The Northern Delta Transport Development Project (NDTDP)

Consulting services for feasibility studies and preliminary design for the Northern Delta Transport Development Project (NDTDP)

FINAL REPORT

APPENDIX I-B

RESETTLEMENT PLAN – CORRIDOR 1

Ministry of Transport, Vietnam Inland Waterway Administration (VIWA), Project Management Unit of Waterways (PMU-W)

8 April 2008

9R6212.21
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### ABBREVIATIONS AND ACRONYMS

<table>
<thead>
<tr>
<th>Abbreviation</th>
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<tr>
<td>DMS</td>
<td>Detailed Measurement Survey</td>
</tr>
<tr>
<td>DP</td>
<td>Displaced Person (or Project-affected Person, PAP)</td>
</tr>
<tr>
<td>EIA</td>
<td>Environmental Impact Assessment</td>
</tr>
<tr>
<td>EMA</td>
<td>External Monitoring Agency</td>
</tr>
<tr>
<td>EMDP</td>
<td>Ethnic Minority Development Plan (or Indigenous People’s Development Plan, IPDP)</td>
</tr>
<tr>
<td>EMP</td>
<td>Environmental Management Plan</td>
</tr>
<tr>
<td>FS</td>
<td>Feasibility Study</td>
</tr>
<tr>
<td>GDP</td>
<td>Gross National Product</td>
</tr>
<tr>
<td>GOV</td>
<td>Government of Vietnam</td>
</tr>
<tr>
<td>GSO</td>
<td>General Statistics Office</td>
</tr>
<tr>
<td>ICD</td>
<td>Inland Clearance Depot</td>
</tr>
<tr>
<td>IMF</td>
<td>International Monetary Fund</td>
</tr>
<tr>
<td>IOL</td>
<td>Inventory of Losses</td>
</tr>
<tr>
<td>IPDP</td>
<td>Indigenous People’s Development Plan (or Ethnic Minority Development Plan, EMDP)</td>
</tr>
<tr>
<td>IWPM</td>
<td>Inland Waterways and Port Modernization Project</td>
</tr>
<tr>
<td>IWT</td>
<td>Inland Waterway Transport</td>
</tr>
<tr>
<td>MARD</td>
<td>Ministry of Agriculture and Rural Development</td>
</tr>
<tr>
<td>MoLISA</td>
<td>Ministry of Labour, Invalids and Social Affairs</td>
</tr>
<tr>
<td>MOT</td>
<td>Ministry of Transport</td>
</tr>
<tr>
<td>MT</td>
<td>Multimodal Transport</td>
</tr>
<tr>
<td>NDTDP</td>
<td>Northern Delta Transport Development Project</td>
</tr>
<tr>
<td>NWTC</td>
<td>Northern Waterway Transport Corporation</td>
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<tr>
<td>PAP</td>
<td>Project-affected Person (or Displaced Person, DP)</td>
</tr>
<tr>
<td>PC</td>
<td>People’s Committee</td>
</tr>
<tr>
<td>PDOT</td>
<td>Provincial Department of Transport</td>
</tr>
<tr>
<td>PMU-W</td>
<td>Project Management Unit – Waterways</td>
</tr>
<tr>
<td>PPC</td>
<td>Provincial People’s Committee</td>
</tr>
<tr>
<td>PPMU</td>
<td>Provincial Project Management Unit</td>
</tr>
<tr>
<td>PRA</td>
<td>Participatory Rapid Appraisal</td>
</tr>
<tr>
<td>PRC</td>
<td>Provincial Resettlement Committee</td>
</tr>
<tr>
<td>RC</td>
<td>Resettlement Committee</td>
</tr>
<tr>
<td>RNIP</td>
<td>Road Network Improvement Project</td>
</tr>
<tr>
<td>RP</td>
<td>Resettlement Action Plan</td>
</tr>
<tr>
<td>Abbreviation</td>
<td>Description</td>
</tr>
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<td>--------------</td>
<td>--------------------------------------</td>
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<tr>
<td>RPF</td>
<td>Resettlement Policy Framework</td>
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<td>TD</td>
<td>Technical Design</td>
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<tr>
<td>TOR</td>
<td>Terms of Reference</td>
</tr>
<tr>
<td>USD</td>
<td>United States Dollars</td>
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<td>VIWA</td>
<td>Vietnam Inland Waterway Administration</td>
</tr>
<tr>
<td>VLSS</td>
<td>Vietnam Living Standard Survey</td>
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<td>VND</td>
<td>Vietnamese Dong</td>
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DEFINITION OF TERMS

Cut-off date
Is generally the date of commencement of census and asset inventory surveys. Displaced Person and local communities will be informed of the cut-off date for each Project component, and that anyone moving into the Project Area after that date will not be entitled to compensation and assistance under the Project.

Eligibility
Any person who at the cut-off-date was located within the area affected by the project, its sub-components, or other subproject parts thereof, and would: (i) have formal legal rights to land (including customary and traditional rights recognized under the laws of the country); or (ii) 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 process identified in the resettlement plan. (iii) not have legal nor recognizable by laws rights to the land they are occupying they live or/and have properties/assets within the project areas before the cut-off date. Person covered under (i) and (ii) are provided compensation for the land they lose and other assistance at full replacement cost. Person covered under (iii) are provided resettlement assistance in lieu of compensation for the land they occupy, and other assistance, as necessary, to achieve the objectives set in this RPF, if they occupy the project area prior to the cut-off date. Person who encroach on the area after the cut-off date are not entitled to compensation or any other form of resettlement assistance.

Replacement cost
Is the term used to determine the amount sufficient to replace lost assets and cover transaction costs. For loses that cannot easily be valued or compensated for in monetary terms (e.g. access to public services, customers, and supplies; or to fishing, grazing, or forest areas), attempts are made to establish access to equivalent and culturally acceptable resources and earning opportunities. When domestic laws do not meet the standard of compensation at full replacement cost, compensation under domestic law is supplemented by additional measures necessary to meet the replacement cost standards.

Resettlement
Is the general term related to land acquisition and compensation for loss of asset whether it involves actual relocation, loss of land, shelter, assets or other means of livelihood.

Displaced Persons
Are organizations, household, individual who have occupied land assets, entitlement and are listed in the IOL of DMS, including:
- People whose house, structures and/or occupied agricultural/residential land are affected.
- People whose income from business and other forms production are affected.
- People whose seasonal/annual/perennial tree, vegetable and other crops are affected.
- People whose ponds used for fish-rearing or other purposes are affected.
- People who become unemployed on either a temporary or permanent basis as a result of this Project.
EXECUTIVE SUMMARY

Introduction
The Northern Delta Transport Development Project (NDTDP) is proposed by GOV to resolve a number of important transport logistics bottlenecks in the Northern Delta region. The NDTDP is financed with assistance from the World Bank.

The NDTDP has three components, namely:

Component A: Multimodal Transport Corridor Investments
This component consists of improvements to two waterway corridors in the Northern Delta Region to increase the efficiency of multimodal transport and supply chains and enhance the environmental sustainability of the waterway system.

Sub-Component A1: Improvements to National Waterway Corridors
- The improvements under this subcomponent are in two corridors: (a) a northern corridor between Viet Tri and Quang Ninh, a distance of 280 km; and (b) a western corridor between Hanoi and Lach Giang, a distance of 180 km. The investments will improve the standard and connectivity of the river network. The upgrading of the corridors will entail dredging to the required widths and depths, bend corrections, bank protection, shoal regulation, air clearance improvement at one bridge crossing (by raising the bridge) and provision of aids to navigation.

Sub-Component A2: Improvements to Ninh Co River Estuary and an Inter-connecting canal between the Day and Ninh Co Rivers with a navigation lock
- The sub-component will include an access channel bypassing the mouth of the Ninh Co river estuary and a canal connecting the Ninh Co and Day rivers. The required work will entail dredging the approach channel and connecting canal and construction of breakwaters, a ship lock, bank protection and other river training works.

Sub-Component A3: Improvements to Provincial Ports
- This sub-component will comprise the construction of new facilities at Viet Tri and Ninh Phuc ports. Potential improvements may include new wharfs, storage areas, warehouses, road access and waste disposal facilities.

Sub-Component A4: Pilot Maintenance Contracts
- This sub component will explore different arrangements for performing maintenance dredging and will pilot a maintenance scheme in the Project's corridors to help ensure the sustainability of the improvements.

Component B: Improvements to Ferry Boat Stages
This component will include physical improvements to 15-30 pilot ferry boat stages. Access to these ferries from the road is often dangerous and has resulted in accidents and fatalities. In conjunction with the physical improvements, the Project will support the implementation and operationalization of a framework of standards for the design and operation of the different size ferry boat stages under its institutional support component.

Component C: Institutional Support to MoT, VIWA and the Provinces
This component consists of:
- Institutional support to VIWA and MoT to operationalize frameworks developed under MDTIDP for planning and management of ports and waterways and to help VIWA more effectively carry out its tasks as manager of the inland waterway network in Vietnam. The initiatives that will be
addressed under NDTDP include support for the improved management of ports, landing stages and ferry boat crossings, support for maintenance through the piloting of new maintenance arrangements such as performance-based contracts. And support for the role of community participation and supervision in project activities.

- Training based on curricula developed under the technical assistance program of MDTIDP to train central and provincial government transport officials involved in the waterway sector in the north.

Project Management Unit – Waterways (PMU-W), working closely with the Provincial Departments of Transport (PDOT), is the implementing agency for the NDTDP from preparation to implementation and monitoring and evaluation. MoT will have the overall responsibility for overseeing the implementation of the Project, reporting to GoV and fulfilling the requirements of the Bank.

The Project will be implemented over a six-year period commencing in FY 2009 and closing in FY2015. The implementation schedule is included in the Project Implementation Plan. All investments under the project (physical and institutional) will be divided into two phases. The phases are delineated according to current readiness to implement and not by year of implementation. Phase I investments refer to investments for which all key preparatory works (up to but not including detailed engineering design) have been completed and Phase II investments refer to all the remaining investments for which preparation is ongoing or will take place during the first two years of the Project.

Scope of Land Acquisition and Resettlement

This resettlement plan is prepared for Phase 1 comprising Corridor 1, the northern corridor between Viet Tri and Quang Ninh, a distance of 280 km. The upgrading of the corridor will entail dredging to the required widths and depths, bend corrections, groin construction, bank protection, shoal regulation, air clearance improvement at one bridge crossing (by raising the bridge) and provision of aids to navigation.

A number of design changes and elements have been used to minimize land acquisition and resettlement impacts. These include:

- Avoidance of Bend Cutting through use of lesser impacts through Bend Correction
- Avoiding Bend Correction on the Kin Thay, Han and Phi Liet Rivers
- Construction of groynes along 25km of Corridor 1, to make other river engineering operations, in particular dredging, unnecessary
- Improving only the Duong bridge, while at the other bridges (3) implementing waterway restrictions by means of aids to navigation

There are an estimated 250 DPs (1,115 population) affected by permanent and temporary acquisition of about 108 hectares. Of these some 35 are likely to lose more than 20% of their agricultural land. So far only River Bend Correction sites for land acquisition are identified through FS design drawings. The proposed improvements will not affect any residential or commercial land. Further there will no adverse impacts on any houses or business premises and shops, and no relocation of any household would be necessary. As these sites also require dredging, estimates of permanent and temporary spoil storage required for bend corrections are subsumed under the dredging impacts. For other interventions it is not possible at this stage to identify sites where permanent or temporary land acquisition will take place.

A summary of the loss of agricultural land caused by NDTDP interventions in corridor 1 is shown in the following table.
Summary of Loss of Land Caused by NDTDP Interventions in Corridor 1

<table>
<thead>
<tr>
<th>#</th>
<th>Type of Impact</th>
<th>DPs</th>
<th>Population</th>
<th>Agricultural Land (Ha)</th>
<th>DPs Losing more than 20% Agricultural Land</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>River Bend Correction</td>
<td>60</td>
<td>270</td>
<td>4.5</td>
<td>10</td>
</tr>
<tr>
<td>2</td>
<td>Dredging Spoil Stockpile</td>
<td>90</td>
<td>400</td>
<td>84.4</td>
<td>15</td>
</tr>
<tr>
<td></td>
<td>o Permanent</td>
<td>60</td>
<td>270</td>
<td>48</td>
<td>15</td>
</tr>
<tr>
<td></td>
<td>o Temporary</td>
<td>30</td>
<td>130</td>
<td>36.4</td>
<td>0</td>
</tr>
<tr>
<td>3</td>
<td>Groyne Construction</td>
<td>30</td>
<td>130</td>
<td>6.5</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>o Permanent</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>o Temporary</td>
<td>30</td>
<td>130</td>
<td>6.5</td>
<td>0</td>
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<tr>
<td>4</td>
<td>Bank Protection</td>
<td>60</td>
<td>270</td>
<td>11.7</td>
<td>10</td>
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<tr>
<td></td>
<td>o Permanent</td>
<td>40</td>
<td>180</td>
<td>9.2</td>
<td>10</td>
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<tr>
<td></td>
<td>o Temporary</td>
<td>20</td>
<td>90</td>
<td>2.5</td>
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<tr>
<td>5</td>
<td>Guidance Dam</td>
<td>10</td>
<td>45</td>
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<td>o Permanent</td>
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<td></td>
<td>o Temporary</td>
<td>10</td>
<td>45</td>
<td>1.0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>250</td>
<td>1,115</td>
<td>108.1</td>
<td>35</td>
</tr>
</tbody>
</table>

Additionally, trees and standing crops are also likely to be affected due to the land acquisition.

Socioeconomic Information

Socio-economic information of this RP has come from several sources: (i) results of inventory of loss for 100% of affected households of the Phase I Waterway component of the NDTDP; (ii) Results of socioeconomic household survey of the DPs; (iii) results of formal and informal meetings and group discussions with local authorities at all levels and social groups in project-impacted areas. The Inventory of Losses, Census and Socioeconomic Surveys of DPs were conducted by the Consultant and the consultation activities were also held by the resettlement consultant in cooperation with the local PDOTs and local authorities, all during two last months of November and December of 2007.

Some 87 potential DPs with a total of 375 persons located on the Corridor 1 Phase I Subproject were interviewed. All of the respondents are Kinh. Screening and socioeconomic surveys did not find presence of any ethnic minorities in the subproject areas.

The average HH size is 4.18 for the whole subproject. The average age of the total surveyed population is 33.7 years old with a higher proportion of males to females. Males account for 59.8% of the DPs' HH heads.

The illiteracy rate among adults is 2.2%. The young generation mostly has at least lower secondary education. The enrolment rate of the school-aged children throughout the Delta is about 95% today, and the drop-out rate is low. 42.5% of the total surveyed population has reached basic secondary education level and 86.9% of the total surveyed population has reached at least primary or lower education level.

The Northern Delta is one of the regions with the highest average agricultural holding (about 0.5 ha/HH) in the country. On the other hand, it is also a region where the problem of landless farmers is most serious. The occupations of household heads of Corridor 1's DPs, as well as those of the sample surveyed population, reflect the general regional employment picture with agricultural production being
predominant over all other activities. More than 73.8% of the surveyed DPs are engaged in the agricultural sector, cultivating land and conducting animal husbandry or working for hire within the sector.

According to the reports of local authorities, the poverty rate among the affected population is generally moderate. Most of the poor HHs are landless farmers. The average monthly per HH income among the surveyed HHs in Hai Duong province is 592,548 VND, about 2.5 times higher than the country’s poverty line. Over a quarter of the HHs surveyed (28.2%) fall within the relatively well-off average income group with the per capita monthly income over 500,000 VND while 39.1% are poor HHs by new poverty standards with per capita monthly income less than 200,000 VND.

All of the affected communes are connected to the national power grid. All have basic social infrastructure, including primary school, post office and health care centers. Less than half of DPs are connected to safe water and most DPs have to use drinking water derived from waterways or canals. Most DPs do not have sanitary toilets. In general, all the affected population have access to common telecommunication systems, for instance more than 90% of the HHs possess a TV and most HHs have cell phones.

Legal Framework and Entitlement and Compensation Policies

The legal framework and entitlement policy for the NDTDP are comprised of Vietnam’s laws, decrees, and circulars; the World Bank’s policies, in particular its resettlement policy, OP 4.12 Involuntary Resettlement. These are fully described in the Resettlement Policy Framework (RPF). In general, the new Vietnamese legislation, law and regulations almost approach to the World Bank resettlement policy. However, in their implementation practice there still exist the gaps which have to be overcome. The RPF provides the measures by which these are overcome and establishes the NDTDP’s Compensation Policy. The Project’s compensation policies are summarized in an Entitlement Matrix and also found in the NDTDP’s Resettlement Policy Framework (RPF).

Cost and Budget

With a 25% contingency, given that unit costs are based on 2005 Provincial policy, the RP overall cost is estimated at 46,557,609,375 VND, or 2,909,851 USD. Given that the land in Corridor 1 is along river banks in non-urban locales, rather than more strategically located along roads or in urban environments, it is expected that the contingency is not unreasonable. The compensation rates will be updated with new Provincial figures as per Decree 197 which mandates new figures through a survey annually in January.

