBPROJECTS

4.1 The World Bank’s Requirements of the Social Assessment

28. If ethnic minority people (EMP) are present in the proposed subproject areas, the borrower is required to carry out a social assessment to evaluate potential positive and negative impacts on the EMP, and review project alternatives where the impacts may be significant. The social assessment includes the following elements, as needed:

(i) A review, on a scale appropriate to the project, of the legal and institutional framework applicable to EMP.

(ii) Gathering of baseline information on the demographic, social, cultural, and political characteristics of the affected EMPs communities, the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend.

(iii) Taking the review and baseline information into account, the identification of key subproject stakeholders and the elaboration of a culturally appropriate process for consulting with the EMP at each stage of subproject preparation and implementation.

(iv) An assessment, based on free, prior, and informed consultation, with the affected EMP’s communities, of the potential adverse and positive effects of the subproject. Critical to the determination of potential adverse impacts is an analysis of the relative vulnerability of, and risks to, the affected EMP Peoples’ communities given their distinct circumstances and close ties to land and natural resources, as well as their lack of access to opportunities relative to other social groups in the communities, regions, or national societies in which they live.

(v) The identification and evaluation, based on free, prior, and informed consultation with the affected EMP communities, of measures necessary to avoid adverse effects, or if such measures are not feasible, the identification of measures to minimize, mitigate, or compensate for such effects, and to ensure that the EMP Peoples receive culturally appropriate benefits under the subproject.

29. The social impact assessment must (i) be culturally-appropriate and gender sensitive, (ii) consider Vietnamese laws and obligations under international laws to which Viet Nam is a signatory, (iii) give full consideration to EMP preferred options in relation to the provision of project benefits and the design of mitigation measures, (iv) be detailed commensurate to the scale of expected impacts.

30. If the social impact assessment indicates that the proposed subproject will have impacts, positive or negative, on Ethnic Minorities, the executing agency is required to prepare an Ethnic Minority Development Plan (EMDP) relevant to the social impact assessment and in consultation with EMP. This action plan will include arrangements for the free, prior, and informed consultations with the affected EMP Peoples’ communities, as well as arrangements for a participatory impact monitoring at the project implementation level.
4.2 About the Social Assessment

31. The social assessment (SA) is a variant of what is generally known as a Social Impact Assessment (SIA) and will be done during preparation of subprojects. During project preparation, a SA was conducted in 10 project provinces which used a participatory/consultative approach and give voice to the vulnerable groups and EMP peoples. This social assessment was undertaken in two stages: (1) initial screening, and (2) detailed assessment. The objective of the initial screening is to identify whether EMP peoples are present in, or their collective attachment to the project operational area. The objective of the detailed social assessment is to help the project support the aspirations and the needs of the vulnerable groups and EMP peoples. As such, in addition to providing the social, economic and other relevant information, the project will come up with an action plan that will be developed in consultation with the beneficiaries on how the project will extend its benefits to these groups and also mitigate any negative impacts. This action plan will be adopted by all the stakeholders and will pave the way for a standardized approach in all subprojects areas where vulnerable and EMP peoples live.

32. The SA gathered relevant information on demographic data, including social, cultural and economic situation; and social, cultural and economic impacts. These information were gathered through separate group meetings and interviewing with the EMP, including village leaders and affected persons. Discussions focused on potential positive and negative impacts of the proposed subprojects; measures to enhancing positive impacts; and strategies/options to minimize and/or mitigate negative impacts. The SA also conducted free, prior and informed consultations with 7 EMP communities in 7 villages (see annex 1).

33. For subprojects to be identified during project implementation, if any one has EMP living in or their collective attachment to the subproject area, a social assessment is required using the following methods:

- Analysis of existing related documents
- Socioeconomic survey of the potential affected EMP households using qualitative and quantitative methods to collect information on HHs’ heads: names, ages, genders, ethnicity, occupations, incomes, education attainment; HHs’ members: numbers of members, genders, occupations, education attainment, health; Living conditions: access to water supply, sanitation, access to basic services and material facilities; AHs’ land use status; potential impacts of the project on the local people (both negative and positive); impacts caused by annual natural disasters on HHs’ lives and production, self-prevention and recovery measures of HHs; social networks; assistance to rescue during natural disasters and post-disaster recovery of the HHs; and poverty incidence.
- Conducting free, prior and informed consultations with the potential affected EMP communities to ensure their broad support for the project.
V. FRAMEWORK FOR ENSURING FREE, PRIOR, AND INFORMED CONSULTATION WITH THE AFFECTED EMP COMMUNITIES

5.1 Consultation Process

34. One of the aims of the consultation process and regular meetings is to minimize the incidence of dissatisfaction among the project affected people by integrating local stakeholders’ opinions and concerns in project planning and implementation. The participatory approach will encourage EMP to raise any concerns before conflicts may appear and to indicate their consent.

