

SOCIALIST REPUBLIC OF VIETNAM

VINH PHUC FLOOD RISK AND WATER MANAGEMENT PROJECT

**RESETTLEMENT ACTION PLAN
(RAP)**

Nguyet Duc Pumping Station (PS) and Relevant Canals Subproject

***(for part of inlet canal in Nguyet Duc Commune and Yen Lac Town
of Yen Lac District)***

July 2019

ACRONYMS AND ABBREVIATIONS

AH(s)	Affected Household(s)
AP (s)	Affected Person (s)
CPC	Commune People's Committee
DMS	Detailed Measurement Survey
DPI	Department of Planning and Investment
DOC	Department of Construction
DOF	Department of Finance
DONRE	Department of Natural Resources and Environment
DOLISA	Department of Labor, Invalids and Social Affairs
CARC	Compensation, Assistance and Resettlement Committee
DPC	District People's Committee
EM	Ethnic Minority
ESIA	Environmental and Social Impacts Assessment
EMP	Environmental Management Plan
FDI	Foreign Direct Investment
FS	Feasibility Study
GoV	Government of Vietnam
GRM	Grievance Redress Mechanism
HH	Household
IDA	International Development Association
IMC	Independent Monitoring Consultant
IOL	Inventory of Loss
IRP	Income Restoration Program
LCDB	Land Clearance and Land Fund Development Board
LURC	Land Use Right Certificate
NGO	Non-Governmental Organization
ODA	Official Development Assistance
OSS	One-Stop-Shop
PAHs	Project Affected Households
PAPs	Project Affected Persons
PC	People's Committee
PIB	Project Information Brochure
PPC	Provincial People's Committee
PS	Pumping station
RAP	Resettlement Action Plan
RPF	Resettlement Policy Framework
SA	Social Assessment
SES	Socioeconomic Survey
TOR	Terms of Reference
USD	US dollar
VDIC	Vietnam Development Information Center
VND	Vietnam dong
VPFRWWMP	Vinh Phuc Flood Risk and Water Management Project
VPMO	Vinh Phuc Foreign Concessional Loans Project Management Office
VP PPC	Vinh Phuc Provincial People's Committee
WB	World Bank
WPC	Ward People's Committee
WWTF	Wastewater Treatment Facilities

TABLE OF CONTENTS

DEFINITION OF TERMS	6
EXECUTIVE SUMMARY	7
I. INTRODUCTION	10
1. Project Background.....	10
1.1. Vinh Phuc Flood Risk and Water Management - Project description	11
1.2. Nguyet Duc Pumping Station and Inlet Canal.....	15
2. Potential Impacts	16
2.1. Positive Impacts	16
2.2. Adverse Impacts	17
II. Scope of Land Acquisition and Resettlement Impacts	18
2.1. Number of Affected Households.....	18
2.2. Impacts on Land	18
3. Objectives of RAP	21
III. Socioeconomic Information of the Affected Population	22
1. Objectives and Methodology of Socioeconomic Survey (SES).....	22
2. Subproject Area	22
2. Affected Population.....	25
2.1. Demographic Features.....	25
2.2. Age Profile	25
2.3. Level of Education.....	26
2.4. Livelihoods and Incomes	26
2.5. Vulnerable Households	28
2.6. Water, Energy Sources, Sanitation and Assets	29
2.7. Gender.....	30
IV. Legal Framework for Resettlement Policy Framework	31
1. The Legal Framework of the Government of Vietnam	31
2. World Bank Policy on Involuntary Resettlement (OP 4.12).....	32
3. Comparison between the Government of Vietnam and World Bank Approaches	32
V. Principles and Policy for Resettlement, Compensation and Rehabilitation	35
1. General Principles.....	35
2. Compensation Policies.....	36
2.1. Compensation Policies for Permanent Impacts	36
2.2. Compensation Policy for Temporary Impact during Construction	40
2.3. Allowances and Rehabilitation Assistance.....	41
3. Eligibility Criteria and Entitlements	43
VI. Income Restoration Plan	45
1. Objectives.....	45
2. Principles	45
3. Income Restoration Plan.....	45
4. Vulnerable Group.....	46
5. Gender Mainstreaming	46
VII. Information Disclosure and Public Consultation.....	48
1. World Bank Disclosure Policy (BP17.50)	48
2. Information Disclosure and Public Consultation	48

2.1	Information Disclosure during RAP Preparation.....	48
2.2	Information Disclosure during RAP Implementation.....	49
3.	Public Consultation	50
3.1	Public Consultation during RAP Preparation	50
3.2	Public Consultation during RAP Implementation	53
3.3.	Project Information Brochure (PIB).....	53
4	Public Disclosure	53
VIII.	Grievance Redress Mechanism	54
IX.	Implementation Arrangements	56
1.	Responsibilities of Stakeholders	56
1.1	Vinh Phuc Provincial People’s Committee	56
1.2	Department of Planning and Investment	56
1.3	Relevant Provincial Departments	56
1.4	Vinh Phuc Foreign Concessional Loans Project Management Office (VPMO).....	57
1.5	Yen Lac District People’s Committee (DPC).....	58
1.6	Vinh Phuc Land Clearance and Land Fund Development Board (LCDB)	58
1.7	Town/Commune People’s Committee	58
2.	Replacement Cost Survey	59
3.	Implementation Procedures	59
4.	RAP Updating	63
X.	Implementation Schedule.....	64
XI.	Monitoring and Evaluation	65
1.	Purpose	65
2.	Monitoring Methods	65
XII.	Budget	67
ANNEX 1.	Entitlement Matrix	69
ANNEX 2.	Detailed List of Identified Project Component, Subprojects and Locations	78
	TamDao zone 4, BX, PY (Flv= 32.160ha)	79
ANNEX 3.	Public Consultation Minutes – Nguyet Duc PS and Relevant Canals	
	Subproject.....	80
ANNEX 4 –	Rapid Assessment Replacement Cost.....	85
ANNEX 5 –	SES and IOL Questionnaire	88

LIST OF TABLES AND FIGURES

Table 1. Summary and classification of the affected households	18
Table 2. Land use type and affected land area	18
Table 3. Severity of Impacts on Productive Land	19
Table 4. Area and Population in the Subproject Area.....	22
Table 5. Land Use Structure in the Subproject Area	23
Table 6. Access to Public Services in the Subproject Area	24
Table 7. Main Household Income Sources.....	26
Table 8. Household's Main Earners	27
Table 9. Income Levels of the Affected Households	28
Table 10. Household Monthly Expenditure.....	28
Table 11. Household Self-Assessment of Water Quality	29
Table 12. Household Sanitation	30
Table 13. Household Assets	30
Table 14. Discrepancies between World Bank Policies and Vietnam Laws.....	32
Table 15. Summary of Public Consultation	50
Table 16. Implementation Schedule.....	64
Table 17. Summary of Cost Estimate for Compensation and Resettlement	67
Figure 1. Administrative Map of Vinh Phuc Province.....	10
Figure 2. Headworks of Sub-basin B1.....	13
Figure 3. Headworks of Sub-basin B2.....	13
Figure 4. Headworks of Sub-basin B3 and Basin C	14
Figure 5. Map of VPFRWMP Project Area	15
Figure 6. Location of Nguyet Duc PS	16
Figure 7. Economic Structure in the Subproject Area.....	24
Figure 8. Affected Population by Age Structure.....	25
Figure 9. Educational Attainment of the AH Heads	26
Figure 10. Secondary Household Income Sources	27
Figure 11. Vulnerable Households in the Subproject Area	29