Institutional Arrangements

On behalf of the Government, MOT, through the Vietnam Inland Waterway Administration (VIWA), is responsible for the realization of NDTDP, including this RP and its RPF. PMU-W, under VIWA, has direct responsibility and day-to-day management oversight for implementing all aspects pertaining to the waterway’s works, including planning, programming, budgeting, design, implementation, monitoring, evaluation, ensuring overall project’s coordination and supervision of resettlement activities and coordination/liaison with the World Bank. Among its responsibilities is that to hire consultant to carry out replacement cost surveys for certification of RP completion for award of civil contracts.

The PPCs are the Executing Agencies responsible for overall implementation of the Resettlement Plan (RP) for Corridor 1 within their respective provinces. After detailed engineering designs are completed, the number of DPs will be revised, and compensation unit rate allowance will be updated for all categories of lost assets, based on replacement cost surveys undertaken during project implementation. Following approval by the WB and the Prime Minister Office (authority delegated to MoT) of the updated RP, the PPC will be responsible for management and supervision of the RP implementation, including making speed resolution of any grievances voiced by DPs or town/district authorities.
Consultation during Subcomponent Preparation
During the project preparatory phase, project's information and public consultation were conducted in all
the project's affected provinces. The methods of project information and public consultation included
participatory rapid appraisals and stakeholder's consultation, using techniques of site and household
visits, public meetings, group and focus group discussions and the household socio-economic survey.

Monitoring and Evaluation
Regular monitoring of the RP implementation will be conducted by the implementing agency (PMU-W) as
well as by an independent external monitoring organization hired by PMU-W. PMU-W is responsible for
internal monitoring of the RP's implementation for their respective components. The agencies will
oversee the implementation through regular progress reports. PMU-W will collect information every
month from the different resettlement committees. A database of resettlement monitoring information
regarding the Project will be maintained and updated every month. PMU-W will submit a monitoring
report on the progress on implementation of the RP to the PPCs and the Bank as part of their regular
quarterly report to Bank.

An agency or institute, specialized in social sciences, will be identified and engaged in order to carry out
independent external monitoring of resettlement implementation. The agency will also be responsible to
conduct replacement cost surveys and evaluation of the RP's implementation for the subproject as well
as ensuring and certifying that compensation and entitlement payments are completed before DP
displacement and before award of civil award contracts. PMU-W will sign a contract with the selected
External Monitoring Agency (EMA). The external monitoring cost will be paid from the IDA credit or from
the Central budget. The EMA will submit periodic quarterly monitoring reports on the implementation
progress and recommendations to PMU-W, VIWA, MOT and the World Bank.

Implementation Arrangements
This Resettlement Plan is prepared to guide implementation of project compensation activities and
provision of rehabilitation assistance measures to DPs impacted by the Phase I waterway component.
Policies for compensation, relocation, and rehabilitation have been established based on these surveys,
applying Vietnam's existing laws and regulations and the World Bank Operational Policy 4.12 on
Involuntary Resettlement and OP 4.11 on Physical Cultural Property.

The existing FS technical information only allows assessing a scope of permanent land acquisition and
conducting a preliminary inventory of loss of attached movable assets caused by the proposed
improvement of the waterway. Locations for disposal of dredged materials and other needs for temporary
land acquisition remain to be clearly identified. During the project implementation stage, when the
detailed engineering design is completed, providing necessary technical information and exact project
area clearly defined with land marks, an updated DMS will be carried out to identify a full scale of land
acquisition and resettlement impacts (which includes a full and accurate data on both permanent and
temporary resettlement impacts) of the Phase I Waterway Corridor 1. Results of the DMS will serve as
the basis of updating this resettlement plan and will be the final legal basis for compensation,
resettlement and rehabilitation of the Phase I subproject's DPs.

Following approval by WB and the Government, the updated RP will be implemented by local
resettlement committees (RCs) under the guidance of the respective provincial people's committees and
PMU-W of the MOT. Careful coordination between all the agencies and departments will be necessary to
complete the different resettlement activities successfully. The provisions and policies of this RP will form
the legal basis for the implementation of resettlement activities for the Phase I Subprojects.
1 INTRODUCTION

1. The Northern Delta covers an area of about 31,863 square kilometers, and most of its population of 22 million is engaged in agricultural activities. Millions of small farmers, thousands of private businesses, and over 3,700 cooperatives contribute to the vibrant economy of the region. The region produces about 40% of Vietnam’s agricultural products but only about 22 percent of rice, very little of which is exported and stands in marked contrast to the other major delta in Vietnam, the Mekong Delta. The output value of industry in 2006 was over 27 percent of Vietnam’s output value but over 50 percent of this output value was generated by just two provinces, Ha Noi and Hai Phong. Of foreign direct investment (FDI) over 25 percent of investments made in 2006 were in the Northern Delta.

2. The population of Vietnam is estimated at 84 million, with over 41 million males and nearly 43 million females, according to the preliminary estimates for 2006 by the General Statistics Office (GSO). With a population of over 22 million, the Northern Delta constitutes over one-fifth, or 26 percent, of the country’s population. Among the 15 provinces of the Northern Delta Region, Hanoi Province has the largest population, making up over 14 percent of the region’s population while Ha Nam Province, which is the smallest of the region’s population, makes up just under 4 percent of the Northern Delta’s population.

3. The economy of the Northern Delta is both growing rapidly and diversifying its products and markets. These two factors pose great challenges to the transport logistics of the Region. However, the current infrastructure could not be fully, or sufficiently, utilized to foster socioeconomic development of the Region. A number of important transport logistic bottlenecks need to be resolved, such as the following, among others:

- Slow, sometimes expensive, farms-to-freight aggregation points transport links; Poor access from some peripheral areas on provincial feeder routes from aggregation points to the trunk roads and waterways;
- Growing congestion on the dominant trunk road, National Highway 1 and quality deficiencies on other main roads, often caused by bridge loading constraints;
- Lack of major northern and southern canals for high capacity barge routes; and
- Insufficient landing stages at commune, district and provincial levels.

4. The NDTDP has three components, namely:

Component A: Multimodal Transport Corridor Investments
This component consists of improvements to two waterway corridors in the Northern Delta Region to increase the efficiency of multimodal transport and supply chains and enhance the environmental sustainability of the waterway system

Sub-Component A1: Improvements to National Waterway Corridors
- The improvements under this subcomponent are in two corridors: (a) a northern corridor between Viet Tri and Quang Ninh, a distance of 280 km; and (b) a western corridor between Hanoi and Lach Giang, a distance of 180 km. The investments will improve the standard and connectivity of the river network. The upgrading of the corridors will entail dredging to the required widths and depths, bend corrections, bank protection, shoal regulation, air clearance improvement at one bridge crossing (by raising the bridge) and provision of aids to navigation.

Sub-Component A2: Improvements to Ninh Co River Estuary and an Inter-connecting canal between the Day and Ninh Co Rivers with a navigation lock
- The sub-component will include an access channel bypassing the mouth of the Ninh Co river estuary and a canal connecting the Ninh Co and Day rivers. The required work will entail
dredging the approach channel and connecting canal and construction of breakwaters, a ship lock, bank protection and other river training works.

**Sub-Component A3: Improvements to Provincial Ports**
- This sub-component will comprise the construction of new facilities at Viet Tri and Ninh Phuc ports. Potential improvements may include new wharfs, storage areas, warehouses, road access and waste disposal facilities.

**Sub-Component A4: Pilot Maintenance Contracts**
- This sub component will explore different arrangements for performing maintenance dredging and will pilot a maintenance scheme in the Project's corridors to help ensure the sustainability of the improvements.

**Component B: Improvements to Ferry Boat Stages**
This component will include physical improvements to 15-30 pilot ferry boat stages. Access to these ferries from the road is often dangerous and has resulted in accidents and fatalities. In conjunction with the physical improvements, the Project will support the implementation and operationalization of a framework of standards for the design and operation of the different size ferry boat stages under its institutional support component.

**Component C: Institutional Support to MoT, VIWA and the Provinces**
This component consists of:
- Institutional support to VIWA and MoT to operationalize frameworks developed under MDTIDP for planning and management of ports and waterways and to help VIWA more effectively carry out its tasks as manager of the inland waterway network in Vietnam. The initiatives that will be addressed under NDTDP include support for the improved management of ports, landing stages and ferry boat crossings, support for maintenance through the piloting of new maintenance arrangements such as performance-based contracts. And support for the role of community participation and supervision in project activities.
- Training based on curricula developed under the technical assistance program of MDTIDP to train central and provincial government transport officials involved in the waterway sector in the north.

5. Project Management Unit – Waterways (PMU- W), working closely with the Provincial Departments of Transport (PDOT), is the implementing agency for the NDTDP from preparation to implementation and monitoring and evaluation. MoT will have the overall responsibility for overseeing the implementation of the Project, reporting to GoV and fulfilling the requirements of the Bank.

6. The Project will be implemented over a six-year period commencing in FY 2009 and closing in FY2015. The implementation schedule is included in the Project Implementation Plan. All investments under the project (physical and institutional) will be divided into two phases. The phases are delineated according to current readiness to implement and not by year of implementation. Phase I investments refer to investments for which all key preparatory works (up to but not including detailed engineering design) have been completed and Phase II investments refer to all the remaining investments for which preparation is ongoing or will take place during the first two years of the Project.
2 SCOPE OF LAND ACQUISITION AND RESETTLEMENT

2.1 Description of Phase I Investment Program (Corridor 1) of the Waterway Component

7. Corridor 1 is about 280km in length, connects Viet Tri with Quang Ninh and runs through Hanoi, Pha Lai and Hai Phong. The corridor is divided into 15 different sections consisting of a coastal channel, rivers and canals. The coastal channel as well as the section from the coastline land inwards towards Hai Phong is Class I. Sea ships are able to reach Hai Phong port. The whole corridor must be accessible for at least Class II with or without some local restrictions. However due to the sharp bends as well as the large number of shoals causing limitations to the available water depth during the dry season and limited air clearance at bridges during the wet season, certain parts of the corridor are only accessible for lower classes. The main constraints are found in the Duong and Kinh Thay rivers. With its 2.8m vertical clearance in the wet season the Duong Bridge, steel railway / Highway Bridge, is one of the main constraints in Corridor 1.

2.2 Scope of Resettlement Plan

8. This Resettlement Plan (RP) is prepared for Phase 1 comprising Corridor 1, the northern corridor between Viet Tri and Quang Ninh, a distance of 280 km. The upgrading of the corridor will entail dredging to the required widths and depths, bend corrections, groin construction, bank protection, shoal regulation, air clearance improvement at one bridge crossing (by raising the bridge) and provision of aids to navigation. The RP is prepared based on the information available at the feasibility studies stage of the project. The information collected on potential impacts of the proposed improvements is based on visual estimates of lost assets and questionnaire survey of affected households. The RP will be updated after the detailed engineering design is made available and based on detailed measurement surveys of affected land and structures. However, major deviations from the current plan are not anticipated.

2.3 Resettlement Impacts of Proposed Improvements

2.2.1 Loss of Agricultural Land

9. Based on the preliminary version of the FS technical design available in November 2007, a Census and Inventory of Losses (IOLs) of Corridor 1 of the Phase I was carried out by the Consultant in November 2007. The tables below describe the impacts of planned interventions on land. See Annex A for locations of these Hamlets.

10. Table 2-1 indicates the loss of agricultural land caused by River Bend Corrections, for Corridor 1. Except for km 186 (C1-C01), all the other impacts are caused on the Kinh Thay River and located in Hai Duong Province. Considering that the banks of Corridor 1 are mostly cultivated, the bend correction and the disposal of the excavated material will affect cultivated agricultural lands used for rice, vegetable and fruit crops. The planned correction for the sharp bend on the Cam River (Design Reference C1-C01) at 186 km will potentially affect about 15-18 DPs, of which 2-3 DPs are likely to lose more than 20% of land holding. These figures will be confirmed during the detailed measurement survey (DMS) after the detailed designs are prepared.

11. Present estimates have indicated that about 4.5 ha of agricultural land will be permanently lost due to the bend corrections. The permanent loss of the agricultural land will deprive some 60 DP (population 227) land holders of income. Nine of these DPs are likely to lose more than 20% of their agricultural income and will be eligible for social assistance to regain their previous level of livelihood.
12. Of the proposed improvement works, it is predicted that dredging and disposal of dredged materials will have the most significant impacts. These activities can have significant impacts on socio-economic environment. The only available option for disposing the dredged materials is through contained land disposal. The land space required to hold the dredged material has been computed based on piling height of 1.5m and a bulking factor of 1.4. Based on the proposed work an estimated 2,713,547m³ spoil will be dredged overall along Corridor 1, with dredging most extensive in the Kinh Tay River.

13. The estimated storage required for this is 84.4 hectares, 48.0 hectares permanent storage and 36.4 hectares temporary. This is indicated in Table 2-2, as well as likely spoils storage required at each site. The 36.4 Ha will be temporary land use, with spoil being used for construction or fill, for instance as replacement fill in mined out quarries. The remainder, 48.0 Ha, will be permanent storage. As much as possible, marginal lands will be used as stockpile areas, although compensation will also be required for affected land users.

14. The breakdown for disposal of dredged material, based on the waterway engineering advice, is estimated to be:
   a) 20% of dredged material would have pollutants like heavy metals and need to be permanently stockpiled on land, and secured within bunds to stop any side effects from leaching out of pollutants.
   b) 10% of dredged material would simply be disposed in deep channels in the river
   c) 40% of dredged material will be good material, of this 32% construction quality sand and 8% of lesser quality but still usable material in construction
   d) 30% of dredged material would be good material, but not construction quality or taken by the construction industry. Of this, half (15%) is estimated to be used immediately as landfill (eg forming and backfilling guidance dams or backfilling old quarry sites adjacent to the river) and half (15%) is estimated to go to temporary storage

---

Table 2-1: Loss in Agricultural Land Due to Bend Corrections in Corridor 1

<table>
<thead>
<tr>
<th>#</th>
<th>KM</th>
<th>Design Reference</th>
<th>Community</th>
<th>DPs</th>
<th>Population</th>
<th>Agricultural Land (m³)</th>
<th>DPs Losing more than 20% Agricultural Land</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>149</td>
<td>C1-KT05</td>
<td>Mac Ngan Hamlet, Dong Lac Commune, Chi Linh District</td>
<td>16</td>
<td>69</td>
<td>7,969</td>
<td>4</td>
</tr>
<tr>
<td>2</td>
<td>151</td>
<td>C1-KT07</td>
<td>An Bai Hamlet, An Lac Commune, Chi Linh District</td>
<td>8</td>
<td>29</td>
<td>18,758</td>
<td>2</td>
</tr>
<tr>
<td>3</td>
<td>152</td>
<td>C1-KT08</td>
<td>Ninh Xa Hamlet, Le Ninh Commune, Kinh Mon District</td>
<td>18</td>
<td>69</td>
<td>7,947</td>
<td>0</td>
</tr>
<tr>
<td>4</td>
<td>186</td>
<td>C1-C01</td>
<td>Cam river</td>
<td>18</td>
<td>60</td>
<td>10,000</td>
<td>3</td>
</tr>
<tr>
<td>Total</td>
<td>60</td>
<td>227</td>
<td></td>
<td>45,000</td>
<td>9</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
15. The 20% from a) equates to 48Ha required for permanent storage. The 15% from d) equates to 36.4Ha required for temporary storage. Table 2.2 allocated this land requirement on a simple proportional basis along the river based on where the dredging has been designed to take place. This serves a guide. A Dredge Management Plan (DMP) will be prepared during the detailed engineering stage to provide guidance on handling the dredge. The 40% of good material is assumed to be all immediately transferred to barges and shipped to markets or transferred to the existing commercial sand stockpile sites along the river, not requiring use of any agricultural land.

16. The actual stockpile sites have not as yet been determined, and data concerning impacts on and socioeconomic characteristics of potential DPs will be a first order of priority as final detailed designs are available during project implementation. Based on information from river bend correction HH surveys, the order of magnitude for DPs could be about 80-90 HHs, about half affected by land acquisition and half by temporary loss of land.