35. For VN-Haz project, a two-step consultation process is designed to ensure compliance with the Indigenous People Policy (OP4.10) of the World Bank:

Step 1: Consultations during project preparation with EMP groups in subproject areas where they are living to ascertain through free, prior and informed consultations that there is broad support for the proposed subprojects among the affected EMP groups; and to identify their views broadly. Social specialists in combination with PPMU’s staff and commune’ authorities identify potentially affected EM communities and conduct consultations. Women of EM communities are randomly selected to conduct the separate women group discussions. Topics of group discussions include project information; characteristics current livelihood activities of the EM communities, especially of EM women; cultural characteristics of the EM communities; natural disaster history in the local area and its impacts on the EM communities; social networks; willingness of EM communities to improve their situation to avoid such disasters through project intervention activities; and their broad support the project.

Step 2: Consultations during project implementation with EMP groups in order to obtain information on the particular needs and challenges facing the affected EMP groups, and identify any potential areas where additional support and/or different kind of support may be required. In VN-haz project, CPO will recruit a social consultant team to conduct consultations. The consultant team will establish consultation procedures and guidelines, ensuring that consultations are to be conducted in a place, time and manner accessible to EMP communities, that all EMP groups are included in the consultation process and that environment for consultations is conducive to open and frank discussion, without outside intervention or intimidation.

36. The consultation process should establish that affected EMP communities (i) broadly support project objectives; (ii) are aware of project benefits, and believe them to be culturally appropriate; (iii) have had sufficient opportunity to identify their preferences and constraints, as relate to compensation and resettlement as well as natural disaster protection.

5.2 Consultations with EMP Peoples during Project Preparation

37. For the first step of the consultative process, CPO contracted Institute of Sociology to conduct free, prior and informed consultations with EMP communities in culturally appropriate manner in proposed subproject areas where ethnic peoples live. The consultations were conducted through focus group discussions with a small sample of EMP Peoples (from 15-30 people/village). Participants were selected through a combination of random and purposive sampling to gain a wider range of perspectives. Group discussion is an appropriate method for consultation because it stimulated the sharing and debate of ideas and views regarding the proposed subproject.

38. The social specialists conducted 7 free, prior and informed consultations with ethnic peoples’ communities in seven different villages within the six project provinces where EMPs are present in, including Thanh Hoa (with Muong and Thai peoples), Nghe An (with Thai
peoples), Quang Nam and Da Nang (with Co Tu peoples), Quang Ngai (with H’re peoples), and Ninh Thuan (with Cham peoples). Of seven consultations, there were 3 separate EM women group discussions. Topics were discussed including: (i) providing information on the sub-projects and the project principles of compensation and resettlement for affected people; (ii) learning about the history of natural disasters (floods, storms, and droughts), nature of annual natural disasters, capacities of natural disaster prevention and response and rescue of localities and the people, consequences of annual natural disasters; (iii) learning about social networks in prevention and response to natural disasters and risks; (iv) selecting forms of compensation and resettlement by affected people in case of land/ house acquisition; and (v) unanimity and broad support of the people for the project and their recommendations or proposals.

39. The broad objectives and specific goals of the project were also presented to participants, and all participants expressed their aspiration and concerns for mitigation of natural disaster risks which they have to suffer every year. All participants broadly support for the project and expecting the project would be implemented in soonest to protect them from natural disasters. A summary of the consultations outcomes is attached in annex 1.

5.3 Consultations with EMP during Project Implementation

40. During project implementation phase, EMP will be consulted on all project and sub-project activities that will potentially positive and negative impact on them throughout all sub-project phases. Every attempt will be made to obtain their participation in planning, designing, implementing, and monitoring measures to maximize project benefits or to avoid adverse impacts or, when avoidance is not possible, to minimize, mitigate, or compensate for such impacts. The need for preparation of EMDP will be triggered on the basic of consultation/social assessment with EMP who are present in the project area if they are adversely affected by the project/subproject activities, or could potentially benefit from project activities.

41. The Provincial Project Management Units (PPMU) will be responsible for ensuring community participation through Ward and Commune People’s Committees, community level groups/associations, local and EMP leaders, Women’s Union and Fatherland Front, and the local EMP Affairs. It is crucial to invite all EM villagers to the meetings, and conduct separate meetings with EM women groups to get their perspective on the project activities and identify positive and negative impacts on their lives.

42. The PPMU will set up regular meetings with the Commune People’s Committee, Women’s Union, Village Leaders, local community to ensure that all the involved people have full awareness and understanding about the project content. The aim of the consultations is that all the EMP people who are expected to be affected by the project will be properly informed and informed early about the project, its scope, expected impacts on the local community, mitigation measures, grievant redress mechanism, and implementation schedule. These meetings will be scheduled to follow set milestones throughout the subproject phases. The PPMU will coordinate with province level Department of EMP Affairs or the district level officials dealing with local EMP issues in order to ensure that all impacts are expressed and assessed in a timely manner.

