

SOCIALIST REPUBLIC OF VIETNAM
MINISTRY OF AGRICULTURE AND RURAL DEVELOPMENT

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**Mekong Delta Integrated Climate Resilience and Sustainable Livelihoods
(MD-ICRSL) Project**

**Subproject on Infrastructure to control spring tide and salinity to support
agricultural activities and adapting to climate change in district of Cau Ke
(Tra Vinh province), Tra On and Vung Liem (Vinh Long province)**

RESETTLEMENT ACTION PLAN

Prepared by

Central Project Office

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ABBREVIATION

AP	Affected person
CPC	Communal People's Committee
CPO	Central Project Office
CLFD	Centre for Land Fund Development
DARD	Department of Agriculture and Rural Development
DMS	Detailed Measurement Survey
DPC	District People's Committee
EMPF	Ethnic Minorities Policy Framework
EMDP	Ethnic Minorities Development Plan
ESMF	Environmental and Social Management Framework
GOV	Government of Vietnam
HH	Household
IOL	Inventory of Losses
IMC	Independent Monitoring Consultant
LAR	Land Acquisition and Resettlement
LURC	Land Use Right Certificate
MOF	Ministry of Finance
MOLISA	Ministry of Labors – Invalids and Social Affairs
NGO	Non-government Organization
OP	Operating Policy
PAD	Project Appraisal Documents
PPC	Provincial People's Committee
RAP	Resettlement Action Plan
RPF	Resettlement Policy Framework
SPMU	Subproject Management Unit
TOR	Terms of Reference
USD	United States Dollar
VND	Vietnamese Dong
WB	World Bank

GLOSSARY

Project impacts	Any impacts relating directly to land acquisition or limit using legal areas or protected areas
Affected persons	Any person who, as a result of the implementation of a project, loses the right to own, use, or otherwise benefit from a built structure, land (residential, agricultural, or pasture), annual or perennial crops and trees, or any other fixed or moveable asset, either in full or in part, permanently or temporarily.
Cut-off date	Is the date when the PPC issues the Notification of Land acquisition for the relevant project (Article 67.1 of the Law on Land in 2013) before implementation of detailed measurement survey. A census survey will be done before the cut-off date is announced to establish a list of potential affected households.
Eligibility	Any person who used the land affected by the project and listed before the cut-off-date: (i) with formal legal right to land; (ii) without formal legal right to land but have a claim to such land or assets recognized under the laws of the country (iii) without recognizable legal right or claim to the land they are occupying.
Replacement cost	<p>For agricultural land, the replacement cost is the pre-project or pre-displacement, whichever is higher, market value of land of equal productive potential or use located in the vicinity of the affected land, plus the cost of preparing the land to levels similar to those of the affected land, plus the cost of any registration and transfer taxes.</p> <p>For land in urban areas, it is the pre-displacement market value of land of equal size and use, with similar or improved public infrastructure facilities and services and located in the vicinity of the affected land, plus the cost of any registration and transfer taxes.</p> <p>For houses and other structures, it is the market cost of the materials to build a replacement structure with an area and quality similar to or better than those of the affected structure, plus the cost of transporting building materials into the construction site, plus the cost of any labor and contractors' fees, plus the cost of any registration and transfer taxes. In determining the replacement cost, depreciation of the asset and the value of salvage materials are not taken into account, nor is the value of benefits to be derived from the project deducted from the valuation of an affected asset.</p>

Resettlement	Covers all direct economic and social losses resulting from land taking and restriction of access, together with the consequent compensatory and remedial measures. Resettlement is not restricted to its usual meaning-physical relocation. Resettlement can, depending on the case, include (i) acquisition of land and physical structures on the land, including businesses; (ii) physical relocation; and (iii) economic rehabilitation of affected persons (APs), to improve (or at least restore) incomes and living standards.
Entitlements	Include compensation and assistance for APs based on the type and extent of damage.
Inventory of Losses (IOL)	Is process of accounting for physical assets and income affected by project.
Socio-economic Baseline Survey (BLS)	A socio-economic baseline survey of households, businesses, or other project-affected parties needed to: identify and accurately compensate or mitigate losses, assess impacts on household economy, and differentiate affected parties by level of impact.
Vulnerable groups	People who by virtue of gender, ethnicity, age, physical or mental disability, economic disadvantage, or social status may be more adversely affected by resettlement than others and who may be limited in their ability to claim or take advantage of resettlement assistance and related development benefits, including: (i) female householder with dependent persons (widowed or with disabled husband), (ii) invalid persons (disabled), lonely elderly; (iii) poor; (iv) person without land for livelihood; and (v) ethnic minority people.
Livelihood	Economic activities and income streams, usually involving self-employment and or wage employment by using one's endowments (both human and material) to generate adequate resources for meeting the requirements of the self and household on a sustainable basis
Income restoration	Re-establishment of sources of income and livelihoods of the affected households.
Stakeholders	Any and all individuals, groups, organizations, and institutions interested in and potentially affected by a project or having the ability to influence a project.

SUMMARY

1. Introduction. This Resettlement Action Plan (RAP) is prepared for the “Subproject on Infrastructure to control spring tide and salinity to support agricultural activities and adapting to climate change in district of Cau Ke (Tra Vinh province), Tra On and Vung Liem (Vinh Long province)” under the Mekong Delta Integrated Climate Resilience and Sustainable Livelihoods Project funded by a loan of the Government of Vietnam from World Bank. The RAP is developed basing on a Resettlement Policy Framework of the project and results of the socio-economic survey, inventory of loss and community consultation. It also describes entitlements for compensation and assistance for land and properties acquired under the project, income restoration program, implementation arrangement, implementation plan, estimated costs, monitoring and evaluation, community’s participation and consultation, grievance procedures.

2. Impacts and scope of land acquisition. The construction of 3 sluices gates in the subproject will require land acquisition in 4 communes in 3 districts of 2 provinces, namely Tra Vinh and Vinh Long. There are 13 household (HHs) affected by land acquisition, in which, 12 HHs have to be displaced physically. These 13 HHs are also considered as severely affected households, because they have to remove their houses and/or lost more than 20% of their production land. There are 5 vulnerable HHs, including 1 poor HH, 1 social-policy HH, 1 lonely-elderly head of HH and 2 female-headed HH with dependents; no HH of ethnic minorities is affected by land acquisition.

The subproject will acquire permanently 17,734 m² of production land and temporarily 16,243 m², (mainly garden land); 3,190 m² residential land will also be acquired permanently for the 13 households. Other temporary impacts can occur due to the borrow pits operation, disposal areas or temporary impacts during construction which are not yet identified.

3. Measures to minimize impacts of land acquisition and compensation. Main components of the project are the construction of 3 sluice gates to control salinity including locks and roads on the sluice gates. To minimize impacts of land acquisition, the designing unit proposed construction methods which will cause only temporary impacts and minimize permanent land acquisition.

4. Socio-economic situation. Three districts will benefit from the project. In 4 communes where the project is implemented, agricultural, forestry and aquaculture production account for 24.4% of the occupation of household’s members; trade and service account for 12.2%. The average poor household proportion in the 4 communes is 4.4%. The average income of each household is from 2 millions to 3 millions VND/month. Each household has an average of 4.1 person/household. As for education level, the majority finished primary schools (39%), and only 7.3% members of households attended higher education level, college or higher.

5. Policy Framework and Matrix of Entitlement. A resettlement policy framework was prepared based on current policies and decisions of the Vietnamese government and World Bank’s Operation Policy on Involuntary Resettlement (OP 4.12). This document will guide

the preparation of this resettlement plan and resettlement implementation for the project. General objectives of the policy and this resettlement document aim to ensure all affected people by the project to receive compensation for lost assets at replacement costs. Supports will be supplied for severely affected households, displaced households, households losing income, and households belonging to a vulnerable group in order to restore their income and living conditions at least equal or higher than before the project.

6. Consultation and participation of community. All affected people participated in community consultation about project information, project's impacts, relocation options. Feedback information from consultations was considered in the preparation of this RP.

7. Implementation process. Tasks of resettlement, compensation, assistance will be implemented by the Centre for Land Fund Development (CLFD), Subproject Management Unit (SPMU), and Central Project Office (CPO) and internal monitoring agencies. In the process of implementation, it is required strict coordination with implementation units as CLFD, SPMU, local agencies, local authorities and local social organizations, affected people in the area of the project. An Independent Monitoring Consultant will be recruited to monitor implementation of this RAP.

8. Grievance redress mechanism. In the implementation process, any grievances of affected people will be solved based on procedures mentioned in the RPF for compensation and resettlement of the project as well as in this RAP. Complaints will be solved by local authorities, project's officers fairly and clearly with monitoring of independent monitoring consultant. Complainers will not pay any administrative costs.

9. Monitoring and evaluation. Officials of SPMU and CPO will follow and monitor RAP implementation process. Otherwise, outside monitoring consultants will be recruited to monitor the implementation process and assess living conditions of APs during the process of RAP implementation and after finishing RAP.

10. Estimated cost. The total estimate cost of compensation and assistance is 12,005,817,423 VND; equivalent to 534,780 USD (with the exchange rate 1 USD = 22,450 VND). This cost includes compensation costs for residential land, production land, plants, houses, structures, assistance, income restoration program and other cost for RAP implementation.

11. Implementation plan. Activities of compensation, support and resettlement will be implemented in 2 year, from 2016 to 2017 and CLFDs will be mainly responsible for RAP implementation.

1. INTRODUCTION

1.1. The Mekong Delta Integrated Climate Resilience and Sustainable Livelihoods Project

The Government of Vietnam and the World Bank is preparing “Mekong Delta Integrated Climate Resilience and Sustainable Livelihoods Project”. The Project Development Objective is to enhance tools for climate-smart planning, and improve climate resilience of land and water management practices in selected provinces of the Mekong Delta in Vietnam. The project will directly or indirectly benefit over one million people living in the three sub-regions: (a) the upper delta (An Giang, Dong Thap and Kien Giang); (b) the peninsula (Ca Mau, Bac Lieu and Kien Giang); and (c) the coastal estuary (Ben Tre, Tra Vinh and Soc Trang). Additional rural and urban households and agribusiness in upstream and downstream regions also directly or indirectly benefit from the project intervention.

The project is envisioned to be the first phase of a long-term World Bank engagement in the Mekong Delta to strengthen integrated climate resilient management and development, across different sectors and institutional levels. More specifically, it will support information systems, the institutional arrangements, and the roadmap for building regional and provincial-level planning capacity for sustainable Delta-wide development. In parallel, the Project will also seek opportunities for 'low regret' investments and scope out longer term development options to be financed under future phases. The project would comprise of a combination of structural and non-structural investments, and will be informed by the World Bank financed *Building Resilience in the Mekong Delta TA* (P149017). The Project is proposed to span a period of 6 years, with the financing of US\$ 376 million (\$300 m from IDA; \$76 m from GoV).

The project concept and approach builds up from the vision articulated in the Mekong Delta Plan developed by the Dutch, whereby the delta was viewed as different hydro-ecological zones cutting across provinces and sectors. During the scoping of the proposed project, the task team has placed heavy emphasis on coordination with other Bank projects, and those of other development partners. The five components proposed under the project are:

Component 1: Enhancing Monitoring, Analytics, and Information Systems (*Estimated US\$52 million, of which US\$47.5 million will be financed by IDA*). Putting the Mekong Delta on a more sustainable and resilient trajectory in the face of climate change, upstream Mekong basin development, and environmentally damaging practices within the Delta itself, will require investments in both infrastructure and the enhanced capacity to monitor, plan, and manage the Delta’s land and water resources. Component 1 provides the framework for ensuring the capacity to undertake “smart investments” and cope with anticipated wide-scale environmental changes.

Component 2: Managing Floods in the Upper Delta (*Est. US\$ 101 million, of which US\$ 79.1 million will be financed by IDA*). The primary objective of this component is to protect and/or reclaim the benefits of controlled flooding (flood retention) measures while increasing rural incomes and protecting high value assets in An Giang and Dong Thap provinces. This will potentially consist of: i) modifying water and agricultural infrastructure to allow for more beneficial flooding (expanding flood retention capacity) in rural areas and offer new agricultural/aquaculture cropping alternatives; ii) providing livelihoods support measures to farmers so they have alternatives to the wet season rice crop, including aquaculture; iii) constructing/upgrading infrastructures for protecting select high value assets; and iv) facilitating agricultural water use efficiency in the dry season.

Component 3: Adapting to Salinity Transitions in the Delta Estuary (*Est. US\$ 109.1million, of which US\$ 82 million will be financed by IDA*). This component aims to address the challenges related to salinity intrusion, coastal erosion, sustainable aquaculture and improved livelihoods for communities living in the coastal areas of Ben Tre, Tra Vinh, and Soc Trang provinces. This will potentially consist of: i) construction of coastal defenses consisting of combinations of compacted earth embankments and coastal mangrove belts; ii) modification of water and agricultural infrastructure along the coastal zone to allow flexibility for sustainable aquaculture activities and adapt to changing salinity levels; iii) support to farmers to transition (where suitable) to more sustainable brackish water activities such as mangrove-shrimp, rice-shrimp, and other aquaculture activities; and iv) supporting climate smart agriculture by facilitating water use efficiency in the dry season.

Component 4: Protecting Coastal Areas in the Delta Peninsula (*Est. US\$ 101.4 million, of which US\$82.2 million will be financed by IDA*). This component aims to address the challenges related to coastal erosion, groundwater management, sustainable aquaculture, and improved livelihoods for communities living in the coastal and river mouth areas of Ca Mau and Kien Giang. This will potentially consist of: i) restoration of coastal mangrove belts and construction/ rehabilitation of coastal dikes in erosion areas; ii) modification of water control infrastructure along the coastal zone to allow flexibility for sustainable aquaculture activities; iv) control of groundwater abstraction for agricultural/aquaculture and development of freshwater supplies for domestic use; v) support to farmers to practice more sustainable brackish water activities such as mangrove-shrimp and other aquaculture activities; and vi) supporting climate smart agriculture by facilitating water use efficiency.

Component 5: (*Est. US\$ 12.1 million, of which US\$9.2 million will be financed by IDA*). Project Management and Implementation Support. This component will be split into project management support and capacity building for MONRE and MARD. This component is expected to provide incremental running costs and consultant and advisory services for overall project management, financial management, procurement, safeguards and monitoring and evaluation.

1.2. Subproject on Infrastructure to control spring tide and salinity to support agricultural activities and adapting to climate change in district of Cau Ke (Tra Vinh province), Tra On and Vung Liem (Vinh Long province)

After completion of construction in 2008, the South Mang Thit Irrigation System has been operated to serve for production and socio-economic development of Tra Vinh and Vinh Long province. However, in recent years, salinity of 4 g/l intrudes increasingly through the estuaries Vung Liem, Tan Dinh, Bong Bot. In the dry season, the southern area of the irrigation system lack of fresh water for production; environmental pollution increases; the automatic sluice gates do not meet the requirements of water control and navigation; tidal erosion in some structures; salinity intrusion in some areas of the northern area of the project through the open gates.

Salinity and rising water level make further impact into the territory of the project area due to climate change, and is expected to become more severe affecting water supply demand in Tra Vinh province and a part of Vinh Long province. Therefore, the proposed subproject will help to overcome the problems mentioned above, to supply water for sustainable production and development, adaptation with climate change and sea level rise for 225,682 hectares of the South Mang Thit Irrigation System and 82,383 hectares of natural land of Vung Liem, Tra On districts in Vinh Long province and Cau Ke, Cang Long district in Tra Vinh province.

Key proposed activities/investments

The key proposed activities of the subprojects are as in the following plan table.

	1 st year	2 nd year	3 rd year	4 th year	5 th year	6 th year
ZONE 2: Improving sustainability of brackish water						
A aquaculture						
1 Additional mangrove planting in shrimp ponds (728 ha) & Certification of shrimp mangrove ecofarming						
Survey and design						
Earthwork + Seeding						
Toilet						
Training for farmers (2353ha/700 HHs)						
Establish farmer groups						
Certification of shrimp-mangrove eco farming						
2 Aquaculture on Bio-diversity (2206ha/7 coops)						
a. Establish farmer coop						
b. Demonstration models (1 site/coop)						
c. Training for farmers (2206ha/2200hhs)						
ZONE 3a (Downstream area with frequent brackish water intrusion):						
Study on appropriate land use for a transition to brackish economics						
C ZONE 3b (Upstream area, Fruit trees, Freshwater):						
1 Tidal sluice gate and saltwater intrusion						
Sluice gate Vung Liem						
Sluice gate Bong Bot						
Sluice gate Tan Dinh						
2 Climate change awareness campaign						
D Linking farmers to markets						
1. Promoting contract farming (i.e materials, events, etc.)						
2. Product branding						

Resettlement activities took place recently at the Bong Bot sluice gate location. Some households were affected and some displaced. However, they were affected by a road construction project : the Mekong Transport Infrastructure Development Project funded by WB in 2014 and not linked to the proposed project. A RAP was prepared and approved based on WB policy. Affected households received full entitlements and compensation in accordance with WB policy OP 4.12. Therefore no due diligence is needed.

