Vietnam Urban Upgrading Project

DRAFT
ETHNIC MINORITY DEVELOPMENT STRATEGY

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Introduction

The Government of Vietnam has requested the World Bank (IDA) to support a Vietnam Urban Upgrading Project (VUUP) as the first major project in the development of a National Urban Upgrading Program to upgrade low-income urban communities. The objective of the VUUP is to help alleviate poverty in urban areas by improving the living and environmental conditions of the urban poor using participatory planning methods and influencing planning methods to become more inclusive and pro-poor. The VUUP plans to achieve its objectives by: (i) upgrading basic tertiary infrastructure and other services in low-income settlements through partnerships between communities and local governments; (ii) providing and/or rehabilitating primary and secondary infrastructure networks to connect with the tertiary infrastructure improvements; (iii) providing access to housing for the poor through a combination of microfinance for housing improvements and low-cost social housing and/or serviced plots to the poorest families that unavoidably have to be resettled as a result of upgrading; and (v) providing technical assistance to improve land administration processes in the four project cities.

The VUUP will cover four cities, Ho Chi Minh City, Haiphong, Nam Dinh and Can Tho. In each city, the investments will be divided into two or three phases, with each phase covering a different set of low-income areas. Phase 1 will be implemented over a 2-3 year period. Phase 1 will be prepared before the project becomes effective, and Phases 2 and 3 will be prepared during project implementation.

Ethnic Minorities

Sub-projects may be implemented in wards/communes where ethnic minority people are present as part of the population. In line with the World Bank’s Operational Directive on Indigenous Peoples (OD 4.20), an Ethnic Minority Development Plan (EMDPs) will be developed for areas that have ethnic minority households according to this strategy for ethnic minorities. Ethnic minorities are social groups¹ with a social and cultural identity distinct from the dominant society that may make them vulnerable to being disadvantaged in the development process. According to OD 4.20 ethnic minorities can be identified in particular geographical areas by the presence in varying degrees of the following characteristics:

(a) a close attachment to ancestral territories and to the natural resources in these areas;
(b) self-identification and identification by others as members of a distinct cultural group;

¹ OD 4.20 pertains to social groups rather than individuals or individual households (para 3). This strategy will therefore be applied when more than one family are identified within the a ward of the project area in a city.
(c) an indigenous language, often different from the national language;
(d) presence of customary social and political institutions; and
(e) primarily subsistence-oriented production.

Ethnic Minorities in Vietnam

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

Ethnic minorities in Vietnam are diverse origin. A majority (39) as well as Kinh speak languages in the Austro-Asiatic language family. But others speak Austronesian and Sino-Tibetan languages. They differ greatly in ways of livelihood, social organization. Some have had relationship with Kinh society for a long time, while others have lived in relative isolation until recent decades. Some groups have lived in their present locations for many centuries, while others have migrated into their present location within the past hundred years.

In the past fifty years, many ethnic minorities communities have shifted residence because of war, governmental settlement programs, or a depleted resource base. As many as five million Kinh have been relocated from the lowlands into upland areas. The biophysical, social, and political context of the lives for most ethnic minorities has changed drastically in the past fifty years.

Equality right of ethnic people was stipulated clearly in the Vietnam Law. Article 5 in the Vietnam Constitution (1992) stipulated as follows:

The Socialist Republic of Vietnam is an united nation having many nationalities. The State implements a policy of equality and unity and supports the cultures of all nationalities and prohibits discrimination and separation. Each nationality has the right to use its own language and characters to preserve their culture and to improve its own traditions and customs. The State carries out a policy to develop thoroughly and gradually improve the quality of life of ethnic minorities in Vietnam physically and culturally.

Since 1968, the Government has promulgated sedenterization policy for ethnic groups, reducing migration trends of the ethnic people. One of the most important policies on relation with ethnic groups is the Government Guidance No. 525/TTG on 2/11/1993 regarding in detail on implementation guiding of development in high land areas and ethnic areas with the main following points:

- Develop infrastructure especially transportation road system and fresh water supplying;
- Gradual increase food security;
• Consolidate of education system; adjust education program based on the characteristics of provinces; create favor conditions and support the non-formal education programs and develop the internal economy.

**Ethnic Minorities in the Project**

There would be only one potential vulnerable ethnic minority group in the Project cities. These are groups of Khmer living in Can Tho city. The Khmer lived in Mekong delta region centuries before either Hoa or Kinh settled in significant numbers. The Khmer population now constitute roughly 6 percent of the total population of Mekong delta region.

**Objectives of the strategy**

The main objective of this strategy for ethnic minorities is to ensure that the development process foster full respect for their dignity, human rights, cultural uniqueness and, more specifically that ethnic minorities (i) do not suffer adverse social and cultural impacts during the development process and (ii) receive culturally compatible social and economic benefits from the project.