43. Through the consultation process the PPMU will inform EMP of their rights, the scope of the project and the potential effects on livelihoods, environment and resources. The PPMU will submit documentation of the engagement process to the WB for review and investigation. Where there are major differences or conflicts between the EMP and executing agency, the PPMU will adopt a process of “good faith” negotiations to resolve these differences. This includes mutual respect for cultural differences, discussing issues with legitimate representatives of EMP, allowing time for decision making, being willing to compromise, and documenting outcomes. If there is not broad community support for a subproject, then the WB will not fund it.
44. It is noted that not all EMP in Viet Nam, particularly women elder people and those in remote rural areas, are fluent in the Vietnamese language and their reading skills may be limited. The education levels and literacy of affected ethnic minorities will be confirmed by the social impact assessment. Culturally appropriate and gender inclusive methods and styles of communications will be used to address communication barriers. This may include translation of documents into local ethnic languages, using interpreters at community meetings; greater use of pictorial communications in subprojects when illiteracy or low education levels exist in EMP communities; and separate meetings for men and women where this is culturally necessary.
VI. INSTITUTIONAL ARRANGEMENTS

6.1 Capacity Building Arrangement

45. The social assessment shows that capacity of executing agencies at province and district levels for RAP and EMDP implementation needs to be strengthened and improved to meet the WB’s requirements. It also needs to build capacity of local communities, especially ethnic communities for implementation and monitoring of RAP and EMDP. Therefore, CPO is responsible for providing training courses and workshops on the implementation and monitoring of RAP and EMDP for local executing agencies and communities, including EMP communities. CPO will hire social specialists to carry out these tasks. The training should be provided before starting any activities relating to the implementation of RAP and EMDP. Training courses should be held at each level including province, district and commune so that different stakeholders could be involved in. The training courses given to ethnic peoples, should be in a culturally appropriate manner for them.

6.2 EMP Development Plan Preparation Arrangement

Screening and evaluating subproject impacts on EMP

46. The PPMU will be responsible for screening whether EMP are present in or their collective attachment to the proposed subproject areas. If they are present, then a social assessment (SA) of the subproject areas has to be carried out to evaluate impacts of subproject on ethnic people and collect data for preparing EMDP. The social assessment will be followed procedures presented in Chapter 4 and 5 of the EMPF. CPO provides technical support for PPMUs for implementing social assessment.

Preparing EMDP

47. When the SA identified that the proposed subproject affects EMPs, an EMDP is required for the subproject to ensure that (a) EM peoples affected by the subproject receive culturally appropriate social and economic benefits; and (b) when potential adverse effects on EMP are identified, those adverse effects are avoided, minimized, mitigated, or compensated for. When ethnic peoples are the sole or the overwhelming majority of direct project beneficiaries, the elements of an EMDP should be included in the overall project design and in RAP of the subproject, and a separate EMDP of each subproject is not required.

48. PPMU is in charge of preparing EMDP with technical support of social specialists and CPO. The EMDP will be prepared in a flexible and pragmatic manner, and its level of detail varies depending on the specific project and the nature of effects to be addressed. The EMDP includes the following elements (see a template outline of EMDP in annex 2), as needed:

(i) A summary of the information on the legal and institutional framework applicable to EMP on the demographic, social, cultural, and political characteristics of the affected Ethnic Peoples’ communities, the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend.

(ii) A summary of the social assessment.

(iii) A summary of results of the free, prior, and informed consultation with the affected Ethnic Peoples’ communities that was carried out during project preparation and that led to broad community support for the project.

(iv) A framework for ensuring free, prior, and informed consultation with the affected Ethnic Peoples’ communities during project implementation.
(v) An action plan of measures to ensure that the EMP receive social and economic benefits that are culturally appropriate, including, if necessary, measures to enhance the capacity of the project implementing agencies.

(vi) When potential adverse effects on Ethnic Peoples are identified, making an appropriate action plan of measures to avoid, minimize, mitigate, or compensate for these adverse effects.

(vii) The cost estimates and financing plan for the EMDP.

(viii) Accessible procedures appropriate to the project to address grievances by the affected Ethnic Peoples’ Communities arising from project implementation. When designing the grievance redress procedures, the availability of judicial recourse and customary dispute settlement mechanisms among the Ethnic Peoples should be taken into account.

(ix) Mechanisms and benchmarks appropriate to the project for monitoring, evaluating, and reporting on the implementation of the EMDP. The monitoring and evaluation mechanisms should include arrangements for the free, prior, and informed consultation with the affected Ethnic Peoples’ communities.

6.4 EMDP Implementation Arrangement

49. District Resettlement Committee (DRC) under management of District People’s Committee (DPC) in cooperation with Commune People’s Committees (CPC) is responsible for implementing the EMDP. The PPMU supports and monitor the implementation of EMDP. All the activities of the EMDP implementation throughout the subproject should take place in a culturally appropriate way for affected EMP people.

