Table of Contents

1. Introduction 01
2. Ethnic Minorities in Vietnam 02
3. Legal Provisions and Policy Framework 03
4. Ethnic Minority Planning Framework 04
5. Preliminary Screening and Social Assessment 05
   5.1 Preliminary Screening 05
   5.3 Social Assessment 05
6. Ethnic Minority Plan (EMP) 07
7. Implementation Arrangements 07
8. Monitoring 07
9. Schedule 07
10. Budget 08
11. Reporting/Documentation 08

ANNEXES

Annex 1: Preliminary Screening of Ethnic Minorities 09
Annex 2: Social Impact Assessment 10
Introduction

1. The Project development objective is to strengthen district-level curative and preventive health services and improving their accessibility for the economically vulnerable population.

Preliminary Project Description

2. The proposed project contains four components, including:

Component one: Supporting health insurance for the economically vulnerable population. This component is to expand access to health insurance for near-poor households in the North Central region and to improve the system’s capacity to manage health insurance.

Component two: Strengthening district health services. This component is to: (i) improve the capacity of district hospitals to provide basic curative health services to the population, and (ii) strengthen the capacity of district preventive health centers to carry out basic public health functions. The component will achieve its objectives by upgrading medical equipment in the district hospitals, providing equipment and training to 30 district preventive health centers (PHCs), building the technical and administrative blocks of PHCs and piloting performance-based financing mechanisms to incentivize health care providers to perform better and more efficiently.

Component three: Improving supply and quality of human resources for health. This component is to strengthen the capacity of existing medical educational institutions and to improve skills and knowledge of already practicing medical personnel.

Component four: Project management, monitoring and evaluation. This component is to ensure adequate management structure, processes and human resource capacities for the Project, and to setup mechanisms for effective monitoring of activities and evaluation of results.

3. For the subprojects to be located in the areas of Ethnic Minorities, every special effort will be made through design, construction measures and construction schedules to reduce adverse impacts on Ethnic Minorities.

4. Sub projects may be implemented in Provinces, Districts and Communes where ethnic minority people are present as part of the population. In line with the World Bank’s OP/BP 4.10 on Indigenous Peoples, Ethnic Minority Plans (EMPs) will be developed for areas that have ethnic minority households according to this planning framework for ethnic minorities. Ethnic minorities are social groups with a social and cultural identity distinct from the dominant society that may make them vulnerable to being disadvantaged in the development
process. According to OP/BP 4.10 ethnic minorities can be identified in particular geographical areas by the presence in varying degrees of the following characteristics:

(a) Self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;
(b) Collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories;
(c) Customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and;
(d) An indigenous language, often different from the official language of the country or region.

The ethnic minorities living in six provinces covered by the project include: Van Kieu, Pa Co, Chut and O Du groups in Quang Tri and Thua Thien Hue provinces; and Thai, Muong, H’mong, Kho Mu and Tho in other provinces. From the results of stakeholder consultations and group discussions, ethnic minorities fully support the proposed project and feel the project will impact positively on their livelihoods.

From the initial studies conducted in the project areas, it is evident that the project will not cause any adverse impacts on the life of ethnic minority groups in the project and there will not be any adverse resettlement impacts due to acquisition of land or other assets. However, a Resettlement Policy Framework has been prepared to address any adverse resettlement impacts that may be caused due to any project activities. Most of the impact of the Project will be positive and will provide benefits to the ethnic minorities and other vulnerable groups in the project area. It is expected that the project will help increase demand for utilization and access of health services by the local peoples including ethnic minority groups through increasing coverage of and strengthening the implementation of the preventive care centers.

The objective of this planning framework is to ensure that the development process foster full respect for dignity, human rights, and cultural uniqueness of ethnic minorities and to ensure that they do not suffer adverse effects during the development process and that they will receive culturally compatible social and economic benefits.

Ethnic Minorities in Viet Nam

Ethnic Vietnamese, known as Kinh, with about 85 percent of total population, dominate the political, economic, and social affairs of the Socialist Republic of Viet Nam. There are officially another 53 ethnic groups in Viet Nam who constitute the category of ethnic minorities. Most of ethnic minority population lives in the uplands. Population of ethnic minority groups range from over a million to only a few hundred. The only ethnic minority groups who live mainly in the lowlands are Hoa (Chinese), Cham and Khmer.