DEFINITION OF TERMS

Cut-off-date	The date when the PPC issues the Notification of Land acquisition for the relevant project (Article 67.1 of Land Law 2013) before implementation of detailed measurement survey. A census survey will be done before the cut-off date is announced to establish a list of potential affected households
Eligibility	The criteria to receive benefits under the resettlement program. This Resettlement Action Plan (RAP) will provide general guidance on this but the eligibility criteria will not be definitively confirmed until the implementation of the RAP
Replacement cost	A method of valuation of assets (including land, shelter, access to services, structures, crops, etc.) that helps determine the amount of compensation sufficient to replace lost assets, covering transaction costs, which may include taxes, fees, transportation, labor, etc. In determining the replacement cost, depreciation of the asset and the value of salvage materials are not taken into account, nor is the value of benefits to be derived from the project deducted from the valuation of an affected asset.
Resettlement	This RAP, in accordance with the World Bank's Operational Policy on Involuntary Resettlement (OP 4.12), covers the involuntary taking of land that results in (i) relocation or loss of shelter, (ii) loss of assets or access to assets; or (iii) loss of income sources or means of livelihood, whether or not the affected persons must move to another location.
Vulnerable Groups and Individuals at risk	Those who might suffer disproportionately from adverse project impacts and/or be less able to access the project benefits and compensation, including livelihood restoration and assets compensations, when compared to the rest of the PAPs. Vulnerable peoples include: female headed households with dependents, disabled persons, poor households with certificates, children and elderly households who are with no other means of support, and ethnic minority people.
Livelihood (income) restoration	Livelihoods restoration refers to that compensation for PAPs who suffers loss of income sources or means of livelihoods to restore their income and living standards to the pre- displacement levels.

EXECUTIVE SUMMARY

Introduction. This Resettlement Action Plan (RAP) is prepared for a part of the inlet canal component under the *Nguyet Duc Pumping Station (PS) and Relevant Canals Subproject* under the “Vinh Phuc Flood Risk and Water Management Project (VPFRWMP)” funded by the World Bank (WB). This Resettlement Action Plan was built based on the resettlement policy framework of the VPFRWMP and the results from socio-economic surveys, inventory of losses and public consultation. This RAP also presents the eligibility criteria for compensation of land and assets affected by the subproject, description of the income restoration program, implementation arrangement, implementation plan, estimated cost, monitoring and assessment, participation in consultation of the community and grievance redress mechanism.

The Subproject will be implemented in the area of 2 communes and 2 towns, namely Yen Phuong commune, Nguyet Duc commune, Yen Lac town of Yen Lac District, and Thanh Lang town of Binh Xuyen district, Vinh Phuc Province.

This RAP is prepared only for one part of inlet canal in Nguyet Duc Commune and Yen Lac Town of Yen Lac District. Another RAP for the Nguyet Duc PS, retention lake, and another part of the inlet canal has been prepared.

2. Scope of Impacts and Land Acquisition. The construction of one part of the inlet canal will cause land acquisition impacts in the area of Nguyet Duc Commune and Yen Lac Town (Yen Lac District). The subproject will acquire 119,445.90 m² of land belonging to 255 households and three organizations, namely Nguyet Duc Commune People’s Committee (CPC), Yen Lac Town People’s Committee (Town PC) and one power company. By land use, five types of land will be affected; these comprise land grown to rice, irrigation land, transport land, land for energy purpose, and water surface¹. The subproject will require the acquisition of 81,160.7 m² of rice-growing land.

(i) A total 255 households and 3 organizations in the subproject area will be affected due to permanent land acquisition for the purpose of the subproject. In which

- All 255 households are affected on 104,176.40 m² agricultural land;
- There is no affected household in its residential land.
- There is no household to be physically relocated;

(i) All of the households are affected in agricultural land and none of them will be affected in their house. Some secondary structures will be affected including 300m² of temporary huts and 1,590m² of livestock shelters.

(ii) 156 households are severely affected by losing 20% or more of their productive landholdings;

(iii) Among the 255, 46 households are identified as vulnerable households, including those headed by single women with dependents, poor households, households with the disable, single elderly households, and social policy beneficiary households.

(iv) No households will be affected by temporary land acquisition

¹As Land Law 2013, water surface is land has water like a pond and unused land is the land that not yet identified used proposed;

(v) All of the affected people belong to the Kinh ethnic group or the mainstream society of Vietnam.

3. Mitigation measures for Land Acquisition Impacts. In order to minimize impacts caused by land acquisition, the project design has proposed alternatives to select the optimal option to meet the following criteria (i) causing the smallest possible impacts on land acquisition; and (ii) ensuring optimal drainage purposes; (ii) including consultations' inputs provided by the local authorities and communities in the subproject area.

4. Socioeconomic Profile. In the area of Nguyet Duc Commune and Yen Lac Town, farming and aquaculture are the primary income sources of 18.45% of the affected households while income from wages and salaries is the main income sources of 42.06% of the affected households, followed by pensions and subsidiaries from government policies (15.02%) and day labors from 12.45%. The average monthly income of a household is about VND 10,369,310. The average household size is 4.37. The majority of the household members are secondary school graduates, representing 50.21% while 11.59% of the household members attended vocational colleges and universities.

5. Policy Framework and Entitlement Matrix. The Project has prepared a resettlement policy framework (RPF) based on the current policies and regulations of the Government of Vietnam and the World Bank OP 4.12. The general objective of the policies and this RAP document is to ensure that all the people affected by the subproject receive compensation for their losses at replacement cost and their living standards are at least pre-project levels. Support will be provided to severely affected households, relocated households, households losing income sources and vulnerable households so they can restore their income living standard levels are improved or at least pre-project level.

6. Consultation and community participation. Inputs and recommendations of participants' public consultations were considered for the preparation this RAP, concerning impacts, policies, and entitlements applied to the project.

7. Implementation Arrangements. Compensation, assistance and resettlement activities are implemented by Vinh Phuc Land Clearance and Land Fund Development Board (LCDB) and Vinh Phuc Foreign Concessional Loans Project Management Office (VPMO). During the implementation process, there should be close coordination between the implementing agencies such as District Compensation, Assistance and Resettlement Committees (CARC), VPMO, local offices, communal staffs, local social organization and people affected by the subproject. An independent monitoring agency is hired to carry out external monitoring of this RAP to ensure the desirable outcomes.

8. Grievance Redress Mechanism. During the implementation process, any raising concerns, complaints by the affected people will be resolved based on the regulated procedure in the policy framework for compensation and resettlement of the project as well as RAP of the subproject. Complaints will be resolved directly by the local authority and project staff in a fair and transparent manner with participation of the external monitoring agency. Those who file for complaints are not subjected to any administrative fees.

9. Monitoring and Evaluation. Staff from VPMO is responsible for overseeing and monitoring of the implementation of the RAP. In addition, independent monitoring consultants have been recruited to monitor the implementation process and carry out evaluation on the living conditions of the affected people throughout the implementation of resettlement plan and after the implementation of resettlement action plan is completed.