50. To ensure grassroots participation in EMDP implementation and monitoring, a community level group/association of residents will be formed to participate in the planning, implementation, monitoring, operation and maintenance of the EMDP. The PPMU will set up routines for regular dialogue and meetings with local authorities, EMP Affairs agencies, representative community groups, and traditional leaders representing EMP. Mass organisations, particularly the Women’s Union, will play an active role in implementing and monitoring of the EMDP. The WB will review the EMDP before subprojects appraisal.

6.5 Grievance Redress Arrangement

51. If any EMP is not satisfied with the process, compensation or mitigation measures, or any other issue, the EMP themselves or EMP’s representatives or village leaders will make a grievance to CPC or the PPMU following the grievant redress mechanism established in the EMDP. The complaint will be redress and a solution negotiated between the PPMU and local authorities. However, if the conflict is not solved satisfactorily, it will be taken to the higher levels. All grievances will be responded to promptly, in a culturally appropriate, transparent and gender inclusive way. The EMP can make a complaint without any cost to them and without fear of retribution. CPO and external monitoring agency have responsibility to monitor the redress of EMP complaints and reflect in their monitoring reports on the grievant redress results to submit to the WB for review.

6.6 Monitoring and Evaluation Arrangement

52. To ensure the EMDP is implemented in compliance with the EMPF, CPO and PPMU are responsible for internal monitoring the implementation process of EMDP. CPO will recruit a team or organization specialized in social area and experienced in social safeguard policy of the WB to monitor the process of EMDP and RAP implementation as the independently external organization. The internal monitoring is carried out monthly and the external monitoring is twice a year with the methodology and monitoring indicators as proposed in Chapter 8.
VII. GRIEVANCE MECHANISM

7.1 Key Principles of the Grievance Redress Mechanism

53. During project implementation, EMs and other local communities and stakeholders may raise their grievance, claims to executing agencies or local authorities. As a result, a Grievance Redress Mechanism (GRM) supported for the whole project’s components all subprojects, will also serve EMs. To assure the mechanism is pragmatic and acceptable to affected EMP consultation with local authorities and affected communities to be applied for all subprojects/activities entail key principles that will ensure:

(i) basic rights and interests of affected EMP are protected

(ii) EMP have the rights to lodge grievances and get their grievances settled for free of charge.

(iii) The GRM are part of EMs community-based conflict resolution process and is culturally apropiated

54. GRM process and access must be publicly disclosed to the affected communities and they should be informed about contact addresses of the respective organizations at relevant levels where complainants can send their grievances and complaints. Grievances related to any aspect of the Project will be handled through negotiation aimed at achieving consensus.

7.2 Grievance Redress Mechanism

55. The grievance mechanism is established to resolve complaints of EMP will pass through 3 stages before they could be elevated to a court of law as a last resort.

56. **First stage, at Commune People’s Committee.** An aggrieved affected household may bring his/her complaint before the receiving department of the Commune People’s Committee to be received and guided for necessary procedures. The CPC will meet personally with the aggrieved affected household and will have 5 days following the lodging of the complaint to resolve it (Note: in remote and mountainous areas, the complaint should be resolved within 15 days. The CPC secretariat is responsible for documenting and keeping file of all complaints that it handles. Upon issuance of decision of CPC, the complainants can make an appeal within 30 days. If the second decision has been issued and the household is still not satisfied with the decision, the household can elevate his/her complaint to the DPC.

57. **Second stage, at the district level:** Upon receipt of complaint from the household, the DPC will have 15 days (or 45 days in remote and mountainous areas) following the lodging of the complaint to resolve the case. The DPC is responsible for documenting and keeping file of all complaints that it handles. Upon issuance of decision of DPC, the complainants can make an appeal within 30 days. If the second decision has been issued and the household is still not satisfied with the decision, the household can elevate his/her complaint to the PPC.

58. **Third Stage, at the provincial level:** Upon receipt of complaint from the household, the PPC will have 30 days (or 45 days in remote and mountainous areas) following the lodging of the complaint to resolve the case. The PPC is responsible for documenting and keeping file of all complaints. Upon issuance of decision of PPC, the household can make an appeal within 45 days. If the second decision has been issued and the household is still not satisfied with the decision, the household can elevate his/her complaint to the court within 45 days.
59. **Fourth stage, the Court of Law Arbitrates:** Should the complainant file his/her case to the court and the court rule in favor of the complainant, then Provincial government agency will have to increase the compensation at a level to be decided by the court. In case the court will rule in favor of PPC, the complainant will have to receive compensation as described in the approved compensation plan and obey all requirements of land clearance.