Ethnic minorities in Viet Nam are diverse origin. A majority (39) as well as Kinh speaks languages in the Austro-Asiatic language family. But others speak Austronesian and Sino-Tibetan languages. They differ greatly in ways of livelihood, social organization. Some have had relationship with Kinh society for a long time, while others have lived in relative isolation until recent decades. Some groups have lived in their present locations for many centuries, while others have migrated into their present location within the past hundred years.
10. In the past fifty years, many ethnic minority communities have shifted residence because of war, governmental settlement programs, or a depleted resource base. As many as five million Kinh have been relocated from the lowlands into upland areas. The biophysical, social, and political context of the lives for most ethnic minorities has changed drastically in the past fifty years.

11. Equality right of ethnic people was stipulated clearly in the Vietnam Law. Article 5 in the Vietnam Constitution (1992) stipulated as follows: The Socialist Republic of Vietnam is an united nation having many nationalities. The State implements a policy of equality and unity and supports the cultures of all nationalities and prohibits discrimination and separation. Each nationality has the right to use its own language and characters to preserve their culture and to improve its own traditions and customs. The State carries out a policy to develop thoroughly and gradually improve the quality of life of ethnic minorities in Vietnam physically and culturally.

12. Since 1968, the Government has promulgated sedenterization policy for ethnic groups, reducing migration trends of the ethnic people. One of the most important policies on relation with ethnic groups is the Government Guidance No.525/TTG on 2/11/1993 regarding in detail on implementation guiding of development in high land areas and ethnic areas with the main following points:
   • Develop infrastructure especially transportation road system and fresh water supplying;
   • Gradual increase food security;
   • Consolidate of education system; adjust education program based on the characteristics of provinces; create favor conditions and support the non-formal education programs and develop the internal economy.

13. Ethnic minorities in Vietnam have enjoyed better legal and political status than minority groups have in many other countries in the region, or around the world. They have received many benefits as a result of government policies. They have received preferential treatment in college admission processes. Cooking oil, kerosene, and iodized salt have been provided to them at heavily subsidized rates. The government, foreign donor agencies, and many NGOs have organized numerous development and special assistance programs that targeted ethnic minorities. Very large sums of money have been invested with the intention of helping the uplands in general and ethnic minorities in particular to “catch up” with lowland areas.

14. While many—probably most—ethnic minority households have better material standards of living today than they did ten or fifteen years ago, they are still not catching up with the rest of the country economically. Indeed, they are in many ways falling further behind. There are many reasons for the poverty of ethnic minority groups in Vietnam. The peoples are struggling to adapt to severe stresses placed upon them from population pressure, resource depletion, and cultural dislocation resulting from decades of externally imposed change. Development of the region must concentrate on promoting the process of adaptive change, recognizing that it must be accomplished by the people themselves, and that they will inevitably have to devise many different ways of doing it.
LEGAL PROVISIONS AND POLICY FRAMEWORK

15. The Bank’s OP/BP 4.10 on Ethnic Minorities indicates that the planning framework for addressing the issues pertaining to ethnic minorities must be based on the free, prior and informed consultation of the ethnic minority people themselves. Thus, identifying local preferences through direct consultation, incorporation of indigenous knowledge into project approaches, and appropriate early use of experienced specialists are core activities for any project that affects Ethnic Minority Peoples and their rights to natural and economic resources.

16. The State of Viet Nam has the policy of not discriminating against Ethnic Minority Peoples as showed by the presence of Ethnic People Council in the National Assembly and Ethnic People Committee in the Government. Article 94 in the Constitution, 1992 states that the Ethnic People Committee has the right to submit proposals, plans or related issues of indigenous peoples to the Assembly, monitor, control the implementation of national policies, development programs on various areas such as, education, health care, etc. Article 5 of the Constitution also indicates that ethnic minority people could use their own languages to reserve its cultural distinctions. In the Government of Viet Nam, directly under the supervision of the Prime Minister is the Committee of Ethnic Minorities (which is equivalent to a Ministry). Development programs are supervised by this Committee, such as the poverty reduction Program 135 according to the degree No, 135/1998/QD-TTg of the Prime Minister to promote the construction of small-scale infrastructure in poor ethnic minority villages.

17. According to the Government of Viet Nam, ethnic minorities have the following characteristics:

- An intimate understanding and long stay in the territory, land or area of their ancestors closed attachment to the natural resources;
- Self-identification and recognized by neighboring members by their distinctive culture
- A language different from the national language
- A long traditional social and institutional system
- A self-provided production system.

18. This planning framework will applied to all of the sub-projects of North Central Health Support Project where applicable.