1.3. Objective of Resettlement Action Plan

The RAP is prepared based on the guidance set forth in project's Resettlement Policy Framework, as well as the World Bank's OP 4.12 Involuntary Resettlement, and relevant regulation and laws of Vietnam. The RAP is developed to (i) identify the full range of people affected by the project and justifies their displacement after consideration of alternatives that would minimize or avoid displacement; (ii) outline eligibility criteria for affected parties, establishes rates of compensation for lost assets, and describes levels of assistance for relocation and reconstruction of affected households.

This RAP will be updated after the completion of the detailed design and DMS with exact scope and level of impact of subproject. Thus, RAP implementation will help project owner to have the database to estimate the associated costs and important legal basis, procedures in the project implementation process, while contributing to resolve complaints of the affected people.

2. SCOPE OF IMPACT AND SOCIO-ECONOMIC CONDITIONS

2.1. Potential resettlement impacts

At this project preparation stage, it is expected that the subproject to be proposed would involve construction of 3 sluices Bong Bot, Tan Dinh, Vung Liem from the second year of the project which will have potential impacts (positive and negative) on land, non-land assets and income, change in types of livelihoods is likely to occur and appears to be an important social issue. Such social impacts are covered under the Regional Social Assessment. However, these impacts are not associated with involuntary taking of land or any other resettlement impacts.

Table 1. Communes in the construction area of the subproject

No.	Province	District	Commune	Construction
1	Tra Vinh	Cau Ke	An Phu Tan	Bong Bot and Tan Dinh sluices
2	Vinh Long	Tra On	Tich Thien	Tan Dinh sluice
3	Vinh Long	Vung Liem	Trung Thanh Dong	Vung Liem sluice
4	Vinh Long	Vung Liem	Trung Thanh Tay	Vung Liem sluice

Inventory of loss (IOL) was implemented basing on technical design of the construction mentioned above for collecting data on people, land, structure, crops, etc. affected by the subproject. In November of 2015, the IOL team including resettlement consultants of Vietnam Academy for Water Resources cooperated with staff of People's Committees (1 deputy chairman, 1 land use manager, 1 agricultural manager and all leaders of related villages) of 3 affected communes and design consultants to identify temporary boundaries of civil works and affected households due to land acquisition of the subproject. The IOL was conducted among the 13 households affected by the subproject in 4 communes in Cau Ke district, Tra Vinh province and Tra On, Vung Liem districts in Vinh Long province. At the same time, a socio-economic survey (SES) was conducted with all 13 affected households. The questionnaires of IOL and SES are presented in the Annex 1. Overall estimates of land acquisition and resettlement are shown in the following table.

Table 2. Summary of estimated land acquisition impacts of subproject

Total	Ethnic minorities	Permanent impacts					Temporary impacts	
		No. of AH	No. of physically displaced HH	Production land acquisition (m ²)	Residential land acquisition (m ²)	No. of affected graves	No. of AH	Land acquisition (m ²)
13	0	13	12	17,734	3,190	0	0	0

Only construction of 3 sluices Bong Bot, Tan Dinh, Vung Liem requires land acquisition that affects the residents around construction sites. According to the inventory of losses, there are 13 affected households including 12 households to be physically displaced; none of them belongs to ethnic minorities. Area of permanent land acquisition is about 17,734 m², including 3,190 m² of residential land. Area of temporary land acquisition is 16,243 m².

2.1.1. Impacts on land

The subproject acquires permanently 17,734 m² of production land and 3,190 m² of residential land; it will also acquire temporarily 16,243 m² of production land in the 4 affected communes. Quantity and types of lands acquired are shown in the following table.

Table 3. Scope of land acquisition

No.	Province	District	Commune	No. of AHs	Permanent production land acquisition (m ²)	Permanent residential land acquisition (m ²)	Temporary production land acquisition (m ²)
1	Tra Vinh	Cau Ke	An Phu Tan	4	3,900	1,200	6,500
2	Vinh Long	Tra On	Tich Thien	4	4,500	690	1,128
3	Vinh Long	Vung Liem	Trung Thanh Dong	2	4,675	400	3,715
4	Vinh Long	Vung Liem	Trung Thanh Tay	3	4,659	900	4,900
Total				13	17,734	3,190	16,243

The total of land acquired permanently for the whole project is 20,924 m². All of 13 affected households had Land Use Right Certificates to be fully eligible for land compensation. Types of land affected include residential land, garden land and aquaculture land. Detail of affected land types is showed in the following table.

Table 4. Detail of land loss according to land types

No.	District	Residential land (m ²)	Garden land (m ²)	Aquaculture land (m ²)	Total of affected land area (m ²)
1	Cau Ke	1,200	3,900	0	5,100
2	Tra On	690	4,500	0	5,190
3	Vung Liem	1,300	9,210	124	10,634
Total		3,190	17,610	124	20,924
Proportion		15.2%	84.2%	0.6%	100%

Residential land

In the total of 20,924 m² permanent land acquisition, there are 3,190 m² of residential land (accounting for 15.2% in the total of permanent land acquisition).

Garden land

Garden land is the main type of land to be acquired, 17,610 m², accounting for 84.2% in the total of permanent land acquisition.

Aquaculture land

Only 124 m² of area of aquaculture will be acquired (0.6%).

2.1.2. Impacts on structures and assets on acquired lands

12 HHs have to be displaced physically due to loss of their whole houses and their remaining residential land is not viable. Types of affected houses are houses with brick walls and concrete roof, houses with brick walls and tile roof, and temporary houses by bamboos, leaves. The total of house area is 1185 m². Detail of types of affected houses according to house condition and locations are presented in the following table.

Table 5. Condition of affected houses

No.	Province	District	Commune	House with brick wall, concrete roof		House with brick wall, tile roof		Temporary house by bamboos, leaves		Total HH	Area m2
				HH	m2	HH	m2	HH	m2		
1	Tra Vinh	Cau Ke	An Phu Tan	1	210	2	150	1	50	4	410
2	Vinh Long	Tra On	Tich Thien	0	0	2	220	1	90	3	310
3	Vinh Long	Vung Liem	Trung Thanh Dong	0	0	2	240	0	0	2	240
4	Vinh Long	Vung Liem	Trung Thanh Tay	1	35	2	190	0	0	3	225
Total				2	245	8	800	2	140	12	1185

According to consultation with physically displaced households, 10 HHs will opt for self-relocation and 2 HHs decided to resettle to other land they own.

Besides, AHs are also affected by loss of secondary structures such as kitchens, bathrooms, toilets, and livestock raising facilities, concreted yard, and tanks. Detail of affected structures are shown in the following table.

Table 6. Affected structures of households

No.	Structure	Unit	Commune			
			An Phu Tan	Tich Thien	Trung Thanh Dong	Trung Thanh Tay
1	Kitchen	m2		50	30	
2	Electricity meter	set	4	2	2	3
3	Water meter	set	2	40	1	
4	Fence	m2	150			
5	Toilets	m2	20		4	
6	Concreted yard	m2	40		20	35
7	Livestock cages	m2		40	20	30
8	Fish pond	m3			42.5	30
9	Soil graves	set				5
10	Water tank	set				16

2.1.3. Impacts on trees

Due to large land acquisition of garden land, many types of trees (fruit trees, timbers trees and ornamentals trees) will be affected. Details of affected trees by types of trees and locations are shown in the following table.

Table 7. Affected trees of households

No.	Structure	Unit	Commune			
			An Phu Tan	Tich Thien	Trung Thanh Dong	Trung Thanh Tay
1	Coconut	tree	50	200	67	100
2	Banana	tree	180	300	105	130
3	Longan	tree	80	70		
4	Mangosteen	tree		120		
5	Mango	tree		50	40	4
6	Jackfruit	tree		50	26	
7	Mulberry	tree			80	
8	Hopea odorata	tree			180	
9	Ornamental tree	tree			50	
10	Apricot	tree			40	10
11	Bamboo	tree				2

2.1.4. Severely affected people due to land acquisition and assets

Severely affected households due to production land acquisition

9 HH among the 13 HH will be severely affected losing over 20% of their production land (garden land) or, for vulnerable HH, losing more than 10%. Detail of ratios of affected production land in comparison with the total of land area of HHs is showed in the following table.

Table 8. Affected level of production land

No.	Province	District	Commune	Percentage of affected land compared with total production land area of HH			Total
				Under 10%	Within 10-20%	Over 20%	
1	Tra Vinh	Cau Ke	An Phu Tan	3	0	1	4
2	Vinh Long	Tra On	Tich Thien	1	0	3	4
3	Vinh Long	Vung Liem	Trung Thanh Dong	0	0	2	2
4	Vinh Long	Vung Liem	Trung Thanh Tay	0	0	3	3
Total				4	0	9	13

Physically displaced HHs

As indicated above, 12 HHs have to be displaced as their house will be totally affected and their remaining residential land is not viable and are also considered as severely affected households.

2.1.6. Vulnerable households

Among affected households, there are 5 HHs considered as vulnerable, including 1 poor HH, 1 social-policy HH, 1 lonely-elderly head of HH and 2 lonely female-headed HH with dependents. These households, besides compensation for lost assets, will receive additional support.

2.2. Mitigation measures for negative impacts

In general, the project brings many advantages for local people, but as well as other development projects, adverse impacts such as land loss and social and environmental impacts are inevitable. Some households have to be displaced and will have their income affected. Mitigation measures will be implemented in aspects of both of construction and non-construction methods. As for construction solutions, when consultants selected construction routes and location of sluice gates, design of construction was considered to minimize adverse impacts of land acquisition to local people. The construction work will be implemented synchronously for all works, then the structure will be operated immediately after completion, rather than constructing one by one or partly which leads to reduce effectiveness of the project.

2.3. Socio-economic information of affected households

2.3.1. General social information of affected communes

The total area of 4 communes affected by construction is 53.43 km², and the total of population is 29,302 people (density of 548 people/km²). The ratios of males and females are similar (14,084 males compared with 15,218 females).

Table 9. Area, population and living standard of project's affected communes

Commune	Total area (km ²)	Population	Population by gender		Poverty ratio (%)
			Male	Female	
An Phu Tan	15.96	10,675	5,445	5,230	5.0
Tich Thien	18.09	8,421	3,582	4,841	4.1
Trung Thanh Dong	11.17	4,858	2,331	2,525	4.0
Trung Thanh Tay	8.21	5,348	2,726	2,622	4.4
Total	53.43	29,302	14,084	15,218	

According to socio-economic statistic data provided by CPCs, the poverty ratios of communes range from 4% to 5%. Compared to poverty ratios of Tra Vinh and Vinh Long provinces with 10.67% and 6.24%, respectively, these rates are lower.

All communes have health centers and primary, secondary schools, but no high school. People in all communes use electricity from national network. Otherwise, some HHs also use electricity source from biogas. Water supply, for domestic and production needs are from various sources. Majority of people use water from ponds, lakes, rivers, streams, drilled wells and dug wells. Only some use tap-water, some HHs has rain-water tanks to use for domestic use.

Table 10. Health facilities, education and living facilities

Commune	Health Center	School		Electricity	Domestic water
		Primary and secondary school	High School		
An Phu Tan	1	5	0	100%	Mainly use dug well, drilled well (66%), tap-water (25%), remains are other types with small proportion
Tich Thien	1	3	0	100%	Mainly use drilled well (67%), tap-water (20%), water from ponds, lakes, rivers, streams (11%), and rain water with small proportion
Trung Thanh Dong	1	2	0	100%	Mainly use water from ponds, lakes, rivers, streams (72%), tap-water (19%), remains use rain water (9%)
Trung Thanh Tay	1	2	0	100%	
Total	4	12	0		

2.3.2. Results of household survey

After the household survey in 4 communes of the project, consultants identified 13 affected households (AH) of the project. Each household has an average of 3000-5000 m² of production land. The following data is the result of surveys with 13 AHs of the project.

Population, ethnic

In the total of 13 AHs of the project, the number of households which were surveyed on socio-economic situation is 13 HHs with the total of 41 members. All AHs are Kinh people, the ethnic majority in Vietnam. At the construction site of the project, there are no ethnic minority people. In 13 AHs, the number of male and female in HHs is not much different. The percentages of male and female are approximately 50% of each.

Table 11. Number of affected households

District/Commune	No. of AHs	No. of HH surveyed	No. of people	By gender		Ethnic	
				Male	Female	Kinh	
						HH	No. of people
Cau Ke	4	4	15			4	15
An Phu Tan	4	4	15	8	7	4	15
Tra On	4	4	9			4	9
Tich Thien	4	4	9	3	6	4	9
Vung Liem	5	5	17			4	17
Trung Thanh Tay	3	3	12	7	5	3	12
Trung Thanh Dong	2	2	5	3	2	2	5
Total	13	13	41	21	20	13	41

Age, education

In the total of 41 members of AHs, the number of people under 6 years old is 3 (ratio of 7.3%), the number of students (6-17 years) is 7 (ratio of 17.1%) and number of people in the working age group (18-60 years) is 105 (ratio of 56.1). The number of people over 60 years is 8 (accounting for 19.5%).

Table 12. Percentage of population in age groups

District	Age groups								Total	
	Under 6 years		6-17 years		18-60 years		Over 60 year			
	N	%	N	%	N	%	N	%	N	%
Cau Ke	2	4.9	3	7.3	9	22.0	1	2.4	15	36.6
Tra On	0	0.0	2	4.9	2	4.9	5	12.2	9	22.0
Vung Liem	1	2.4	2	4.9	12	29.3	2	4.9	17	41.5
Total	3	7.3	7	17.1	23	56.1	8	19.5	41	100.0

Most of the affected persons finished secondary schools (26.8); 14.6% finished high schools, 7.3% are in qualification of college, university. The 3 illiterate persons are elderly, accounting for 6.8%.

Table 13. Education level of APs

District	Illiteracy		Nursery school		Primary School		Secondary school		High School		College – University		Total	
	N	%	N	%	N	%	N	%	N	%	N	%	N	%
Cau Ke	2	4.9	0	0.0	9	22.0	3	7.3	0	0.0	1	2.4	15	36.6
Tra On	0	0.0	0	0.0	6	14.6	2	4.9	0	0.0	1	2.4	9	22.0
Vung Liem	1	2.4	2	4.9	1	2.4	6	14.6	6	14.6	1	2.4	17	41.5
Total	3	7.3	2	4.9	16	39.0	11	26.8	6	14.6	3	7.3	41	100

Occupation and income

Members of AHs have different occupations, 10 out of 41 people works in agricultural activities (including horticulture and livestock raising), accounting for 24.4% of the total. Other occupations are students (17.1%) and trading (12.2%). The remaining people belong to worker, state or private employee, driver, part-time labor, housewife, retiree.

Table 14. Occupations of affected people

Occupation	Cau Ke		Tra On		Vung Liem		Total	
	N	%	N	%	N	%	N	%
Agriculture	4	9.8	6	14.6	0	0.0	10	24.4
Trading	1	2.4	2	4.9	2	4.9	5	12.2
Worker	0	0.0	2	4.9	0	0.0	2	4.9
State employee	0	0.0	1	2.4	0	0.0	1	2.4
Employee of private companies	1	2.4	0	0.0	0	0.0	1	2.4
Driver	0	0.0	0	0.0	1	2.4	1	2.4
Housewife	1	2.4	0	0.0	2	4.9	3	7.3
Retiree	0	0.0	2	4.9	1	2.4	3	7.3
Student	1	2.4	3	7.3	3	7.3	7	17.1
Part-time labor	0	0.0	0	0.0	2	4.9	2	4.9
Other	1	2.4	1	2.4	4	9.8	6	14.6
Total	9	22.0	17	41.5	15	36.6	41	100

The survey on income rate of AHs indicates that the majority of AHs have average monthly income from 2 to 3 mil.VND/HH/month, accounting for 46.2%. There are 3 AHs with income rate from 2 to 3 mil.VND/HH/month, accounting for 23.1%. This income rate is nearly similar to poverty line promulgated by MOLISA (calculated based on 4.14 people/HH). Number of AHs with income from 3 to 5 mil. VND and over 5 mil.VND are the same of 2 HHs, accounting for 15.4% of each.