60. To assure that the mechanism described above is pragmatic and acceptable to affected EMP consultation with local authorities and affected communities about this mechanism is needed, particularly consultation with vulnerable groups.
VIII. MONITORING AND EVALUATION MECHANISM

8.1. Monitoring Principles

61. To ensure the EMDP is transparently implemented and complies to the EMPF and the World Bank’s Indigenous People Policy (OP4.10), a Monitoring and Evaluation Mechanism needs to be established and carried out for all components of the project throughout the process of project implementation. Monitoring and evaluation is a continuous process. The PPMU will be in charge of internal monitoring and an external agency recruited by CPO will be in charge of independent monitoring and evaluation. Basing on the monitoring mechanism, a monitoring and evaluation plan of the mitigation measures will be made by the PPMU. The plan will describe:

- the internal monitoring process;
- key monitoring indicators which would be used for internal and external monitoring;
- institutional arrangements;
- frequency of reporting and content for internal and external monitoring, process for integrating feedback from internal and external monitoring into implementation;
- methodology for external monitoring;
- financial arrangements for external monitoring and evaluation

8.2 Internal Monitoring

62. Objectives of the internal monitoring, which is applied to all components, aim to:

a. ensure all negative impacts of the subprojects on EMP are mitigated, minimized or compensated in compliance with RPF, RAP, EMPF and EMDP.

b. ensure measures of benefit maximization and adverse impact mitigation are implemented in culturally appropriate way for ethnic peoples.

c. identify whether the free, prior and informed consultations for ethnic people communities are conducted in culturally appropriate manner for ethnic peoples or not.

d. determine if complaint procedures are followed the EMPF and propose solutions if there are pending issues.

e. conformity between relocation and land clearance and construction commencement to ensures that affected EMP have been provided with compensation, allowance, and relocation satisfactorily before construction commencement.

63. Internal monitoring will be monthly conducted by the PPMU. All findings of the internal monitoring should be reported to CPO and the WB. In practice, the internal monitoring of EMDP implementation should be combined with internal monitoring of RAP implementation. The findings of both RAP monitoring and EMDP monitoring should be included in one report to submit to CPO and the WB for review.

8.3. External Monitoring and Evaluation

64. External monitoring will be conducted by an external agency who is specialized in the social science. The external monitoring of EMDP implementation for all components should be included in the external monitoring of RAP implementation with the same methodology and monitoring indicators, but focusing on EMP peoples. The monitoring is periodically conducted twice a year and findings reports will be submit to CPO and the WB for review.
IX. DISCLOSURE ARRANGEMENTS FOR EMDP

65. To ensure full disclosure with EMP, all communication concerning the Project will take place in an appropriate manner - in the ethnic language of the EMP groups (if they cannot speak and read Vietnamese) and in a culturally proper way. Public meetings will be arranged in villages, using participatory methodology and the EMP language(s) (if required). Information will be posted in a central public location such as the ward/commune level People’s Committee office or at EM leader’s house. Information will be mostly pictorial in order to guarantee accessibility of the information for EMP people with poor literacy skills.

66. Local people’s opinions will be recorded in an appropriate way through minutes from the meetings. Notes also will be taken from all regular meetings between PPMU and EM leaders or village representatives chosen at village meetings. All the concerns from involved people will be recorded this way and brought into the project planning process and used during implementation to adjust project activities. Any concerns, claims or grievances brought up in meetings or other consultations will be recorded in the same way. The draft EMDP will be disclosed at commune level in a public meeting including all relevant stakeholders. The final EMDP also disclosed at a commune level public meeting. Women representing affected households must be present at the disclosure meetings. Copies (in Vietnamese) of the EMDP will be available at the ward/commune People’s Committee offices, village/hamlet leader’s house and EM leader’s house. It is also disclosed at Bank’s Vietnam Development Information Center (VDIC) at the World Bank in Hanoi, and at Infoshop.
X. BUDGET ARRANGEMENT FOR PREPARATION OF EMDPs

10.1 Budget arrangement

67. When EM peoples are present in the subproject area and affected by the subproject, PPMU is required to conduct (i) a social assessment survey in the area where affected EM peoples living; (ii) two free, prior and informed consultations with affected EM peoples; and (iii) preparation of an EMDP for the subproject. PPMU should recruit a social consultant team/organization to implement these activities. Among 10 project provinces, 6 provinces are identified to have affected EM peoples living in the proposed subprojects area. Therefore, budget for implementation of these activities is estimated and arranged for each province as follows:

<table>
<thead>
<tr>
<th>Activities</th>
<th>Budget estimate (USD)</th>
<th>Number of provinces</th>
<th>Total (USD)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conducting SA</td>
<td>12,000</td>
<td>6</td>
<td>72,000</td>
</tr>
<tr>
<td>Conducting free, prior and informed consultations</td>
<td>5,000</td>
<td>6</td>
<td>30,000</td>
</tr>
<tr>
<td>Preparing EMDPs</td>
<td>3,000</td>
<td>6</td>
<td>18,000</td>
</tr>
<tr>
<td>Contingency</td>
<td></td>
<td></td>
<td>6,000</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td>126,000</td>
</tr>
</tbody>
</table>

68. Budget for implementation of EMDPs will be estimated during EMDP preparation based on specific activities proposed for each EMDP.