Table 2-2: Loss of Land due to Dredging in Corridor 1

<table>
<thead>
<tr>
<th>#</th>
<th>KM</th>
<th>Design Reference</th>
<th>River</th>
<th>Distance (m)</th>
<th>Ha Required for Permanent Storage</th>
<th>Ha Required for Temporary Storage</th>
<th>Total Ha Required for Spoil Storage</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>84</td>
<td>C1-D12</td>
<td>Duong</td>
<td>1500</td>
<td>2.40</td>
<td>1.82</td>
<td>4.22</td>
<td>5</td>
</tr>
<tr>
<td>2</td>
<td>120</td>
<td>C1-D19</td>
<td>Duong</td>
<td>1500</td>
<td>2.40</td>
<td>1.82</td>
<td>4.22</td>
<td>5</td>
</tr>
<tr>
<td>3</td>
<td>131</td>
<td>C1-KT01</td>
<td>Kin Thay</td>
<td>2550</td>
<td>4.32</td>
<td>3.28</td>
<td>7.60</td>
<td>9</td>
</tr>
<tr>
<td>4</td>
<td>149</td>
<td>C1-KT05</td>
<td>Kin Thay</td>
<td>2500</td>
<td>4.32</td>
<td>3.28</td>
<td>7.60</td>
<td>9</td>
</tr>
<tr>
<td>5</td>
<td>152</td>
<td>C1-KT06</td>
<td>Kin Thay</td>
<td>1500</td>
<td>2.40</td>
<td>1.82</td>
<td>4.22</td>
<td>5</td>
</tr>
<tr>
<td>6</td>
<td>153</td>
<td>C1-KT07</td>
<td>Kin Thay</td>
<td>2550</td>
<td>4.32</td>
<td>3.28</td>
<td>7.60</td>
<td>9</td>
</tr>
<tr>
<td>7</td>
<td>154</td>
<td>C1-KT08</td>
<td>Kin Thay</td>
<td>2500</td>
<td>4.32</td>
<td>3.28</td>
<td>7.60</td>
<td>9</td>
</tr>
<tr>
<td>8</td>
<td>155</td>
<td>C1-KT09</td>
<td>Kin Thay</td>
<td>2000</td>
<td>3.36</td>
<td>2.55</td>
<td>5.91</td>
<td>7</td>
</tr>
<tr>
<td>9</td>
<td>156</td>
<td>C1-KT10</td>
<td>Kin Thay</td>
<td>1700</td>
<td>2.40</td>
<td>1.82</td>
<td>4.22</td>
<td>5</td>
</tr>
<tr>
<td>10</td>
<td>158</td>
<td>C1-KT11</td>
<td>Kin Thay</td>
<td>2000</td>
<td>3.36</td>
<td>2.55</td>
<td>5.91</td>
<td>7</td>
</tr>
<tr>
<td>11</td>
<td>163</td>
<td>C1-KT12</td>
<td>Kin Thay</td>
<td>1500</td>
<td>2.40</td>
<td>1.82</td>
<td>4.22</td>
<td>5</td>
</tr>
<tr>
<td>12</td>
<td>164</td>
<td>C1-KT13</td>
<td>Kin Thay</td>
<td>2500</td>
<td>4.32</td>
<td>3.28</td>
<td>7.60</td>
<td>9</td>
</tr>
<tr>
<td>13</td>
<td>176</td>
<td>C1-H01</td>
<td>Han</td>
<td>740</td>
<td>0.96</td>
<td>0.73</td>
<td>1.69</td>
<td>2</td>
</tr>
<tr>
<td>14</td>
<td>177</td>
<td>C1-H03</td>
<td>Han</td>
<td>2500</td>
<td>4.32</td>
<td>3.28</td>
<td>7.60</td>
<td>9</td>
</tr>
<tr>
<td>15</td>
<td>186</td>
<td>C1-C01</td>
<td>Cam</td>
<td>1500</td>
<td>2.40</td>
<td>1.82</td>
<td>4.22</td>
<td>5</td>
</tr>
<tr>
<td>Total</td>
<td>29040</td>
<td>48.0</td>
<td>36.4</td>
<td>84.4</td>
<td>100</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

17. Temporary Loss of land due to groin construction. Groins are structures that are constructed along the channel bank to locally change river condition, and are an ideal means of obtaining navigable depths of water and given directions of flow with as few detrimental environmental impacts as possible. The construction of transverse dykes and training structures often has the effect of making other river engineering operations, e.g., dredging, unnecessary. No permanent of loss of agricultural land is expected. Construction activities will require temporary acquisition of about 6.5 ha of land along the river banks, using 0.5Ha for each of the 13 sites. However, there will possibly be temporary construction impacts, such as contractor’s camp, storage sites, and temporary access roads. Temporary acquisition of land will not cause any adverse impacts on agricultural productivity & livelihood/land. As much of the construction access may be from the river or from along existing dyke roads and no construction sites are as yet identified, these impacts will have to be determined during project implementation.
18. Land Loss due to Bank Protection. The objective of bank protection is to prevent bank erosion and scouring. The construction is manual labor intensive and land-based and may provide local employment. The construction of the bank protection will require a slope of 1:4 (1m vertical for every 4m horizontal). In the case of Corridor 1, where the river bank height reaches 3 or 4m, the bank protection will likely occupy a land strip of about 12 – 16m. This strip will be graded and will be permanently occupied by the bank protection structure. With a length of 6,545m and a width of average 14m, land requirement is 91,630m² or 9.2Ha. This will be permanently acquired. Assuming construction site requirements of 0.5Ha at each location, there will be an additional need for temporary land acquisition of about 2.5Ha.

19. Land Loss due to Guidance Dam. Guidance dams expected to be constructed from the river with direct dredged material, so there is little land requirement. Two construction camp sites estimated requiring temporary acquisition of about 1.0Ha.

20. Table 2-3: summarizes the overall loss of land for Corridor 1. Altogether there are an estimated 250 DPs (1,115 population) affected by permanent and temporary acquisition of about 108 hectares of primarily agricultural land. Of these some 35 are estimated to lose more than 20% of their agricultural land. So far only River Bend Correction sites for land acquisition are identified through FS design drawings. As these sites also require dredging, estimates of permanent and temporary spoil storage required for bend corrections are subsumed under the dredging impacts. For other interventions it is not possible at this stage to identify sites where permanent or temporary land acquisition will take place.

Table 2-3: Summary of Loss of Land Due to Interventions in Corridor 1

<table>
<thead>
<tr>
<th>#</th>
<th>Type of Impact</th>
<th>DPs</th>
<th>Population</th>
<th>Agricultural Land (Ha)</th>
<th>DPs Losing more than 20% Agricultural Land</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>River Bend Correction</td>
<td>60</td>
<td>270</td>
<td>4.5</td>
<td>10</td>
</tr>
<tr>
<td>2</td>
<td>Dredging Spoil Stockpile</td>
<td>90</td>
<td>400</td>
<td>84.4</td>
<td>15</td>
</tr>
<tr>
<td></td>
<td>Permanent</td>
<td>60</td>
<td>270</td>
<td>48</td>
<td>15</td>
</tr>
<tr>
<td></td>
<td>Temporary</td>
<td>30</td>
<td>130</td>
<td>36.4</td>
<td>0</td>
</tr>
<tr>
<td>3</td>
<td>Groyne Construction</td>
<td>30</td>
<td>130</td>
<td>6.5</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>Permanent</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Temporary</td>
<td>30</td>
<td>130</td>
<td>6.5</td>
<td>0</td>
</tr>
<tr>
<td>4</td>
<td>Bank Protection</td>
<td>60</td>
<td>270</td>
<td>11.7</td>
<td>10</td>
</tr>
<tr>
<td></td>
<td>Permanent</td>
<td>40</td>
<td>180</td>
<td>9.2</td>
<td>10</td>
</tr>
<tr>
<td></td>
<td>Temporary</td>
<td>20</td>
<td>90</td>
<td>2.5</td>
<td>0</td>
</tr>
<tr>
<td>5</td>
<td>Guidance Dam</td>
<td>10</td>
<td>45</td>
<td>1.0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Permanent</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Temporary</td>
<td>10</td>
<td>45</td>
<td>1.0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>250</td>
<td>1,115</td>
<td>108.1</td>
<td>35</td>
<td></td>
</tr>
</tbody>
</table>

21. Table 2-4: summarizes the total permanent and temporary land required. Aside from River Bend Corrections, only the Dredging Spoil Stockpiles and the Bank Protection will require permanent land acquisition. It can be seen that along the river banks, usually defined by dykes, and unlike bend corrections, there is considerable latitude for locating such permanent sites away from any structures or
businesses and any cultivated land under standing crops. Temporary sites will be wherever possible on marginal land.

Table 2-4: Summary of Permanent & Temporary Land Acquisition due to Interventions in Corridor 1

<table>
<thead>
<tr>
<th>Type of Impact</th>
<th>DPs</th>
<th>Population</th>
<th>Agricultural Land (Ha)</th>
<th>DPs Losing more than 20%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Permanent</td>
<td>160</td>
<td>720</td>
<td>61.7</td>
<td>35</td>
</tr>
<tr>
<td>Temporary</td>
<td>90</td>
<td>395</td>
<td>46.4</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>250</td>
<td>1,115</td>
<td>108.1</td>
<td>35</td>
</tr>
</tbody>
</table>

2.3.1 Loss of Residential and Commercial Land
22. There will be no loss of residential or commercial land due to the proposed improvements in Corridor 1.

2.3.2 Loss of Structures
23. Proposed improvements will not result in loss of any structures and will not require relocation of any households.

2.3.3 Loss of Crops and Trees
24. Based on the FS preliminary design, standing tree plantings (bamboo) have been identified as affected at sites for bank protection works. Only cultivated crop land will be impacted by other Corridor 1 interventions. Impacts on crops and trees at this point can only be very roughly estimated. For budgetary purposes, this RP has used 5% of all land (permanent and temporary) costs.1

2.3.4 Loss of Incomes and Livelihood
25. An estimated 35 households are likely to be severely affected due to the loss of incomes and livelihood caused by loss of more than 20% of their agricultural land. In addition to compensation for lost land, these households will require income rehabilitation assistance.

1 This is a similar percentage set aside for crops and 'other' in the Mekong Transport Infrastructure Development Project (MDTIDP) RP prepared for the WB in June 2007.
2.4 Minimizing Land Acquisition and Resettlement Impacts

26. A number of design changes and elements have been used to minimize land acquisition and resettlement impacts. These include:

1. Avoidance of Bend Cutting through use of lesser impacts through Bend Correction
2. Avoiding Bend Correction on the Kin Thay, Han and Phi Liet Rivers
3. Construction of groins along 25km of Corridor 1, to make other river engineering operations, in particular dredging, unnecessary
4. Improving only the Duong bridge, and this by means of constructing a centre span capable of being raised and lowered rather than raising the whole bridge and associated approach roads, while at the other bridges (3) implementing waterway restrictions by means of aids to navigation. The raising of the bridge section will not cause any adverse impacts and will only cause temporary restriction of access to bridge users.

27. **Bend Correction rather than Bend Cutting.** At locations where bend correction was found through socioeconomic assessment to cause too much impact (e.g., crossing MARD dikes) accepting sharper bends has been accepted as a design policy, and waterway restrictions are also implemented by means of aids to navigation.

![Illustration of River Bend Cutting vs. Bend Correction](image)

*Figure 2-1: Illustration of River Bend Cutting vs. Bend Correction*
28. **Construction of groins along 25km of Corridor 1, to make other river engineering operations, in particular dredging, unnecessary.** A system of transverse groins will be constructed, consisting of nearly 120 groins along about 25km of river bank along Corridor 1, on the Red, Duong, and Kin Thay Rivers. Groins are structures that are constructed along the channel bank to locally change river condition, thereby creating flow acceleration and promoting scouring. Groins are an ideal means of obtaining navigable depths of water and given directions of flow with as few detrimental impacts as possible, including no impact on agricultural land or livelihoods along the river bank. The construction of such transverse dykes and training structures has the effect of making other river engineering operations, for example dredging, unnecessary. This will also save in spoil sites both through the construction period and from longer term dredging through the operation period. Such groins will actually have a beneficial effect for villagers through collecting silt deposits and stabilising river banks, thereby extending agricultural lands towards the river.
29. **Improving the Duong bridge only, while at the other bridges implementing waterway restrictions by means of aids to navigation.** A major waterway constraint was limited vertical clearance at bridges, especially at the Duong Bridge in Corridor 1 where the vertical clearance is only 2.8m. To avoid socioeconomic and resettlement impacts, as well as long term hindrance of traffic, a solution of making the center portion of the bridge movable vertically was decided upon. Other bridges with similar restrictions are dealt with by means of aids to navigation, without structural change.

Present Situation

![Illustration of Duong Bridge, Current Situation and Movable Centre Section](image)

Proposed Situation

![Illustration of Duong Bridge, Current Situation and Movable Centre Section](image)
3 SOCIO-ECOOMIC INFORMATION

3.1 Sources of Information

30. Socio-economic information of this RP has come from several sources: (i) results of inventory of loss for 100% of affected households of the Phase I Waterway component of the NDTDP; (ii) Results of socioeconomic household survey of the DPs; (iii) results of formal and informal meetings and group discussions with local authorities at all levels and social groups in project-impacted areas. The Inventory of Losses, Census and Socioeconomic Surveys of DPs were conducted by the Consultant and the consultation activities were also held by the resettlement consultant in cooperation with the local PDOTs and local authorities, all during two last months of November and December of 2007. See Annex B for socioeconomic survey methodology and questionnaire.

31. Specific interviews with groups of severely affected people and vulnerable persons were carried out to collect information on: (i) specific resettlement needs of severely affected and vulnerable groups of DPs, (ii) resettlement concerns and preferences of affected families, and (iii) measures to minimize negative impacts.

32. At the time of the above information gathering only FS technical design was available. Hence the socioeconomic characteristics of the communities and potential DPs presented below will necessarily be updated after the final detailed designs are completed during project implementation and during the detailed measurement (DMS) process.

3.2 Demographic Characteristics of DPs

33. According to the results of the Census (100%) and Socioeconomic survey of 87 DPs (375 persons) located in the Corridor 1 Phase I Subproject, all respondents are Kinh. The socioeconomic survey did not indicate presence of any ethnic minorities in the Phase 1 subproject areas.

34. The Northern Delta is known as a region of rapid population growth with a large average HH size. However, thanks to population and family planning policy and programs, the population growth rate in the delta has decreased remarkably. According to reports of the local authorities, the natural population growth rate in the most communes was varied around 1.2 - 1.4% per annum in the last year. The results of socioeconomic survey of the DPs of Corridor 1, conducted by the Consultant, indicate a relatively small average HH size of the DPs. The average HH size is 4.18 for the whole subproject. This average size is smaller than the average for the region (4.6 persons/HH). This may be explained by the generally younger population of the affected communities. The number of HHs with 4 members or less makes up 59.8% of the total surveyed DPs. Of the remainder, 39.1%, is HHs with 5 to 8 members and 1.1% HHs with more than 8 members. (See Table 3-1 and Table 3-2).

35. The average age of the total surveyed population is 33.7 years old. The distribution of the surveyed population by age groups is given in Table 3-3. The results of the Census of the DPs show a higher proportion of males to females (See Table 3-1). The males account for 59.8% of the DPs' HH heads.
Table 3-1: Demographic Characteristics of NDTDP’s DPs (Hai Duong Province)

<table>
<thead>
<tr>
<th>No</th>
<th>Hamlet</th>
<th>Total DP HHs</th>
<th>Total DP Persons</th>
<th>Average HH Size (Person/HH)</th>
<th>Sex Ratio</th>
<th>Ethnic Composition</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Male (%)</td>
<td>Female (%)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Kinh (%)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Non-Kinh (%)</td>
</tr>
<tr>
<td>1</td>
<td>Nhan Hue</td>
<td>35</td>
<td>160</td>
<td>4.28</td>
<td>46.6</td>
<td>53.4</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>100</td>
</tr>
<tr>
<td>2</td>
<td>Mac Ngan</td>
<td>16</td>
<td>68</td>
<td>4.24</td>
<td>52.2</td>
<td>47.8</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>100</td>
</tr>
<tr>
<td>3</td>
<td>Tien Xa</td>
<td>12</td>
<td>48</td>
<td>4.00</td>
<td>51.2</td>
<td>48.8</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>100</td>
</tr>
<tr>
<td>4</td>
<td>An Bai</td>
<td>6</td>
<td>29</td>
<td>4.83</td>
<td>52.2</td>
<td>47.8</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>100</td>
</tr>
<tr>
<td>5</td>
<td>Ninh Xa</td>
<td>18</td>
<td>69</td>
<td>3.83</td>
<td>63.3</td>
<td>36.7</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>100</td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
<td>87</td>
<td>375</td>
<td>4.18</td>
<td>51.4</td>
<td>48.6</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>100</td>
</tr>
</tbody>
</table>

Table 3-2: Distribution by HH’s Size of Surveyed DPs for NDTDP (Hai Duong Province)

<table>
<thead>
<tr>
<th>No</th>
<th>Hamlet</th>
<th>Total DP HHs</th>
<th>Total Surveyed DPs (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>&lt;= 4 Persons/HH</td>
</tr>
<tr>
<td>1</td>
<td>Nhan Hue</td>
<td>35</td>
<td>59.0</td>
</tr>
<tr>
<td>2</td>
<td>Mac Ngan</td>
<td>16</td>
<td>58.8</td>
</tr>
<tr>
<td>3</td>
<td>Tien Xa</td>
<td>12</td>
<td>58.3</td>
</tr>
<tr>
<td>4</td>
<td>An Bai</td>
<td>6</td>
<td>33.3</td>
</tr>
<tr>
<td>5</td>
<td>Ninh Xa</td>
<td>18</td>
<td>72.2</td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
<td>87</td>
<td>59.8</td>
</tr>
</tbody>
</table>

Table 3-3: Age structure of HH’s surveyed population of the NDTDP DPs (Hai Duong Province)

<table>
<thead>
<tr>
<th>No</th>
<th>Hamlet</th>
<th>Persons</th>
<th>Average Age of Surveyed Population</th>
<th>Percent of Surveyed Population (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>&lt;7 Years</td>
</tr>
<tr>
<td>1</td>
<td>Nhan Hue</td>
<td>160</td>
<td>35.6</td>
<td>4.3</td>
</tr>
<tr>
<td>2</td>
<td>Mac Ngan</td>
<td>69</td>
<td>30.6</td>
<td>7.5</td>
</tr>
<tr>
<td>3</td>
<td>Tien Xa</td>
<td>48</td>
<td>33.5</td>
<td>6.8</td>
</tr>
<tr>
<td>4</td>
<td>An Bai</td>
<td>29</td>
<td>30.1</td>
<td>8.7</td>
</tr>
<tr>
<td>5</td>
<td>Ninh Xa</td>
<td>69</td>
<td>33.3</td>
<td>1.6</td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
<td>375</td>
<td>33.7</td>
<td>5.0</td>
</tr>
</tbody>
</table>

3.3 Education

Vietnam’s well-known achievements in education in general and in the Northern delta as a whole are likely not relevant to the affected communities. According to official information, all the subproject’s five provinces have completed instituting compulsory primary education for their population, and in a number of their districts/communes, even compulsory basic secondary education, while the others are currently implementing compulsory basic secondary education. According to the results of the socioeconomic survey, 42.5% of the total surveyed population has reached basic secondary education level and 86.9% of the total surveyed population has reached at least primary or lower education level.