10. Cost Estimate. It is estimated that the total cost for compensation and assistance is **VND 40,812,644,710.5** (equivalent to about **US\$ 1,751,615.7**) with the exchange rate of US\$1=VND 23,300). This cost comprises of compensation for agricultural land, crop cultivation lands and support for livelihood restoration and implementation of RAP. This cost will be provided by the project counterpart fund.

11. Implementation Schedule. Compensation, assistance and resettlement activities will be carried out during the 1st year period from the third quarter of 2019 to the fourth quarter of 2019 and the Vinh Phuc Land Clearance and Land Fund Development Board is mainly responsible for the implementation.

I. INTRODUCTION

1. Project Background

Vinh Phuc Province

1. Vinh Phuc is a province located in the Northern key economic region. The province is bounded by Thai Nguyen and Tuyen Quang provinces to the North, by Phu Tho Province to the West, and by Hanoi Capital to the East and the South. The province has a total area of 1,231.76 km². According to the 2009 statistical data, Vinh Phuc has a total population of 1,003,047, of which 22.4% of the population live in the urban areas while 77.6% in the rural areas. Per capita GDP was VND 52 million in 2012, higher than the national level of VND 36 million. The provincial poverty incidence in 2012 was 7.3% (GSO, income-based measures), lower than the national level of 11.1%. The province consists of nine administrative divisions including Vinh Yen City, Phuc Yen Township, and seven districts, namely Lap Thach, Song Lo, Tam Duong, Tam Dao, Binh Xuyen, Vinh Tuong, and Yen Lac. The capital of the province is Vinh Yen City, 50 km from Hanoi and 25 km from Noi Bai International Airport.



Figure 1. Administrative Map of Vinh Phuc Province

2. Vinh Phuc has become an integral part of the industrial development belt of the Northern provinces, strongly influenced by the growth of the big industrial parks in Hanoi such as BacThang Long, Soc Son, etc. The province is also an industrial hub of the Red River Delta and one of the key foreign direct investment (FDI) destinations in the country. The level of its public debt is insignificant and covers the period of 2006-2011, the average value borrowed by Vinh Phuc remained about just one percent of the local receipt. Despite the fast economic growth, Vinh Phuc is facing a number of challenges, including frequent flooding, regional water pollution, lack of infrastructure and weak institutional capacity, which have become bottlenecks for Vinh Phuc to sustain its further growth.

3. Located in the midstream of Red River system, Vinh Phuc receives water from big rivers including Da River, Thao River, Lo River and Pho Day River. The inland rivers include Phan River, Ca Lo River, Cau Ton River, Hanh River, and Tranh River; the large lakes and ponds

in the province include Vac Lake, Rung Lake, SauVo Lake, and Nhi Hoang Lake. These above-mentioned rivers and lakes have the general natures of the river system in the Northern Delta Region. Due to its low elevation in the Red River flood plain, two third of the province is prone to flooding. There is an especially high risk from flooding in the areas of the Phan River basin including Vinh Yen City and most of FDI zones are located.

4. Frequent floods have caused serious impacts on agriculture as well as deterioration of infrastructure in both rural and urban areas including Vinh Yen City and the industrial zones and enterprises. Floods also cause significant losses of agricultural and industrial productivity, impacting on livelihoods and hindering the growth of the province. Initial estimates of the flood damage during the period 2006-2013 are about US\$ 150 million, including significant agricultural production losses of around 30% of total crop values. Flooding also causes significant disruption to traffic in Vinh Yen City and several industrial zones, not to mention health related costs.

5. In addition, there is a lack of capacity and effective and integrated management system to address the issues related to water resources management since the water resource and water quality monitoring systems in the catchment are yet to be established. Furthermore, Vinh Phuc has very limited capacity in floods warning and emergency response. Currently, the Provincial Department of Natural Resources and Environment (DONRE) have only two automatic water quality monitoring stations. These elements are critical to provide timely and accurate information t for decision making and emergency response, especially in addressing flooding and pollution incidents.

6. The current drainage system in Phan River and Ca Lo River basin in Vinh Phuc Province is only to serve the local drainage system and with the scenario of flowing downstream to Cau River. There is no overall solution for the whole system of Phan-Ca Lo River in Vinh Phuc Province.

1.1. Vinh Phuc Flood Risk and Water Management - Project description

7. In order to support Vinh Phuc to address the issues related to water resources management, the central government and Development Partners (DP) are working with Vinh Phuc to address these challenges. The activities have been being implemented include:

- a. Government funded support includes some limited dredging works for the Phan River and the Vac Lake in Vinh Yen City, construction of number of small pumping stations to divert water from fields to the Phan River and pilot water pollution control model in some villages in Phan River catchment.
- b. JICA has constructed a 5,000m³/day wastewater treatment plant and 34km of primary a secondary sewer in Vinh Yen City and plans to expand the second phase of an 8,000m³/day capacity wastewater treatment plants and related sewers.
- c. ADB has planned to help Vinh Phuc through Green Cities Project, including building the tertiary sewer and households' connections to JICA financed WWTP and rehabilitating 150ha of lakes in Vinh Yen City, including dredging and embankments.

8. However, there are still critical gaps to be addressed in relation with flooding in the province and water pollution in the Phan River catchment. The provincial government has approached to the World Bank for requesting support to fill these gaps. The Project named as the Vinh Phuc Flood Risk and Water Management Project (VPFRWMP) is being prepared in order to provide a sustainable water environment for the long-term socioeconomic development of Vinh Phuc Province.

9. The project concept and design is guided by a careful assessment of the topography and related water issues in the province. Given that the Phan River goes across the province, problems of flooding and water quality in the catchment are interlinked. The current piece-meal approach and standalone interventions by the various departments to tackle these issues are proving inefficient and costly. Hence the project design carefully assembled the components to address the issues holistically, by adopting an integrated basin-wide river management approach. The design concept has a strong buy-in and endorsement of the provincial government and is among the main strategic priorities of the central government. The design followed a thorough analysis and quality review to achieve the sought development objectives.

10. Given the interlinkages between flooding and water pollution, the proposed project addresses these issues in an integrated manner through an optimal mix of structural and nonstructural measures. These include (i) supporting structural measures for flooding control and river rehabilitation; (ii) improving wastewater collection and treatment in district small towns and rural villages; (iii) establishing water resource and quality monitoring, and flooding early warning emergency response systems; and (iv) institutional development and training for government departments and water sector practitioners aimed at managing the river basin and water related sectors in an integrated manner.