Table 15. Monthly income of affected households

District	Under 2 mil.VND		From 2-under 3 mil.VND		From 3-5 mil.VND		Over 5 mil.VND		Total	
	HH	%	HH	%	HH	%	HH	%	HH	%
Cau Ke	1	7.7	2	15.4	0	0.0	1	7.7	4	30.8
Tra On	2	15.4	2	15.4	0	0.0	0	0.0	4	30.8
Vung Liem	0	0.0	2	15.4	2	15.4	1	7.7	5	38.5
Total	3	23.1	6	46.2	2	15.4	2	15.4	13	100

Domestic water and electricity

Regarding drinking water sources, most of AHs in Cau Ke and Tra On district use tap water for drinking with 6 HHs, accounting for 46.2%. While, 4 AHs in Vung Liem district use rain water for drinking, accounting for 38.5%. Percentage of water used from lake/river water is only 15.4%.

Majority of AHs use water from river for washing, accounting for 69.2% because they are living near the rivers. The others use tap water or wells for washing purposes.

Regarding power usage, all 13 AHs use electricity source from national power network. Otherwise, a few HHs also use energy source from biogas of livestock raising.

Table 16. Water sources of affected households

District	Drinking water source								Washing water source							
	Tap		Wells		Lake/river		Rain		Tap		Wells		Lake/river		Rain	
	N	%	N	%	N	%	N	%	N	%	N	%	N	%	N	%
Cau Ke	3	23.1	0	0.0	1	7.7	0	0.0	1	7.7	1	7.7	2	15.4	0	0.0
Tra On	3	23.1	0	0.0	0	0.0	1	7.7	0	0.0	0	0.0	5	38.5	0	0.0
Vung Liem	0	0.0	0	0.0	1	7.7	4	30.8	1	7.7	1	7.7	2	15.4	0	0.0
Total	6	46.2	0	0.0	2	15.4	5	38.5	2	15.4	2	15.4	9	69.2	0	0.0

3. POLICY FRAMEWORK AND ENTITLEMENTS

3.1. The Legal framework of the Government of Vietnam

The principal legal documents applied for this RAP include the followings:

The Constitution of the Socialist Republic of Viet Nam (2013, effective from 01 January, 2014) confirms the right of citizens to own and protects the ownership of house and production materials of citizens, compensation by market rate is made for impacts by the projects implementing for the purposes of national defense, security or public benefits (Article 32). Similarly, organizations and individuals have land use rights certificates and the rights are protected by laws and the in-case of land recovery for the purposes of national defense, security and socioeconomic development, compensation shall follow provisions of laws (Article 54).

In addition to the constitution, the Government has enacted a number of laws, decrees and regulations that constitute the legal framework for land acquisition, compensation and resettlement. The principal resettlement documents include the Land Law No. 45/2013/QH13; the Decree No. 43/2014/NĐ-CP on Detailed Regulations on Implementation of the Land Law No. 45/2013/QH13; the Decree No. 47/2014/ NĐ-CP on Compensation, Assistance, and Resettlement when the State Recovers Lands; the Decree No. 44/2014/NĐ-CP on Land Prices; the Circular No. 37/2014/BTNMT on Detailed Guidance on Compensation and Assistance when the State Recovers Land; and Circular No. 36/2014/TT-BTNMT on specifying detailed methods of valuation of land prices, construction, adjustment of land prices; specific land prices valuation and land prices valuation consulting service. These are the key legal documents that applied to land recovery and resettlement.

The Land Law 2013 provides a comprehensive framework for land acquisition and resettlement. The main points of the Law are summarized below:

- The organization in charge of compensation and site clearance has to prepare a plan for compensation, support and resettlement The approved plan for resettlement must be posted at commune/ward People's Committee office and at common public places where land is recovered (Article. 69).
- Under Art, 69, agencies in charge of resettlement implementation have also to conduct consultations on compensation plan through meetings with affected HH; compensation plans have to be posted at ward/commune PC office; the consultation results must be recorded in minutes which are certified by local authorities and affected HH;. Opinions from AH have to be compiled; consultation has to be conducted with HH who have objections on the plan for compensation, support and resettlement and for improving the plan
- The Law identifies principles and methods of land valuation with principle of market rate (Art. 114 3).
- Resettlement sites must be developed and fully completed before relocation of APs. Land recovery can only be conducted after the construction of houses and infrastructure in the resettlement area is completed. (Article 85).
- Support for training, career change and facilitating job searching have to be provided for HH losing agriculture land (Article 84).

- Structures and other non-land assets are not compensated for the following cases: i) illegally established; ii) located on land not used in accordance with the land purpose are not compensated; and iii) built after the cut-off date (Article 92).
- For agricultural land which was used before 01st July, 2004 , HH without LURC or not eligible to LURC, compensation is done for land currently used for cultivation and without exceeding the land allocation standards (Art, 77.2).
- Monitoring and evaluation is required in a more general basis and is not specific to resettlement; it includes all aspects of the implementation of the Land Law (Art. 200);

Decree No. 47/2014/ND-CP on compensation, support and resettlement upon land recovery by the State is the main implementing Decree. Main content is summarized below:

- For HH directly engaged in agricultural production ineligible for compensation under the Land Law PPC shall consider support for them (Art. 24);
- Support for stabilization of livelihood is based on severity of impacts on agriculture land (Art. 19);
- Support for resettlement in case of recovery of residential land. HH receiving an amount of compensation for land lower than the value of the minimum resettlement lot are entitled to support for the difference between the minimum resettlement lot value and the amount of compensation for land. In addition to compensation for land, relocated HH are entitled to a resettlement support amount (Article 22.);
- Resettlement areas shall be established for one or more than one project. Houses and residential land in resettlement areas shall be arranged in different grades and areas suitable to different levels of compensation and payment capacity of resettled persons (Article 26 3);
- Consultation plans on compensation, support and resettlement shall be posted up to get opinions of for at least 20 days from the starting date of posting (Article 28);
- For projects requiring relocation of the whole community, affecting the livelihood, socioeconomic situation and cultural tradition of the community, investors have to elaborate a policy framework on compensation, support and resettlement. (Art. 17.1).

Decree No. 44/2014/NĐ-CP identifies mechanism for compensation at market rates. Compensation rates for land must be based on investigation, information on land plots, market rates and suitable valuation method; Decree 44 identified several methods for land valuation. Circular No. 36/2014/TT-BTNMT specifies detailed methods of valuation of land prices, construction, adjustment of land prices; specific land prices valuation and land prices valuation consulting service.

Circular No. 37/2014/BTNMT identifies the contents of plans on compensation, support and resettlement elaborated, must have the following principal contents: i) area of each category of land to be recovered; ii) estimated number of AH; iii) estimated amounts of compensation and settlement support; iv) expected resettlement areas; v) budget and funding sources; vi) Schedule of plan implementation; time-bound implementation schedule (Art. 10).

Each province Peoples' Committee issued decisions on compensation, assistance and resettlement when the State acquires land, based on the Land Law and implementing decrees. In Tra Vinh and Vinh Long the following regulations have been issued:

- Decree No.17/2013/NQ-HDND dated November 06, 2013 of Tra Vinh in issuing unit price of lands locating in Tra Vinh province, 2014
- Decision No. 06/2013/QD – UBND dated January 28th, 2013 of Tra Vinh province in issuing unit price of fruit trees, vegetables to identified the value for damage compensation during ground clearance in Tra Vinh province.
- Decision No. 28/2009//QD – UBND dated November 25th, 2009 of Vinh Long province in relation to the issuance of unit price for damage compensation, support plan in Tra Vinh province.
- Decision No. 11/2013/QD-UBND dated November 19th, 2013 of Vinh Long province in regulation the price of lands locating in Vinh Long, 2014.
- Decision No. 06/2013/QD – UBND dated August 13th, 2013 of Vinh Long province in stipulating price of new house, work and architecture locating in Vinh Long province
- Decision No. 18/2014/QD – UBND dated September 30th, 2014 in relation to the issuance of regulations on compensation, support and resettlement locating in Vinh Long province

3.2. The World Bank's Operation Policy on Involuntary Resettlement (OP 4.12)

3.2.1. The WB's involuntary resettlement policy objectives

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

3.2.2. Required measures for the best resettlement results

- Consulting PAPs/DPs about feasible measures for compensation and resettlement plans;
- Providing PAPs/DPs with options for resettlement and recovery;
- Offering PAPs/DPs opportunities to participate in and choose planning options;
- Compensating fully at replacement costs for losses attributable to the project;

- Resettlement sites must be provided with fundamental infrastructure and services same as the DPs' previous residential areas at least;
- Providing DPs with allowances, supports, vocational training and income assistance to facilitate their relocation;
- Identifying special supports for vulnerable groups and;
- Setting up an institutional structure to ensure the successful compensation and resettlement.

3.2.3. Compensation Criteria and Eligibility

The eligibility for obtaining entitlements to compensation follow the principles below:

- i. Those who have formal legal rights to land (including customary and traditional rights recognized under the laws of the country) – in the instance, it is also useful to document how long they have been using the land or the assets associated with it;
- ii. Those who do not have formal legal rights to land at the time the census begins but have a claim to such land or assets, provided that such claims are recognized under the laws of the country or become recognized through a process identified in the resettlement plan;
- iii. Those who have no recognizable legal right or claim to the land they are occupying.
- iv. Persons encroaching land after the cut-off date determined in the project RAP are not entitled to any compensation or assistance from the project.

3.2.4. Valuation and compensation for losses

Methods used for the valuation of losses in WB funding projects are based on full replacement costs. For this project, the losses consist of damages to land, structures and other assets and these replacement costs will be evaluated as follows:

- The full replacement cost of land includes the land value as defined in accordance with the prevalent market price plus administration fees (i.e. costs for transaction, LURC etc.).
- For affected houses and other structures, the valuation is based on the market prices of construction materials and labor costs to build a replacement house of equal or better quality and area to the affected one.

For works partly or wholly affected by the project, the compensation includes the market price of building materials plus costs for transportation, labor and contractor fees, registration fees and transfer taxes. Asset depreciation and value of salvaged materials are not deducted.

3.3. Comparison between Government of Vietnam and World Bank approaches

The GOV's policies and practices both in resettlement and compensation are mostly compatible with the WB's guidelines. There are several differences between the GOV's regulations and WB's policies in terms of compensation, assistance resettlement and livelihood rehabilitation for PAPs. The summary of differences of the two policies and a

harmonizing policy with the proposed measures to close the gaps between two policies to be applied for this project, are presented in Table 18.

As a WB member country, the GOV has committed that, should the international agreements signed or acceded to by GOV with the WB contain provisions different from those in the present resettlement legal framework in Vietnam, the provisions of the international agreements with the WB shall prevail. According to Clause 2 of Article 87 of the Land Law 2013, “for the projects using loans from foreign and international organizations for which the State of Vietnam has committed to a policy framework for compensation, support, resettlement, the framework is applied”.

To comply with WB OP 4.12 policy on Involuntary Resettlement, articles in the laws and regulations of Vietnam that do not guarantee the PAPs’ right to compensation at replacement costs, or eligibility articles that do not extend the right of being restored and/or assisted to households without valid land papers, or otherwise limit the compensation required by WB OP 4.12, will not apply. The requirements of WB OP 4.12 will fully apply in all cases.

Table 17. Comparison of Vietnam’s and World Bank’s Policies related to Involuntary Resettlement

Subjects	Bank’s OP 4.12	Government of Vietnam	Project Measures
<i>I. Land Property</i>			
<i>1.1. Policy objectives</i>	<i>PAPs (Project Affected Persons) should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher</i>	Not mentioned. However, there is a provision of support to be considered by Provincial People’s Committees (PPC) to ensure they have a place to live, to stabilize their living and production. (Article 25 of Decree 47). In case the amount of compensation/ support is not enough for resettled people to buy a minimum resettlement plot/ apartment, they will be financially supported to be able to buy a minimum resettlement plot/apartment (Article 86.4 of Land Law 2013 and Article 27 of Decree 47)	- Livelihoods and income sources will be restored in real terms, at least, to the pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.
<i>1.2. Support for affected households who have no recognizable legal right or claim to the land they are</i>	<i>Financial assistance to all project affected persons to achieve the policy objective (to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-</i>	Only agricultural land used before July 1, 2004 is eligible for compensation. Other cases may be considered for assistance by PPC if needed.	- Agricultural land used prior to 1/7/2004 is supported with an amount of equal to 100% of the land at full replacement cost; - Agricultural land used after 1/7/2004 will be

Subjects	Bank's OP 4.12	Government of Vietnam	Project Measures
<i>occupying</i>	<i>displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher)</i>		<p>supported with an amount of 80% of the land value</p> <ul style="list-style-type: none"> - Residential land and non-agricultural land will be supported with an amount of at least 60% of the land at the replacement cost. - For residential land, in case, the relocated PAP belongs to poor or vulnerable groups or HHs, the project will provide assistance to ensure that the PAP is able to relocate and re-establish themselves to a new site.
<i>1.3. Compensation for illegal structures</i>	<i>Compensation at full cost for all structures regardless of legal status of the PAP's land and structure.</i>	No compensation	<ul style="list-style-type: none"> - Compensation at full replacement cost will be given for all structures affected, regardless of legal status of the land and structure.
2. Compensation			
<i>2.1. Methods for determining compensation rates</i>	<i>Compensation for lost land and other assets should be paid at full replacement costs,</i>	Compensation for lost assets is calculated at price close to transferring the assets in local markets or the cost of newly-built structures. PPCs are granted to identify compensation prices for different categories of assets. Independent land valuator can be used to determine land prices, which will be appraised by land appraisal board before PPC approval.	<ul style="list-style-type: none"> - Independent appraiser identifies replacement costs for all types of assets affected, which are appraised by land appraisal board and approved by. Provincial People's Committees to ensure full replacement costs.
<i>2.2. Compensation for loss of income sources or means of livelihood</i>	<i>Loss of income sources should be compensated (whether or not the affected persons must move to another location)</i>	Assistance in respect of income loss is given only for registered businesses. Assistance measures to restore income sources are provided.	<ul style="list-style-type: none"> - All income losses are to be compensated and, where necessary to achieve the objectives of the policy, development assistance in addition to compensation will be provided.

Subjects	Bank's OP 4.12	Government of Vietnam	Project Measures
<i>2.3. Compensation for indirect impact caused by land or structures taking</i>	<i>It is good practice for the borrower to undertake a social assessment and implement measures to minimize and mitigate adverse economic and social impacts, particularly upon poor and vulnerable groups.</i>	Not addressed.	Social assessment has been undertaken and measures identified and being implemented to minimize and mitigate adverse impacts, particularly upon poor and vulnerable groups.
<i>2.4. Livelihood restoration and assistance</i>	<i>Provision of livelihood restoration and assistance to achieve the policy objectives.</i>	Livelihood restoration and assistance measures are provided. No follow-up for full livelihood restoration after resettlement completion.	Provision of livelihood restoration and assistance measures to achieve the policy objectives. These will be monitored as detailed in the RAP
<i>2.5. Consultation and disclosure</i>	<i>Participation in planning and implementation, specially confirming the eligibility criteria for compensation and assistance, and access to Grievances Redress Mechanisms</i>	Focus mostly on consultation during planning (consultation on draft plan of compensation, support and resettlement and plan for training, occupation change and facilitating job searching); information sharing and disclosure.	Consultation and participation incorporated into RAP design, along with information sharing with PAPs and stakeholders.
3. Grievance redress mechanism			
	<i>Grievance redress mechanism should be independent</i>	PAPs are entitled to send complaints/grievances of any issues related to the compensation, assistance and resettlement to the competent agencies to be handled the grievances at the first and second steps. At the same time, complainants can go to court at any steps as PAP wishes (Articles 28, 32, 33 of Law on Grievance No. 02/2011/QH13 dated 11 November, 2011)	More effective Grievance and Redress mechanisms are to be established, built on the existing governmental system, with monitoring by an independent monitor
4. Monitoring & Evaluation			
	<i>Internal and independent monitoring are required</i>	Citizens are allowed to supervise and report on breaches in land use and management on their own (or through representative organizations), including land acquisition, compensation, support and resettlement (Article 199, Land Law 2013).	Both internal and independent monitoring is to be regularly maintained (on a monthly basis for internal and bi-annual basis for independent monitoring). A final report will be done to confirm

Subjects	Bank's OP 4.12	Government of Vietnam	Project Measures
		There is no explicit requirements on monitoring of the resettlement works, including both internal and independent monitoring	whether the objectives of OP 4.12 were achieved.