**Procedures for preparation of Ethnic Minority Development Plans (EMDP) for specific sub-projects under the strategy**

The main steps in the preparation of the EMDPs will be a preliminary screening process, then a social impact assessment to determine the degree and nature of impact of each work under the sub-project, and an action plan will be developed if warranted. Consultations with and participation of the ethnic minority population is an integral part of the overall EMDP preparation. The process of preparing an EMDP consist of the following stages:

1. Preliminary screening identifying any ethnic minority groups
2. Assessment of potential social impacts
3. Identification of potentially adverse impacts and mitigation measures
4. Identification of culturally appropriate development assistance
5. Monitoring of EMDPs

**Preliminary Screening**

If there are known to be ethnic minorities in the project city/wards, PMU representatives and their consultants (sociologists) will visit those wards/ (first consultation) for initial informing and discussing about the sub-project. Prior to the visit, PMU will send a letter to the wards/communes informing the ward/commune leaders that they will be visited by the respective PMUs/consultants who would like to inform and discuss the sub-project. The letter should also request the ward/commune leaders to invite representatives of women associations, representatives of ethnic minorities, ward/village leaders, and key staff of ward/commune to the meeting for a discussion of the sub-project. During the
visit, the ethnic minority representatives and other participants will present their initial views and reactions to the sub-project.

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

(a) names of ethnic groups in the ward or commune  
(b) total number of ethnic minority groups in the ward or commune  
(c) percentage of ethnic minority of ward or commune population  
(d) number and percentage of ethnic minority households along the zone of influence of the proposed sub-project.

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

**Social Impact Assessment**

A social impact assessment (SIA) will be undertaken by the social scientists (consultants) and ethnic minority leaders. The SIA will gather relevant information on the following: demographic data: social, cultural and economic situation, and social, cultural and economic impacts - positive and negative.

Information will be gathered from separate group meetings of (i) ethnic minority leaders; (ii) ethnic minority men; and (iii) ethnic minority women, especially those who live in the zone of influence of the proposed work under sub-project. Discussions will focus on sub-project impacts, positive and negative; and on recommendations for design of sub-project. The consultants will be responsible for analyzing the SIA, and for developing an action plan with the ethnic minority leaders, project engineers and other staff. *If the SIA indicates that the potential impact of the proposed sub-project will be significant, positively or negatively, and that the impacted ethnic minority groups are vulnerable, an EMDP is or separate part for Ethnic Minorities in RAP required.*

The preliminary screening and SIA report will be submitted by PMU to IDA for review. If it is determined by IDA, based on this report that an EMDP is warranted, an EMDP will be prepared as described below.

**Ethnic Minority Development Plan (EMDP)**

The EMDP will be prepared and submitted by PMU to its city PC and IDA for review and concurrence. The action plan will consist a number of activities and will include mitigation measures of potentially negative impacts, modification of sub-project design, and development assistance. Where there is land acquisition in ethnic minority communities, the project will ensure that their rights will not be violated and that they be compensated for the use of any part of their land in a manner that is culturally acceptable
to them. The compensation will follow the Resettlement Policy Framework of the project. An Ethnic Minorities Development Plan will includes:
(1) baseline data; (2) land tenure; (3) local participation; (4) potentially adverse impacts and mitigation measures; (5) institutional arrangement; (6) implementation schedule; (7) monitoring and evaluation; and (8) cost and financing plan.

Project Monitoring

Implementation of the EMDP will be regularly supervised and monitored by PMU in coordination with the respective Peoples' Committees and Committees for Ethnic Minorities at grassroot level. The findings and recommendations will be recorded in quarterly reports and to be furnished to IDA.

The independent agency or agencies which would be used by PMU to undertake external monitoring and evaluation of the implementation of resettlement action plans for the Project will also be tasked with monitoring the activities for EMDP. While, the external monitoring agency will visit a sample of affected households for resettlement in each relevant province on an annual basis, it will also visit a sample of at least 20% of ethnic minority households in the project affected areas.

Schedule

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

Budget

The EMDP, or the separate chapter in a RAP, as the case may be, will include information on detailed cost of mitigation measures and other rehabilitation entitlements for ethnic minority in the affected areas. Sources of funding for the various activities and financing plans will be clearly specified in the cost tables.

Implementation Arrangement

PMU will be responsible for the overall implementation of the EMDP, while the local authorities (People's Committees, Committees for Ethnic Minorities, Resettlement Committees, Women Union and Land Departments etc. at different levels) will closely coordinate with PMU for preparing and implementing EMDP. The project sociologists (consultants) will be responsible for coordinating, planning and supervising EMDP on behalf of PMU. Consultants will also be responsible for training staff of PMU, local Women’s Union or a similar social organization to undertake the work of consultation, screening, social impact assessment, analyses, implementation and monitoring.
Annexes:
1. Annex 1: Preliminary Screening of Ethnic Minorities