Project Components

Component 1 - Flood Risk Management (estimated cost USD173.8 million)

11. This component improves flood risk management through structural measures in Basin B (including sub-basins B-1, B-2 and B-3) and Basin C. The measures include (i) construction and rehabilitation of retention lakes to increase regulation capacity; (ii) construction of pumping stations and related canals to divert excessive storm water from basin B to Pho Day and Red River; (iii) dredging the Phan River to increase the discharge capacity; and (iv) construction of flood control gates with associated embankments to prevent storm water entering Basin B from Basin C. Details are as follows:

- **Sub-basin B1:** (i) construction of headworks of Kim Xa pumping station; (ii) Nhi Hoang Lake; (iii) construction of sluice gate of pumping station through Pho Day river dyke; investment in construction of one sluice at K3+128 and 10-gate flood control at K11+369 on Phan River;



Figure 2. Headworks of Sub-basin B1

- **Sub-basin B2:** (i) construction of headworks of Ngu Kien pumping station and discharge canal; (ii) dredging of retention lake in front of the pumping station; (iii) construction of canal from Phan River to Rung Lake; and (iv) dredging of Phan river section from Thuong Lap to Lac Y;

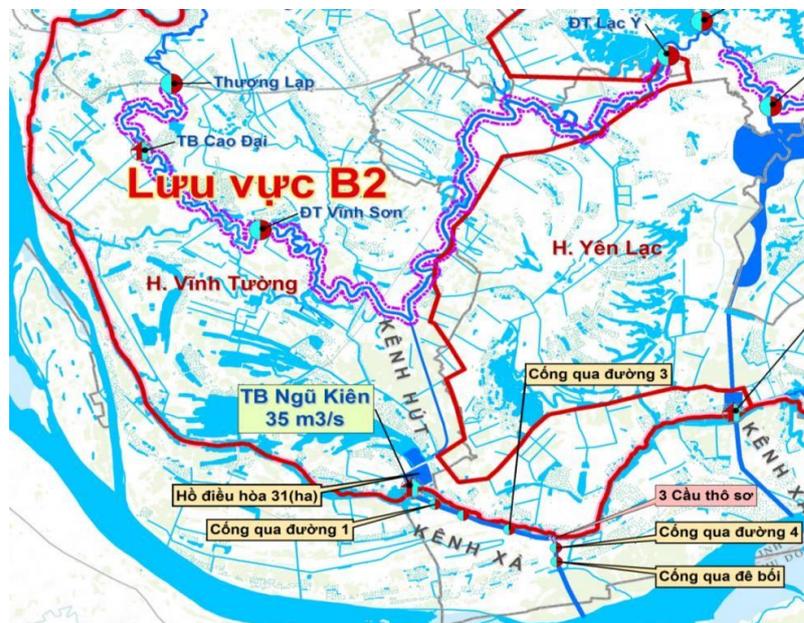


Figure 3. Headworks of Sub-basin B2

- **Sub-basin B3:** (i) construction of headworks of Nguyet Duc pumping station, including retention lake in front of the pumping station, inlet canals and on-canal structures, outlet canals and on-canal structures; (ii) dredging of about 219 ha of Sau Vo Lake; (iii) dredging 3.5 km of Phan River (from Lac Y to Sau Vo 2 culvert); and (iv) construction of Dong Mong dredged sludge disposal site covering about 59 ha.

- **Basin C:** (i) construction of regulating culverts (Ton Bridge and Sat Bridge) and embankment of some sections along the two rivers; and dredging four rivers with the total length of about 22.1 km.



Figure 4. Headworks of Sub-basin B3 and Basin C

Component 2 Water Environmental Management (estimated cost USD 20.3 million)

12. This component improves the environmental conditions in densely populated small towns and rural communities as well as the water quality in the Phan River by providing wastewater and drainage services. The measures include:

- the construction of 5 small-scale wastewater collection and treatment facilities in four towns of Huong Canh, Tho Tang, Yen Lac, and Tam Hong;
- construction of concentrated wastewater treatment points at the villages and residential clusters in the rural area along Phan River;
- construction of waste disposal site along Phan River.

Component 3 Implementation Support, Technical Assistance and Institutional Strengthening (estimated cost USD 16.4 million)

13. This component supports project implementation and technical assistance for institutional strengthening.

Project Financing

14. The loan agreement for the VPFWRMP is signed on 29 April 2016 and comes into effect since 22 July 2017 with the total investment amount of USD 220 million with USD 150 million financed by an IBRD loan and USD 70 million from the counterpart fund of Vinh Phuc Province.