3.4. General principles for compensation, resettlement and restoration

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

- The compensation rates will be determined based on the results of independent appraisal of the land/crops/assets (associated with the land) in a timely and consultative manner. All fees and taxes on land and/or house transfers will be waived or otherwise included in a compensation package for land and structures/or houses or businesses. The local authorities will ensure that PAP choosing relocation on their own, obtain, without additional costs, the necessary property titles and official certificates commensurate with similar packages provided to those who choose to move to the project resettlement sites.
- Land will be compensated “land for land”, or in cash, according to PAP’s choice whenever possible. The choice of land for land must be offered to those losing 20% or more of their productive land. If land is not available, Project Management Unit (PMU) must assure itself, that this is indeed the case. Those losing 20% or more of their land will have to be assisted to restore their livelihood. The same principles apply for the poor and vulnerable people losing 10% or more of their productive landholding.
- PAPs who prefer “land for land” will be provided with land plots with the equivalent productive capacity for lost lands or a combination of land (a standard land plot) in a new residential area nearby for residential land, and cash adjustment for difference between their lost land and the land plots provided. The resettlement area will be planned properly and implemented in consultation with the PAPs. All basic infrastructures, such as paved roads, sidewalks, drainage, water supply, and electricity and telephone lines, will be provided.
- PAPs who prefer “cash for land” will be compensated in cash at the full replacement cost. These PAPs will be assisted in rehabilitating their livelihoods and making their own arrangements for relocation.
- Compensation for all residential, commercial, or other structures will be offered at the replacement cost, without any depreciation of the structure and without deduction for salvageable materials. Structures shall be evaluated individually. Any rates set by

category of structure must use the highest value structure in that group (not the lowest).

- Households whose income generation activities, or livelihoods are affected as a result of construction (temporary impact) will be compensated for at replacement costs principle.
- As for the displaced households affected with shelter (displaced from existing residential land because the remaining land area is not feasible for building house or entire land acquisition), the local resettlement board needs to conduct consultations and makes agreed solutions to assist for new shelter for affected households.
- The displaced households affected with shelter that capable of building house on the remaining land (not subject to displacement) will be applied general policies of the project in accordance with the agreed entitlement matrix.
- The PAPs will be provided with full assistance (including a transportation allowance) for transportation of personal belongings and assets, in addition to the compensation at replacement cost of their houses, lands and other properties.
- Compensation and rehabilitation assistance must be provided to each PAP at least 30 days prior to the taking of the assets for those who are not to be relocated and 60 days for those who will have to be relocated. Exceptions should be made in the case of vulnerable groups who may need more time.
- If, by the end of the project, livelihoods have been shown not to be restored to pre-project levels, additional measures will be provided.
- Additional efforts, such as economic rehabilitation assistance, training and other forms of assistance, should be provided to PAPs losing income sources, especially to vulnerable groups, in order to enhance their future prospects toward livelihood restoration and improvement.

3.5. Compensation Policies

All APs who are identified in the project-impacted areas on the cut-off date of the Project baseline survey (BLS) will be entitled to compensation for their affected assets, and rehabilitation measures sufficient to enhance, or at least restore their livelihoods in real terms relative to pre-project levels; and to improve the standards of living of the affected poor and other vulnerable groups. The cut-off date will be the date when the PPC issues the Notification of Land acquisition for the relevant project (Article 67.1 of Land Law 2013) before implementation of DMS. A census survey will be done before the cut-off date is announced to establish a list of potential affected households. Those who encroach into the investment area or building their new assets (rehabilitation, construction of houses/structures, new tree planting) after the cut-off date will not be entitled to compensation or any other assistance. We should note that the following sections present only entitlements matching with the actual impacts of the subproject as identified above.

3.5.1. Compensation Policy for Permanent Impact

For Loss of Agricultural land

Legal land users:

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

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

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

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

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

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

Instead of compensation, these PAPs will receive rehabilitation assistance at 80% of the land value in cash. Agricultural land used before July 1, 2004 will be compensated at 100% as per

Article 77.2 of the land law. These PAPs will be entitled to the rehabilitation measures mentioned above, to ensure that their living standards are restored.

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

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

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

For Loss of Residential Land

Loss of residential land without structures on it: for legal and/or legalizable land users, all compensation for loss of land will be made in cash at full replacement cost. For land users who have no recognizable land use right, financial assistance will be provided. The amount will be determined by the respective PPC.

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

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

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

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

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

OR,

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

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

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

- The households whose land is affected will be assisted in cash with an amount of 60% of the land at the replacement cost.
- If the PAP has no place to move, a land plot or an apartment satisfactory to them will be provided in the resettlement site and they can either pay in installment or rent it for living.

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

For Loss of House/Structures

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

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

Tenants

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

For Loss of Standing Crops and Trees or aquaculture products

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

can be removed and transported, compensation will be paid for the loss of the tree plus the transportation cost.

For Loss of Income and/or Business/Productive Assets

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

- Allowance for stable production, business: All affected businesses and production households whose income is affected will be compensated and/or supported for losses in business equivalent to 30% of their actual annual income: (i) For licensed businesses the compensation will be based on their average yearly income as declared with the taxation agency over the previous three years, and (ii) For unregistered affected businesses but have made their tax obligations the compensation will be supported by 50% of the specified support.
- Employees who are affected by acquisition of residential/commercial land acquisition, public land or land of enterprises: Allowance equivalent to the minimum salary as per the regulations to affected employees during the transition period which can be for a maximum of 6 months. Assistance in finding alternative employment will also be given.
- If the business has to be relocated, the project will assist in finding an alternative site with location advantage and physical attributes similar to the land lost, and with easy access to a customer base, satisfactory to the PAP. Alternatively, the PAP will receive compensation in cash for the affected land and attached structures at replacement cost, plus transportation allowance for movable assets.

Compensation for Graves

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

Compensation for other assets

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

3.5.2. Allowances and Rehabilitation Assistance

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

For Impacts on Residential Land

- Transportation Allowance to relocating PAP: The support level moving to new location: moving in the city will be decided by PPC, in accordance with local.
- Removal Support: Organizations and PAPs that are allocated or leased land by the state or are lawfully using land and have to relocate their productive and/or business establishments are entitled to financial support for dismantling, relocating and re-installation of the establishment. Support levels will be determined by actual costs at the time of removal, based on self-declaration of the organizations and verification by the agency in charge of compensation. This will then be submitted to the relevant authorities for approval.
- House Renting Allowance or temporary accommodation will be provided to PAPs who may be forced to relocate from their original homes and are still awaiting the replacement land plots or apartments. In the case of replacement land plots, the rental allowance will extend to the period during which the new house is being built.

For Impacts on Agricultural Land:

- Allowance for Loss of Livelihood (during transition period): (i) PAPs losing 20 - 70% of their agricultural landholding (or 10 - 70% for the poor and vulnerable groups) will be provided with compensation by 30 kg of rice /person/month for 6 months if they do not have to relocate, and for 12 months in case of relocation. In some special cases, in extremely difficult areas, the compensation may be provided for a maximum of 24 months; (ii) PAPs losing more than 70% of their agricultural landholding will be assisted at the above rate for a period of 12 months if they do not have to relocate, and 24 months in case of relocation. In some special cases, in extremely difficult areas, the compensation may be provided up to a maximum of 36 months; (iii) Households affected by loss of less than 20% of land, where the remaining land is rendered unviable for continued use, will be assisted with the above support plus any additional support as determined, for a period of 12 months. In case of land-for-land compensation, PAPs will be assisted with seedlings, agricultural-forestry extension programs, husbandry etc.
- Support for Skill/Job Change: The project will offer a range of training options in consultation with the affected PAPs and relevant to the market demand and needs of the area. The financial compensation will at most 5 times the agricultural land prices established by PPC of the acquired agricultural land, but subject to the local land allocation limit as per Government's regulations.
- Support for training, apprenticeships on vocational training establishments: At least one member of each affected household will be entitled to vocational training and assistance in getting employment in the PPC. The PAPs participating in such training programs will

be exempted from payment of tuition fees. After finishing training courses, they will be given priorities to be recruited in local manufacturing industries.

- Assistance for agricultural, garden and pond land adjacent to, but not included in the category of residential land: Additional assistance (equivalent 40% of the cost of compensation for the adjacent residential plot) for garden land and pond land; and (at 50% of the cost of compensation for the adjacent residential plot) for agricultural land.

Other allowances/ assistance:

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

Allowances/ Assistance Targeted to Vulnerable Households:

- For landless households: Assistance through provision of an apartment with either payment by installment to buy it or rent it for living (at PAP's choice). Additional assistance will be considered if needed to ensure the PAP have a place to live.
- Social Policy: (i) Relocated Households which included heroic mothers, heroic armed force, heroic labor, war veterans, wounded or dead soldiers; (ii) Poor Relocated Household or Poor Household whose 10% or more of their productive land affected or where <10% land affected but the remaining land will be provided with support as regulated by the PPCs (to be certified by local authority).
- Other vulnerable groups: Female headed households with dependents, household with disabled persons, elderly without any source of support, poor and near poee household and ethnic minority households will get the same additional support given to poor households in accordance with the provincial policy.
- PAPs who will lose income sources will be entitled to take part in Income Restoration Programs. Rehabilitation measures like agricultural extension services, job training and creation, credit access and/or other measures as appropriate will be given to PAPs losing income sources to ensure their livelihood could be restored to the pre-project level.

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

Table 18. Entitlement matrix

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
<p>1. Productive land¹ (Agricultural, garden, pond land, etc.) either in or out of the residential area.</p>	<p><u>Legal land users</u> 1.1. Marginal loss (< 20% of land holding or < 10% for vulnerable group) The remaining area of affected plot is still economically viable for use or meets the expected personal yield. (4 HH)</p>	<p>Cash compensation at replacement cost (free from taxes and transaction costs) for the affected land area.</p>	<ul style="list-style-type: none"> - Affected households to be notified at least ninety days before land recovery by the Project. - The owner of land will hand over the land within 20 days from the date District Compensation Board fully pays compensation for land.
	<p>1.2. Loss of no less than 20% or no less than 10% for vulnerable groups (9HH)</p>	<p>Land for land compensation should be as the preferred option. If land is not available, or at the PAP's choice, cash compensation can be provided for the lost area at 100% of land replacement cost. The PAP will be provided with the additional rehabilitation measures to restore the lost income sources.</p>	<ul style="list-style-type: none"> - Affected households to be notified at least ninety days before land recovery by the Project. - The owner of land will hand over the land within 20 days from the date District Compensation Board/ has paid compensation and other allowances in full. -

¹The sub-categories of productive land such as agricultural, forestry, garden, aquaculture and pond will be compensated at different rates. These will be specified and detailed in the updated Resettlement Action Plans to ensure the compensation is reflective of current rates and takes into account geographic variation.

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
2. Residential land	2.1. Marginal loss (i.e., land is still viable for use and not requiring relocation). (1 HH)	Compensation for loss of land in cash at (i) replacement cost to the legal and legalizable land users; (ii)	<ul style="list-style-type: none"> - Affected household to be notified at least 180 days before land recovery by the Project. - The owner of land will hand over the land within 20 days from the date District Compensation Board/ has paid compensation in full.
	2.2. Relocated PAPs (12 HH)	<i>(i) Legal or legalizable land users:</i> Cash compensation at full replacement cost plus the amount equivalent to the value of the infrastructure investments calculated averagely for each household in a resettlement site. In this case, they will be expected to relocate themselves.	<ul style="list-style-type: none"> - Due to the few number of resettled HH (12) no resettlement site will be built; HH opted for self-relocation; they will be assisted by local authorities to find adequate plot of land in the same commune. -
3. Houses	3.1. Partial impact: Unaffected portion of the house is still viable for use and could be remained from the technical viewpoints, therefore, require no relocation. (1 HH)	<ul style="list-style-type: none"> - If house/structure is partially affected and the remaining structure is viable, the project will provide a repair allowance, in addition to the compensation for affected portion at replacement cost, to enable PAPs to restore it to former or better conditions. - Compensation for other structures/fixed assets will be at full replacement cost and will be in cash. - 	<ul style="list-style-type: none"> - The calculation of rates will be based on the actual affected area and not the useable area. -

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
	<p>3.2. Full impact (i.e., house is partially acquired by the project but no longer viable for continued use or the entire structure is acquired). (12 HH)</p>	<ul style="list-style-type: none"> - Compensation in cash for entire affected structures will be provided at 100% of the full replacement cost for materials and labor, regardless of whether or not they have title to the affected land or permit to build the affected structure. The amount will be sufficient to rebuild a structure the same as the former one at current market prices. No deductions will be made for depreciation or salvageable materials. - Compensation for other structures/fixed assets will be at full replacement cost and will be in cash. - Cash allowance of 3,000,000 VND/HH.for the transport of household effects to the new residences; - House renting allowance during the construction of new house: 3,000,000 VND/HH 	<ul style="list-style-type: none"> - The calculation of rates will be based on the actual affected area and not the useable area. -
<p>4. Crops and trees, aquaculture products</p>	<p>Owners regardless of tenure status (13 HH)</p>	<ul style="list-style-type: none"> - For annual and perennial standing crops or trees, aquaculture products regardless of the legal status of the land, compensation in cash will be paid to 13 affected households, who cultivate the land, at full replacement cost in 	<ul style="list-style-type: none"> - PAPs will be given notice several months in advance regarding evacuation. Crops grown after issuance of the deadline will not be compensated.

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		local markets to ensure the compensation is sufficient to replace the lost standing crops, trees or aquaculture products.	
5. Graves	Have to move the graves or tombs (5 HH)	<ul style="list-style-type: none"> - All costs of excavation, relocation and reburial will be reimbursed in cash to the affected family at the rate of 3,000,000 VND for 5 soil graves. - Graves to be exhumed and relocated in culturally sensitive and appropriate ways. 	
6. Loss of Income/ Livelihood due to loss of productive land	Impacts due to permanent loss of 20% or more of their total productive land or where <20% land affected but the remaining land is rendered unviable. (Legal, legalizable land users and PAPs with lease agreement over the affected land) 9 HH (26 persons)	<p>- Allowance for Loss of Livelihood: 26 affected person will be compensated with 30kg of rice/person/month, including:</p> <p>(a) : Affected households losing 20% to 70% of their agricultural land will be assisted for 6 months if the remaining land is viable for continued use, and for 12 months in case the remaining land is rendered unviable and entire land is acquired by the project. In some special cases, in extremely difficult areas, the assistance may be given up to a maximum of 24 months;</p> <p>(b) Affected households losing more than 70% of their agricultural land acquired will be assisted for 12 months if the remaining land is</p>	

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		<p>viable for continued use, and for 24 months in case the remaining land is rendered unviable and entire land is acquired by the project. In some special cases, in extremely difficult areas, the assistance may extend to a maximum of 36 months; In addition, these PAPs will be targeted for livelihood restoration program;</p> <p>(c) households affected by loss of <20% of land and the remaining land is rendered unviable for continued use, the PAPs will be provided assistance for 12 months;</p> <p><i>Assistance for agricultural, garden and pond land in the residential area adjacent to residential land, but not recognized as residential land:</i> Additional assistance (50% of the cost of compensation for the adjacent residential plot) for garden land and pond land.</p> <p><i>Vocational conversion assistance:</i> Every PAP affected by loss of productive land, irrespective of the degree of impact, will be provided with additional assistance equivalent to at 1.5 times the agricultural land price established by PPC.</p> <p><i>Entitled to the income restoration program</i> prepared under the Project</p>	

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
7.Allowances /Assistance Targeted to Vulnerable Households	Loss of land and non-land assets <i>Affected vulnerable groups regardless of severity of impacts. The vulnerable groups were defined as in Terms of Terminology</i> (5 HH)	<ul style="list-style-type: none"> - All vulnerable HH will receive a cash allowance of 3,000,000 VND/HH. - These households are entitled to take part in Income Restoration Program 	<ul style="list-style-type: none"> - If the household eligible to more than one additional support allowance for the vulnerable people, only one package with the highest value will be applied
8. Temporary impacts	Temporary loss of land and assets	<ul style="list-style-type: none"> - Compensation for all damaged or lost assets, including trees, crops at full replacement cost - Rental in cash for the land acquired at a rate which will be no less than the net income that would have been derived from the affected property during disruption; - Restoration of the land within 3 months after use: The contractor is expected to return the land in its original condition within 3 months of the termination of the civil works. 	<ul style="list-style-type: none"> - If the quality of land is radically changed when returned to PAPs, requiring PAPs to change in the types of land use; then PAPs should be compensated for all envisaged cost of losses.