Ethnic Minority planning framework (EMPf)

19. The main objective of this Ethnic Minority Planning Framework is to provide specific guidance on how to prepare and develop Ethnic Minority Plans to address issues related to ethnic minorities in the CNHS Project. It sets out goals and guidances to design and implement terms related to ethnic minorities within the project areas. The Framework also provides guidance on what steps are needed to conduct field investigations and preparation of necessary documents during the Project preparation, implementation and implementation evaluation.

20. The EMPs will provide details such as whether ethnic minorities live in project areas, their livelihood, socio-cultural, and political systems including their institutions and decision-
making processes. These details will help in the project planning to ensure that the development process fosters full respect for their dignity, human rights, and cultural uniqueness. More specifically, it is to ensure that Ethnic minorities do not suffer adverse impact as a result of the project.

21. The planning framework seeks to ensure that ethnic minorities are well informed, consulted and mobilized to participate in the sub-projects to be supported by North Central Health Support Project. Their participation can either provide them benefits with more certainty, or protect them from any potential adverse impacts of sub-projects to be financed by the Project. The main features/process of the EMP will be a preliminary screening process to determine whether presence of any ethnic minorities in the subproject areas and to collect relevant socioeconomic information, followed by a social assessment to determine the degree and nature of impact of each work under the sub-project, and a plan will be developed if warranted. Consultations with and participation of the ethnic minority population, their leaders and local government officials will be an integral part of the overall EMP.

PRELIMINARY Screening AND SOCIAL ASSESSMENT

5.1 Screening

22. All communes which have ethnic minority communities and are candidates for sub-project will be visited (at the time of first consultation with communes) by client, relevant local authority’s consultants. Prior to the visit, respective PPMUs will send a letters to the communes informing the commune leaders explaining the schedule and the objectives of the visit. The letter will request that the commune invite to the meeting the key stakeholders including representatives of farmers and women associations, village leaders, and key staff of commune for discussion on the sub-project. During the visit, the commune leaders and other participants will present their views with regards to the sub-project.

23. At this visit, the social scientists (consultants) will undertake a screening for ethnic minority population with the help of ethnic minority leaders and local authorities. The screening will check for the following:

(a) Names of ethnic groups in the commune
(b) Total number of ethnic minority groups in the commune
(c) Percentage of ethnic minority of commune population
(d) Number and percentage of ethnic minority households along the zone of influence of the proposed sub-Project.

A format to record screening results is provided in Annex 1.

24. If the results show that there are ethnic minority communities in the zone of influence of the proposed sub-project, a social assessment will be planned for those areas.

5.2 Social Assessment

25. The Social Assessment (SA) will be undertaken to evaluate the project’s potential positive and adverse effects on the ethnic minority groups, and to examine project alternatives where adverse effects may be significant. The breadth, depth, and type of analysis in the social assessment are proportional to the nature and scale of the project’s potential effects on the ethnic minorities, whether such effects are positive or adverse (see Annex 2 for details). The purpose is not only to identify key stakeholders but it is also to ensure an appropriate
framework for their participation in preparation, implementation and monitoring. It is to involve and give voice to people the project intends to benefit. Basic information that should be collected is: (i) population information; (ii) social, cultural and economic status; (iii) positive and negative social, cultural and economic impacts of the sub-project. The social assessment will be carried out by the social scientists (consultants) whose qualifications, experience, and TOR are cleared by the Bank.

26. **Stakeholder analysis**: Since EMs are one of the stakeholders likely to be affected by the project, the interests of these groups vis-à-vis the CNHSP has to be solicited and their view should be taken into account in project planning. This would examine the characteristics and interests of ethnic minorities; it need to understand how they expect the CNHSP will impact their lives from their socio-cultural and economic perspectives, and learn about their suggestions for mitigating measures and the ways to improve project benefits for ethnic minorities.

27. **Focus Group Discussions** among ethnic minority communities in the project areas will be carried out. Information will be gathered from separate group meetings: ethnic minority leaders; ethnic minority men; and ethnic minority women, especially those who live in the zone of influence of the proposed work under sub-project. These group interviews should be fairly homogenous groups disaggregated by sex, age, socio-economic class and any other variable, which makes sense in the local context. The purpose of these discussions is to gain minority insights on the CNHSP. Discussions will focus on sub-project impacts, positive and negative; and recommendations for design of sub-project.