10.2 Budget source

69. Funding for preparation and implementation of EMDPs could be provided by the Bank-financing and included in budget for social safeguard policy implementation of the project.
ANNEX

ANNEX 1: SUMMARY OF CONSULTATION WITH THE ETHNIC MINORITIES

1. Consultation Purposes

Group discussions aim at: (i) Providing information on the sub-projects and the project principles of compensation and resettlement to the people; (ii) Learning about the history of natural disasters (floods, storms, and droughts), nature of annual natural disasters, capacities of natural disaster prevention and response and rescue of localities and the people, consequences of annual natural disasters; (iii) Learning about social networks in prevention and response to natural disasters and risks; (iv) Selecting forms of compensation and resettlement by affected people in case of land/ house acquisition; and (v) Unanimity and support of the people for the project and their recommendations or proposals.

2. Consultation Contents

- Project information
- Current livelihood activities of the people
- Natural disasters and natural disaster prevention and response in the localities
- Issues of land acquisition, compensation, allowances, and resettlement
- Assessment on the local people’s support for the project

3. Consultation Methods

For group discussions, affected and unaffected EMP people were chosen from various household groups, by living standards, genders, and ages. Each group included 15 – 30 participants. A social specialist guided them during the discussions and documented discussed information. People discussed freely under the specialist’s guidance, without any external intervention or constraint.

4. Summary of Consultation Results

<table>
<thead>
<tr>
<th>No.</th>
<th>Summary of consultation results</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Consultation date: 15/6/2011</td>
</tr>
<tr>
<td></td>
<td>Venue: Xuan Du commune, Nhu Thanh district, Thanh Hoa</td>
</tr>
<tr>
<td></td>
<td>Consultation subjects: The Muong group</td>
</tr>
<tr>
<td></td>
<td>Number of participants: 25</td>
</tr>
<tr>
<td></td>
<td>Consultation results:</td>
</tr>
</tbody>
</table>

1. Some cultural features:

The Muong have their own language and traditional clothes which are worn only in festivals and special days. Daily communications in families are in their language. Young people can read and write Vietnamese fluently, but this is quite limited among old people. The Muong have lived together with the Kinh for a long time in the locality, and it is impossible to differentiate the Muong from the Kinh through their appearances. Funeral and wedding rituals are similar to those of the Kinh.

2. Livelihood activities that provide main household incomes:

The local people live mainly on agriculture, agricultural production is always under influence of droughts in the dry season and floods in the rainy season. Only 60% of rice cultivated areas are irrigated frequently, the remaining depends on the rain water.
### 3. Natural disasters and prevention and control:
- The most frequently occurred disaster in the commune is floods and droughts. Virtually, every year, natural disasters happen in the commune.
- Measures of natural disaster prevention and control are developed for each village. Local task forces are formed and the 4 on-site principles are implemented.
- The local people are well aware of dangers of floods and storms. The authority always provides guiding plans to mobilize local task forces and militia for natural disaster prevention and response when needed.

### 4. Land acquisition, compensation, and resettlement
- Most of the local people want to receive compensation in cash.
- Compensation is required to be provided at market prices

### 5. Support for the project
The investment project aims at protecting human lives and assets of the local people from natural disasters, therefore, the local people are very glad and broadly support the project. They are willing to donate land or contribute their labour to the project.

### 2
- Consultation date: 15/6/2011
- Venue: Phuong Nghi commune, Nhu Thanh district, Thanh Hoa
- Consultation subjects: **The Muong women group**
- Number of participants: 20
- Consultation results:
  1. **Some cultural features:**

The Muong have their own language and traditional clothes which are worn only in festivals and special days. Daily communications in families are in their language. Young people can read and write Vietnamese fluently, but this is quite limited among old people. The Muong have lived together with the Kinh for a long time in the locality, and it is impossible to differentiate the Muong from the Kinh through their appearances. Funeral and wedding rituals are similar to those of the Kinh.

  2. **Livelihood activities that provide main household incomes:**

The local people live mainly on agriculture, there are no secondary occupations. Agricultural production is always under influence of droughts in the dry season and floods in the rainy season. Only 60% of rice cultivated areas are irrigated frequently, the remaining depends on the rain water.

  3. **Natural disasters and prevention and control:**

- Every year, the commune experiences abnormality of the weather. In 2010, a large rice cultivated area was totally damaged due to droughts, Dong Be lake is entirely dry, hence, there was no irrigative water.

- The commune authority always mobilizes labour force and material contribution for natural disaster prevention and response, however, because the people are poor, such mobilization encounters many difficulties compared to other communes in the district, e.g. Nhu Thanh district.

- Households only reinforce houses and cattle sheds in case of heavy rains, and there are no mitigation measures in case of droughts.
- The district also organizes training courses and deliver rescue techniques frequently. Women participate more than men in these activities because in free time during crops, men usually work far away from home and only come back when crops start or end. Training courses are normally held at free intervals of production activities.

- After natural disasters, the local authority and other functional authorities provide assistance to the people by areas of damaged rice and crops.

- Reasons of natural disasters are claimed for climate change, cutting down of forests head, and the infrastructure is inadequate for natural disaster response and control.

4. Land acquisition, compensation, and resettlement

- Most of the local people want to receive compensation in cash.