4. RESETTLEMENT AND INCOME RESTORATION PROGRAM

4.1. Objectives

Income restoration program mean programs to assist them to improve or at least maintain their pre-project living standards, income earning capacity, and production levels.

The overall objective of the project policy is to ensure that all people affected by the sub-project are able to maintain and, preferably, improve their pre-sub-project living standards and income-earning capacity through compensation and allowance for the loss of physical and non-physical assets.

4.2. Principles

According to the compensation and resettlement policy frame for the subproject and Decisions of compensation, assistant and resettlement when Government of Vietnam acquires land in the territory of Tra Vinh and Vinh Long province. Income restoration measures for AHs losing 20% or more of productive land/income generation (10% for vulnerable group) will be provided and relocate households with income restoration measures. The suitable income restoration programs will be designed and implemented with the consultation of AHs during subproject implementation.

As per project policy the HH affected by loss of productive land, irrespective of the degree of impact, will also be provided with vocational conversion assistance: equivalent to 1.5 time the agricultural land price per m² established by PPC

4.3. Proposed income restoration program

Funding sources

Funds for implementation of compensation and resettlement include funds for paying compensation and resettlement, developing resettlement sites (if needed), restoring livelihoods and incomes, and managing and implementing resettlement. These funds will be covered by the counterpart fund from the Government and provinces.

Restoration programs

According to the survey and public consultation, all households affected by loss of agricultural and residential land, would like to be supported by vocational training to increase productivity on their remaining land and create jobs for children of working-ages.

The resettled households with children who are studying in schools will be supported with 1-year tuition as regulated by the Ministry of Education.

For the 13 severely affected households, they will receive supporting amount for income restoration as follow:

At least one member of each affected household who is in the labor age (Male: 18 – 60 year old, Female: 18 – 55 year old) will be entitled to vocational training on their existing occupation such as agriculture, fishery or relevant occupation. The PAPs participating in such

training programs will be exempted from payment of tuition fees. After finishing training courses, they will be given priorities to be recruited in local manufacturing industries.

Besides, the severely affected households will be assisted for stable production, including: Assistance for plant varieties and animal breeds for agricultural production.

Table 19. Cost of income restoration program

Activity	Unit rate (VND)	Tra Vinh		Vinh Long		Total (VND)
		No. of HH	Amount (VND)	No. of HH	Amount (VND)	
Support of 1-year tuition	1,200,000	4	4,800,000	9	10,800,000	15,600,000
Assistance for agricultural production	7,000,000	4	28,000,000	9	63,000,000	91,000,000
Assistance for vocational training	8,000,000	4	32,000,000	9	72,000,000	104,000,000
Total			64,800,000		145,800,000	210,600,000

4.4. Arrangement of resettlement

For physically displaced households, the following relocation options are proposed: (a) Self-relocation to another land owned by the household, (b) Self-relocation to another land that household find out, (c) Relocation to a resettlement area of the project, or (d) Relocation to a resettlement area of the commune. Following meetings and group discussions with local authorities on relocation and resettlement requirements, among the 12 displaced households, 10 households opted for self-relocation to another land that they will find themselves, 2 households selected self-relocation to another land they already own. The displaced households will receive compensation and support as specified in the Entitlement Matrix.

4.5. Vulnerable groups, gender, and ethnic minorities

The Project realizes that there are certain social groups that have fewer possibilities to restore their living conditions, livelihoods, and income levels and the Project has integrated these issues in project preparation and implementation activities through application of APs-participated planning and decision making. Women in villages contribute to economic development of the family and community livelihood. They will be empowered to become active members in community activities as well as in supporting project implementation and monitoring.

During the implementation process, the Project will pay special attention to the women and female-headed HHs as the project beneficiaries. Women will participate equally in the whole process of project implementation to enhance the project sustainability. Active participation of women and the vulnerable group will ensure that design of restoration measures suitable to their specific needs or concerns.

5. PUBLIC CONSULTATION AND INFORMATION DISCLOSURE

5.1. Information disclosure

Disseminating information to people affected by the project and the involved agencies is an important part in the work of project preparation and implementation. The consultation with affected persons and the active participation of APs will reduce the potential conflict and risk of slowing the project. This allows the project to design a resettlement and rehabilitation program as a general development program, in accordance with the needs and priorities of affected people and therefore, maximizes economic and social efficiency of investment.

As per Bank's requirement, the RAP will be disclosed in Vietnamese at local level, particularly at the office of SPMU, DPCs, CPCs and at the Central Project Office in Hanoi before and after it is approved by the Government of Vietnam. The English version of this RAP will be also disclosed at the World Bank Info Shop in Washington D.C. prior to project appraisal.

5.2. Community consultation

Consultation during RAP preparation

The purpose of the meetings conducted during preparation of the resettlement action plan was to provide information to and consult with PAPs and other stakeholders regarding: (i) project information; (ii) the scope and objectives of the subproject based on preliminary design; (iii) the policies, principles, entitlement and procedures for land acquisition, compensation and resettlement; (iv) implementation schedule and, (iii) preliminary estimates of land acquisition requirements and grievance redress.

During the preparation of Resettlement Action Plan, the resettlement consultants have cooperated with the authorities of An Phu Tan commune in Cau Ke district, Tra Vinh province and Tich Thien, Trung Thanh Dong, Trung Thanh Tay communes in Tra On, Vung Liem districts, Vinh Long province to hold meetings for project affected households. Each commune held meetings for consultation to ensure that all project affected people could know and understand subproject information, the policies of compensation, assistance and resettlement which will be applied in the commune for subproject implementation. Consultation activities were arranged as follows:

- Time and place of consultation: consultation meetings with PAPs were held at 4 affected commune offices for the first round from 9 to 12 of November, 2015.
- Attendants of the meetings include all 13 affected householders, village heads, representatives of social organizations (Farmer Union, Women Union, Fatherland Front) and local authorities of all communes in the subproject area.

The information disseminated in the meeting are: (i) introduction about the subproject, (ii) preliminary design and demand for land acquisition for subprojects, (iii) the needs of land acquisition and site clearance for civil works of the subproject, the method of estimation of loss, and (iv) the policy of Vietnamese Government for resettlement and compensation as well as WB policy for involuntary resettlement; (v) results of IOL for acquired land and other

assets on acquired land, and measurement for mitigation; (vi) estimated compensation unit price and entitlements; (vii) the procedures for payment of compensation and resettlement activities.

Major comments and issues raised by participants are as follows:

- Construction firms should have suitable measurement for environmental protection during construction time, such as: watering, use canvas for material covering, etc.
- It is necessary to have proper compensation policy for affected crop, asset; to inform PAPs work plan of resettlement and compensation implementation and to carry out publicly, explicitly.
- Commune needs to know detailed plan of the project activities, scope of land acquisition for transferring information to local people. The plan of land acquisition, compensation, resettlement and implementation of income restoration should be informed to affected people regularly so they can take the initiative in resettlement.
- It was requested by the APs that, the updated project information board should be prepared and provided to them so that they can understand, follow, participate and monitoring the implementation.
- The physically displaced HHs will be resettled near the current area in order to avoid the social impact to households.
-

A second round of consultation took place in Can Tho City, on 29 January 2016, following disclosure of draft Resettlement Policy Framework, RAPs and Regional Social Assessment (RSA). Representatives of MARD, of each province (PPC, DONRE, DARD) and affected districts (DPC) joined the workshop.

A presentation of the safeguard documents was done by the Consultant. Provinces and District agreed with the proposed documents and the livelihood models proposed. Regarding the RPF and the RP, the following comments and concerns were provided:

- Provinces have experience with ODA project and understand WB policy on resettlement;
- Some provinces, wanted to have information on the definition of illegal land users; the definition was clarified;
- All provinces confirmed that they already provide livelihood support for farmers losing agriculture land;
- Provinces also implement programs for poor households;
- For reinforcement of dykes, if HH are partially affected, it is difficult for them to stay there; we should consider to acquire all the land;
- Regarding livelihood restoration activities, it is more useful to create jobs than to propose microcredits programs;

Comments and concerns have been taken into account for the preparation of the final documents.

Consultation during RAP implementation

Before starting the updated RAP in accordance with the detailed design, the SPMUs, Centre for Land Fund Developments, DPCs, CPCs will hold public meetings in each affected commune to provide additional information for people affected and provide opportunities for

them to participate in public discussions on policy and procedures for resettlement. Send an invitation to all those affected before the meeting at the same place. The purpose of this meeting is to clarify the information has to date of the meeting and provide opportunities for affected people to discuss concerns and clarify information. Along with written notice to the affected people, to use measures other information to information for people affected and the general public, such as posters in the visible region at headquarters of Commune/District People's Committee, where affected people are living, alerts stations, local newspapers. Both men and women of the affected households as well as members of the community who are interested are encouraged to participate. During the meeting will explain the project, and the rights and entitlements of households, and the meeting will be an opportunity to raise questions relating. Similar meetings will be held periodically throughout the project cycle. The organization of opinion must be recorded in writing, certified by the commune People's Committee, Representative Committee of the Vietnam Fatherland Front and communal representatives who were acquired land.

5.3. Project leaflets

Leaflets provide information about the project will be developed and provided to people affected by the project during the project preparation phase and implementation phase to ensure that people grasp and aware of the benefits of the project. Leaflets of project provides compensation policies, supporting details presented in the Resettlement Policy Framework aims to develop measures to mitigate the social impact, the sub-project land acquisition and clearance.

6. IMPLEMENTATION ARRANGEMENTS

The implementation of resettlement activities requires the involvement of agencies and organizations at the national, provincial, district and commune level. Each Provincial People's Committee will take general responsible for the implementation of the general policy framework and specific resettlement plan of the sub-project of that province. Compensation, Assistance and Resettlement Committees shall be established at district/province level according to the provisions of Decree 47/2014/CP; it can be the Centre for Land Fund Development (CLFD) or District Resettlement Committee depended on arrangement and decision of the PPC. The provisions and policies of the RPF and the RAPs will form the legal basis for the implementation of compensation and resettlement activities in the MD-ICRSL Project.

6.1. Central level

The Ministry of Agriculture and Rural Development (MARD), on behalf of the Government, is the project owner, has overall responsibility for the whole project. The provincial governmental authorities of the project provinces are the Employers of the sub-projects, has responsibility for investment decisions under sub-projects managed by the Ministry and the provinces. A Project Steering Committee (PSC) will be established, including representatives of the MARD, relevant Ministries and sectors, the provincial governmental authorities of the project provinces, to be responsible for frequent monitoring and managing the Project during its implementation process.

The Central Project Office (CPO) in the MARD will take the overall responsibility to supervise and monitor the resettlement activities in order to assure the compliance with RPF.

- Cooperate with PPCs to conduct compensation and resettlement to assure compliance with RPF and suit with construction progress;
- Organize training and building capacity for project implementing agencies (SPMU and Resettlement Committee) on implementation procedure of RPF and RAP;
- Cooperate with SPMU to monitor internally compensation and resettlement of overall project;
- Select and coordinate the independent monitoring consultants for overall project;
- Report periodically on resettlement to MARD and WB.

6.2. Provincial level: Provincial People's Committees of Tra Vinh and Vinh Long

PPCs take the overall responsibility for compensation, site clearance, and resettlement within the province. The PPCs are responsible for:

- Inform or authorize DPCs to announce about land acquisition when the sub-project location is selected;
- Issue decision on land acquisition to land-owners;
- Approve RAPs of their respective sub-projects;
- Approve overall plan on land acquisition;
- Instruct DPCs to implement compensation, resettlement, and site clearance;
- Provide adequate funds for compensation in a timely manner;
- In special cases, the provincial authority's approval is needed for compensation plans, the provincial authority establishes an appraisal council at provincial level to appraise the compensation plans submitted by the CLFDs so that advice will be provided for the provincial authority to approve such plans in accordance with the Government's regulations on compensation, assistance and resettlement, and the WB's involuntary resettlement policy (OP4.12) applied to the project;

Subproject owner/ SPMU shall be responsible for managing compensation and site clearance of their respective subprojects, including:

- Update RAP;
- Submit sub-project RAPs to the PPCs before making compensation payment;
- Co-operate closely with Departments, agencies, sectors, and the project DPCs in implementing resettlement and site clearance to ensure that the implementation of compensation and resettlement is in line with the construction schedules;
- Monitor internally implementation of compensation and resettlement of the sub-projects, preparing quarterly reports on implementation progress of compensation and resettlement of the sub-projects to CPO.

6.3. District level

District People's Committees (DPCs) are responsible for:

- Approving compensation plans prepared by CLFDs and submitting the PPC for endorsement;

- Issuing decisions on land acquisition from individuals and households;
- Settling complaints and grievances of the APs within jurisdiction.

CLFDs shall take responsibility for implementation of compensation and site clearance for works located in their respective districts, including:

- Preparing compensation plans to submit to DPCs for approval;
- Implementing the approved plan on compensation and site clearance.

6.4. Commune level

Commune People's Committees (CPCs) are responsible for:

- Disseminating and mobilizing people to implement RPF;
- Planning land use and protecting public safety corridors;
- Providing cadastral maps for Resettlement Committees, determining the origin of land use and mobilizing their staffs to be members of DMS teams;
- Co-operating with CLFDs in delivering information and organizing community consultation;
- Settling APs' queries relating to inventory of their assets;
- Facilitating and assisting APs in restoring their livelihoods, incomes, and stabilizing their lives.

6.5. Implementation procedure

The implementation procedure complies with Decree No. 47/2014/ND-CP dated 15/5/2014, Circular No. 14/2009/TT-BTNMT dated 01/10/2009 of MoNRE.

Decision No. 28/2009/QĐ – UBND dated November 25th, 2009 of Vinh Long province in relation to the issuance of unit price for damage compensation, support plan in Tra Vinh province.

Decision No. 18/2014/QĐ – UBND dated September 30th, 2014 in relation to the issuance of regulations on compensation, support and resettlement locating in Vinh Long province

With the above legal base and the organizational structure, coordination of stakeholders, the basic operation of the compensation and resettlement is conducted according to the following steps:

Step 1: Assignment of CLFDs and introduce and announce land acquisition policy

- Right after the Government and WB reach common principal agreement on the loan, the SPMU will prepare necessary documentation and fulfil required procedures and submit them to PPC to request for land allocation for project investment.
- PPCs have responsibilities for assigning specific tasks to CLFDs. The SPMU, on behalf of project investor will send its representative to participate in the CLFDs as their standing members. CLFD will be responsible for reviewing resettlement documents to submit to PPC for decision.

Step 2: Prepare cadastral document for acquired land

- Pursuant to documents on land acquisition policy of PPC, the DONRE instructs Land use right registration offices of same level to prepare cadastral document; Adjust

cadastral map suitably to the current status and abstract of cadastral map for places with official cadastral maps or carry out cadastral abstraction for places without official cadastral map. Correct and make copy of cadastral documents (cadastral books) to submit to CLFD. Make a list of acquired land lots with the following contents: map identification mark, lot identification mark, name of land user, area of lot with same use purpose, land use purpose.