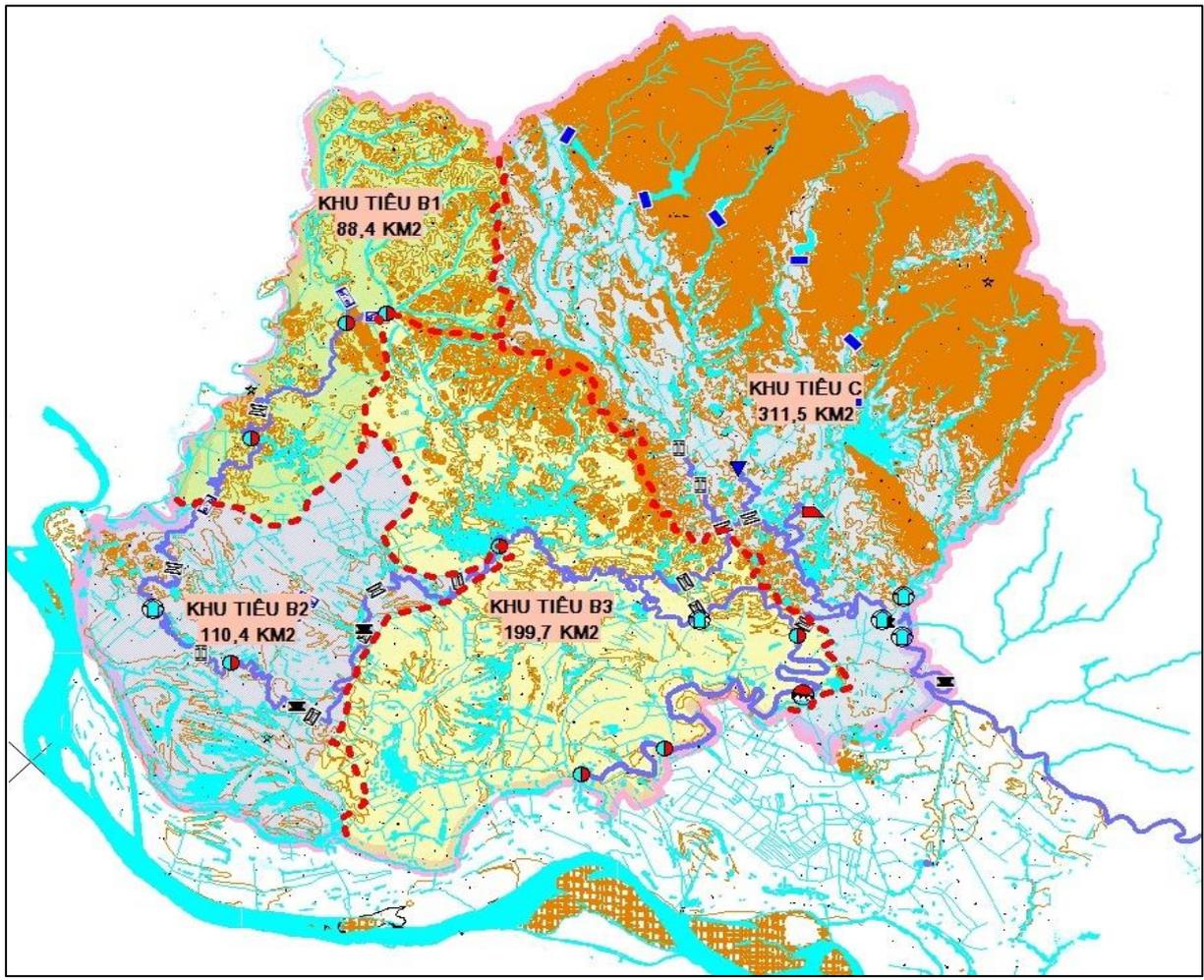


Figure 5. Map of VPFRWMP Project Area

15. The implementation of the Project will bring about overall positive impacts on the socioeconomic development in the medium-and-long term of the project area as well as Vinh Phuc Province. The construction of the infrastructure and improvement of drainage system and water quality will reduce the frequency and severity of floods in the area, improving the infrastructure system and creating benefits for the environment, public health, and socioeconomic development. Improving water management system and polluted water sewage system will facilitate the economic development as well as the growth of services and tourism of the province. The Project will also contribute to creating job opportunities for local people during construction period and improving transport networks, preventing floods, and protecting people's houses from damages caused by frequent flooding, thus facilitating tourism and transportation.

1.2. *Nguyet Duc Pumping Station and Inlet Canal*

1.2.1 *Nguyet Duc Pumping Station*

16. Nguyet Duc Pumping Station (PS) is located at K26+930 on the left bank of the Red River in Yen Phuong Commune, Yen Lac District, adjacent to the left bank of the Red River. The PS has a total area of 292,155 m² (29.2155 ha), in which:

- Construction area: 26,582 m²;
- Service road area: 6,892 m²; and
- Area of retention lake: 258,681 m².

1.2.2 Related Canals

1.2.2.1 Inlet Canal:

- The starting point A1 is from Sau Vo Lake (next to the provincial road 303) in Thanh Lang Town, Binh Xuyen District.
- The ending point A3 connects to the retention lake of Nguyet Duc PS in the area adjacent to the left bank of Red River in Nguyet Duc Commune and Yen Lac town, Yen Lac District.
- The entire route will go through agricultural land.
- The total length of the route is 2,144m.
- Cross section of the land use scope B=72.00m (Section A-A)

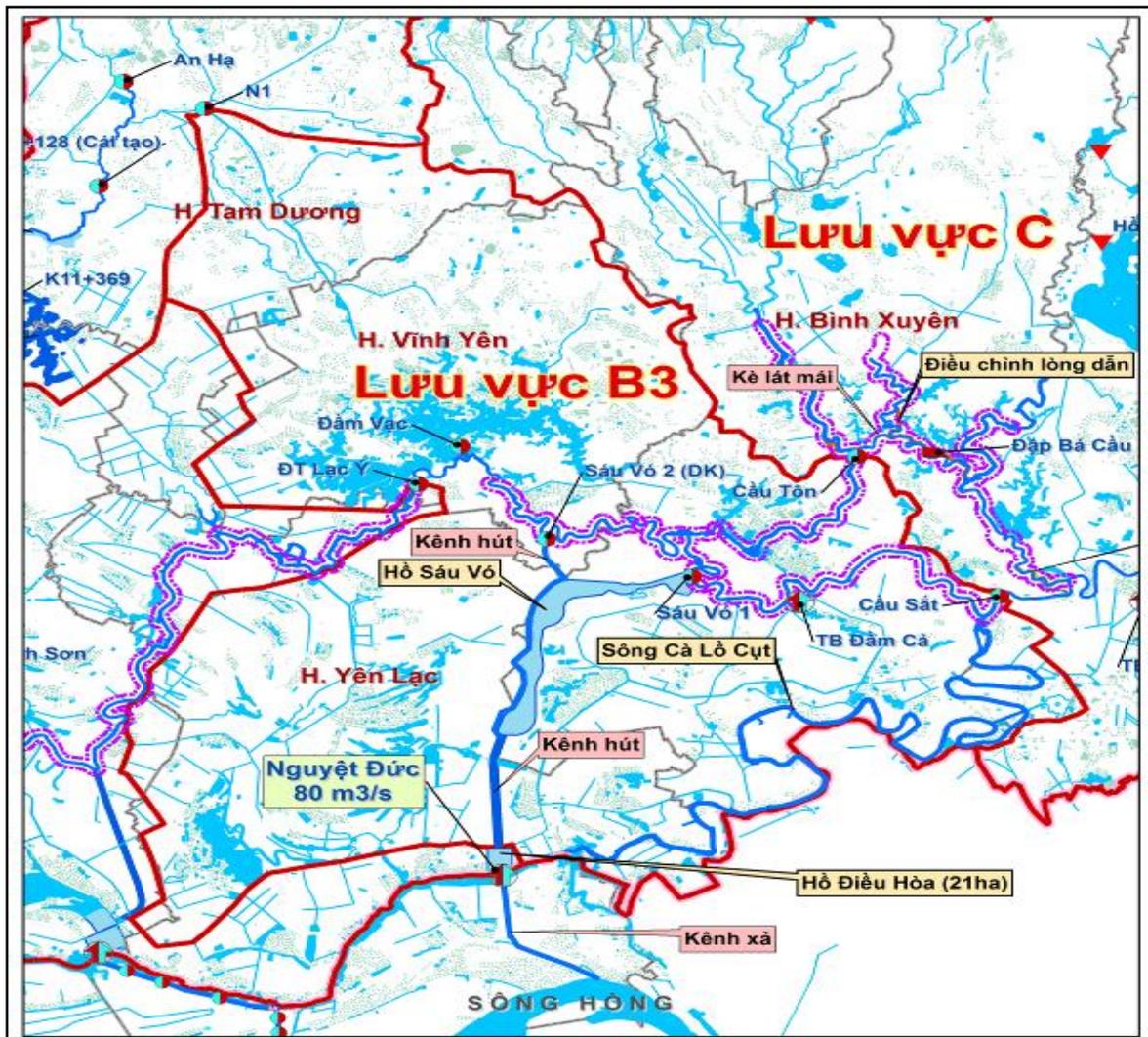


Figure 6. Location of Nguyet Duc PS

2. Potential Impacts

2.1. Positive Impacts

17. Nguyet Duc PS will serve drainage for 19,600 ha in 42 communes of five districts in Vinh Phuc Province, namely:

- Tam Duong District: 5 communes (the entire Thanh Van Commune and parts of

Kim Long, Dao Tu, Duy Phien and Van Hoi communes);

- Yen Lac District: 12 communes (the entire Binh Dinh Commune, Yen Lac Town, Yen Dong, Nguyet Duc, Van Tien; parts of Dong Cuong, Trung Nguyen, Te Lo, Tam Hong, Dai Tu, Yen Phuong, and Lien Chau communes);
- Vinh Yen City: 9 wards/communes (the entire Lien Bao, Dong Da, Ngo Quyen, Tich Son, Khai Quang, Thanh Tru wards, Dinh Trung Commune; parts of Dong Tam and Hoi Hop wards);
- Binh Xuyen District: 8 communes/town (the entire Quat Luu, Phu Xuan communes; Huong Canh, Thanh Lang towns; parts of Tan Phong, Tam Hop, Son Loi, and Dao Duc communes);
- Vinh Tuong District: 3 communes (parts of Van Xuan, Ngu Kien communes and Tu Trung town);
- Phuc Yen Town: 3 wards/communes (parts of Trung Trac and Trung Nhi wards and Tien Chau commune); and
- Hanoi City: 2 communes (parts of Van Yen and Tu Lap communes).