37. The level of education attained by surveyed DPs HHs is slightly higher (see Table 3-4 and Table 3-5). Illiteracy rate among adults is 2.2%. The enrolment rate of the school-aged children throughout the Delta is about 95% today and the drop-out rate is low.
Table 3-4: Demographic Characteristics of NDTDP’s DP HH Heads (Hai Duong Province)

<table>
<thead>
<tr>
<th>No.</th>
<th>Hamlet</th>
<th>Total Surveyed HH Heads</th>
<th>Sex</th>
<th>Education Level of DP Households Heads</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Male (%)</td>
<td>Female (%)</td>
</tr>
<tr>
<td>1</td>
<td>Nhan Hue</td>
<td>35</td>
<td>59.0</td>
<td>41.0</td>
</tr>
<tr>
<td>2</td>
<td>Mac Ngan</td>
<td>16</td>
<td>35.3</td>
<td>64.7</td>
</tr>
<tr>
<td>3</td>
<td>Tien Xa</td>
<td>12</td>
<td>91.7</td>
<td>8.3</td>
</tr>
<tr>
<td>4</td>
<td>An Bai</td>
<td>6</td>
<td>83.3</td>
<td>16.7</td>
</tr>
<tr>
<td>5</td>
<td>Ninh Xa</td>
<td>18</td>
<td>55.6</td>
<td>44.4</td>
</tr>
<tr>
<td>TOTAL</td>
<td>87</td>
<td>59.8</td>
<td>40.2</td>
<td>-</td>
</tr>
</tbody>
</table>

Table 3-5: Education Level of Surveyed Population of the NDTDP DPs (Hai Duong Province)

<table>
<thead>
<tr>
<th>No.</th>
<th>Hamlet</th>
<th>Total Surveyed DP HH R'dents</th>
<th>Sex</th>
<th>Education Level of DP Household Respondents</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Male (%)</td>
<td>Female (%)</td>
</tr>
<tr>
<td>1</td>
<td>Nhan Hue</td>
<td>133</td>
<td>46.6</td>
<td>53.4</td>
</tr>
<tr>
<td>2</td>
<td>Mac Ngan</td>
<td>65</td>
<td>52.2</td>
<td>47.8</td>
</tr>
<tr>
<td>3</td>
<td>Tien Xa</td>
<td>40</td>
<td>51.2</td>
<td>48.8</td>
</tr>
<tr>
<td>4</td>
<td>An Bai</td>
<td>20</td>
<td>52.2</td>
<td>47.8</td>
</tr>
<tr>
<td>5</td>
<td>Ninh Xa</td>
<td>55</td>
<td>83.3</td>
<td>36.7</td>
</tr>
<tr>
<td>TOTAL</td>
<td>313</td>
<td>51.4</td>
<td>48.6</td>
<td>2.9</td>
</tr>
</tbody>
</table>

38. The generally high levels of education attainments in the Northern Delta Region appear to reflect the people’s financial priorities and heightened awareness among parents. The most common reason for dropping out of, or not enrolling in, school is financial difficulty; people cannot afford their children’s school fees. While this reason is raised as the top reason both in the Northern Delta Region and the entire country of Vietnam, however, the proportion of communes with people with such difficulties in the Northern Delta is substantially lower for every level of education, for which the data are available, than the national average.

3.4 Land Holdings

39. The Northern Delta is one of the regions with the highest average agricultural holding (about 0.5 ha/HH) in the country. On the other hand, it is also a region where the problem of landless farmers is most serious. Transfer of the land use rights is reasonably common in the region, contributing to polarization of the land tenure pattern of the Delta: on one hand, a group of farmers may have several hectares of farming land, but on the other hand, others do not have land but work as hired agricultural workers. This is a likely factor contributing to the small number of severely affected farmers because some would not have any land to be affected, while the lineal character of the land acquisition would not pose severe impact on the others.

40. Based on the results of the inventory of losses (IOL) conducted by the Consultant for Corridor 1, it is indicated that the average HH’s agricultural land holding must be at least a hectare or more in order for them to depend much of their income on farming. The largest household land holdings in the project areas often exceed 1 - 2 Ha, while the number of farmers who have less than 0.1 ha/HH is...
relatively limited. Table 3-6 provides selected data on land holding and scale of acquisition in the most concerned communes. Results of interviews with different local stakeholders have proved that a small land holding of less than 1 Ha of farming land is generally not economically viable in the Delta.

Table 3-6: Agricultural Land Holding (m²) in Affected Communes (Hai Duong Province)

<table>
<thead>
<tr>
<th>No.</th>
<th>Hamlet</th>
<th>No. HHs having &gt;1,000m² or losing &gt;500m² of Agricultural Land</th>
<th>Average Holding of HHs having &gt;1000m² Agricultural Land (m²/HH)</th>
<th>Maximum Agricultural Land Holding (m²/HH)</th>
<th>Minimum Agricultural Land Holding (m²/HH)</th>
<th>Average Loss Of Agricultural Land (m²/HH)</th>
<th>Maximum Loss (m²/HH)</th>
<th>Minimum Loss (m²/HH)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Nhan Hue</td>
<td>18</td>
<td>1,406</td>
<td>2,880</td>
<td>144</td>
<td>209</td>
<td>576</td>
<td>31</td>
</tr>
<tr>
<td>2</td>
<td>Mac Ngan</td>
<td>14</td>
<td>2,507</td>
<td>5,400</td>
<td>720</td>
<td>451</td>
<td>1,080</td>
<td>155</td>
</tr>
<tr>
<td>3</td>
<td>Tien Xa</td>
<td>10</td>
<td>2,270</td>
<td>5,000</td>
<td>360</td>
<td>392</td>
<td>1,000</td>
<td>77</td>
</tr>
<tr>
<td>4</td>
<td>An Bai</td>
<td>5</td>
<td>14,760</td>
<td>21,780</td>
<td>400</td>
<td>2,481</td>
<td>4,356</td>
<td>86</td>
</tr>
<tr>
<td>5</td>
<td>Ninh Xa</td>
<td>18</td>
<td>2,208</td>
<td>4,716</td>
<td>1,040</td>
<td>442</td>
<td>943</td>
<td>208</td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
<td>65</td>
<td>3,025</td>
<td>21,780</td>
<td>144</td>
<td>502</td>
<td>4,356</td>
<td>31</td>
</tr>
</tbody>
</table>

41. In the project’s area the farmers have traditionally lived very close to their farm land. Therefore, it is commonly seen that the DPs have agricultural land right beyond the residential land that would be affected by the project. The combination of residential and garden land and/or the custom of building house on agricultural land are also a factor that could reduce the possible risks of displacing people to a new site by the project.

3.5 Income Sources and Incomes

42. In the Northern Delta, agriculture is the most important source of income for the local population. The agricultural activities include rice production, cultivation of some upland crops, fruit trees, pig and cow breeding, poultry, and fish farming. Other main economic activities include trade, services, liberate employment or non-farm self-employment.

43. To quantify the most important indices of vulnerability in the Project area the following table compares and contrasts a number of indicators: (i) households where the per capita income according to official MoLISA sources is estimated to be less than VND 200,000 per month, and, (ii) households where per capita income is estimated to be less than VND 400,000 per month. The lower threshold quantifies households living on the equivalent of less than USD 1 per day (based on the price per person of a basket of consumption goods and services in Vietnam) and the upper threshold quantifies households living on the equivalent of at least USD 2 per day (based likewise on a similar price per person).

44. The occupations of household heads of Corridor 1’s DPs, as well as those of the sample surveyed population, reflect the general regional employment picture with agricultural production being predominant over all other activities on average. More than 73.8% of the surveyed DPs are engaged in the agricultural sector, cultivating their land and conducting animal husbandry or working for hire within the sector. The main crops in the affected communes comprise rice, corn, mulberry, banana, and sweet potato depending on the areas. Pigs and ducks are the main animals traditionally raised.

45. The trades and office work are the next level of main sources of income among the affected population, involving 8.8% and 7.7% of the DPs surveyed. The tables below show that the surveyed HH
heads and their household members are engaged predominantly in full time agriculture on a self employed basis (see Table 3-7 to Table 3-9).

Table 3-7: Age and Occupation Status of DP Households (Hai Duong Province)

<table>
<thead>
<tr>
<th>No.</th>
<th>Hamlet</th>
<th>Av. Age</th>
<th>&lt;35 Years</th>
<th>36 to 55</th>
<th>&gt;55 Years</th>
<th>Full-Time</th>
<th>Part-Time</th>
<th>No Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Nhan Hue</td>
<td>35.6</td>
<td>52.8</td>
<td>32.3</td>
<td>14.9</td>
<td>98.6</td>
<td>1.5</td>
<td>-</td>
</tr>
<tr>
<td>2</td>
<td>Mac Ngan</td>
<td>30.6</td>
<td>58.2</td>
<td>32.8</td>
<td>9.0</td>
<td>100</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>3</td>
<td>Tien Xa</td>
<td>33.5</td>
<td>50.0</td>
<td>40.9</td>
<td>9.1</td>
<td>100</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>4</td>
<td>An Bai</td>
<td>30.1</td>
<td>65.2</td>
<td>30.4</td>
<td>4.3</td>
<td>100</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>5</td>
<td>Ninh Xa</td>
<td>33.3</td>
<td>57.1</td>
<td>34.9</td>
<td>7.9</td>
<td>91.7</td>
<td>-</td>
<td>8.3</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td></td>
<td>33.7</td>
<td>55.0</td>
<td>33.8</td>
<td>11.2</td>
<td>97.8</td>
<td>0.5</td>
<td>1.6</td>
</tr>
</tbody>
</table>

Table 3-8: Age and Type of Employment of DP Households (Hai Duong Province)

<table>
<thead>
<tr>
<th>No.</th>
<th>Hamlet</th>
<th>Av. Age</th>
<th>&lt;35 Years</th>
<th>36 to 55</th>
<th>Over 55 Years</th>
<th>Private</th>
<th>Self-Employ</th>
<th>Gov</th>
<th>No Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Nhan Hue</td>
<td>35.6</td>
<td>52.8</td>
<td>32.3</td>
<td>14.9</td>
<td>11.5</td>
<td>88.5</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>2</td>
<td>Mac Ngan</td>
<td>30.6</td>
<td>58.2</td>
<td>32.8</td>
<td>9.0</td>
<td>8.3</td>
<td>88.9</td>
<td>2.8</td>
<td>-</td>
</tr>
<tr>
<td>3</td>
<td>Tien Xa</td>
<td>33.5</td>
<td>50.0</td>
<td>40.9</td>
<td>9.1</td>
<td>13.8</td>
<td>79.3</td>
<td>6.9</td>
<td>-</td>
</tr>
<tr>
<td>4</td>
<td>An Bai</td>
<td>30.1</td>
<td>65.2</td>
<td>30.4</td>
<td>4.3</td>
<td>18.8</td>
<td>50.0</td>
<td>25.0</td>
<td>6.3</td>
</tr>
<tr>
<td>5</td>
<td>Ninh Xa</td>
<td>33.3</td>
<td>57.1</td>
<td>34.9</td>
<td>7.9</td>
<td>15.8</td>
<td>73.7</td>
<td>2.6</td>
<td>7.9</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td></td>
<td>33.7</td>
<td>55.0</td>
<td>33.8</td>
<td>11.2</td>
<td>12.7</td>
<td>81.2</td>
<td>4.1</td>
<td>2.0</td>
</tr>
</tbody>
</table>

Table 3-9: Age and Occupational Group of DP Households (Hai Duong Province)

<table>
<thead>
<tr>
<th>No.</th>
<th>Hamlet</th>
<th>Av. Age</th>
<th>&lt;35 Years</th>
<th>36 to 55</th>
<th>Over 55 Years</th>
<th>Agric</th>
<th>Trade</th>
<th>Handicraft</th>
<th>Office</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Nhan Hue</td>
<td>35.6</td>
<td>52.8</td>
<td>32.3</td>
<td>14.9</td>
<td>70.3</td>
<td>10.9</td>
<td>-</td>
<td>7.8</td>
<td>10.9</td>
</tr>
<tr>
<td>2</td>
<td>Mac Ngan</td>
<td>30.6</td>
<td>58.2</td>
<td>32.8</td>
<td>9.0</td>
<td>87.5</td>
<td>7.5</td>
<td>-</td>
<td>-</td>
<td>5.0</td>
</tr>
<tr>
<td>3</td>
<td>Tien Xa</td>
<td>33.5</td>
<td>50.0</td>
<td>40.9</td>
<td>9.1</td>
<td>75.6</td>
<td>12.1</td>
<td>-</td>
<td>12.1</td>
<td>-</td>
</tr>
<tr>
<td>4</td>
<td>An Bai</td>
<td>30.1</td>
<td>65.2</td>
<td>30.4</td>
<td>4.3</td>
<td>61.1</td>
<td>-</td>
<td>5.6</td>
<td>16.7</td>
<td>16.7</td>
</tr>
<tr>
<td>5</td>
<td>Ninh Xa</td>
<td>33.3</td>
<td>57.1</td>
<td>34.9</td>
<td>7.9</td>
<td>75.6</td>
<td>4.9</td>
<td>-</td>
<td>7.3</td>
<td>12.2</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td></td>
<td>33.7</td>
<td>55.0</td>
<td>33.8</td>
<td>11.2</td>
<td>73.8</td>
<td>8.8</td>
<td>0.4</td>
<td>7.7</td>
<td>9.2</td>
</tr>
</tbody>
</table>

46. The figures on average monthly per capita income of the surveyed population by administrative unit are given in Table 3-10. According to the reports of local authorities, the poverty rate among the affected population is generally moderate. Most of the poor HHs are landless farmers.

47. The average monthly per capita income across the surveyed HHs is 592,548 VND, about 2.5 times higher than the country’s poverty line. Over a quarter of the HHs surveyed (28.2%) fall within the relatively well-off average income group with the per capita monthly income over 500,000 VND. The above-average income group (with per capita monthly income varying between 350,000 VND and 500,000 VND) accounts for 19.2% of the HHs surveyed. The average income group (with per capita monthly income between 200,000 VND and 350,000 VND) makes up 13.5% of the total number of HHs surveyed while 39.1% are poor HHs by new poverty standards. (See Table 3-10).
Table 3-10: Distribution of Surveyed Hh's by Per Capita Monthly Income (Hai Duong Province)

<table>
<thead>
<tr>
<th>No.</th>
<th>Hamlet</th>
<th>Total (VND/Pers/ Month)</th>
<th>Distribution by Level of Monthly Per Capita Income (Number of Hh's)</th>
<th>Composition by Level of Monthly Per Capita Income (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Nhan Hue</td>
<td>563,684</td>
<td>35 1 6 15</td>
<td>81.4 1.8 10.5 26.3</td>
</tr>
<tr>
<td>2</td>
<td>Mac Ngan</td>
<td>648,000</td>
<td>5 1 12 7</td>
<td>20.0 4.0 48.0 28.0</td>
</tr>
<tr>
<td>3</td>
<td>Tien Xa</td>
<td>742,308</td>
<td>9 5 4 8</td>
<td>34.6 19.2 15.4 30.8</td>
</tr>
<tr>
<td>4</td>
<td>An Bai</td>
<td>500,000</td>
<td>6 3 5</td>
<td>42.9 21.4 35.7</td>
</tr>
<tr>
<td>5</td>
<td>Ninh Xa</td>
<td>526,471</td>
<td>12 8 5 9</td>
<td>35.3 23.5 14.7 26.5</td>
</tr>
<tr>
<td>TOTAL</td>
<td>156</td>
<td>592,548</td>
<td>61 21 30 44</td>
<td>39.1 13.5 19.2 28.2</td>
</tr>
</tbody>
</table>

3.6 Living Conditions and Possessions of Assets

48. Generally houses throughout the project area are of solid construction, many at a level that could qualify as urban, with tile roofs, walled compounds, and tile floors. All of the affected communes are connected to the national power grid. All have basic social infrastructure, including primary school, post office and health care centers. However, less than a half of DPs are connected to safe water. Almost all the DPs have to use drinking water derived from waterways or canals. Most DPs do not have sanitary toilets.

49. In general, all the affected population have access to common telecommunication systems with more than 90% of the Hh's possessing TV and the telephone ownership rate is equally high.
4 LEGAL FRAMEWORK AND ENTITLEMENT AND COMPENSATION POLICIES

4.1 Legal Framework and Entitlement Policy

50. The legal framework and entitlement policy for the NDTDP are comprised of Vietnam’s laws, decrees, and circulars; the World Bank’s policies, in particular its resettlement policy, OP 4.12. These are fully described in the Resettlement Policy Framework (RPF). In general, the new Vietnamese legislation, law and regulations almost approach to the World Bank resettlement policy. However, in their implementation practice there still exist the gaps which have to be overcome. The RPF provides the measures by which these are overcome and establishes the NDTDP’s Compensation Policy.