Step 3: Information Dissemination Prior to DMS

- Determination and announcement of land acquisition are based on appraisal document of land use demand of DONRE submitting to PPC for approval and issuance of land acquisition announcement (including reason of land acquisition, area and location of required land based on existing cadastral documents or approved detailed construction plan; land acquisition announcement, direction of preparation of detail compensation plan and implementation of compensation payment). PPC is responsible for steering and widely spreading land acquisition policy, regulations on land acquisition, compensation, allowance and resettlement when the land is acquired by State for purpose of national defense, national interests, public utilities and economic development.
- CPCs are responsible for openly posting land acquisition policy at office of CPCs and at residential area where there is acquired land, and announcing publicly on ward radio stations.
- Before issuing Decision on land acquisition, at least 90 days for agricultural land and 180 days for non-agricultural land, the local authorities (in this case it is DPCs) will inform in written forms the PAPs on reasons of land acquisition, time, plan and schedule of land acquisition, general compensation, allowance and resettlement plan.
- Based on the resettlement and land acquisition plan approved by the chairman of DPCs, the CLFDs and SPMU, in cooperation with affected CPC, will organize meetings with land users, including AHs and individuals located within the project demarcated areas, to inform about the project and documents related to compensation, allowance and resettlement policies; explain on and guide on filling up the DMS forms; deliver the DMS forms to the PAPs to the affected land users for their own filling their affected land and assets. The meeting should be recorded in written protocol and stored. Disseminated information will be posted throughout the project resettlement implementation at the office of CLFDs and affected CPCs.
- Disseminated information at affected communes includes:
 - The project area, scale;
 - Project's impacts;
 - Compensation policies and entitlement for types of loss;
 - Implementation arrangement and responsibilities;
 - Grievances mechanism.

Step 4: Issuing Decision on Land acquisition

- After the land acquisition noticed in compliance with the process above, if affected land owner agrees, PCs of competent authorities are able to issue a decision on land acquisition and implement the policies of compensation, assistance and resettlement without waiting for the expiry of notice.

- Agency issuing decision on land acquisition for land of various types belong to: public land funds of the ward; Land of the organization, religious organization, the Vietnam residing abroad, foreign organizations having diplomatic functions, enterprises owning capitals invested from abroad implemented by PPC.
- PPC will issue decision to withdraw land managed by households and individuals, communities; Vietnamese resided overseas owning houses in Vietnam; or issuing land acquisition decisions in other cases as assigned by the PPC.

Step 5: Make landmark for land acquisition

- After receiving PPC and DPC's decisions on land acquisition for project implementation, SPMU will cooperate with DONRE and land cadastral agency contracted by the SPMU will carry out the field identification of the project boundary and put red demarcation marks on the site, handing over the area for implementation of measure, compensation, assistance and resettlement of PAPs. The Division of Natural Resource and Environment of district and related CPCs will assign their staff to join the land acquisition group and participate in these activities.

Step 6: Conduct DMS

- After land acquisition decision issued by competent levels, CPCs shall have responsibility for collaborating with organization in charge of compensation and site clearance (CLFDs) to implement the land acquisition plan, survey, investigation, measures for determining affected assets. Land owners are responsible for cooperate with the organization in charge of compensation, site clearance (CLFDs) in surveying, investigating, measuring to determine land area, statistics of houses and other assets on land for planning compensation, assistance and resettlement.
- In cases, land users who have land acquired do not collaborate with organization in charge of compensation and site clearance (CLFDs) in surveying, investigating, measuring, CPCs, ward father land frontier where land acquired and organization in charge of compensation and site clearance (CLFDs) to campaign and convince the land owner to implement.
- Results of DMS shall be legal basis for establishing compensation and resettlement plan. SPMU will put the data of DMS and manage them on computers, which will be visited by IMC when it monitors the implementation of RAP.

Step 7: Determine replacement cost

- Replacement cost works will be carried out as follows:
 - SPMU will hire an independent consultant to conduct replacement cost survey.
 - Selected consultant will conduct replacement costs investigation and survey. Method of replacement cost survey will be applied in accordance with government regulation (including the direct comparison method. collection method, deducted method and surplus method ...).
 - Results of replacement cost survey will be submitted to SPMU. The SPMU is responsible for the consultation of this results with the PPC to propose compensation price applying to the project and submit to PPC for approval.

Step 8: Prepare detailed compensation, assistance and resettlement plan

- Based on the table of detail statistics of compensation quantity of PAPs, minutes of inventory quantity, copy of land origin, list of households's members, households under preferential treatment and unit price, compensation and assistance policies for AHs, the organization in charge of compensation, allowance and resettlement shall apply prices to prepare compensation and assistance plan for every AHs of the project.
- Detailed compensation and assistance plan shall present sufficient quantity, volume, types, unit price, ratio of remaining quality (for affected asset with depreciation) of assets approached to compensated land of AHs and other basis for calculation.

Step 9: Openly post compensation, assistance and resettlement plan to collect PAPs' feedbacks

- After the compensation, assistance and resettlement plan is approved by authorized agencies, agencies in charge of compensation, assistance and resettlement shall publish and openly post the compensation, assistance and resettlement plan at the CPCs where there are land affected.
- The organization of the meeting must be recorded in writing, certified by representatives of CPCs, Fatherland Frontier Committees, representatives, representatives of those who have acquired land.

Step 10: Development for income restoration program

- Organisation in charge of compensation, site clearance must have responsibility for recording the severely AHs, who will be consulted with on an IRP.
- Consultations will be made with local authorities, public and private service providing organisations such as career changing training centers, job introduction centers... to establish an IRP more appropriate to the capacity and needs of PAPs.

Step 11: Completion of plan for compensation, assistance and resettlement

- Agency in charge of compensation, site clearance is responsible for recording in written all ideas released by PAPs, including the number of supporting opinions, the number of opposing ideas, ideas different to the compensation, assistance and resettlement plan.
- Based on the opinions of PAPs, representatives of authorities, mass organisations, agency that is in charge of compensation recording the contributing ideas will collaborate with the CPCs where land acquired, conduct a dialogue with those who do not agree with plan of compensation, assistance and resettlement so that the plan is able to be adjusted.

Step 12: Submission of compensation for appraisal and approval

- After finalizing the detailed compensation plan based on PAPs' contributively opinions, agencies in charge of compensation shall submit it to competent authorities for appraisal and approval.

Step 13: Disclosure of compensation, assistance and resettlement plan

- After the compensation, assistance and resettlement plan is approved by authorized agencies, agencies in charge of compensation, assistance and resettlement shall publish and openly post the compensation, assistance and resettlement plan, including schedule and time for payment of the compensation and assistance payment, schedule for removal and relocation for site clearance.

Step 14: Settle complaints for land acquisition decision

- During land acquisition implementation, if there is any complaint from APs, CPCs will collect their opinions and letters of complaints and send them to higher competent agencies for consideration.
- When there is no decision on claim settlement, land acquisition will be still in ***progress***. In case competent agencies settling complaints conclude that the land acquisition is illegal, the implementation of land acquisition shall be obligatory to stop; governmental agencies that issued the land acquisition decision shall make decision on cancellation of that land acquisition decision and compensate for losses (if any). In case competent agencies settling complaints conclude that the land acquisition is legal, the owners of acquired land have to comply with the land acquisition decision.

Step 15: Implementation of payment of compensation, assistance and arrange of resettlement

- CLFDs shall implement payment after decision on compensation, assistance and resettlement is approved. The payment of compensation, allowance to PAPs and arrange of their relocation should be carried out under supervision of CLFDs, representatives of affected CPCs and PAPs.
- In case of resettlement, organization in charge of compensation and site clearance shall hand over houses or land, land use right certificate, and house ownership certificate for AHs prior to land acquisition. In case, there is an agreement between compensation and site clearance organizations and AHs on receiving resettlement house and land after land acquisition, it is required to follow the agreement with signatures of both parties.

Step 16: Handing over sites for construction and forcing to land acquisition

- Within 30 days after organization in charge of compensation and site clearance paid compensation, allowances to AHs under plan approved, AHs have to hand over land to the organization in charge of compensation and site clearance.

Step 17: Handing over construction contract

- Construction contracts are only be handed over to contractors for starting construction as per the approved engineering designs after all PAPs have been received their compensation and assistance payment in compliance with the RAP policies.

Step 18: Monitoring

- Internal and external monitoring will be conducted as soon as possible after the updated RAP approved. The monitoring will conduct continuously during the project implementation. Independent (external) monitoring will make continual investigations in the process of monitoring and every 06 month, IMC will prepare an independent monitoring report to be submitted to the SPMU and WB for endorsement.
- IMC will also has an evaluating investigation at the time of 6 to12 months after all project compensation and resettlement activities completed.

6.6. Implementation plan

The implementation schedule for resettlement activities for the sub-project is presented in the following table including (i) Community consultation activities, (ii) activities that have been completed for RAP preparation; and (iii) independent monitoring activities.

Table 20. Implementation plan

Activity	Responsible party	Implementation plan
RAP preparation		
Disclosure of social safeguards documents at Infoshop	WB	26 January 2016
Disclosure of RAP at office of SPMU, DPC and CPCs in Tra Vinh and Vinh Long provinces	Subproject Project Management Unit (SPMU)	26 January 2016
Disclosure of RAP of subproject at CPO	CPO	26 January 2016
Approval of safeguard policy documents of project and RAP of sub-project	WB and the GOV	Quarter 2/2016
Training on safeguard policy frameworks for the project officers and the CLFDs	CPO and resettlement consultants	Quarter 4/2016
Recruiting the independent monitoring consultant	CPO	Quarter 4/2016
RAP updating	CPO and resettlement consultants	Quarter 1/2017
RAP implementation		
Disseminating project information to AHs	CLFD and CPCs	Quarter 1/2017
Inventorying affected assets and preparing compensation plans	CLFD and CPCs	Quarter 2/2017
Paying compensation and clearing sites	Subproject owner, CLFD, and CPCs	Quarter 2/2017
Monitoring resettlement internally every month and preparing quarterly reports	Subproject owner	Quarter 2/2017
Monitoring resettlement externally every six months and preparing monitoring reports	Independent monitoring consultant	Quarter 2/2017

7. GRIEVANCE REDRESS MECHANISM

In order to ensure that all APs' grievances and complaints on any aspect of land acquisition, compensation and resettlement are addressed in a timely and satisfactory manner, and that all possible avenues are available to APs to air their grievances, a well-defined grievance redress mechanism needs to be established. APs are not required to pay any fee during any of the procedures associated with seeking grievance redress including if resolution requires legal action to be undertaken in a court of law. The mechanism of complaint and complaint and grievances resolution steps are as below:

First Stage - At Commune People's Committee

An aggrieved APs may bring his/her complaint to the One Door Department of the Commune/Ward People's Committee, in writing or verbally. The member of CPC/WPC at the One Door Department will be responsible to notify the CPC/WPC leaders about the complaint

for solving. The Chairman of the CPC/WPC will meet personally with the aggrieved APs and will have 30 days following the receiving date of the complaint to resolve it. The CPC/WPC secretariat is responsible for documenting and keeping file of all complaints handled by the CPC/WPC.

Second Stage - At District People's Committee (DPC)

If after 30 days the aggrieved affected household does not hear from the CPC, or if the APs is not satisfied with the decision taken on his/her complaint, the APs may bring the case, either in writing or verbally, to any member of the DPC or the CLFD of the district. The DPC in turn will have 30 days following the receiving date of the complaint to resolve the case. The DPC is responsible for documenting and keeping file of all complaints that it handles and will inform the CLFD of district of any decision made. Affected households can also bring their case to Court if they wish.

Third Stage - At Province People's Committee (PPC)

If after 30 days the aggrieved PAP does not hear from the DPC, or if the PAP is not satisfied with the decision taken on his/her complaint, the PAP may bring the case, either in writing or verbally, to any member of the PPC or lodge an administrative case to the District People's Court for solution. The PPC has 45 days within which to resolve the complaint to the satisfaction of all concerned. The PPC secretariat is also responsible for documenting and keeping file of all complaints that it handles. Affected households can also bring their case to Court if they want.

Final Stage - At Court

If after 45 days following the lodging of the complaint with the PPC, the aggrieved PAP does not hear from the PPC, or if he/she is not satisfied with the decision taken on his/her complaint, the case may be brought to a court of law for adjudication. Decision by the court will be the final decision.

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

In order to minimize complaints to the provincial level, PMU will cooperate with the Centre for Land Fund Development to participate in and consult on settling complaints;

Personnel: The Environmental and Resettlement staff assigned by SPMU will formulate and maintain a database of the APs' grievances related to the Project including information such as nature of the grievances, sources and dates of receipt of grievances, names and addresses of the aggrieved PAPs, actions to be taken and current status.

In case of verbal claims, the reception board will record these inquiries in the grievance form at the first meeting with affected people.

The independent monitoring consultant will be responsible for checking the procedures for and resolutions of grievances and complaints. The independent monitoring consultant may

recommend further measures to be taken to redress unresolved grievances. During monitoring the grievance redress procedures and reviewing the decisions, the independent monitoring consultant should closely cooperate with the Vietnam Fatherland Front as well as its members responsible for supervising law enforcement related to appeals in the area;

The grievance resolution process for the Project, including the names and contact details of Grievance Focal Points and the Grievance Facilitation Unit (GFU), will be disseminated through information brochures and posted in the offices of the People's Committees at the communes and districts and PMU.

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

To ensure that the grievance mechanism described above are practical and acceptable by APs, it were consulted with local authorities and communities taking into account of specific cultural attributes as well as traditional-cultural mechanisms for raising and resolving complaints and conflicting issues. The ethnic minority objects and efforts were also identified and determined which are culturally acceptable ways to find the solution.

Communities and individuals who believe that they are adversely affected by a World Bank (WB) supported project may submit complaints to existing project-level grievance redress mechanisms or the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaint to the WB's independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit <http://www.worldbank.org/GRS>. For information on how to submit complaints to the World Bank Inspection Panel, please visit www.inspectionpanel.org.

8. MONITORING AND EVALUATION

8.1. Monitoring

Implementation of RAPs will be periodically supervised and monitored by the respective PMUs in a close coordination with the respective Peoples' Committees at different administrative units and independent monitoring consultants. The findings will be recorded in quarterly reports to be furnished to CPO, and World Bank.

Internal monitoring and supervision will:

- (a) Verify that the baseline information of all APs has been carried out and that the valuation of assets lost or damaged, and the provision of compensation, resettlement and other rehabilitation entitlements has been carried out in accordance with the provisions of Resettlement Policy Framework and the respective RAP.

- (b) Oversee that the RAPs are implemented as designed and approved.
- (c) Verify that funds for implementing the RAPs are provided to the respective PMUs in a timely manner and in amounts sufficient for their purposes, and that such funds are used by the respective PMUs in accordance with the provisions of the RAP and policy framework.
- (d) Record all grievances and their resolution and ensure that complaints are dealt with in a timely manner.

Independent monitoring: An independent agency or agencies or individual consultant will be retained by PMUs to periodically carry out external monitoring and evaluation of the implementation of RAPs. The independent agencies would be an academic or research institutions, non-Governmental Organizations (NGO) or independent consulting firms, all with qualified and experienced staff and terms of reference acceptable to the World Bank. Depending on the magnitude of project impact, borrower with consultation from Task's Team of the World Bank will decide the extent of using independent monitoring consultant. In addition to verifying the information furnished in the internal supervision and monitoring reports of the respective PMUs, the external monitoring agency will collect information from affected households.

A Resettlement Action Plan cannot be considered complete until a completion audit or survey confirms that all entitlements have been received by beneficiaries and livelihood restoration is progressing on schedule. If possible, the (internal/external) monitoring activities of RAPs could be considered to be combined with similar action under Ethnic Minority Development Plan of the same subproject.

8.2. Internal monitoring

Internal monitoring of the RAP implementation of the subproject is the main responsibility of the implementation agency with the assistance of the project consultants. The implementation agency will monitor the progress of RAP preparation and implementation throughout the regular progress reports.

The criteria of internal monitoring includes but not limit to:

- (i) Compensation payment for affected households for the different types of damage pursuant to the compensation policies described in the resettlement plans
- (ii) Implementation of technical assistance, relocation, allowance payment and relocation assistance.
- (iii) Implementation of income recovery and entitlement to recovery assistance.
- (iv) Dissemination of information and consultation procedures.
- (v) Monitoring of complaint procedures, existing problems that require the manageable attention.
- (vi) Prioritizing affected persons on the proposed selections.
- (vii) In coordination to complete RAP activities and award construction contract.

The executive agencies will collect information every month from the different resettlement committees. A database tracking the resettlement implementation of the Project will be maintained and updated monthly.

- (i) The executive agencies will submit internal monitoring reports on the RAP implementation as a part of the quarterly report they are supposed to submit the donor. The reports should contain the following information:
- (ii) Number of affected persons according to types of effect and project component and the status of compensation, relocation and income recovery for each item.
- (iii) The distributed costs for the activities or for compensation payment and disbursed cost for each activity.
- (iv) List of outstanding Complaints
- (v) Final results on solving complaints and any outstanding issues that demand management agencies at all levels to solve.
- (vi) Arisen issues in the implementation process.
- (vii) RAP schedule is actually updated.