5. Support for the project

The local people are very glad and broadly support the project. They are willing to donate land or contribute their labour to the project, if required.

3

- Consultation date: 16/6/2011
- Venue: The community hall in Yeu village, Dai Hung commune, Dai Loc district, Quang Nam
- Consultation subjects: The Kotu group
- Number of participants: 20
- Consultation results:

1. Some cultural features:

Have their own language and traditional clothes which are worn only in festivals and special days. Daily communications with the Kotu people are in their language, and in Vietnamese with Kinh people. Funeral and wedding rituals are similar to those of the Kinh. Civil management is in line with the State’s administration system, there are no heads of villages any more.

2. Livelihood activities that provide main household incomes:

- People now know how to cultivate rice and plant crops.

- It is difficult that rice cultivative land is insufficient, each household has only 500m2, hence, they still go to forests for cultivation. Technical levels are low, cultivation methods are traditional, productive tools are primitive, and production funds are inadequate.

- Apart from rice cultivation, people do not have any extra jobs to improve their incomes, hence, lives are difficult.

2. Natural disasters and prevention and control:

- The village locates near two rivers, i.e. the Vang river and the Con river; thus, every year, in September and October according to the luna calender, floods occur.

- Knowledge and prevention and control measures of natural disasters of the local people are very limited.

3. Land acquisition, compensation, and resettlement

- Since the State acquires land for works of public benefits for the people, they will accept any kind of compensation.

4. Support for the project
| 4 | Consultation date: 17/6/2011  
Venue: Hoa Bac commune – Hoa Vang district – Da Nang  
Consultation subjects: **The Kotu women group**  
Number of participants: 15  
Consultation results:  
1. **Some cultural features:**  
Have their own language and traditional clothes which are worn only in festivals and special days. Daily communications with the Kotu people are in their language, and in Vietnamese with Kinh people. Funeral and wedding rituals are similar to those of the Kinh. Civil management is in line with the State’s administration system, there are no heads of villages any more.  
2. **Livelihood activities that provide main household incomes:**  
Because of no cultivative land, rice cultivation is not available here. The local people are mainly provided with forest land to plant forests and fruit trees. In addition, young and strong men also work at plantations with an average income of approximately VND 700,000 – 800,000.  
Hoa Bac is a mountainous commune of Hoa Vang district, as a result, the local people in general and the Kotu people in particular have many difficulties in their lives. Since most of land is hilly and mountainous land, agricultural production is limited (concentrating manly at villages of the Kinh).  
3. **Natural disasters and prevention and control:**  
- The local people do not cut down forests rashly as before. They now participate in planting and protecting forests with watchmen and forest management staff residing at villages.  
- The ethnic minority do not directly obtain any project profits because they live far from the project area (7km), therefore, safety in natural disasters is still the concern of the local authority.  
4. **Land acquisition, compensation, and resettlement**  
Are not directly affected by the project.  
5. **Support for the project**  
Although not directly gaining any project profits, the people strongly support the project and wish to have a project. |

| 5 | Consultation date: 16/6/2011  
Venue: Na Ka village – Chau Thai commune – Quy Hop district – Nghe An  
Consultation subjects: **The Thai group**  
Number of participants: 30  
Consultation results:  
1. **Some cultural features:**  
- Have their own traditiona clothes yet only wear in festivals and special days. On normal days, they wear clothes of Kinh people. |
- Wedding ceremonies are organized in three days. Brides are taken to the grooms’ houses at night.

- Grave reinforcement ceremonies: it is a custom of Thai people of building permanent graves of three years of burying the bodies. Before making permanent graves, they organize a ceremony for three days. Offerings include: 01 pig, 02 chickens, 01 jar of ‘ruou can” (a kind of wine drunk through pipes) , 2 bottles of sticky-rice spirit, betel and areca, sticky rice, inviting shamen (the current fee for inviting shamen is VND 500,000/time).

2. **Livelihood activities that provide main household incomes:**

- The people in Na Ka village live mainly on agriculture and rice cultivation in terraced fields. In free time of crops, people go to forests, burn mountain fields to make coals for sell for additional incomes.

- Difficulties: Every year, the people in Na Ka village suffer 6 months of having no rice. To deal with hunger, people have to borrow with very high interests.

3. **Natural disasters and prevention and control:**

- Types of natural disasters: droughts, floods, whirlwinds, land slides, etc. In case of floods, the whole village will be isolated.

- There have been no natural disaster prevention measures, tools are entirely primitive.

4. **Land acquisition, compensation, and resettlement**

- According to the State’s regulations at the compensation time.

- The people also want to settle down at Khe Lao area.

5. **Support for the project**

The people strongly and broadly support the project and recommend:

- The State needs to support the people every year

- Allowing credit funds to develop cattle raising and forest planting

- Assigning forests to the people to take care of, avoiding cutting down of forests.

- Constructing rural road systems, irrigation systems, concreting channels.