4.2 The NDTDP Compensation Policy

4.2.1 Objectives of Resettlement

51. The objectives of the Vietnamese legislation governing resettlement and rehabilitation of displaced persons, and that of the World Bank concerning involuntary resettlement, have been adapted for preparing this Resettlement Plan (RP). The objectives are set out below. An entitlement matrix is shown in Annex D. The policies and principles adopted for the Project supersede the provisions of relevant decrees currently in force in Vietnam wherever a gap exists between the World Bank (OP 4.12) and Vietnamese law.

52. The main objective of the Resettlement Plan (RP) is to ensure that all Displaced Persons (DPs) will be compensated or assisted for their losses and be provided with rehabilitation measures to improve, or at least to maintain, their pre-process living standards and income earning capacity.

4.2.2 Displaced People (DP)

53. Displaced People (DP) are those who are affected by:

- Involuntary acquisition of land resulting in:
  - Relocation or loss of shelter;
  - Loss of, or loss of access to, assets;
  - Loss of income sources or means of livelihood, regardless of whether the affected persons must move to another location; or
- Involuntary restriction of access to legally designated parks and protected areas, resulting in adverse impacts on the livelihoods of the displaced persons.

4.2.3 Principles of Resettlement

54. The principle of the resettlement policy of the project will be as follows:

a) Acquisition of land and other assets, and resettlement of people will be minimized as much as possible.

b) All DPs residing, working, conducting business or cultivating land within the required area under the Project as of the cut-of-date are entitled to be provided with rehabilitation measures that are sufficient to assist them in improving or at least maintaining their pre-Project living standards, income earning capacity, and production levels. Lack of legal rights to the assets lost will not bar the DPs from being entitled to such rehabilitation measures.
c) The rehabilitation measures to be provided are: (i) compensation at replacement cost without deducting for depreciation or salvage materials for houses and other structures; (ii) priority given for compensation mode of agricultural land-for-land of equal productive capacity acceptable to the DP; (iii) priority given for compensation mode of replacement of premise land (if any) of equal size acceptable to the DP; (iv) transportation and subsistence allowances; and (v) business/income rehabilitation allowances.
d) Replacement of premise and agricultural land will be as nearby as possible to the land that is lost and is acceptable to the DP. Where no land is available for compensation "land for land", or if DPs prefer, a cash compensation may be applied. If the DPs lose more than 20% of their agricultural holding, in addition to the compensation for the lost land, the project will provide rehabilitation/assistance measures.e) The resettlement transition period will be minimized, and the rehabilitation means will be provided to the DPs no later than one month prior to the expected start-up date of the works in the respective Project site.
f) Plans for acquisition of land and other assets and provision of rehabilitation measures will be carried out in consultation with the DPs to ensure minimal disturbance. Entitlements will be provided to DPs no later than one month prior to expected start-up of the works at the respective project site.
g) The previous level of community services and resources will be maintained or improved.
h) Adequate budgetary support will be fully committed and will be made available to cover the costs of land acquisition, resettlement, and rehabilitation within the agreed implementation period. Physical resources for resettlement and rehabilitation will be made available when required.
i) The contractors should only start their civil works in those project's sections where compensation payment and rehabilitation assistances are made in accordance with the project's resettlement policy.
j) Institutional arrangements will ensure effective and timely design, planning, consultation and implementation of the Resettlement Plan (RP).
k) Appropriate reporting, monitoring and evaluation mechanisms will be identified and set in place as part of the resettlement management system. Evaluation of the land acquisition process and the final outcome will be conducted, independent of the executing agency.

4.2.4 Compensation Policy for Loss of Agricultural Land

55. In accordance with the policy provisions, priority will be given to land-for-land as the mode of compensation, particularly for the DPs severely affected due to the loss of their productive land. However, where replacement land is not available at the preferred location or at the informed decision of the DP, compensation in cash may be provided. The entitlement criteria will be as follows:

*Legal and legalizable land users:*

i. If the portion of the land to be lost represents 20% or less of the total area of the landholding, cash compensation for the lost area, at full replacement cost, may be provided to the DP. The marginally affected HHs who are losing <20% of the total area of their land holding but whose remaining land area is sufficient for effective farming, will be entitled to: cash compensation for the lost area, at full land replacement cost; if the remaining area of the partially affected plot or the entire remaining holding is not suitable for economic use and if the DPs request, the project will recover and compensate for the whole plot/area. If as a result, the DPs may become severely affected; they will be entitled, as the group of severely affected DPs, as follows:
ii. The severely affected farmers (8 DPs), losing >20% of a household’s allocated agricultural land, or losing less than 20% of the holding, and all the remaining area is not economically viable:

a) cash compensation at full (100%) replacement cost for the lost area (or for the entire affected plot if the remaining area of the plot is not economically viable),

b) rehabilitation assistances including:

   o A subsistence assistance equivalent to the market value of 30 kg of rice /person/month for 3 months if the DPs do not have to relocate to a new place, and for 6 months if DPs have to be relocated;

   o A job creation or training assistance:

      Provision of a plot, with collection of Land use right fee, at a location convenient for running non-farm production/activities or services, OR If there is no land available for such, then a training assistance on shifting to new occupations for the labor-aged members of the DPs. The training assistance will be provided through the following:

      a) The project will pay training fees directly to the training institutions, not less than 2,000,000 VND/HH. The duration of receiving training subsistence allowance depends on the type of training course but does not exceed 6 months. Such assistance aims to partially compensate the loss of income and other related expenses during the training course; OR

      b) training assistance in cash but the project will cooperate with relevant local organizations to improve technical services for agricultural development to all severely affected agricultural DPs to assist them in improving productivity on their remaining land; OR

      c) training assistance in cash but in combination with credit or other technical assistance on business/financial management, investment, and such. The forms of assistance should be consulted closely with the entitled DPs to ensure that the DPs will be provided with appropriate and effective assisting measures to restore their income generating capacity and income levels.

56. Where the land is rented through civil contracts between individuals, households or organizations, the compensation for land will be paid to the persons who have legal/legalizable land use rights, while compensation for crops, trees or aquaculture products attached to the affected land will be paid to the affected land cultivators.

57. Where the affected persons utilize the public land (of Right of Way or in protection areas of hydraulic works) that are subject to be recovered under the project, with conditions to return the land to the Government on request, they (DPs) will not be compensated for this public land, but will be compensated for crops and trees at full market prices.
4.2.5 Compensation for loss of Standing Crops and Trees

58. The compensation policy for crops/trees affected is as follows:

For annual and perennial standing crops, regardless of the legal status of the land, compensation will be paid to households who cultivate the land, according to the full market value of the affected crops and/or at replacement cost for affected perennial trees. Regarding the removable affected trees, the compensation will be equal to the transportation cost plus actual loss.

4.2.6 Compensation Policy for Loss of Income and/or Business/Productive Assets

59. For DPs losing income and/or business/productive assets as a result of land acquisition, the mechanism of compensation will be:

a) cash compensation for the loss of income during the transition period for registered and affected business, equivalent to 30% of the annual average net income of the last 3 years, recognized by a tax-collecting agency. (This amount is equivalent to 100% of monthly net income for 3.6 months).

b) a cash assistance amount of the value ranging from 1,000,000 VND to 2,000,000 VND per business HH for the loss of income to the affected business DPs who are without business/production registration.

60. All DPs affected severely due to the loss of more than 20% of agricultural land will be entitled to assistance for income rehabilitation to enable them to at least restore their livelihood and households incomes a the pre-project levels. Once these DPs are identified following the DMS, extensive consultations will be carried out to determine their needs and priorities on the types of assistance. Each DP entitled to income rehabilitation assistance will be provided different options to choose from. The exercise will also include feasibility assessment of selected income restoration measures. Additionally, where possible and depending on the skill level, affected households will be given preference for employment during the construction phase.

4.2.7 Temporary Impact during Construction

61. The DPs, who will be temporarily impacted by the Subproject, will be entitled to the following:

For arable land that will be temporarily affected:

a) Compensation for one harvest of crops/trees at full market prices

b) Compensation for loss of net income from subsequent crops that cannot be planted for the duration of project temporary use, AND

c) Restoration of land to its previous or better quality by providing measures to improve land quality in cases of land being adversely affected or acidified, AND

d) If the duration of project’s use of the land exceeds more than two years, then the DPs have an option to: 1) Continue using land, OR, 2) “Give it to the Project and be compensated as permanent loss

For damages caused by contractors to private or public structures:
62. Damaged property will be restored by contractors immediately after completion of civil works to its former condition.

63. Under their contract specifications, the contractors will be required to take extreme care to avoid damaging property during their construction activities. Where damages do occur, the contractor will be required to immediately pay compensation to affected families, groups, communities, or government agencies at the same compensation rates that shall be applied to all other assets affected by the Project. In addition, damaged property will be restored immediately to its former condition.

4.2.8 Social Assistance and Incentive Bonus

64. Social assistance: Any relocated DPs, who are currently receiving social assistance from Vietnamese Government, will be provided with the same assistance in addition to the compensation and other assistance as provided for in the RPF.

65. Incentive Bonus: The DPs who voluntarily hand the affected land to the project in accordance with the time regulated and announced by the project will be entitled to a bonus of 5% of the total compensation amount but not exceeding 5,000,000 VND/land user/house owner in accordance with the local regulations.
5 COST AND BUDGET

5.1 Financing

For the purpose of preparing the budget for resettlement implementation, a preliminary resettlement cost estimate to be prepared. The budget for the RP shall be prepared based on the updated compensation unit rates by the PPCs/District PC to reflect replacement costs at current market value of all affected assets. The compensation rates applied should reflect replacement costs or market prices of respective affected assets at time of its implementation. The sources of funding for resettlement activities will need to be clearly indicated in RPs. The PPCs/District PC are responsible for providing budget for payment of compensation and assistance for their respective subprojects. Resettlement Training cost, cost of Resettlement Site development and for external monitoring will be taken from the IDA credit.

5.2 Flow of Funds

PMU-W will be responsible for channeling funds for land acquisition and resettlement to the respective subproject provincial Treasuries for the payment of compensation directly to affected persons for land, crops, trees, and for the rehabilitation assistances.

5.3 Compensation Prices

The cost estimates for compensation of land, affected assets and rehabilitation, resettlement implementation of the Phase 1 subprojects is based on the followings:

The cost estimates for compensation of land, affected assets and rehabilitation, resettlement implementation of the Phase 1 subprojects is based on the Decision 4915/2005/QD-UBND, 30 December 2005, issued by Hai Duong Province on Compensation Rates and Resettlement Assistance. The contingencies are about 25% because unit prices are currently based on Decision 4915/2005/QD-UBND, 30 December 2005. From 2005 up to now, the prices of land have changed, but the acquired land is near the river, and its price will not change to the extent of more favourably situated land, for instance along highways and roads. The prices will be updated following the latest Provincial Decision issued by Hai Duong province to reflect the annual updating of prices as required by Decree 197.

According to results of preliminary replacement cost assessment, the compensation prices issued by the subproject’s PPCs for movable assets generally are reflecting replacement costs of affected houses and secondary structures as well as of attached crops and trees. It is worth noting that the practice of resettlement implementation in Vietnam shows that, in case of reasonable fluctuation of unit construction costs, the local PPCs used to update them accordingly. The New Land Law 2003, especially the recent Decree 17/2006/CP has provided legal base for land compensation reflecting market prices. According to the Land Law 2003, PPCs’ issued prices of land have to be updated annually and be publicly announced on the 1st of January every year. The cost estimate in this RP is based on: the issued by the subproject’s PPCs compensation unit prices of crops/trees. The unit prices used for land compensation cost estimate mostly follows the PPCs issued prices with adjustments for some urbanized road sections and those more commercialized ones.

In the stage of resettlement implementation, the compensation rates will be updated by the PPCs to reflect current market prices land in accordance with provision of the Land Law and the Decree 17/2006/CP. Additionally, prior to resettlement implementation, a market survey will be conducted by a selected institutions to determine current market prices for land, trees and crops and other affected...
assets and compare them with the PPC prices. If necessary, PPC prices will be revised suitably to reflect replacement cost of affected assets.

5.4 Total Resettlement Cost

The summarized total resettlement cost for the waterway component of the NDTDP's Phase 1 is estimated to be 46,557,609,375 VND, as presented in Table 5-1.

Table 5-1: Estimated Resettlement Cost for the NDTDP's Phase 1 WW's in Corridor No1

<table>
<thead>
<tr>
<th>No</th>
<th>Content</th>
<th>DPs</th>
<th>Unit</th>
<th>Quantity</th>
<th>Unit price (VND)²</th>
<th>Cost (VND)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Acquired Agricultural Land²</td>
<td>160</td>
<td>m2</td>
<td>617,000</td>
<td>35,000</td>
<td>21,595,000,000</td>
</tr>
<tr>
<td>B</td>
<td>Temporarily Occupied Land</td>
<td>90</td>
<td>m2</td>
<td>464,000</td>
<td>30,000</td>
<td>13,920,000,000</td>
</tr>
<tr>
<td>C</td>
<td>Crops and Trees</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>425,750,000</td>
</tr>
<tr>
<td>D</td>
<td>Allowances</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Subsistence Allowance (Three Months)³</td>
<td>35</td>
<td>HHs</td>
<td>35</td>
<td>1,800,000</td>
<td>63,000,000</td>
</tr>
<tr>
<td></td>
<td>Training</td>
<td>35</td>
<td>Persons</td>
<td>35</td>
<td>1,500,000</td>
<td>52,500,000</td>
</tr>
<tr>
<td></td>
<td>Agricultural Assistance</td>
<td>35</td>
<td>HHs</td>
<td>35</td>
<td>3,000,000</td>
<td>105,000,000</td>
</tr>
<tr>
<td></td>
<td>Sub Total (A-D)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>36,161,250,000</td>
</tr>
<tr>
<td>E</td>
<td>External Monitoring (1%)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>361,612,500</td>
</tr>
<tr>
<td>F</td>
<td>Management (2%)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>723,225,000</td>
</tr>
<tr>
<td></td>
<td>Total A+E+F</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>37,246,087,500</td>
</tr>
<tr>
<td>F</td>
<td>Contingencies (25%)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>9,311,521,875</td>
</tr>
<tr>
<td></td>
<td>Total (A+...+F)</td>
<td></td>
<td></td>
<td></td>
<td>in VND</td>
<td>46,557,609,375</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>in US$⁵</td>
<td>2,909,851</td>
</tr>
</tbody>
</table>

Unit= VND

² Unit prices from Decision 4915/2005/QD-UBND, 30 December 2005, issued by Hai Duong Province on Compensation Rates and Resettlement Assistance.
³ From River Bend Correction land acquisition & Dredging Spoil Storage as well as Cam River bend correction.
⁴ Estimated DPs losing more than 20% of land.
⁵ Currency: 1US$ equivalent 16,000 VND.
6 INSTITUTIONAL ARRANGEMENTS

73. The implementation of resettlement activities of the Corridor 1 subproject requires the involvement of agencies at the national, provincial, district and commune levels. The Ministry of Transport (MOT) will be responsible for the overall implementation of the NDTDP's RPF and the RP. Resettlement committees shall be established at the subproject's districts in accordance with regulations of the Decree 197/2004/CP. The provisions and policies of the RPF and this RP will form the legal basis for the implementation of resettlement activities in the subproject.

74. The following is a general overview of key resettlement responsibilities at/for each level/unit involved in the Project implementation with respect to land acquisition and resettlement.

6.1 Central Level

6.1.1 Ministry of Transport (MOT)

75. On behalf of the Government, MOT, through the Vietnam Inland Waterway Administration (VIWA), is responsible for the realization of NDTDP, including its RPF.

76. PMU-W with support from the MoT's Department of Planning and Investment (DPI) and the Transport Construction and Quality Management Department (TCQM) will be responsible for (i) overall supervision and coordination for the project implementation between the Implementing Agencies and related Ministries; (ii) monitoring the project progress; (iii) review of technical and financial audit reports, social and environmental monitoring reports, the project evaluation and monitoring reports, and (iv) ensuring the project related policy and institutional reforms are achieved.