8.3. Independent monitoring

Objectives. The general objectives of independent monitoring are to periodically supply independent monitoring and assessing results on the implementation of the resettlement objectives, on the changes of living standard and jobs, APs income and social foundation restoration, effectiveness, impacts and sustainability of APs' entitlements, and on the necessity of mitigation measures (if any) in an attempt to bring about strategic lessons for making policy and planning in the future.

Responsible Agencies. In accordance with the WB requirements for consultant employment, a TOR acceptable to the bank will be developed during the project implementation. The CPO will hire an organization for the independent monitoring and evaluation of RAPs implementation. This organization is called the Independent Monitoring Consultant (IMC) which expertise in social science and has experiences in independent monitoring of RP. The IMC should start their work as soon as the project implementation commence.

Monitoring and Evaluation Objectives. The following indicators will be monitored and evaluated by the IMC, including but not limited to:

- (i) Payment of compensation will be as follows: a) full payment to be made to all affected persons sufficiently before land acquisition; (b) adequacy of payment to replace affected assets
- (ii) Provision of assistance for APs who have to rebuild their houses on their remaining land, or building their houses in new places as arranged by the project, or on newly assigned plots.
- (iii) Assistance for recovering livelihood/income sources.
- (iv) Community consultation and public dissemination of compensation policy: (a) APs should be fully informed and consulted about land acquisition, leasing and relocation

activities; (b) the IMC should attend at least one community consultation meeting to monitor community consultation procedures, problems and issues that arise during the meetings, and propose solutions; (c) public awareness of the compensation policy and entitlements will be assessed among the APs; and (d) assessment of awareness of various options available to APs as provided for in the RAP.

- (v) Affected persons should be monitored regarding restoration of productive activities.
- (vi) APs' satisfaction on various aspects of the RAP will be monitored and recorded. Operation of the complaint mechanism and speed of complaint settlement will be monitored.

Through the implementation, trends on living standard will be observed and surveyed. Any potential issues in the recovering living standard are reported and suitable measures will be proposed to ensure the project objectives.

9. BUDGETS AND COSTS

All land acquisition, compensation and resettlement costs of the subproject are taken from the counterpart fund of the Tra Vinh and Vinh Long provinces and loan (if any).

The table below summarizes costs for implementation of RAP of the sub-project including compensation for land acquisition, affected houses, structures, architectural objects, plants, assistance and income restoration program. The compensation rates used for costs estimates (identified in Annex 2) are based on PPC rates of Tra Vinh and Vinh Long province in 2015 addressed in the following legal documents.

- Decree No.17/2013/NQ-HDND dated November 06, 2013 of Tra Vinh in issuing unit price of lands locating in Tra Vinh province, 2014
- Decision No. 06/2013/QD – UBND dated January 28th, 2013 of Tra Vinh province in issuing unit price of fruit trees, vegetables to identified the value for damage compensation during ground clearance in Tra Vinh province.
- Decision No. 28/2009//QD – UBND dated November 25th, 2009 of Vinh Long province in relation to the issuance of unit price for damage compensation, support plan in Tra Vinh province.
- Decision No. 11/2013/QD-UBND dated November 19th, 2013 of Vinh Long province in regulation the price of lands locating in Vinh Long, 2014.
- Decision No. 06/2013/QD – UBND dated August 13th, 2013 of Vinh Long province in stipulating price of new house, work and architecture locating in Vinh Long province
- Decision No. 18/2014/QD – UBND dated September 30th, 2014 in relation to the issuance of regulations on compensation, support and resettlement locating in Vinh Long province

The total estimate cost of compensation and assistance is 12,005,817,423 VND.

It is equivalent to 534,780 USD (with the exchange rate 1 USD = 22,450 VND).

Table 21. Cost estimate of compensation and assistance

No.	Items	Amount (VND)		Sum (VND)	Note
		Tra Vinh	Vinh Long		
A	Compensation and assistance	2,628,938,500	7,877,673,000	10,506,611,500	
	Land compensation	690,000,000	2,885,940,000	3,575,940,000	In table 22
	Structure compensation	1,114,138,500	1,208,369,000	2,322,507,500	In table 23
	Plant compensation	45,600,000	336,144,000	381,744,000	In table 24
	Assistance	755,200,000	3,477,280,000	4,232,480,000	In table 25
B	Management costs	52,098,770	158,154,660	210,253,430	=2% of A
C	Sub-total	2,657,037,270	8,065,887,660	10,722,924,930	=A+B
D	Contingency	265,703,727	806,588,766	1,072,292,493	=10% of C
E	Income restoration program	64,800,000	145,800,000	210,600,000	In table 19
Total		2,987,540,997	9,018,276,426	12,005,817,423	=C+D+E

The cost is calculated at the present time and may vary according to the resettlement plan update. The cost of replacement cost and support of provincial policy may change, so the compensation cost will be updated as the resettlement plan is updated. A replacement cost survey will be conducted during RAP updating following DMS.

Annex 1. Questionnaires for socio-economic survey and inventory of losses

MINISTRY OF AGRICULTURE AND RURAL DEVELOPMENT

CENTRAL PROJECT OFFICE

Date of survey : ____ / __ /2015

I. SOCIO-ECONOMIC SURVEY

1. Name of household head:

2. Address:

Village:Commune:.....District.....Province.....

Venerable group: []

(Female headed HH=1; Ethnic minority =2; Disable =3; Poor HH=4; Social-aid household =5; single elderly HH=6)

A. General household information

A1. Household Composition (living together OR contribution/ participating in the primary income/expenses of household)

(circling the order of member)

No	1.1 Name	1.2 Relationship with household head 0=household head 1=Husband/wife 2=Father/mother 3=Son/daughter 4=Son/daughter In-law 5=Grandchild 6=Nephew/niece 7.Other relationship	1.3 Sex 1=Male 2=Female	1.4 Year of birth	1.5 National group	1.6 Education level (Class)	(Question for people was born from 1990 to 2008) Education situation			1.10 Health Insurance 1 = Yes 2 = No	1.11 Primary occupation 1.Farming 2.Raising livestock 3.Selling goods 4.Worker 5.Government employee 6.Private employee 7.Driver 8.Housewife 9.Retirement 10.Student 11.Hired 12.Others
							1.7 1=going to school >>2.1 2=Leave school >>1.10	1.8 Year of leaving school	1.9 Reasons of leaving school (Choose maximize 2 options) Looking at the table		
1											
2											
3											
4											
5											
6											
7											
8											
9											

Investigator: 1a. The number of generation : 1b. The number of member :

Code for column 1.9: 1= economical difficult , 2=Leaving school to working, 3= Far from house to school/difficult travelling , 4 =unwanted studying, 5= academic failure , 6 = Do not study in high level for male , 7= Do not study in high level for female, 8= Others (detail).....

B. Assets

1. House type classification

1. Permanent housing (more than 1 floor/ brick wall, reinforced concrete roof)
2. Semi-permanent (Brick wall, brick/ metal roof ...)
3. Wood housing, leaf roof (Pole, wood/leaf roof ...)
4. Temporary housing (Bamboo houses, cottages, temporary wooden shield ...)
5. No house
6. Others (apartment buildings) :.....

2. Does household have residential land use right certificate ?

1. Yes
2. No

3. Water use: Which source of water for daily use household use?(choose one option)

	Water for drinking	Water for washing
- Safe water with water meter connected	<input type="checkbox"/>	<input type="checkbox"/>
- Public water tank	<input type="checkbox"/>	<input type="checkbox"/>
- Dug well	<input type="checkbox"/>	<input type="checkbox"/>
- River, spring, pond water	<input type="checkbox"/>	<input type="checkbox"/>
- Rain water	<input type="checkbox"/>	<input type="checkbox"/>
- Buying from other	<input type="checkbox"/>	<input type="checkbox"/>
- Other	<input type="checkbox"/>	<input type="checkbox"/>

4. Sanitation condition? (choose one option)

- | | |
|--------------------------------------|----------------------------------|
| 1. No WC | 4. Hole |
| 2. Septic toilet/ Semi-septic toilet | 5. WC in the pond, river, spring |
| 3. WC with disintegrative basin | 6. Other:..... |

5. Main sources for lighting?(Choose one option)

	For living	For production
- Oil lamp	<input type="checkbox"/>	<input type="checkbox"/>
- Gas, oil	<input type="checkbox"/>	<input type="checkbox"/>
- Electricity	<input type="checkbox"/>	<input type="checkbox"/>

- Generator/hydroelectricity
- Other.....

6. Household amenities and consume

Name	Yes	No	Name	Yes	No
1. Television			8. Car (except farm vehicles)		
2. Internet			9. Refrigerator		
3. Boat			10. Air condition		
4. Motorbike/ electric bicycle			11. Computer, laptop		
5. Phone			12. Washing machine		
6. Mobile phone			13. Water heater		
7. Gas stove			14. Other,..		

C- INCOME AND EXPENSES

1. Main income source last 12months

No.	Income source	Total income (VND)
1	From agricultural activity (farm, raising livestock, aquaculture, reforestation)	
2	From business running	
3	Handicraft	
4	Salary	
5	Money saving	
6	Money supporting for social policy household	
	Total	

2. Household expenditure in last year

No.	Categories	Expenses (VND)
1	Daily activities (meal, drinking, electricity, water)	
2	Built, renovate house	
3	Education	
4	Health care	
5	Money for wedding, funeral	
6	Cost for production activities	
7	Other: _____	
	Total (VND)	

3. Generally, evaluation the standard of living of HH compare with the others:

- 1. Good
- 2. Medium
- 3. Straitened
- 4. Poor
- 5. No identify

4. Have living conditions of HH been changed in last 3 years?

- 1. Unchanged
- 2. Better
- 3. Worse

D-ACCESS TO SOCIAL SERVICES

5. Evaluation social services compare with in last 3 years?

No.	Problems	Better	Unchanged	Worse
1	Health care services			
2	Education			
3	Water supply			
4	Irrigation			
5	Infrastructure(bridge, drainage, road)			
6	Disease in agriculture production			
7	Disaster (flood, drought,...)			
8	Agricultural Extension Services			

1. Other activities in the last month,

No.	Activities	Often	Sometime	Rarely	Never
1	Reading magazine, book				
2	Watching television				

3	Listening radio				
4	Travelling				
5	Going to pagoda/church				
6	Joining in festival				
7	Other				

Note: Everyday watching TV, listening radio, reading magazine, book are considered often; other activities happen every month to be considered often. From this, giving conclusion for other cases)

E- HEALTH

1. Have had problem related to health during last 12 months in your family?

1. Yes
2. No → Moving to question D10

2. If any, which disease?

1. Flu
2. Respiratory illness
3. Malaria
4. Cholera/ Dysentery
5. Hepatitis
6. Poison
7. Accident
8. Other:

3. Where to cure? (choose many options)

- | | |
|----------------------|---|
| 1. Commune station | 2. Pharmacy |
| 3. Surgery | 4. Oriental Medicine |
| 5. District hospital | 6. Herbal/traditional treatment by local medicine |
| 7. Province Hospital | 8. Other: |
| 9. National Hospital | 10. No response |
| 11. Health clinic | |

4. Currently, which factors effect on people’s health?

1. Unsafe foods and vegetables
2. Polluted domestic water
3. Salt intrusion
4. Scare domestic water
5. Polluted environment/noise
6. Epidemics

Other:

F-PRODUCTION ACTIVITIES

1. Land use status of household

Land category/use	Area in project site (m ²)	Land use Right certificate 1. Yes 2. Not yet	Other places (renting land)(m ²)	Land use Right certificate 1. Yes 2. Not yet
Residential land				
Garden land				
Paddy-field				
Aquaculture land				
Forestry land				
Industry land (salt, ...)				

2. Do you have plans for economic activities in next 1 or 2 years?(can choose many options)

1. Maintaining the production activities
2. Widen the production and business model
3. Narrow down the production and business model
4. Stopping the production and business models
5. Converting the production and business models
6. No idea

2.b. If having some changes, giving reasons

.....
.....
.....

3. Do you have plans now of how you will replace the income/food production from the agriculture land and/or business that will be recovered? (choose one OR many options)

1. Continuing the old job
2. Restart business in a new location
3. Find a job
4. No yet decided
5. Other (please, describe):.....

4. Obtained loan?

1. Yes withVND
2. No =>moving question 10

5. If productive land is recovered by irrigation project, do you change in obtained loans?

1. Yes 2. No

6. If any, How to change?

1. Increase 2. Unchanged 3. Reduce 4. No answer

7. Which organizations did you lend money?

8. Form of loans

1. Mortgage 2. Unsecured loan 3.Both of them

9. Purpose of loans (describe)

- | | |
|------------------------------|---|
| 1. Agriculture production | 8. Investing in small business/services |
| 2. Raising livestock | 9. Health care |
| 3. Aquaculture | 10. Education |
| 4. Reforestation | 11. Buying productive land |
| 5. Handicraft | 12. Buying residential land |
| 6. Buying permanent facility | 13. Construction |
| 7. Daily expenses | 14. Other (describe):..... |

10. Why have you not lent money for 12 months? (choose 1 option)

1. No demand

2. Need capital, but not known loan source
3. Need capital, not loan source
4. Have demand, but not enough condition (*describe*)
5. Other reason(*describe*).....

11. Who can support (financial/spirit)? (choose 3 options)

Financial	Spirit
1. Parents	1. Parents
2. Sibling	2. Sibling
3. Daughters and sons	3. Daughters and sons
4. Relative	4. Relative
5. Neighbors	5. Neighbors
6. Friends	6. Friends
7. Unions	7. Unions
8. No one	8. No one
9. Other (<i>describe</i>):	9. Other (<i>describe</i>):

12. How do you intend to use the money that you will receive for the compensation of your land?(choose many option)

1. Buy new land for agriculture production	8. Save in the bank
2. Buy new residential land	9. Repayment
3. Built house	10. Daily expenses
4. Renovate house	11. Buy other type of asset
5. Invest in small business, services, non agriculture	12. Health care
6. Invest in agriculture, reforestation, aquaculture	13. Spend on children's education
7. Join in vocational training (<i>non agriculture</i>)	14. Distribution for their children and relative
	15. Other (describe)...

G-PROBLEMS RELATED TO PROJECT

1. Salt intrusion into water for agriculture.

1. Yes, throughout the year

2. Yes, depend on season
3. *No salt intrusion* → *move to G3*

2. Affected of salt water on:

	Positive	Negative	Not effect	No idea
1. Change the production season				
2. Effect on agriculture production				
3. Effect on living condition				
4. Effect on people's health				
5. Irrigation fee				
6. Other (describe.....)				

3. From 2010, Which hazard did you face ?

	Yes	No
- Natural disaster	1 <input type="checkbox"/>	2 <input type="checkbox"/>
- Epidemic	1 <input type="checkbox"/>	2 <input type="checkbox"/>
- Salt intrusion	1 <input type="checkbox"/>	2 <input type="checkbox"/>
- Polluted environment	1 <input type="checkbox"/>	2 <input type="checkbox"/>
- Loss land	1 <input type="checkbox"/>	2 <input type="checkbox"/>
- Unemployment	1 <input type="checkbox"/>	2 <input type="checkbox"/>
- Other:	1 <input type="checkbox"/>	2 <input type="checkbox"/>

4. G3. Have you known about climate change, sea level rise?

1. Yes
2. No
3. No idea → *Move to G7*

5. Which source have you known about climate change, sea level rise ?

1. Internet
2. Village loudspeaker

3. Community activities
4. Neighbor
5. Television
6. Banner
7. Wife/Husband
8. Friend
9. Magazine
10. Leaflets
11. Relative
- Other source

6. Do you know that irrigation project will implement?

1. Yes (*Describe* :.....)
2. No *Move question 8*

7. If any, which source? (Can choose many option and circling)

1. Disseminated village meetings
2. Disseminated commune meetings
3. Watch TV/Listen radio/Read magazine
4. Village loudspeaker`
5. Officer and union
6. Wife/Husband
7. Relative
8. Friend/neighbor
9. Other (describe):.....