2.2. Adverse Impacts

18. With regards to social impacts, these are mainly caused by land acquisition for the construction of the subproject. These social impacts include permanent land acquisition, impacts on trees and crops as well as aquatic life in the lake area as people in the area use these natural resources. The project will not cause impacts on houses and structures or any physical relocation on the part of local people. Project's impacts involve affecting households in their agricultural land, which could be affecting their source of income and livelihoods. Details of scope of land acquisition and resettlement impacts caused by the subproject are discussed in the next section.

II. Scope of Land Acquisition and Resettlement Impacts

2.1. Number of Affected Households

19. The Inventory of Losses (IOL) is conducted from April-May 2019 with 100% of the affected households.

20. The Subproject will affect 255 households and three organizations, namely Nguyet Duc Commune People's Committee, Yen Lac Town People's Committee, and a power company. Of the total AHs, there are 46 vulnerable households (five poor households, two female-headed households with dependents, seven disabled headed households, seven single elderly households and 25 households under social policy treatment), all of whom are affected on agricultural land. None of the household has to relocate as a result of the subproject. No business household is affected by the subproject. The survey results also show that there is no ethnic minority household present in the project area.

Table 1. Summary and classification of the affected households

Subproject	No. of vulnerable households	No. of households losing agricultural land (HH)			No. of HHs losing residential land	No. of HHs who have to relocate
		<20% and <10% for vulnerable households	>=20% and >=10% for vulnerable households	Total		
Inlet canal	46	77	156	255	0	0
Total	46	77	156	255	0	0

Source: IOL results, April-May 2019

2.2 Impacts on Land

21. The total anticipated affected land area is about 119,445.90 m², in which agricultural land accounts for 104,176.40 m² of 255 households, public land for traffic, irrigation, and energy purposes makes up 15,269.50 m² under the management of Nguyet Duc CPC and Yen Lac Town PC.

22. The major impacts are on agricultural land acquisition, accounting for 87.21%. By land use purpose, these include (i) 81,160.70 m² of land planted to rice; and (ii) 23,015.70 m² of aquaculture land. Details of the affected land types are shown in the following table:

Table 2. Land use type and affected land area

Land type	Total of Acquired area (m ²)	In which	
		Nguyet Duc Commune	Yen Lac Town
I. Agricultural land	104,176.40	104,134.50	41.90
1. Wet rice growing land (LUC)	81,160.70	81,122.10	38.60
2. Aquaculture land (NTS)	23,015.70	23,012.40	3.30
II. Non-agricultural land/ Public land	15,269.50	14,712.00	557.50
1. Traffic land (DGT)	9,758.30	9,654.60	103.70
2. Irrigation land (DTL)	5,490.90	5,037.10	453.80

3. Power land	20.30	20.30	0
Total acquired land area	119,445.90	118,846.50	599.40

Source: IOL results, April-May 2019

Severity of land impacts and Land tenure status

23. The total 255 affected households will lose an aggregate 104,176.40 m² of agricultural land of their total landholdings. In which, 83 households are insignificantly affected with less than 20% of their agricultural landholdings to be acquired (<10% for vulnerable HHs). The number of households who will experience acquisition impacts of 20% or more on their productive landholdings (>10% for vulnerable HHs) is 156. As defined by the RPF of the Project, these households are severely affected households.

Table 3. Severity of Impacts on Productive Land

No.	Commune/ Town	Acquired agricultural land area (m ²)	PAHs by severity of impacts			
			10 – 20% Vulnerable HH	<20%	20%- 70%	>70%
1	Nguyet Duc	104,134.50	8	83	142	8
2	Yen Lac	41.90	0	2	0	0
	Total	104,176.40	8	85	142	8

Source. IOL results, April-May 2019

24. However, since most of these households are not relying solely on their agricultural land for subsistence/income generation activities. Agriculture is the main income sources of only 17.17% of the affected households; therefore, the affected households are not severely affected in terms of income. However, as per project's RPF, these households are not only compensated for the land affected but also supported financially and supported in job training- as per current government law, to assist them to fully restore their livelihood.

25. Of the total 255 households whose agricultural land area will be acquired, all households have land use right certificates (LURCs) over their affected area.

2.3. Impacts on Houses and Structures

26. The subproject does not cause impacts on any house of the affected household/organization. With regards to secondary structures, according to the IOL results, 300m² of temporary huts and 1,590 m² of livestock shelters of 10 households in Nguyet Duc Commune will be affected.

2.4. Impacts on Trees and Crops

27. According to the IOL results, 81,160.70 m² of rice and 23,015.70 m² of water surface of 255 households in both commune and town will be affected by the subproject. In addition, 260 timber trees and 72 fruit trees of 10 households in Nguyet Duc Commune will also be affected.

2.5. Impacts on Public Structures

28. One power pole of Power Company will be affected by the Subproject.

2.6. Temporary Impacts

29. There is no temporarily affected area caused by the subproject as all are within the scope of land acquisition of the civil work items of the subproject.

2.7. Mitigation Measures

30. In order to minimize adverse impacts on land and livelihoods of the affected households, the design of the Vinh Phuc Foreign Concessional Loans Project Management Office (VPMO) have reviewed and considered alternatives, to select optimal one for the construction of Nguyet Duc PS and related canals following the main principles as follows: (i) proposed work items are built on existing land or public land; (ii) minimize land acquisition and resettlement by adopting design alternatives; (iii) in cases where land acquisition cannot be avoided, Resettlement Action Plan should be prepared in accordance with World Bank's OP4.12 regarding involuntary resettlement to ensure that affected households and assets are integrated in the Resettlement Action Plan and compensated at replacement cost as well as supported in restoring their livelihoods and living standards at least equal to the pre-project level. Accordingly, in the feasibility study phase, the following criteria have been applied to select work items to minimize unwanted resettlement impacts:

- Avoid populated residential areas, tourist sites, historical and cultural relics (cemeteries, churches, pagodas, temples): The project management board has closely coordinated with design consultants and local authorities to develop the plan to construct Nguyet Duc PS and related canals without affecting temples and pagodas.
- Land acquisition impacts must be reduced by building and upgrading access road based on the existing roads and embankments.
- Take advantage of existing local transportation system.
- In line with the existing planning and under implementation planning: the proposed work items are designed based on the master plan of Vinh Phuc Province.
- Participation of the stakeholders during the alternatives study and selection: The VPMO in cooperation with the consultant and local authorities to participate in project preparation activities. In addition, the VPMO has also asked for comments and feedbacks from the relevant departments such as LCDB, Land Management Department, and Department of Construction, etc. regarding the policy framework applied to the project.

31. This RAP preparation involved conducting surveys and public consultations, in coordination with VPMO staff to collect opinions and comments on the PS and canals design, as well as with the team preparing the subprojects' design. The opinions of the households in the project commune are also incorporated into the final design.