6.1.2 Project Management Unit - Waterways (PMU-W)

77. PMU-W, under VIWA, has direct responsibility and day-to-day management oversight for implementing all aspects pertained to the Waterway's works, including planning, programming, budgeting, design, implementation, monitoring, evaluation, ensuring overall project's coordination and supervision of resettlement activities and coordination/liaison with the World Bank. The responsibilities of PMU-W towards the project's resettlement issues include the following, but are not limited to:

   a) Guide resettlement implementing agencies at different levels in updating DMS based on detailed technical designs to identify exact number of DPs and their impacts levels, serving as a legal basis for compensation payment.
   b) Guide resettlement implementing bodies to execute resettlement activities in accordance with provisions of the Resettlement Policy Framework (RPF) and the RP of the Subproject; and if any mistakes or shortcomings are identified through internal and/or external monitoring of the RP's implementation, ensure that the correction measures are adopted and objectives of the RP are met.
   c) Guide the local resettlement agencies on procedures of preparation and submission for approval of documents related to compensation and resettlement.
   d) Provide overall supervision of the progress of project's compensation and resettlement programs implementation and supervising the coordination between civil works in each road/waterway sections with respective resettlement activities.
   e) Provide necessary resettlement training to implementing agencies at all levels.
f) Establish standard procedures for information meetings and stakeholder consultation with DPs. Implement Project resettlement information campaign, including the delivery of public resettlement information documents and conducting consultation with DPs in accordance with the project established guidelines.

g) Provide coordination between various agencies involved in the RP's implementation and monitoring the RP implementation. Establish liaison mechanisms to ensure proper technical and logistical support to implementing agencies.

h) Review and advise the subproject's PPCs to make adjustment, if necessary, on compensation rates for land and house/structures in accordance with the provisions of this RP and the NDTDP's PRF.

i) Provide budget for the Subproject's resettlement implementation.

j) Establish procedures for coordination between contractors and local communities and prompt evaluation and compensation for community assets impacted during civil works.

k) Establish procedures for prompt implementation of correction measure and actions in response to DPs' grievances.

l) Coordinate supplying the project-related employment to DPs (consult with contractors on employment opportunities for local population, inform them about such opportunities and advice them how to utilize the chance).

m) Establish procedures for ongoing internal monitoring and prepare project progress reports and ensuring compliance with project resettlement policy provisions.

n) Manage a standardized DPs database, serving practical resettlement implementation needs.

o) Recruit and supervise consultants, including the external independent organization for resettlement monitoring.

p) Implement accounting of resettlement implementation for the subproject.

q) Prepare project progress reports on land acquisition and resettlement for submitting to the MOT and WB.

r) Hire consultant to carry out replacement cost surveys for certification of RP completion for award of civil contracts. The replacement cost survey of affected land and attached properties/assets will assess the level of adequacy of PPCs issued compensation prices, comparing with replacement costs. In case, if there exist a considerable gap, the hired consultant will submit recommendations to the PMU-W so thus they will act for necessary adjustments, ensuring the project's principles are met. See Annex C for indicative methodology for replacement cost survey.

6.2 Local Level

6.2.1 Provincial People's Committee (PPC)

78. The PPCs are the Executing Agencies (EAs) responsible for overall implementation of the project resettlement activities in accordance with the RP in their respective provinces. The PPCs are responsible for following the project's RPF, approved by the Office of the Prime Minister, as a condition to participate in the Project. The PPCs are responsible for making decisions related to project's resettlement issues including compensation rates and rehabilitation assistance measures for DPs. The PPCs are also responsible for providing the budget for resettlement compensation.
79. After detailed engineering designs are completed, the number of DPs will be revised, and compensation unit rate allowance will be updated for all categories of lost assets, based on replacement cost surveys undertaken during project implementation. Following approval by the WB of the updated RP, the PPC will be responsible for management and supervision of the RP implementation, including making speedy resolution of any grievances voiced by DPs or town/district authorities. Based on local needs of resettlement implementation, in each project implementation, to carry out their resettlement responsibilities, the PPCs will set up and direct their respective provincial Steering Council in accordance to the Decree 197/2004/CP and to the needs of the RP's implementation.

6.2.2 The Provincial Resettlement Committees

80. Provincial Resettlement Committees (PRCs) established by the PPCs will assist the PPCs in carrying out their overall responsibilities as follows:

a) Advise the PPCs on approving the project's land acquisition and allocating the land for the subproject's development.

b) Advise the PPCs on making the final decision on compensation unit costs, subsidies, allowances, and on supporting policies for severely DPs, poor and vulnerable affected groups, in accordance with this RPF and the approved RP.

c) Direct coordination between the related institutions and provincial departments for the implementation of the RP.

d) Review and submit to PPCs for approval compensation options, and land clearance in accordance with delegated responsibilities.

e) Ensure that the subproject's resettlement activities in its provinces would be carried out in compliance with policies and provisions of the RPF and this RP. If any mistakes or shortcomings are identified through internal and/or external monitoring of RP implementation, the PPCs should take responsible to ensure that the objectives of the RP are met.

f) Cooperate with project management and implementation units to assist the PPCs in making decision to promptly resolve grievance and complaints from DPs or from local district/communes, according to their competence and responsibilities.

6.2.3 District’s People’s Committee

78. The District’s People Committees are responsible for the following:

a) Identify of legality of land user rights or ownerships of affected land and structures,

b) Appraise and approve compensation options for DPs within their administrative competence

c) Issue regulations and procedures of solving administrative matters related to the project resettlement and compensation implementation within their administrative boundaries

d) Establish and appoint members of the District’s RCs and assigning functional tasks for the district’s RCs.

6.2.4 Ward’s/Commune’s People’s Committees

Town’s/Commune’s People Committees (Town’s/CPCs)

81. Towns/CPCs are responsible for followings:
a) Participate as member of DRCs
b) Assign concerned ward/commune officials/professionals to help carry out all resettlement activities in its ward/commune;
c) Assist others bodies/agencies, including the PMU-W, to implement project information disclosure, and facilitating public meetings and consultation with DPs;
d) Assist the respective agencies/bodies in charge of census surveys, replacement cost survey, DMS, and other resettlement-related activities;
e) Check and affirm the legality status of affected land, houses, structures and other assets/losses of organization;
f) Participate in all activities related to land acquisition and allocation, resettlement, rehabilitation measures and social development support activities;
g) Support DPs in all resettlement and rehabilitation-related activities. Co-sign compensation documents with the DPs;
h) Verify the list of the poor or disadvantaged DPs; and
i) Ensure DP's grievances redress mechanisms are appropriate and properly in place. Document DPs grievances and maintain records of all grievances. Assist and advise DPs on speedy redress of grievances.

6.2.5 Agency Responsible for External Monitoring

82. An agency or institute, specialized in social sciences, will be identified and engaged in order to carry out socio-economic surveys, replacement cost surveys, monitoring, and evaluation of the RP's implementation for the subproject as well as ensuring and certifying that compensation and entitlement payments are completed before DP displacement and before award of civil award contracts (See Chapter 8 for more details).
7 CONSULTATION DURING SUBCOMPONENT PREPARATION

83. During the project preparatory phase, project's information and public consultation were conducted in all the project's affected provinces.

84. The methods of project information and public consultation included participatory rapid appraisals and stakeholder's consultation, using techniques of site and household visits, public meetings, group and focus group discussions and the household socio-economic survey.

85. The public meetings and consultation were widely organized in most of the affected hamlets of the Corridor 1. The local authorities, leaders of different administrative levels and local DPs were informed of the project proposal, its objectives and proposed activities. They were also informed of the WB’s and the NDTDP’s proposed resettlement policy. The DPs were extensively consulted, and actively participated in discussions on their development needs and priorities, about their perception toward project objectives. Consultations with different stakeholders on market prices of land and movable properties were also carried out. Severely affected farmers and business DPs were consulted on their priorities and possible measures to reduce negative impacts.

86. The local authorities were consulted on their agreement and commitments to follow the project resettlement policy described in the RP and RPF, reflecting both the Government and WB resettlement objectives and principles.

87. The public consultations with DPs were organized in the 4 most affected communes of Corridor 1. In each of the consulted communes 1 to 3 public meetings and discussions at hamlet/village level were held. The DPs were extensively consulted, and they actively participated in discussions on their development needs and priorities, and their perception toward project objectives. DPs were consulted on project's potential impacts and possible measures to reduce potential negative impacts, and improve benefits for them and their communities.

88. The local authorities expressed their concerns on the subproject's potential temporary impacts on public properties during its implementation, during the land acquisition process and during civil works. While the proposed widening of the Waterway Corridor 1 navigation channel will be contained within the current river banks, local authorities at all levels as well as DPs expressed concern about the inundation risk in the flood season. They proposed that the project should take appropriate mitigation measures, including a timely rehabilitation of flood protection dikes, sluices, pumping facilities, either temporary or permanent, to protect local people, their crops and assets from possible flooding, if they were to be affected by the proposed civil works. They also proposed that the project should restore relevant public infrastructure before starting civil works to avoid possible inconveniences on local daily living and economic activities.

89. All the consulted DPs expressed their full support for the project’s investment, expecting that it would improve conditions for trading and fostering the socio-economic development of their communities, and for communication, thus contributing to improving public awareness among the local population. Their main concerns were focused on fair compensation and its transparency. Many questions on different aspects related to the project’s compensation rates, rehabilitation assistance packages were raised by the DPs and were extensively discussed. Focus group discussions were organized with severely affected DPs, including severely affected farmers, to consult on their preference towards
rehabilitation measures. The severely affected farmers expressed their preference for cash option to rehabilitate their income generating capacity by themselves.

90. As the Corridor 1 impacts, principally from temporary and permanent stockpiling of dredged material along the river corridor, would be widespread, but their actual locations not known until after DMS or even until during construction, people who participated in the public information dissemination and consultations including local authorities at the provincial, district and commune’s levels, expressed their desire to continue to be involved in stakeholders consultation activities. They considered the latter to be especially important. In their opinions, good information dissemination and extensive discussions between all concerned parties on project impacts on local properties and on the people and their communities could contribute to exploring all alternatives, appropriate and effective mitigation/rehabilitation measures to assist affected people and their communities in restoring their living standards and local public conditions. They strongly supported that the stakeholder consultation process should be continued in the project’s implementation stage and close cooperation between concerned parties was necessary for successful land acquisition, whether on a temporary or permanent basis.

Table 7-1: Place and time of public consultations

<table>
<thead>
<tr>
<th>No</th>
<th>Province</th>
<th>District</th>
<th>Commune</th>
<th>Date</th>
<th>Duration</th>
<th>No of DPs Attending</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td>HaiDuong</td>
<td>DongLac</td>
<td>23/11/2007</td>
<td>10.00 am – 12.00 pm</td>
<td>16</td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
<td>AnLac</td>
<td>23/11/2007</td>
<td>7.00 am – 10.00 am</td>
<td>8</td>
</tr>
<tr>
<td>3</td>
<td>HaiDuong</td>
<td>KimMon</td>
<td>LeLinh</td>
<td>24/11/2007</td>
<td>8.00 am – 10.00 am</td>
<td>16</td>
</tr>
<tr>
<td>4</td>
<td></td>
<td></td>
<td></td>
<td>24/11/2007</td>
<td>2.00 pm – 4.00 pm</td>
<td>12</td>
</tr>
<tr>
<td>5</td>
<td>ChiLinh</td>
<td></td>
<td>NhanHue</td>
<td>21/12/2007</td>
<td>8.00 am –10.00 am</td>
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<tr>
<td>Total</td>
<td>1</td>
<td>2</td>
<td>4</td>
<td></td>
<td></td>
<td>87</td>
</tr>
</tbody>
</table>

7.1 Consultation Proposed during implementation

7.1.1 Information Dissemination and Consultation

91. In the stage of the subcomponent implementation, the PMU-W will undertake the following:

   a) Conduct information dissemination to, and consultations with, DPs throughout the life of the project.

   b) Update the compensation unit prices, and confirm land acquisition and impact on properties through a Detailed Measurement Survey (DMS) in consultation with DPs.

   c) The DRCs will then apply prices, calculate compensation entitlements, and complete the Compensation options for each affected household. Information on entitlements will then be presented on an individual basis to DPs by the DPCs in conjunction with the PMU-W in the DMS follow-up community consultations/meetings.

   d) The Compensation options, showing the household’s affected assets and compensation entitlements, will then need to be signed by the DPs to indicate...
their agreement with the assessment. Any complaints the DPs have about the contents of the form will be recorded and will be solved at this time.

e) Consultation regarding DPs preferred option for rehabilitation assistance. This applies to severely affected and vulnerable DPs.

f) To ensure transparency, a copy of the DMS surveys will be given to the affected DP for his/her record. Further, a summary form for each affected household will be prepared summarizing lost assets, applicable compensation rates and entitlements.

7.1.2 Public Meetings

92. Prior to the beginning of the detailed design, a public meeting will be held in each ward/commune to provide DPs with additional information and an opportunity for an open discussion about compensation policies and procedures in each affected commune. A letter of invitation will be sent to all DPs at least 1 week before the meeting in their area. This meeting is intended to clarify information that has been given to date and to provide DPs with the opportunity to discuss issues of concern and obtain clarification. In addition to a letter informing the DP, other means will be used to inform DPs and the general public, such as posters in prominent locations in the communes and districts where DPs currently reside, radio, newspaper and public poster announcements. The letter and notices will advise the time and location of the meeting, and who can attend. Both men and women from affected households, as well as other interested community members, will be encouraged to attend. The meeting will explain the Project, and households’ rights and entitlements, and there will be opportunities to ask questions. Such meetings will be conducted periodically during the life of the Project.

93. Relevant information will be given to the DPs at the meetings (verbally, graphically, and/or on printed information sheets). Extra copies of the printed information sheets will be available at township and district offices throughout the project area. The meetings are proposed to have the following format:

   a) Explanations given verbally and in visual format, including written information and drawings of the proposed design for the different component of the Project.
   b) Adequate opportunities will be provided for DPs to respond with questions and comments. DPs will be encouraged to contribute their ideas for DPs rehabilitation options.
   c) DRCs will establish a complete list of all DPs present at the meetings.
   d) DRCs will make a complete record of all questions, comments, opinions and decisions that arise during the information/consultation meetings, and present a report of all the meetings to the PMU-W.

94. Information about the following will be given to DPs:

   a) Project components. This includes the places where they can obtain more detailed information about the Project.
   b) Project impacts. Impacts on the people living and working in the affected areas of the project, including explanations about the need for land acquisition for each subcomponent.
   c) DPs’ rights and entitlements. These will be defined for DPs (with the cut-off date). The rights and entitlements for DPs with different impacts, including the entitlements for those losing businesses, jobs and income, will be explained. Options for land-for-land and cash. Entitlement to rehabilitation assistance and opportunities for project-related employment.
d) Grievance mechanism and the appeal process. DPs will be informed that the project policies and procedures are designed to ensure that their pre-project living standards are restored. DPs will also be informed that the resettlement committee can help resolve problems if there is any confusion or misunderstanding about any aspect of the Project. If they have complaints about any aspect of the land acquisition, compensation, and rehabilitation process, including the compensation rates being offered for their losses, they have the right to make complaints and to have their complaints heard. DPs will receive an explanation on how to access grievance redress procedures.

e) Right to participate and be consulted. The DPs will be the representative for the DPs will be present whenever commune/district/provincial committees meet in order to ensure their participation in all aspects of the project.

f) Organizational responsibilities. DPs will be informed of the organizations and the levels of Government involved in and the responsibilities of each, as well as the names and positions of the government officials with phone numbers, office locations, and office hours, if available.

g) Implementation schedule. DPs will receive the proposed schedule and informed that physical works will start only after the completion of clearance from the project area are complete. It will be clarified that they will be expected to move only after full payment for compensation for their lost assets are made.

7.1.3 Compensation and Rehabilitation

95. A letter of notification will be sent to each DP with the time, location, and procedure for receiving compensation payment. Severely affected and vulnerable DPs will be personally contacted to confirm their preferences for rehabilitation assistance.

7.1.4 Public Information Booklet

96. During project implementation the Project will prepare a Public Information Booklet to ensure that DPs, their representatives, and local governments in the affected areas fully understand the details of the program, and are also informed about the compensation and rehabilitation packages applicable to the Project. The Booklet will be prepared by the PMU-W, in consultation with the World Bank. This booklet will be distributed to all DPs in the project area. General contents of the Booklet will include the following: Brief Description of the Project, Implementation Schedule, Project Impacts, Entitlements and Rights of DP, Resettlement and Rehabilitation Policies for All Types of Impacts, Institutions Responsible for Resettlement, Information Dissemination to and Consultations with Project Displaced Persons, What To Do if DPs have a Question or a Problem, Grievance Procedure, and Independent Monitoring.

7.2 Grievance Redress Procedure

97. DPs can lodge their complaints regarding any aspect of compensation policy, rates, land acquisition, and entitlements relating to rehabilitation assistance programs. Complaints by DPs can be lodged verbally or in written form, and where they are lodged verbally, the committee to which it is lodged will write it down during the first meeting with the DP. DPs will be exempt from administrative and legal fees.

98. Local mass organizations, such as National Front, Association of Farmers, and Women's Union, will be mobilized to actively participate in process of solving of DP's emerged complaints/grievances.
To facilitate process of resolving complaints and grievances of DPs, a four-stage procedure for redressing grievances is proposed as follows:

- **Stage 1** - Complaints from DPs on any aspect of the program, or losses not previously addressed shall first be lodged verbally or in written form to the people's committee at commune level. The complaints can be discussed in an informal meeting with the plaintiff and the chairman of the people's committee at commune level. The people's committee at commune level will be responsible for resolving the issue within 15 days from the day it is lodged.

- **Stage 2** - If no understanding or amicable solution can be reached, or if no response from the people's committee at the commune level is received by the DP within 15 days from registering the complaint, he/she can appeal to the District's Resettlement Committee. The DRC will provide a decision within 1 month from the registering of the appeal.

- **Stage 3** - If the DP is not satisfied with the decision of the DRC or its representative, or in the absence of any response by the DRC, the DPs can appeal to the PPC. The PPC together with the representative of the PRC will provide a decision on the appeal within 30 days from the day it is lodged with the PPC.

- **Stage 4** - If the DP is still not satisfied with the decision of the PPC on appeal, or in absence of any response from the PPC within the stipulated time, the DP, as the last resort, may submit his/her case to the district court.
8 MONITORING AND EVALUATION

8.1 Monitoring

100. Monitoring is the continuous process of assessment of project implementation, in relation to agreed schedules, the use of inputs, infrastructure and services by the Project. Monitoring provides all stakeholders with continuous feedback on implementation. It identifies actual or potential successes and problems as early as possible to facilitate timely correction during project operation.