8. Which positive effects have irrigation work brought?

	Yes	No
- Prevent salt intrusion,	<input type="checkbox"/>	<input type="checkbox"/>
- Active water for irrigation	<input type="checkbox"/>	<input type="checkbox"/>
- Restoration the ecological environment	<input type="checkbox"/>	<input type="checkbox"/>
- Complete the transport infrastructure in rural area	<input type="checkbox"/>	<input type="checkbox"/>
- Convenience for travelling and goods traffic	<input type="checkbox"/>	<input type="checkbox"/>

9. Which negative effects, have irrigation brought ?

Yes **No**

- Difficulty for agriculture production
- Local polluted environment
- Ecological environment change
- Impeding flood drainage
- Impeding boat travelling

Thanks for your cooperation!

II. INVENTORY OF LOSSES

1. **Name of householder:**

.....

2. **Address:**

Village:Commune:.....

District.....Province.....

1. Land use status of Household (affected land is in the area required for the construction area only)

Land category/use			Level of impact on each plot		Using status	Land legal status	Type of effect
			Affected area (m ²)				
1= Residential land 2= Paddy-field 3= Garden land 4= Aquaculture land 5= Forestry land 6= Commercial land 7= other types of land	Area in and out of the project site) (m ²)		Affected area (m ²)	Partially (1) Fully (2)	1=Owner of land 2=Rented land	1=With land use Right certificate (LURC) 2=Without LURC but eligible to LURC 3= Not eligible to LURC 4= Conflict with master plan of Government 5. Lease / Long Term (owned by Gov) 6. Lease (renting from private individual)	1= Permanent 2= Temporary
		In	Out				
Plot1							
Plot2							
Plot3							
Plot4							
Plot5							
Total							

2. Houses

House type classification		Legal status	Level of impact on the building		Note
1. Villa	Floor Area (m ²)	1. Have ownership Certificate 2. Have no legal ownership Certificate 3. Built on agricultural land 4. Rent from the house owner	Floor area to be affected (m ²)	(Partially affected =1; Fully affected =2)	(pls take note if the HH run business at home, excepting item 7)
2. Class 1					
3. Class 2					
4. Class 3					
5. Class 4					
6. Temporary house					
7. Independent shop					

Note: The number of affected houses could be more than one, record for all affected houses with the above required information

3. Information about the house out of the project affected sites (if any)

- Number of house(s):[]

- Area of house(s) outside of the project area(m²): m²

4. Other structures on the affected land and living facilities

(Other structures outside the houses listed above, living facilities are out and in house)

Structure	Kind of construction work(Under line the kind of work respectively)	Unit	Quantity	Note

1. Kitchen	1. Temporary house 2. Category 4	m ²		
2. Breeding facilities	1. Temporary house 2. Category 4	m ²		
3. Electric meter				
4. Water meter and estimate about the length of connection pipe				
5. Telephone				
6. Fence	1. Brick 2. Barbed wire or wood	M		
7. Gate	1. Metal sheet 2. Iron grill 2.	m ²		
8. Toilet room./Bathroom(separate from house)	1. Brick, concrete 2. Bamboos, leaves	m ²		
9. Soil grave a) In Cemetery b) Stand alone		Grave		
10. Grave (by brick, cement)		Grave		
11. Well	1. Drilled 2. Dug	M		
12. Water tank	1. Brick/ Concrete 2. Inox 3. Plastic	m ³		
13. Yard (list only the yard built of cement and brick)		m ²		
14. Fish pond		m ³		
15. Others (Specify clearly the name of assets and affected rate for compensation calculation)				

5. Affected trees, crops

(Only inventory number of affected trees, crops)

Tree or farm production group	Year	Unit	Quantity	Note
a) Fruit trees (main trees)		Tree		
1)				
2)				
3)				
4)				
5)				
b) Timber trees (main trees)		Tree		
1)				
2)				
3)				
4)				
5)				
c) Pot plants (main trees)		Tree		
1)				
2)				
3)				
4)				
5)				
d) Annual crops (main trees)		m²		
1) Maize				
2) Potato				

Tree or farm production group	Year	Unit	Quantity	Note
3) Peanut				
4) Bean				
5) Rice				
e) Aquaculture		m ²		

C. QUESTIONS FOR CONSULTATION

6. Which type of affected?

- a. affected on agricultural and productive land *Move Q7*
- b. affected on residential land *Move Q8*
- c. Both of them *Move Q7*

7. If your agricultural or other productive land is affected, what are your preferences for compensation?

- a) Replacement land (if available in the commune) of same category and equal area and/or productivity
- b) Cash compensation
- c) Not yet decided

8. Do you have sufficient remaining residential outside of the project affected site to rebuild your affected house/structures?

- i. Yes
- b) No

9. If resettlement, what are your preferences for relocation?

- a) I want to relocate myself to other land that I own
- b) I want to relocate myself to new land that I choose
- c) I want to relocate to a group resettlement site to be provided by the project if offered
- d) I want to relocate to an individual resettlement site allocated by the commune
- e) Not yet decided

10. How do you intend to use the money that you will receive for the compensation of your land?

- a) Build or renovate house
- e) Save in the Bank

- b) Buy new land
- c) Buy other type of asset(Describe asset_____)
- d) Invest in small business
- f) Spend on children's education
- g) Other (Describe_____)

11. How to affected of land acquisition on household's economic ?

- a) Loss of agriculture land
- b) Stop trade/business/services
- c) Both of them

12. Do you have plans now of how you will replace the income/food production from the agriculture land and/or business that will be recovered?

- a) Buy new land for agriculture production
- b) Restart business in a new location
- c) Trade
- d) Small store
- e) Craft-making
- f) Find a job
- g) Other Describe _____

13. Which proposes to local government related to the affected of the project on the family?

- a) Be informed and consulted about the project, the effects and benefits of stakeholders
- b) Provide vocational training, introduce job due reduce productive land
- c) Training, technical improvements, agricultural extension, fishery extension
- d) Supported loans
- e) Other:

14. Is it necessary to construct work in local ?

.....

15. Level of favor of work construction in local

.....

16. Problems should be noted to ensure safe, increase effective investment during construction time?

.....

.....

.....

.....

.....

Annex 2. Cost estimate of compensation and assistance

Table 22. Cost of land compensation

No.	Item	Unit	Quantity	Unit price (VND)	Amount (VND)	Note
1	Tra Vinh province				690,000,000	
1.1	Cau Ke district					
1.1.1	An Phu Tan commune					
	Permanent acquisition of residential land	m2	1,200	250,000	300,000,000	
	Permanent acquisition of production land	m2	3,900	100,000	390,000,000	
2	Vinh Long province				2,885,940,000	
2.1	Tra On district					
2.1.1	Tich Thien commune					
	Permanent acquisition of residential land	m2	690	250,000	172,500,000	
	Permanent acquisition of production land	m2	4,500	160,000	720,000,000	
2.2	Vung Liem district					
2.2.1	Trung Thanh Dong commune					
	Permanent acquisition of residential land	m2	400	350,000	140,000,000	
	Permanent acquisition of production land	m2	4,675	160,000	748,000,000	
2.2.2	Trung Thanh Tay commune					
	Permanent acquisition of residential land	m2	900	400,000	360,000,000	
	Permanent acquisition of production land	m2	4,659	160,000	745,440,000	
	Total				3,575,940,000	

Table 23. Cost of structure compensation

No.	Item	Unit	Quantity	Unit price (VND)	Amount (VND)	Note
1	Tra Vinh province				1,114,138,500	
1.1	Cau Ke district					
1.1.1	An Phu Tan					
	House grade 4, brick wall, concrete roof	m2	210	3,696,700	776,307,000	
	House grade 4, brick wall, tile roof	m2	150	1,225,000	183,750,000	
	Temporary house	m2	50	800,650	40,032,500	
	Electricity clock	unit	4	300,000	1,200,000	
	Water clock	unit	2	350,000	700,000	
	Fence	m2	150	606,000	90,900,000	
	Toilets	m2	20	572,450	11,449,000	
	Concreted ground	m2	40	245,000	9,800,000	
2	Vinh Long province				1,208,369,000	
2.1	Tra On district					
2.1.1	Tich Thien					
	House grade 4, brick wall, tile roof	m2	120	1,148,000	137,760,000	
	Temporary house	m2	190	786,000	149,340,000	
	Kitchen	m2	50	792,000	39,600,000	
	Livestock barn	m2	40	426,000	17,040,000	
	Electricity clock	unit	2	300,000	600,000	
2.2	Vung Liem district					
2.2.1	Trung Thanh Dong					
	House grade 4, brick wall, tile roof	m2	240	1,148,000	275,520,000	
	Kitchen	m2	30	792,000	23,760,000	
	Livestock barn	m2	20	426,000	8,520,000	
	Electricity clock	unit	2	300,000	600,000	
	Water clock	unit	1	350,000	350,000	
	Toilets	m2	4	581,000	2,324,000	
	Concreted ground	m2	20	145,000	2,900,000	
	Fishpond	m3	42.5	1,620,000	68,850,000	
2.2.2	Trung Thanh Tay					
	House grade 4, brick wall, concrete roof	m2	35	4,286,000	150,010,000	
	House grade 4, brick wall, tile roof	m2	190	1,148,000	218,120,000	
	Livestock barn	m2	30	426,000	12,780,000	
	Electricity clock	unit	3	300,000	900,000	
	Soil graves	grave	5	3,000,000	15,000,000	
	Water tank	m3	16	1,920,000	30,720,000	
	Concreted ground	m2	35	145,000	5,075,000	
	Fishpond	m3	30	1,620,000	48,600,000	
Total					2,322,507,500	

Table 24. Cost of plant compensation

No.	Item	Unit	Quantity	Unit price (VND)	Amount (VND)	Note
1	Tra Vinh province				45,600,000	
1.1	Cau Ke district					
1.1.1	An Phu Tan					
	Coconut	Plant	50	360,000	18,000,000	
	Banana	Plant	180	20,000	3,600,000	
	Longan	Plant	80	300000	24,000,000	
2	Vinh Long province				336,144,000	
2.1	Tra On district					
2.1.1	Tich Thien					
	Coconut	Plant	200	360,000	72,000,000	
	Banana	Plant	300	20,000	6,000,000	
	Longan	Plant	70	300000	21,000,000	
	Mangosteen	Plant	120	450,000	54,000,000	
	Mango	Plant	50	420,000	21,000,000	
	Jackfruit tree	Plant	50	150,000	7,500,000	
2.2	Vung Liem district					
2.2.1	Trung Thanh Dong					
	Coconut	Plant	67	360,000	24,120,000	
	Banana	Plant	105	20,000	2,100,000	
	Jackfruit tree	Plant	26	150,000	3,900,000	
	Mango	Plant	40	420,000	16,800,000	
	Mulberry	Plant	80	300000	24,000,000	
	Hopea odorata	Plant	180	180,000	32,400,000	
	Ornamental tree	Plant	50	100,000	5,000,000	
	Apricot	Plant	40	120,000	4,800,000	
2.2.2	Trung Thanh Tay					
	Coconut	Plant	100	360,000	36,000,000	
	Banana	Plant	130	20,000	2,600,000	
	Mango	Plant	4	420,000	1,680,000	
	Bamboo	Plant	2	22,000	44,000	
	Apricot	Plant	10	120,000	1,200,000	
Total					381,744,000	

Table 25. Cost of assistance

No.	Item	Unit	Quantity	Unit price (VND)	Amount (VND)	Note
1. Tra Vinh province					755,200,000	
1.1	Transportation allowance	HH	4	3,000,000	12,000,000	
1.2	Assistance for hiring house	HH	3	3,000,000	9,000,000	
1.3	Assistance for severely affected household due to house displacement	Person	10	4,320,000	43,200,000	
1.4	Vocational conversion assistance	m2	3,900	150,000	585,000,000	150% of agricultural land price
1.5	Assistance for agricultural, garden and pond land in the residential area adjacent to residential land, but not recognized as residential land	m2	200	50,000	10,000,000	50% of land price
1.6	Assistance HHs for resettlement by themselves	HH	3	30,000,000	90,000,000	
1.7	Assistance for vulnerable HH	HH	2	3,000,000	6,000,000	
2. Vinh Long province					3,477,280,000	
2.1	Transportation allowance	HH	8	3,000,000	24,000,000	
2.2	Assistance for hiring house	HH	5	3,000,000	15,000,000	
2.3	Assistance for severely affected household due to house displacement	Person	16	4,320,000	69,120,000	
2.4	Vocational conversion assistance	m2	13,834	240,000	3,320,160,000	150% of agricultural land price
2.5	Assistance for agricultural, garden and pond land in the residential area adjacent to residential land, but not recognized as residential land	m2	500	80,000	40,000,000	50% of land price
2.6	Assistance for vulnerable HH	HH	3	3,000,000	9,000,000	
Total					4,232,480,000	

Annex 3. Summary of Public Consultation

During the preparation of Resettlement Action Plan, the resettlement consultants have cooperated with the authorities of An Phu Tan commune in Cau Ke district, Tra Vinh province and Tich Thien, Trung Thanh Dong, Trung Thanh Tay communes in Tra On, Vung Liem districts, Vinh Long province to hold meetings for project affected households. Each commune held meetings for consultation to ensure that all project affected people could know and understand subproject information, the policies of compensation, assistance and resettlement which will be applied in the commune for subproject implementation. Consultation activities were arranged as follows:

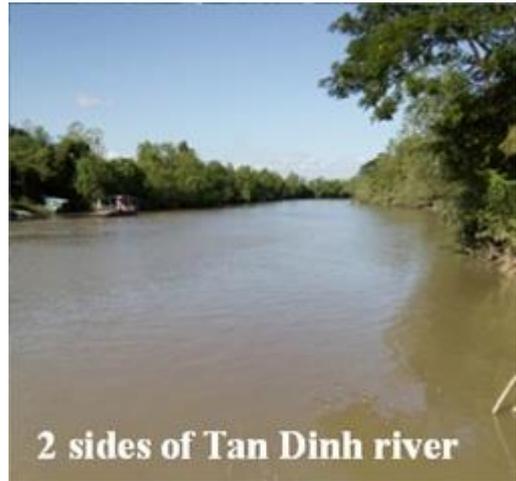
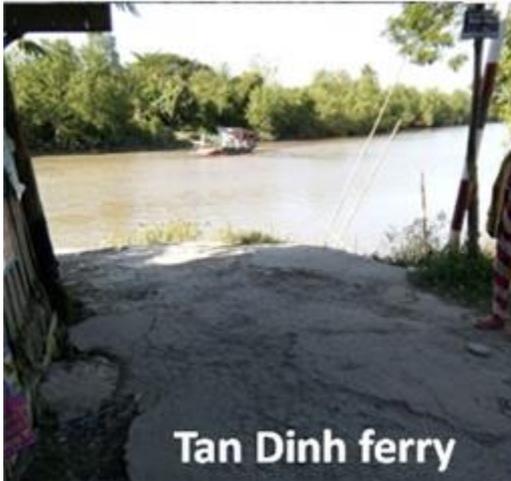
- Time and place of consultation: consultation meetings with PAPs were held at 4 affected commune offices for the first round from 9 to 12 of November, 2015.
- Attendants of the meetings include all 13 affected householders, village heads, representatives of social organizations (Farmer Union, Women Union, Fatherland Front) and local authorities of all communes in the subproject area.

The information disseminated in the meeting are: (i) introduction about the subproject, (ii) preliminary design and demand for land acquisition for subprojects, (iii) the needs of land acquisition and site clearance for civil works of the subproject, the method of estimation of loss, and (iv) the policy of Vietnamese Government for resettlement and compensation as well as WB policy for involuntary resettlement; (v) results of IOL for acquired land and other assets on acquired land, and measurement for mitigation; (vi) estimated compensation unit price and entitlements; (vii) the procedures for payment of compensation and resettlement activities.

Major comments and issues raised by participants are as follows:

- Construction firms should have suitable measurement for environmental protection during construction time, such as: watering, use canvas for material covering, etc.
- It is necessary to have proper compensation policy for affected crop, asset; to inform PAPs work plan of resettlement and compensation implementation and to carry out publicly, explicitly.
- Commune needs to know detailed plan of the project activities, scope of land acquisition for transferring information to local people. The plan of land acquisition, compensation, resettlement and implementation of income restoration should be informed to affected people regularly so they can take the initiative in resettlement.
- It was requested by the APs that, the updated project information board should be prepared and provided to them so that they can understand, follow, participate and monitoring the implementation.
- The physically displaced HHs will be resettled near the current area in order to avoid the social impact to households.

Photos of field survey



Construction site of Tan Dinh sluice



Construction site of Bong Bot sluice



Household survey