28. **Local participation and consultation.** Dissemination of information about the project, and discussion on the possible impact on ethnic minorities and others are essential for living up to World Bank policy on *informed participation* of the indigenous people themselves. During project preparation local preferences should be identified through direct consultation ethnic minorities and their indigenous knowledge should be incorporated into project approaches. Only accurate information and consultation between implementing agencies and ethnic minorities can maximize project benefit to ethnic minorities, and secure their human rights and respect for their particular cultural values. Consultation and participation can also contribute to conflict mitigation and help project implementation in a timely and cost efficient manner.

29. If the social impact assessment identifies ethnic minorities to be affected (positively or negatively) in subproject areas in succeeding phases of CNHSP, the public participation and consultation procedures developed in the Policy Framework for Resettlement should apply to ethnic minorities as well. In the case ethnic minorities will be affected during project *implementation and monitoring and evaluation*, consultation and participation should be particularly adapted to the specific circumstances and living conditions of ethnic minorities.

30. The borrower will be responsible for analyzing the SA, and for leading the development of an action plan with the ethnic minority communities, project engineers and other staff. *If the SA indicates that the potential impact of the proposed sub-project will be significantly adverse or that the ethnic minority community rejects the project, the sub-project will not be implemented in that locality; no further action is needed in this case.* If the ethnic minority supports the sub-project implementation an EMP will be developed.
Ethnic Minority Plan (EMP)

31. The ethnic minority plan will consist of a number of activities and will include mitigation measures of potentially negative impacts, modification of sub-project design, and development assistance. Where there is land acquisition in ethnic minority communities, the project will ensure that their rights will not be violated and that they be compensated for the use of any part of their land in a manner that is culturally acceptable to them. The compensation and rehabilitation will follow the Resettlement Policy Framework of the project. An Ethnic Minorities Development Plan will include:

1. Legal Framework
2. Baseline data;
3. Land tenure information;
4. Local participation;
5. Technical identification of development or mitigation activities;
6. Institutional arrangement;
7. Implementation schedule;
8. Monitoring and evaluation; and

Implementation Arrangement

32. Consultants will also be responsible for training respective PPMUs, and a similar social organization to undertake the work of consultation, screening, social impact assessment, analyses and preparing EMPs.

33. CPMU, PPMUs and local authorities (People’s Committees, Committees for Ethnic Minorities and Mountainous Areas, Resettlement Committees, Women Union etc. at different levels) are responsible for implementing EMPs (arrange adequate staff and budget).

Monitoring

34. Implementation of the EMPs will be regularly supervised and monitored by CPMU, PPMUs of the Ministry of Health and respective Peoples’ Committees and Committees for Ethnic Minorities at provincial and district levels. The findings and recommendations will be recorded in quarterly reports and to be furnished to the Ministry of Health and World Bank Office in Viet Nam.

35. The independent agency or agencies which would be used by CPMU to undertake external monitoring and evaluation of the implementation of resettlement action plans for the Project will also be tasked with monitoring the activities for EMP. The external monitoring agency will visit a sample of affected households in each relevant province on an annual basis.

Schedule

36. The EMP should have an implementation schedule that is coordinated with the sub-project implementation. Logically, social impact assessments and group meetings should be undertaken before sub-project designs are prepared. Compensation for land acquisition should be satisfactorily completed at least one month prior to start of civil work. Monitoring should take place at the recommended times during project implementation.
**Budget**

37. The EMP, while provides development activities, will include information on detailed cost of mitigation measures and other rehabilitation entitlements for ethnic minority in the affected areas. Sources of funding for the various activities and financing plans will be clearly specified in the cost tables.

**Reporting/Documentation**

38. The EMPs will be prepared and submitted by PPMUs to CPMU and then the World Bank at the same time that respective PPMUs submit their annual work programs to Ministry of Health and the World Bank for review. When the Ministry of Health submits the final annual work programs of all the provinces to the World Bank for approval, an integrated EMP report for the provinces will also be furnished.
Annex 1: Preliminary Screening of Ethnic Minorities

When to do screening: At the time of the first consultation with a commune.
What information to collect: The screening will collect demographic data of ethnic minorities who live along the zone of influence.
How to collect the information: It can be obtained from ethnic leaders, village leaders and commune authorities.
Who will do the screening: Consultants or Trained District staff
Time required: The screening of each commune will take about one day to complete.