101. Monitoring has two purposes:

- To verify that project activities have been effectively completed including quantity, quality, and timeliness; and
- To assess whether and how well these activities are achieving the stated goal and purpose of the Project.

102. Regular monitoring of the RP implementation will be conducted by the implementing agency (PMU-W) as well as by an independent external monitoring organization hired by PMU-W.

8.2 Internal Monitoring

103. PMU-W will be responsible for internal monitoring of the RP's implementation. The Central Management agencies will oversee the implementation through regular progress reports prepared by PMU-W.

104. The main indicators that will be monitored regularly are:

a) payment of compensation to DPs in various categories, according to the compensation policy described in the RP;
b) delivery of technical assistance, relocation, payment of subsistence, and moving allowances;
c) delivery of income restoration and rehabilitation assistance entitlements;
d) public information dissemination and consultation procedures;
e) adherence to grievance procedures and outstanding issues requiring management's attention;
f) priority of DPs regarding the options offered.

105. The PMU-W will collect information every month from the different resettlement committees. A database of resettlement monitoring information regarding the Project will be maintained and updated every month.

106. The PMU-W will submit a monitoring report on the progress on implementation of the RP to the PPCs and the Bank as part of their regular quarterly report to Bank. The internal monitoring reports shall include the following topics:

a) The number of DPs by category of impact per component, and the status of compensation payment and relocation and income restoration for each category.
b) The amount of funds allocated for operations or for compensation and the amount of funds disbursed for each.
The eventual outcome of complaints and grievances and any outstanding issues requiring action by management.

Implementation problems.

8.3 External Monitoring

An agency or institute, specialized in social sciences, will be identified and engaged by PMU-W in order to carry out socio-economic surveys, replacement cost surveys, monitoring, and evaluation of the RP's implementation for the subproject as well as ensuring and certifying that compensation and entitlement payments are completed before DP displacement and before award of civil award contracts. The PMU-W will sign a contract with the selected External Monitoring Agency (EMA). The cost of external monitoring cost will be paid from the IDA credit or from the Central budget. The EMA will submit periodic quarterly reports on the implementation progress and recommendations for solving the identified issues to PMW-W, VIWA, MOT and IDA.

The general objective of the EMA is to provide an independent periodic review and assessment of achievement of resettlement objectives, the changes in living standards and livelihoods, restoration of the economic and social base of the displaced persons, the organizational effectiveness, impact and sustainability of entitlements, the need for further mitigation measures if any, and to learn strategic lessons for future policy formulation and planning.

The EMA should be specialized in the Social Sciences and experienced in resettlement monitoring. The EMA should start its work as soon as the updated RP has been approved.

The following indicators will be monitored and evaluated by the EMA:

a) 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.

b) Provision of technical assistance for house construction to DPs who are rebuilding their structures on their remaining land, or building their own structures in new places as arranged by the project, or on newly assigned plots.

c) Provision of income restoration assistance.

d) Public consultation and awareness of compensation policy: (a) DPs should be fully informed and consulted about land acquisition, leasing and relocation activities; (b) The monitoring team should attend at least one public consultation meeting to monitor public consultation procedures, problems and issues that arise during the meetings, and solutions that are proposed; (c) public awareness of the compensation policy and entitlements will be assessed among the DPs; and (d) assessment of awareness of various options available to DPs as provided for in the RP.

e) DPs should be monitored regarding restoration of productive activities.

f) The level of satisfaction of DPs with various aspects of the RP will be monitored and recorded. The operation of the mechanisms for grievance redress, and the speed of grievance redress will be monitored.

g) Throughout the implementation process, the trends of living standards will be observed and surveyed.
8.4 Evaluation

111. Evaluation is an assessment at a given point of time of the impact of resettlement and whether stated objectives have been achieved. The EMA will conduct an evaluation of the process and impact 6 to 12 months after completion of all activities using the same survey questionnaire and sample as used during the monitoring activities.
9 IMPLEMENTATION ARRANGEMENTS

112. This Resettlement Plan is prepared to guide implementation of project compensation activities and provision of rehabilitation assistance measures to DPs impacted by the Phase I waterway component. Policies for compensation, relocation, and rehabilitation have been established based on these surveys, applying Vietnam's existing laws and regulations and the World Bank Operational Directives/Policies (as relevant), in particular OP 4.12 on Involuntary Resettlement.

113. The existing FS technical information only allows assessing a scope of permanent land acquisition and conducting a preliminary inventory of loss of attached movable assets caused by the proposed improvement 112 of the waterway. Locations for disposal of dredged materials and other needs for temporary land acquisition remain to be clearly identified in the Dredge Management Plan. During the project implementation stage, when the detailed engineering design is completed, providing necessary technical information and exact project area clearly defined with land marks, an updated DMS will be carried out to identify a full scale of land acquisition and resettlement impacts (which includes a full and accurate data on both permanent and temporary resettlement impacts) of the Phase I Waterway Corridor 1. Results of the DMS will serve as the basis of updating this resettlement plan and will be the final legal basis for compensation, resettlement and rehabilitation of the Phase I subproject's DPs.

114. Following approval by WB and the Government (MoT through delegation from the Prime Minister's Office), the updated RP will be implemented by local resettlement committees (RCS) under the guidance of the respective provincial people's committees and PMU-W of the MOT. Careful coordination between all the agencies and departments will be necessary to complete the different resettlement activities successfully. The provisions and policies of this RP will form the legal basis for the implementation of resettlement activities for the Phase I Subprojects.
Table 3-1: Resettlement Implementation Schedule

<table>
<thead>
<tr>
<th>Activities</th>
<th>Preparation</th>
<th>Establishment of Resettlement Committees</th>
<th>Establishment of Resettlement Plan (R/P)</th>
<th>Conflict Staging (Environment)</th>
<th>Financial, Technical &amp; Economic Information</th>
<th>Updating DP Socioeconomic Information</th>
<th>Updating RP for each Civil Contract Award as per RP</th>
<th>Meeting of RCM for each Civil Contract Award</th>
<th>Independent &amp; Internal Monitoring</th>
<th>Community consultation and participation</th>
<th>Consultation and monitoring</th>
<th>Compensation and beginning rehabilitation measures</th>
<th>Shifting DP's compensation options to PC, for approval</th>
<th>Submission of DP's compensation options to PC, for approval</th>
<th>WP's no objection, obtained to award each Civil Contract</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Preparation</td>
<td>Establishment of Resettlement Committees</td>
<td>Establishment of Resettlement Plan (R/P)</td>
<td>Conflict Staging (Environment)</td>
<td>Financial, Technical &amp; Economic Information</td>
<td>Updating DP Socioeconomic Information</td>
<td>Updating RP for each Civil Contract Award as per RP</td>
<td>Meeting of RCM for each Civil Contract Award</td>
<td>Independent &amp; Internal Monitoring</td>
<td>Community consultation and participation</td>
<td>Consultation and monitoring</td>
<td>Compensation and beginning rehabilitation measures</td>
<td>Shifting DP's compensation options to PC, for approval</td>
<td>Submission of DP's compensation options to PC, for approval</td>
<td>WP's no objection, obtained to award each Civil Contract</td>
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<td>2009</td>
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As per Deputy 197 and RPs Resettlement Cost Survey carried out by PMU, WIE hired independent consultant.
ANNEX A: LOCATION OF HAMLETS AFFECTED BY BEND CORRECTIONS IN CORRIDOR 1 IN HAI DUONG PROVINCE

An Bai Hamlet's Land

Ninh Xa Hamlet's Land

Mac Ngan Hamlet's DP Land
ANNEX B: SOCIOECONOMIC SURVEY METHODOLOGY & QUESTIONNAIRE

Socio Economic Survey Methodology

The following steps were followed to prepare for and conduct the RP socioeconomic survey:

1. Preparing an interview sheet, including an explanatory document on the project in brochure form (1-2 pages)

2. Setting up a survey team of 8 people (2 per group): each group conducted the survey in one hamlet

3. Liaising with local authorities: working with the Chairman of Commune People’s Committee and meeting the hamlet headman of hamlet for preparation of assemblies with participation of all households, usually for about a half day.

4. Defining the position and scale of the survey based on the project’s technical drawings. An early version of these was available November 2007, and the survey was based on these. The finalized feasibility technical drawings were only published January 10, 2008, and data has been correlated to these.

5. Determining the affected objects based on the following criteria:
   a) persons whose residence is affected in part or in total by the project, either temporarily or permanently;
   b) persons whose agricultural lands and/or premises are affected in part or in total by the project, either temporarily or permanently;
   c) persons whose business, livelihood, or place of work is affected in part or in total by the project, either temporarily or permanently;
   d) persons whose crops (annual and perennial) and trees are affected in part or in total by the project, either temporarily or permanently; and
   e) persons whose access to community resources is lost, in part or in total, as a result of the project, either temporarily or permanently.

6. Public meetings/assemblies (50 households in an assembly).

7. Conducting the interview of project-affected households: The interview sheets were delivered to each household. The interviewer filled in the forms under the guidance of the Hamlet chairperson.

Socio-economic survey took place at 5 hamlets in Hai Duong Province:

<table>
<thead>
<tr>
<th>KM</th>
<th>Place</th>
<th>HHs</th>
<th>Population</th>
<th>Likely Intervention</th>
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<tbody>
<tr>
<td>1</td>
<td>Chi Linh Hamlet, Nhan Hue Commune, Chi Linh District</td>
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<td>160</td>
<td>Bend Correction, Bank Protection, Dredging</td>
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<td>2</td>
<td>Mac Ngan Hamlet, Dong Lac Commune, Chi Linh District</td>
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<td>3</td>
<td>An Bai Hamlet- An Lac Commune- Chi Linh District</td>
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<td>4</td>
<td>Ninh Xa Hamlet- Le Ninh Commune- Kinh Mon District</td>
<td>18</td>
<td>69</td>
<td>Bend Correction, Dredging</td>
</tr>
<tr>
<td>5</td>
<td>Tien Xa Hamlet, Le Ninh Commune, Kinh Mon District</td>
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<td>48</td>
<td>Bend Correction, Dredging</td>
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<tr>
<td></td>
<td>Total</td>
<td>87</td>
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</table>
HH Census Registration
No.
Family booklet

<table>
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<th>Province</th>
</tr>
</thead>
<tbody>
<tr>
<td>District</td>
</tr>
<tr>
<td>Commune</td>
</tr>
<tr>
<td>Village</td>
</tr>
</tbody>
</table>

A. WATERWAYS' WORKS
A.1 Name of River
A.2 Type of Intervention

B. HOUSEHOLD DETAILS
B.1 Address
No. & Street

B.2 Respondent
Name
Age

Sex
- Male
- Female

Civil Status
- Single
- Married
- Widower
- Separated
- Divorced
- Live-in

Educational Attainment
- None
- Kindergarten
- Primary
- Lower Secondary
- Upper Secondary
- Vocational
### B.3 HH Size

(Please put exact HH size number of persons in box.)

### B.4 No. of Families in HH

(Please specify exact no. of families in HH in box.)

### B.5 Household Composition (account only for living members permanently staying with HH)

Please mark "H" in the box for the person serving as the "household head"

<table>
<thead>
<tr>
<th>Family 1</th>
<th>Father</th>
<th>Mother</th>
<th>Other Members</th>
<th>Number of persons of family 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Family 2</td>
<td>Father</td>
<td>Mother</td>
<td>Other Members</td>
<td>Number of persons of family 2</td>
</tr>
<tr>
<td>Family 3</td>
<td>Father</td>
<td>Mother</td>
<td>Other Members</td>
<td>Number of persons of Family 3</td>
</tr>
</tbody>
</table>

### B.6 Ethnic Group

| Family 1 | |
| Family 2 | |
Profile of Main Family in HH

<table>
<thead>
<tr>
<th>Children</th>
<th>Other relative/s</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 2 3 4 5 6</td>
<td>A B C</td>
</tr>
</tbody>
</table>

- **Age**
- **Sex**
- **Civil Status**
- **Educational Attainment**
- **Members still schooling**
- **Source/s of Income (can have 1 or more answers)**
- **Employment Status**

Fill appropriate codes of sex in box. Codes are as follows: (M) - Male; (F) - Female

Fill appropriate codes of civil status in box. Codes are as follows: (S) - Single; (M) - Married; (W) - Widow/widower; (D) - Divorced; (S) - Separated; (L) - Live-in.

Fill appropriate codes of education attainment in box as follows: (N): None; (P): Kindergarten; (L): Primary; (II): Lower Secondary; (H): Upper Secondary; (V): Vocational; (C): College; (U): University; (O): Other.

Fill appropriate codes of skills or professions in box (boxes). Codes are identified as follows:

Fill appropriate codes employment status in box as follows: (F) - Employed full time; (P) - Employed part time; (U) - Unemployed; (NOT) - Not applicable; (N) - No answer.
h) Type of Employment

Fill appropriate codes type of employment in box as follows: (P) – Privately employed; (S) – Self-employed; (G) – Government employee; (NOT) – Not applicable; (N) – No answer.

i) Main Income (VND)

<table>
<thead>
<tr>
<th>Monthly</th>
<th>&lt; 200,000</th>
<th>200,001 – 300,000</th>
<th>300,001 – 400,000</th>
<th>400,001 – 500,000</th>
<th>500,001 – 600,000</th>
<th>600,001 – 700,000</th>
<th>700,001 – 800,000</th>
<th>800,001 – 900,000</th>
<th>900,001 – 1,000,000</th>
<th>1,000,001 – 2,000,000</th>
<th>&gt; 2,000,000</th>
<th>Not applicable</th>
<th>No answer</th>
</tr>
</thead>
</table>

Notes: Please specify amount of income per month

j) Additional Income (VND)

| Monthly | < 200,000 | 200,001 – 300,000 | 300,001 – 400,000 | 400,001 – 500,000 | 500,001 – 600,000 | 600,001 – 700,000 | 700,001 – 800,000 | 800,001 – 900,000 | 900,001 – 1,000,000 | 1,000,001 – 2,000,000 | > 2,000,001 | |
|---------|-----------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-----------------|-----------|----------|
| k) Skills |  
| --- | --- |
| Fill appropriate codes of skills or professions in box (boxes). Codes are identified as follows: |  

| l) Place of Work |  
| --- | --- |
| Fill appropriate codes of work place in box as follow. Codes are identified as follows: |  
| (R) - Residence; (WD) - Within ward/district; (OD) - Out of district within province; (OP) - Out of province within region; (OR) - Out of region; (A) - Abroad; (NOD) - No definite area; (NA) - No applicable; (NOT) - No answer. |  

| m) Place of Schooling |  
| --- | --- |
| Fill appropriate codes of schooling place in box as follow. Codes are identified as follows: |  
| (WD) - Within ward/district; (OD) - Out of district within province; (OP) - Out of province within region; (OR) - Out of region; (NA) - Not applicable; (NOT) - No answer. |  

| n) Access to Financing Institutions (including Non-Formal) |  
| Notes: Fill appropriate codes of access to financing institutions in box as follows: (W) - With access; (WO) - Without access; (VM) - Village Money-lenders; (K) - Kindred; (NA) - Not applicable |  

| o) Level of Savings (held in cash or precious metal such as gold): |  
| --- | --- |
| >5,000,000; 10,000,001 - 15,000,000; 15,000,001 - 20,000,000; 20,000,001 - 30,000,000; Over 30,000,001 |  

| p) Level of indebtedness: |  
| --- | --- |
| >2,000,000; 3,000,001 - 6,000,000; 7,000,001 - 10,000,000; 10,000,001 - 15,000,000; 15,000,001 - 20,000,000; Over 20,000,001 |  

| q) Main reason for borrowing money: |  
| --- | --- |
| Pay Medical Expenses; Schooling Expenses; Agricultural Inputs; Cultural Obligations; Recreational Purposes; Others (Specify) |
Ownership of Consumer Goods: TV/DVD/CD □; Refrigerator □; Motorcycle □; 4 Wheel Vehicle □; Mobile Phone □; Electric Water Pump □; Generator □; Other (specify..................) □

Housing Structures Made of: Tiled or iron roofing materials, concrete or brick walls and concrete or timber floor □; Thatch roofing materials, concrete or thatch walls and concrete floor □; Thatch roof, thatch walls and earth floor □; Others (specify..................) □; Number of Levels □

<table>
<thead>
<tr>
<th>Amount</th>
<th>Expense Item</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>A</td>
</tr>
<tr>
<td>Household Expense</td>
<td></td>
</tr>
<tr>
<td>&lt; 200,000</td>
<td></td>
</tr>
<tr>
<td>&gt; 200,001 - 300,000</td>
<td></td>
</tr>
<tr>
<td>&gt; 300,001 - 400,000</td>
<td></td>
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<tr>
<td>&gt; 400,001 - 500,000</td>
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<td>&gt; 500,001 - 600,000</td>
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<td>&gt; 600,001 - 700,000</td>
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<td>&gt; 700,001 - 800,000</td>
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<tr>
<td>&gt; 800,001 - 900,000</td>
<td></td>
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<tr>
<td>&gt; 900,001 - 1,000,000</td>
<td></td>
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<tr>
<td>&gt; 1,000,001 - 2,000,000</td>
<td></td>
</tr>
<tr>
<td>&gt; 2,000,001</td>
<td></td>
</tr>
<tr>
<td>Not applicable</td>
<td></td>
</tr>
<tr>
<td>No answer</td>
<td></td>
</tr>
</tbody>
</table>

Notes:
A | Housing
B | Electricity
C | Water
D | Gas
E | Telephone
F | Food
G | Clothes
H | Transportation
I | Education
J | Recreation
K | Health (yearly)

B. Profile of Secondary / Extended Family in HH

Northern Delta Transport Development Project
Appendix I-B - Resettlement Plan – Corridor 1

9R6212.21
3 March 2008
<table>
<thead>
<tr>
<th>Children</th>
<th>Other relative/s</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 2 3 4 5 6</td>
<td>A B C</td>
</tr>
</tbody>
</table>

**a) Age**

**b) Sex**

Fill appropriate codes of sex in box. Codes are as follows: (M) - Male; (F) - Female

**c) Civil Status**

Fill appropriate codes of civil status in box. Codes are as follows: (S) - Single; (M) - Married; (W) - Widow/widower; (D) - Divorced; (S) - Separated; (L) - Live-in.