32. During the project implementation phase, the following measures need to be applied to avoid adverse impacts on the local people and communities:

- Inform to the affected households at least 90 days to 180 days in advance before acquiring agricultural and residential land;
- Compensation and supports are fully provided to the affected households prior to land acquisition;
- Develop and implement livelihood restoration measures for the severely affected households to ensure that the affected households are able to restore or improve their incomes and livelihoods at least to the pre-project level;

- Apply grievance redress mechanism to receive and address complaints and concerns of the affected households in a timely and adequate manner.

3. Objectives of RAP

33. In order to minimize potential impacts caused by the project, a Resettlement Policy Framework (RPF) was prepared to establish resettlement principles, eligibility requirements for compensation, valuation methods or other forms of assistance, and describe the legal and institutional framework, organizational arrangements, funding mechanisms, and community consultation and participation, and grievance redress mechanism to be applied for the RAPs prepared during project implementation.

34. Thus this RAP was prepared following the basic design on the basis of the project's RPF. The purposes of RAP are to:

- Establish the compensation, assistance and resettlement principles in order to minimize adverse impacts on land acquisition for the construction of the above-mentioned subprojects;
- Assess the scope of land acquisition as well as potentially social impacts;
- Design compensation and assistance measures for the affected people and ensure that the livelihoods of the affected people are improved, or at least, restored to the pre-project level.

35. Following clearance by the World Bank and approval by the Vinh Phuc Province People's Committee (PPC), this RAP will be used for implementation of compensation, assistance, and resettlement for the construction of one part of inlet canal under the Nguyet Duc PS and related canals subproject under the Vinh Phuc Flood Risk and Water Management Project.

III. Socioeconomic Information of the Affected Population

1. Objectives and Methodology of Socioeconomic Survey (SES)

36. The objective of the Socioeconomic Survey (SES) is to establish baseline data on the socioeconomic status of the project area, to analyze and establish the project policies of compensation, assistance and resettlement. It will also be used to design the Income Restoration Program (IRP) for the severely PAHs in order to restore their income, if required. The baseline data will be used as reference for monitoring and evaluating the project objectives and RP implementation.

37. The SES is conducted through collection of socioeconomic information of the affected households using household structured questionnaire (**Appendix 6**), including demographic features, income and living standards, educational attainment, accessibility to basic infrastructure and social services, and their concerns and interests. The survey is conducted from April to May 2019. The total sample surveyed and analyzed is 233 households, accounting for 91.4% of the total affected households. The remaining 22 households could not join the SES due to the fact that (i) the households were not contactable; (ii) the households were absent in the locality during the survey period; and (iii) household heads were not identified.

38. The socioeconomic information in the project areas (i.e. population size, religion, education, employment, income and expenditure of HHs) was collected from secondary sources such as reports and statistics from relevant agencies. Data also includes modes of production, leisure activities, accessibility to public services, environmental sanitation conditions, status of floods and natural disasters.

2. Subproject Area

39. The subproject causes impacts on one commune and one town, namely Nguyet Duc and Yen Lac, Yen Lac District in Vinh Phuc. Nguyet Duc Commune has a total area of 627.42 ha while Yen Lac Town has a total area of 705.81 ha.

Table 4. Area and Population in the Subproject Area

No.	Communes	Total land area (ha)	No. of households	No. of persons	Ethnicity
I	Yen Lac District				
1	Nguyet Duc Commune	627.42	2,220	9,041	Kinh
2	Yen Lac Town	705.81	3,670	14,500	Kinh

Source: 2019 Commune-level Socioeconomic Survey Data, 2018 data.

40. Nguyet Duc Commune has a total 2,220 households consisting of 9,041 persons, equivalent to the average household size of 4.1 persons. Yen Lac Town has a total 3,670 households made up of 14,500 persons, equivalent to the average household size of 4 persons. All of them belong to Kinh group, the ethnic society of Vietnam. The natural population growth rates of Nguyet Duc Commune and Yen Lac Town in 2018 are 0.89% and 1%, respectively.

41. The annual per capita income in the subprojects area is rather high. In which, the annual per capita income of Nguyet Duc Commune is VND 41,300,000/person/year while in Yen Lac the figure is higher at VND 60,000,000/person/year (2019 Commune-level Socioeconomic Survey Data, 2018 data). However, in Nguyet Duc and Yen Lac, there is still a small percent of poor households with the poverty incidences of 2.02% (45 poor households) and 2.15% (79 poor households), respectively. The near-poor proportions of Nguyet Duc and Yen Lac are 3.55% (79 households) and 2.26% (83 households), according to the socioeconomic survey results at the commune level.

Table 5. Land Use Structure in the Subproject Area

No.	Land type	Nguyet Duc Commune	Yen Lac Town
	Total land area	703.16	705.81
1	Annual cropland	37.53	57.15
2	Rice growing area	221.80	354.29
3	Perennial cropland	0.48	19.97
4	Other agricultural land	0.13	-
5	Water surface area, aquaculture land	90.49	27.97
6	Residential land	75.74	76.22
7	Commercial, service land, land for industrial area, etc.	1.61	24.44
8	Other non-agricultural land	263.7	145.77
9	River, spring land	11.68	-
10	Vacant land	-	-

Source. 2019 Commune-level Socioeconomic Survey Data, 2018 data.

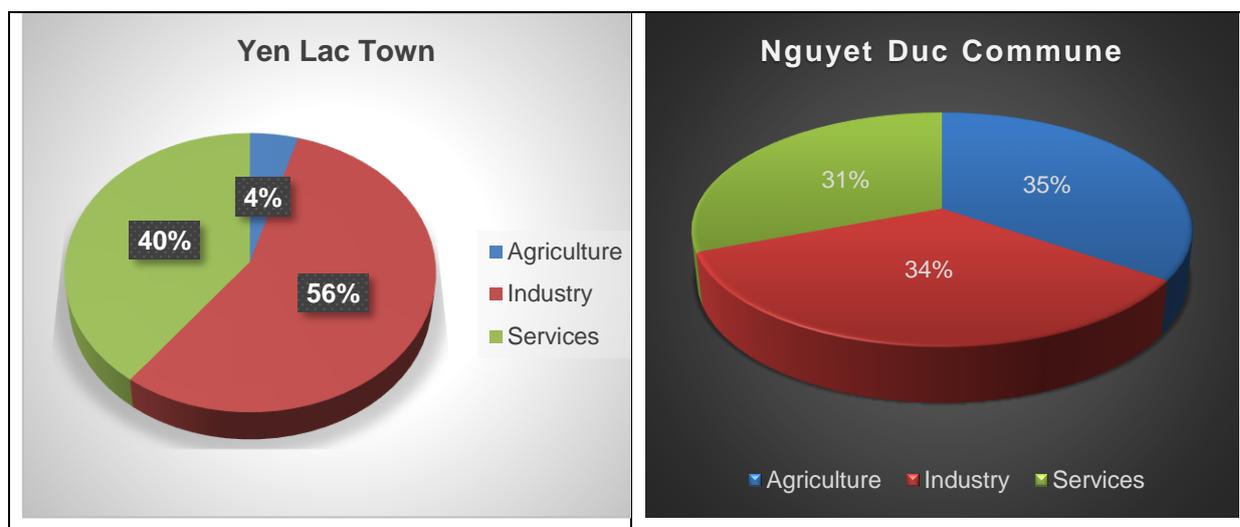
42. The total natural land area of the commune and town is 1,408.97 ha. By land use, these comprise 670.77 ha of lands for growing rice and seasonal crops, accounting for 47.61% of the total area; 20.45 ha of perennial cropland (1.45%), 118.46 ha of aquaculture and water surface lands (8.41%); 26.05ha of residential land and commercial and service land, equivalent to 12.63%; and 409.47 ha of other non-agricultural land, or 29.06%. River and spring land area is in Nguyet Duc Commune with the total area of 11.68 ha, accounting for 0.83% of the total land area in Nguyet Duc and Yen Lac.