6. Consultation date: 14/6/2011

- Venue: Hanh Tin Dong commune – Quang Ngai province

- Consultation subjects: The H’re group

- Number of participants: 20

- Consultation results:

1. **Some cultural features:**

Clothes of the Hre are similar as of Kinh people. Houses are similar to those of Kinh people. Speak Vietnamese. The Hre have the buffalo sacrifice ceremony which is a common custom in Truong Son – Tay Nguyen. Unofficially, the leader of a community organization is “già làng” (i.e. the spiritual leader) who has high prestige and plays an extremely important role. There are so differences with Kinh people in terms of funeral and wedding rituals.

2. **Livelihood activities that provide main household incomes:**
- The local people live mainly on rice cultivation.

Difficulties:
- Land is limited, the population is dense, people cannot cultivate in mountain fields because forests are protected. Being poor, do not have enough money for the children to go to schools.
- Every year, their crops are damaged by natural disasters and floods. During floods, each time the water rise, land slides happen near banks of streams. Meanwhile, there is not enough water for fields at high levels, only one crop can be cultivated per year. The authority has constructed dams but water cannot reach there.

3. Natural disasters and prevention and control:
- Floods occur frequently in every year. Floods last long from September to October of the lunar calendar.
- In the rainy season, prevention and response plans are prepared at all levels. The commune has established a flood prevention and control committee.
- Every year, the commune mobilizes people to plant bamboos along river banks to fight against erosion, and plant acacia trees to minimize floods.

4. Land acquisition, compensation, and resettlement
- People can receive cash or land, subject to existing conditions of the locality
- If being resettled, the authority should arrange resettlement sites, they will not know where to stay if they receive cash.

5. Support for the project
Here, if embankments are constructed, such activities will affect a small portion of land of the people and this impact is insignificant, people broadly support the project to protect their villages from land slides.

7
- Consultation date: 15/6/2011
- Venue: 03 group discussions at 3 communes, including Phuoc Thai, Phuoc Hau and An Hai communes – Ninh Phuoc district – Ninh Thuan
- Consultation subjects: The Cham people
- Number of participants: 58
- Consultation results:

1. Some cultural features
The Cham people is a multi-religious community, religion faiths always govern their awareness, emotions, and wills of each individual in their community. The Cham has their own language but they speak and write in Vietnamese. They normally live densely in Cham pales (villages of the Cham) which include people of a certain religion. Each paley has a village administrative unit that is the Custom Council and Po Paley (the head of the village) who plays extremely important role in the Paley. Matriarchy and goddess faiths still exist among Cham people. Only daughters can inherit assets, the youngest daughters inherit the ancient houses of the families to worship their ancestors and to take care of their parents when they are old.

Traditional clothes: Men wear long and crossed shirts with strings knotted at waists, normally white shirts. Old men normally have their hair long with white scarves folded on the heads; Women usually wear round-necked shirts with buttons laid in the front,
from the neck to the belly, wearing folded skirts (during ceremonies) or tube skirts (during normal time), wearing scarves (no rules in terms of colors). For clothes of ceremonies, they usually wear a scarf crossing the bodies, outside long, white dresses.

2. **Livelihood activities that provide main household incomes:**
   - Main livelihoods of families rely on agriculture: cultivating rice, corns, apples, grapes, raising buffalos, cows, sheeps, pigs, chickens, goats, etc. Famous secondary occupations include making pottery, embroidering, weaving.

   **Difficulties:**
   - Difficulties in transportation due to bad roads, floods every year, cattle raising suffer losses, and trees are damaged due to floods.
   - Lack of seeds and breeds, poor techniques, and lack of funds for production and cattle raising.

3. **Natural disasters and prevention and control:**
   - Floods occur frequently in the rainy seasons. Droughts happen from the end of February to June every year.
   - When floods occur, the authority and local people together participate in rescue activities.
   - In droughts, most of the people have to help themselves, using pumps, drilling or digging wells to ensure irrigative water for production.

4. **Land acquisition, compensation, and resettlement**
   - Compensation for affected assets should be in cash.
   - The households do not agree to donate land, requesting compensation as per regulations and rules so that they can settle down their lives promptly.

6. **Support for the project**
   People strongly support the project and wish that the project will be implemented soon.
ANNEX 2: TEMPLATE OUTLINE OF EMP DEVELOPMENT PLAN

EXECUTIVE SUMMARY

I. Introduction

1.1 Introduction project
1.2 Introduction subproject
1.3 Summary of subproject impacts

II. A summary of the legal framework applicable to EMP

III. A summary of the social assessment.

3.1 A summary of results of affected EMP’ socioeconomic survey
3.2 A summary of the free, prior, and informed consultation with the affected EMP’ communities was conducted during project preparation.

IV. A framework for ensuring free, prior, and informed consultation with the affected Ethnic Peoples’ communities during project implementation.

V. Action plan of measures to avoid, minimize, mitigate, or compensate for project adverse effects.

VI. The cost estimates and financing plan for the EMDP.

VII. Grievances redress mechanism.

VIII. Monitoring and evaluation mechanism.