**d) Educational Attainment**

Fill appropriate codes of education attainment in box as follows: (N): None; (K) - Kindergarten; (P) - Primary; (LS) - Lower Secondary; (US) - Upper Secondary; (V) - Vocational; (C) - College; (U) - University; (O) - Other

**e) Members still schooling**

**f) Source/s of Income (can have 1 or more answers)**

Fill appropriate codes of skills or professions in box (boxes). Codes are identified as follows:


**g) Employment Status**

Fill appropriate codes employment status in box as follows: (F) – Employed full time; (P) – Employed part time; (U) – Unemployed; (NOT) – Not applicable; (N) – No answer.

**h) Type of Employment**

Fill appropriate codes type of employment in box as follows: (P) – Privately employed; (S) – Self-employed; (G) – Government employee; (NOT) – Not applicable; (N) – No answer.

**i) Main Income (VND)**

Monthly
### j) Additional Income (VND)

#### Monthly

- $< 200,000$
- $200,001 - 300,000$
- $300,001 - 400,000$
- $400,001 - 500,000$
- $500,001 - 600,000$
- $600,001 - 700,000$
- $700,001 - 800,000$
- $800,001 - 900,000$
- $900,001 - 1,000,000$
- $1,000,001 - 2,000,000$
- $> 2,000,000$
- Not applicable
- No answer

#### Notes: Please specify amount of income per month

### k) Skills

Fill appropriate codes of skills or professions in box (boxes). Codes are identified as follows:

Place of Work

Fill appropriate codes of work's place in box as follow. Codes are identified as follows:
(R) - Residence; (WD) - Within ward/district; (OD) - Out of district within province; (OP) - Out of province within region; (OR) - Out of region; (A) - Abroad; (NOD) - No definite area; (NA) - No applicable; (NOT) - Not answer.

Place of Schooling

Fill appropriate codes of schooling place in box as follow. Codes are identified as follows:
(WD) - Within ward/district; (OD) - Out of district within province; (OP) - Out of province within region; (OR) - Out of region; (NA) - Not applicable; (NOT) - No answer.

Access to Financing Institutions

Notes: Fill appropriate codes of access to financing institutions in box as follows: (W) - With access; (WO) - Without access; (NOT) - Not applicable; (NO) - No answer.

<table>
<thead>
<tr>
<th>Expense Item</th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
<th>H</th>
<th>I</th>
<th>J</th>
<th>K</th>
</tr>
</thead>
<tbody>
<tr>
<td>Household Monthly Expense</td>
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<td>&lt; 200,000</td>
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<td>&gt; 200,001 - 300,000</td>
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<td>&gt; 500,001 - 600,000</td>
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<td>&gt; 900,001 - 1,000,000</td>
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<td>&gt; 1,000,001</td>
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</tr>
<tr>
<td>A</td>
<td>Housing</td>
<td>D</td>
<td>Gas</td>
<td>G</td>
<td>Clothes</td>
<td>J</td>
<td>Recreation</td>
<td></td>
<td></td>
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<tr>
<td>B</td>
<td>Electricity</td>
<td>E</td>
<td>Telephone</td>
<td>H</td>
<td>Transportation</td>
<td>K</td>
<td>Health (yearly)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>C</td>
<td>Water</td>
<td>F</td>
<td>Food</td>
<td>I</td>
<td>Education</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

C. INFORMATION ON TENURE / OCCUPANCY / STAY

C.1 Land

a) Status of occupancy
- [ ] Owner
- [ ] Renter
- Free-rent but with owner's permission to occupy / use land

b) Type of occupancy
- With legal right
- No.LURC: [ ]
- Without legal right, but with legally recognizable claim
- Without right and claim

c) Size of Land (Land Area)
- [ ] hectares
- [ ] square meters

d) Primary Use of Land
- [ ] Agricultural
- [ ] Non-Agricultural
- [ ] Residential
- [ ] Idle / open
- [ ] Commercial
- [ ] Mixed residential-commercial
- [ ] Industrial
- [ ] Social infrastructure, please specify:

e) Estimated Portion of Land Affected by project works [ ] %
Fill percentage of loss in box
If renting land, how much do you pay for rent?

C.2 Structure

Existence of
No structure/building With structure/building

Use of existing structure/building
- Storage for farm produce/barn
- Residence
- Business

Combined residence-business
Idle

Status of Tenure /

Stay
- Owner
- Renter
- Free-rent but with owner's permission to occupy/use building

Estimated Portion of Structure / Building Affected by project works
Fill percentage of loss in box

C.3 Year of Stay in Community
Fill number of year in box
D. ACCESS TO BASIC INFRASTRUCTURE & SERVICES

D.1 Water Supply
- Connected to District / Provincial water supply system
- Own / private well
- Public / community well
- Public faucet
- Other, please specify
- None

D.2 Electricity
- With electricity
- No electricity

D.3 Sanitation (Toilet) Facilities
- Water-sealed
- Open-pit
- Flush
- None
- Closed-pit

D.4 Solid waste / garbage disposal
- Garbage collected by District, Province
- Garbage is simply burned

D.5 Community / Social Infrastructure
- School
- Health center
- Park / playground
- Elementary
- Hospital
- Market
- Secondary
- College
- Pagoda, church

Notes: Fill distance of access by Km in boxes

E. OPINION SURVEY

E.1 Are you willing to be resettled?
- Yes
- No
- Not sure, please give reason/s below

E.2 Where would you wish to be resettled?
- Within present ward
- Within present district
- Within present province, please specify district/s
E.2 Are you willing to be trained to learn other skills?

- Yes, please specify what skills
- No
- Not sure, no idea

E.3 Problem/s in existing community that you would NOT want to have in resettlement site

- None
- Poor/unreliable water supply
- Poor water quality
- Flooding, no/poor drainage
- No/poor sanitation facilities
- High incidence of water-borne diseases
- No/poor garbage management
- No electricity
- Not accessible to school
- Not accessible to market
- Not accessible to health care facilities
- Difficulty in adjusting to dominant community custom and tradition
- Others, please describe below

E.4 Do you think the project will help improve the lives of the people in your commune?

- Yes
- No
- Not sure, no idea

E.5 What is the most significant environmental concern of the community?

E.7 What do you think will be the effect of the Project on the local physical environment?

Name of Interviewer ___________________________ Date of Interview ___________________________
ANNEX C: INDICATIVE METHODOLOGY FOR REPLACEMENT COST SURVEY

Methodology and Guidelines for Replacement Cost Survey

1. The objectives of the study are to undertake an independent classification and valuation of land in the Project area based on current land use and market value and establish replacement costs for various assets (i.e., structures, trees, crops, communal property resources) to ensure that various types of losses will be calculated at replacement cost or at current market value at the time of compensation.

2. The consultant (hired by PMU-W) shall prepare criteria and formulae on how the established rates will be revised and updated.

Methodology

3. The evaluation of replacement costs must be carried out based on information collected from both secondary sources and direct interviews with people in affected area, both those affected and those not affected. The international resettlement specialist will determine the sample size. The methodologies for verifying the replacement for each type of losses which will be carried out are, but not limited to, the following:

Land

4. The consultant will undertake an independent classification and valuation of land in the Project area based on current land use and market value of land in order for APs to buy the same quality and quantity of replacement land. The consultant and his/her team shall gather data of some sales of land, which have just taken place. Direct interviews with owners of land in Project affected area, including those, whose land is affected and those whose land is not. The interviews will cover the following issues:

(i) The recent land use rights transfer (buying/selling transactions) in the area
(ii) The price, at which owners are willing to sell their land
(iii) Government established rates for land

5. The price of agricultural, forest land and land with water surface for fishery cultivation will also be differentiated by quality of land and its capacity to produce income for the households.

Structures

6. One of the principles of the Project is to compensate affected people for their affected structures at full replacement cost without deduction for depreciation and or salvageable materials. The replacement cost study will be conducted based on a pre-developed interview guide, which will cover the following issues:

(i) Interviews with structure owners:
   (a) Construction materials, includes main materials they used for their current structures; type of shops where they bought construction materials; distance of transport; origin of the materials (local or overseas); and costs of various materials.
   (b) Labor, includes who built the structures, owners themselves or contractors. If owners built themselves, they use their own labor to hire other people.

(ii) Interviews with construction contractors:
(a) Assessment includes main materials which are most used by the local people to build their structures; costs of these main materials; cost of labor; average construction cost (cost per m² floor) for different types of houses according to different categories; compare with provincial construction prices (cost per m² floor for each category);
(b) The structures will include but not limited to the following: houses, shops, kitchens (in case they are separated from houses), toilets (in case they are separated from houses), animal sheds, wells, any other structure associated to the house.

Crops and Trees

7. The market values for trees will be calculated based on the annual produce value multiplied by a five (5) years factor. This will compensate for lost income until the newly planted seedlings bear fruit. For crops, the consultant and his/her team will calculate for the value of crops that will be lost. The team shall obtain information from:

(i) Studies conducted/rates applied for other development projects
(ii) Publications (government or private, if any) for trees and crops
(iii) Interviews with people (affected and not affected) who own the same crops and trees in the locality. The interviews will cover the price, at which owners are willing to sell each type of their crops and trees.

Other Government or Community-owned Structures and Facilities (e.g., electric posts, water supply system, and water pipes)

8. The valuation will be based on replacement costs. Similarly in the case of structure, cost to construct those facilities will be determined to ensure that compensation will be sufficient to reconstruct them. Information to base the re-evaluation will be conducted with officials in charge of constructing such facilities to determine material cost and labor cost.
ANNEX D: ENTITLEMENT MATRIX
<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
<th>Affected Household</th>
<th>Eligible for</th>
<th>Compensation Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Permanent loss of arable land</td>
<td>Less than 20% of total land holding lost. Marginal impact on household income and living standards.</td>
<td>User with legal or legalizable rights to use the affected land.</td>
<td>DP will be entitled to: (i) Cash compensation for acquired land at 100% of replacement cost. If the viability of the remaining land is less than the minimum viable economic unit, then the entire piece of land would be acquired and the DPs would fall under the next category. In case the DPs casually utilize the public land for growing crops/trees, which is subjecting acquisition by the project, then she/he will not be compensated for land, but will be compensated for crops and trees at market prices/replacement cost.</td>
</tr>
<tr>
<td></td>
<td>125 DPs losing less than 20% of Land</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Permanent loss of arable land</td>
<td>More than 20% of total land holding lost. Severe impact on household income and living standards.</td>
<td>User with legal or legalizable rights to use the affected land.</td>
<td>DP will be entitled to: (i) Cash compensation for the lost land at 100% of replacement cost, AND (ii) If the DPs lose more than 20% of their agricultural holding, then, in addition to (i), they are entitled to rehabilitation assistances including: (a) A subsistence assistance equivalent to the market value of 30 kg of rice/person/month for 3 months if the DPs</td>
</tr>
</tbody>
</table>
do not have to relocate to new place, and for 6 months if DPs have to relocate;

(b) A job creating or training assistance as follows:

- Provision of a plot, with collection of Land use right fee, at a location convenient for running non-farm production/activities or services, OR

- If there no land available for such, then a training assistance on shifting to new occupation for the labor-aged members of the DPs. The training assistance will be provided through:

  1) The project will pay training fees to the training institutions directly, at maximum not exceeding 1,500,000 VND/labor. Besides, each trainee will be given a subsistence allowance of 350,000 VND/month/person. The duration receiving training subsistence allowance depends
<table>
<thead>
<tr>
<th>EFFECT OF LOSS</th>
<th>APPLICATION</th>
<th>DEFINITION OF ENTITLED PERSON</th>
<th>COMPENSATION POLICY</th>
<th>IMPLEMENTATION ISSUES</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>Loss of residential land</td>
<td>Land acquired without structures built therein.</td>
<td>User of the affected land.</td>
<td>Cash compensation for land at (i) 100% of replacement cost of the land acquired to the legal/legalizable users.</td>
</tr>
</tbody>
</table>

2) Training assistance in cash but the project will cooperate with relevant local organizations to improve technical services for agricultural development to all agricultural DPs severely affected to assist them to improve productivity on their remaining land; OR,

3) Training assistance in cash but in combination with credit or other technical assistance on business/financial management, investment.
<table>
<thead>
<tr>
<th>3</th>
<th>Loss of standing crops and trees</th>
<th>Crops affected</th>
<th>Owners of affected crops</th>
<th>DPs are entitled to compensation for affected crops in cash at market value.</th>
<th>DPs will be given notice several months in advance regarding evacuation. Crops grown after issuance of the deadline will not be compensated.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>5% of total land acquisition costs has been set aside for crops and trees⁷</td>
<td>Trees affected</td>
<td>Owners of affected trees.</td>
<td>DPs are entitled to compensation in cash at market value on the basis of type, age, and productive value. If affected trees are removable, the compensation will be equal to the transportation cost plus actual loss.</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Loss of income and business/productive assets</td>
<td>Loss of income and business/other productive assets</td>
<td>Owner of the affected business/other productive assets.</td>
<td>(1) Cash compensation for the loss of income during the transition period for registered and affected business, equivalent 30% of the annual net income average for the last 3 years, recognized by a tax-collecting agency. (This amount is equivalent to 100% of monthly net income for 3.6 months).</td>
<td></td>
</tr>
<tr>
<td></td>
<td>None anticipated</td>
<td></td>
<td></td>
<td>(2) A cash assistance amount of value from 500,000 VND to 1,000,000 VND per business HH for the loss of income to the affected business DPs who are without business/production registration</td>
<td>DPs will be given priority for business relocation along highway, communal roads and along canals near the bridges or footbridges in order to maximize their benefit from business opportunities. At the time of compensation, allowances will be adjusted to account for inflation.</td>
</tr>
</tbody>
</table>

⁷ Using MTIDP RP (June 2007) as precedent.
<table>
<thead>
<tr>
<th>No.</th>
<th>Impact Description</th>
<th>Affected Users</th>
<th>Compensation Details</th>
</tr>
</thead>
</table>
| 5   | Temporary impact during construction | Temporary loss of arable land (The scope of temporary impacts will be identified in subproject implementation stage) | Users of affected land | (i) Compensation for one harvest of crops/trees at full market prices  
(ii) Compensation for loss of net income from subsequent crops that cannot be planted for the duration of project temporary use, AND  
(iii) Restoration of land to its previous or better quality by providing measures to improve land quality in cases of land being adversely affected or acidified, AND  
(iv) If the duration of project's use the land exceed more than two years, then the DPs have option to: 1) Continue to use land, OR, 2) Give it to the Project and be compensated as permanent loss |
|     | No DPs losing more than 20% of Land | Temporary loss of residential land | Users of affected land | (i) Compensation for affected assets at replacement cost  
(ii) Restoration of land to former conditions |
|     |     | None anticipated | Owner of business | (i) Compensation for loss of income during transition period, equivalent average monthly net income at least for three months. |
| Other allowances | Social assistance | Damages by contractors to private or public structures or land | (ii) Compensation for affected assets at replacement cost  
(iii) restoration of land to former conditions  
(i) The contractor will be required to pay compensation immediately to affected families, groups, communities or government agencies.  
(ii) Damaged property will be restored immediately to its former condition.  
Not known | Owner or person with use rights | Relocated DPs who are currently receiving social assistance | Relocated DPs who are currently receiving social assistance are entitled to additional social assistance from 1,000,000 VND/HH to 5,000,000 VND/HH as provided by respective local regulations  
(i) The contractor will be required to pay compensation immediately to affected families, groups, communities or government agencies.  
(ii) Damaged property will be restored immediately to its former condition.  
Incentive bonus | DPs who timely hand the affected land to the project voluntarily | A bonus of 5% of the total compensation amount, but not exceeding 5,000,000 VND/HH  
An Estimated 35 DPs |  |  |  |
ANNEX E: SURVEY DATA FOR CORRIDOR 1

Location Data Key:

<table>
<thead>
<tr>
<th>Location Number</th>
<th>Hamlet Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Nhan Hue</td>
</tr>
<tr>
<td>2</td>
<td>Mac Ngan</td>
</tr>
<tr>
<td>3</td>
<td>Tien Xa</td>
</tr>
<tr>
<td>4</td>
<td>An Bai</td>
</tr>
<tr>
<td>5</td>
<td>Ninh Xa</td>
</tr>
</tbody>
</table>

Northern Delta Transport Development Project - E-1 -
Appendix I-B - Resettlement Plan – Corridor 1
3 March 2008