<table>
<thead>
<tr>
<th>Province: _____</th>
<th>District: _______</th>
<th>Commune: _______</th>
<th>Subproject: _______</th>
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<tr>
<th>Name of Villages, Communes along the Influenced Zone</th>
<th>Name of Ethnic Groups along the influence Zone (including Kinh)</th>
<th>No. of Ethnic Minority Households along the influenced zone</th>
<th>No. of Total Ethnic Minority Persons along the influenced Zone</th>
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Annex 2: Social Impact Assessment

When to conduct SIA: If the screening results show that there are ethnic minority households along the zone of influence of the subproject, a social impact assessment will be undertaken.

What information to collect: The SIA will gather relevant information on the following: demographic data, social, cultural and economic situation; and social, cultural and economic impact-positive and negative-of the proposed sub-project.

How to collect the information: Information will be gathered separate group meetings with the following ethnic minority groups: 1) EM leaders; 2) EM men; and 3) EM women, especially those who live in the zone of influence.

Who will conduct the SIA: Consultants or Trained District staff.

Province: _________; District: __________; Commune:_________; Subproject:__________

A. Demographic Social Cultural and Economic Situation

1. Percentage of ethnic minority households below the poverty line (according to MOLISA) ________
2. Number of ethnic minority girls attending elementary school
3. Number of ethnic minority boys attending elementary school
4. Number of ethnic minority girls attending secondary school
5. Number of ethnic minority boys attending secondary school
6. Average number of visits to the hospital by each ethnic minority household per year
7. Availability of water supply facility (wells, piped water, etc) in the community
   Yes _____; No_____
8. Availability of electricity in the community
   Yes _____; No_____
9. No. of households in community with connection to electricity
10. Economic information of ethnic minority community
    a) Types of natural resources in the area:

<table>
<thead>
<tr>
<th>Natural Resource</th>
<th>Check</th>
<th>Natural Resource</th>
<th>Check</th>
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</thead>
<tbody>
<tr>
<td>i. Forest</td>
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<td>iv.</td>
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<td>ii. Lake, river</td>
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<td>v.</td>
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<td>iii. Mineral</td>
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<td>vi.</td>
<td></td>
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</tbody>
</table>
b) Economic and livelihood systems:

<table>
<thead>
<tr>
<th>Main Activity</th>
<th>% of EM H/Holds</th>
<th>Secondary Activity</th>
<th>% of EM</th>
</tr>
</thead>
<tbody>
<tr>
<td>i. sedentary agriculture</td>
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<td>i. sedentary agriculture</td>
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<td>ii. shifting agriculture</td>
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<td>ii. shifting agriculture</td>
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<td>iii. landless farm worker</td>
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<td>iii. landless farm worker</td>
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<td>vi. off farm work</td>
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<td>vi. off farm work</td>
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<td>v. govt. employees</td>
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<td>vi.</td>
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<td>vi.</td>
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11. Tenure systems of main ethnic groups: briefly describe land ownership and tenure systems (e.g., communal ownership, private ownership, gender differences in ownership, etc.).

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12. Social information of ethnic minority community
(a) Key social and cultural systems of main ethnic groups: e.g., group travels frequently to visit relatives in other communes; men travel alone but women do not travel alone; men stay at home while women work in the fields; boys go to school but girls are not allowed; group members intermarry with other members of other groups, etc.

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

(b) Social groupings of main ethnic groups: briefly ethnic types of groupings: e.g., formal and informal leaders (such as spiritual leaders, traditional healers), formal and informal groups such as farmers, women, youth, elderly, etc.; who are the decision makers in the household? In the community?

________________________________________________________________________
________________________________________________________________________

B. Social, Cultural and Economic Impact
Getting views from men and women on:

1. Potential positive impacts:
   a. Potential employment during subproject construction, or increased access to employment once the subproject constructed Yes__; No______
b. Increased access to electricity;  Yes___; No_____
Comments:____________________________________________________________
____________
___________________________

2. Potential negative impacts:

a. Electric security:  Yes___; No_____

b. Physical and social problems related to subproject:  Yes___; No_____
Comments:____________________________________________________________
____________
___________________________

c. Land acquisition for subproject construction:  Yes___; No_____
Comments:____________________________________________________________
____________
___________________________

d. Threats to cultural properties and resources, such as archaeological sites and historical monuments, sacred and ceremonial sites, graveyards, medicinal plants, etc., in zone of influence:
Yes___; No_____
Comments:____________________________________________________________
____________
e. Other negative influences:

_____________________________________________________________________

_____________________________________________________________________

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C. Suggestions and Recommendations for Sub-Project

From Men:

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From Women:

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D. Other Comments