43. Although the land use structure shows that the majority of land area is used for agricultural production, the contributions of the sectors to local income in these communes reveal a high proportion of non-agricultural activities. Agricultural activities, including cultivation, livestock raising and aquaculture, only account for 4.5% of the contributions in Yen Lac Town. The other activities such as construction and industry have contributed the highest in Yen Lac Town, at 56%, and services 39.5%. In Nguyet Duc Commune, the sector that have the highest contribution to the local income is agriculture, at 30.68%, followed closely by construction and industry sector at 30.53% and services sector at 27.30%.

44. According to the Socioeconomic Report of Yen Lac Town, in 2018, the total production value has reached 974.2 billion dong. In which, agricultural production has contributed 44.2 billion dong while industry and construction sector has contributed 544 billion dong, followed by services sector at 386 billion dong. In Nguyet Duc Commune, the contributions from these three sectors are more similar than in Yen Lac Town. The total production value in 2018 of Nguyet Duc has reached about 353.42 billion dong. In which, agricultural production and industry and construction have contributed 108.42 billion dong and 107.90 billion dong,

respectively. The contribution from the services sector in 2018 in Nguyen Duc is 96.5 billion dong.

Figure 7. Economic Structure in the Subproject Area



Source: *Nguyet Duc Commune and Yen Lac Town Socioeconomic Reports, 2019.*

45. According to the socio-economic survey (SES), carried out for the preparation of this RAP, the main crops in the subproject area include rice, peanuts, maize, soybean, sweet potato, potato, pumpkin, and various kinds of vegetable. In 2018, the total cultivated area in Nguyen Duc commune is 762.8 ha and in Yen Lac Town is 736.25 ha. In which, rice area accounts for 551.8 ha, or 67.6% of the cultivated area in Nguyen Duc Commune. In Yen Lac, rice area also makes up the largest cultivation area with 544.2 ha, accounting for 73.92% of the total cultivated area.

46. With regards to livestock husbandry, the primary livestock in Nguyen Duc and Yen Lac are cattle (377), pig (15,050), and poultry (96,150). In addition, taking advantage of the water surface area, the total aquaculture cultivation area in 2018 is 118.5 ha in Nguyen Duc Commune and 236.43 ha in Yen Lac Town. Besides, handicrafts and trade villages are quite popular in the subproject area. A number of handicrafts are maintained and developed, including carpentry, mechanics, milling, and garment.

Public Services

47. The commune has health clinics that meet national standards. There are one doctor, two physicians, and three nurses at the commune clinic. The station is also equipped with sufficient sick-beds for up to 10 patients. The accessibility to the health stations is assessed as easy.

Table 6. Access to Public Services in the Subproject Area

No.	Services	Commune/Town	
		Nguyet Duc	Yen Lac
1	Broadcasting system	Yes	Yes
2	Post Office	Yes	Yes
3	Cultural house	Yes	Yes
4	Health clinic	Meet standard	Meet standard
5	Market	In the commune	In the town
6	Schools	Yes	Yes

Source.: 2019 Commune-level Socioeconomic Survey Data, 2018 data.

48. Both Nguyet Duc Commune and Yen Lac Town have schools, health clinics, post offices as well as cultural houses. Daily markets are located within the commune/town to supply daily necessities to people. Carpentry products are produced to serve the market of the entire Northern region.

49. In general, the subproject commune has lower poverty incidence than the average rates of Vinh Phuc Province as well as of Yen Lac district. Social services have been established and provided for the households. In the subproject area, the percents of people infected with HIV in Nguyet Duc Commune and Yen Lac Town are 0.04% and 0.03%, respectively while the overall rate in Vinh Phuc is 0.29% (Social Impact Assessment Report, 2015).

2. Affected Population

2.1. Demographic Features

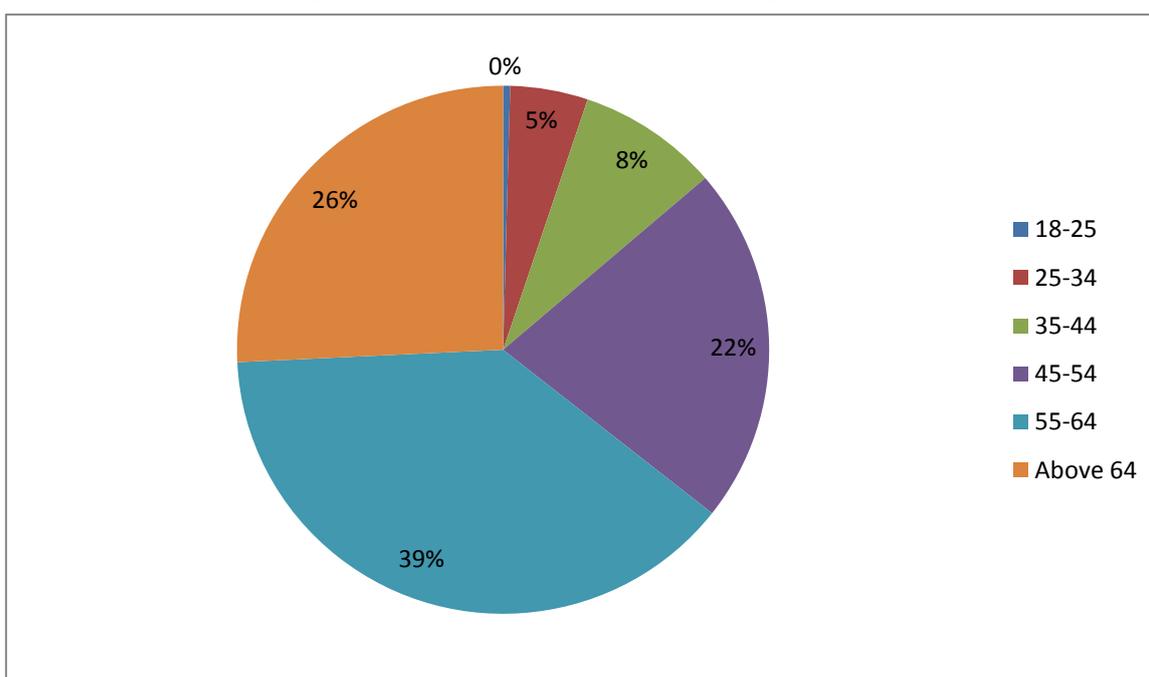
50. The total number of surveyed affected households (AH) by the subproject is 233 made up of 1,019 persons. The percent of male members of the AHs is 47.01% while of the female members is 52.99%. The average household size of the AHs is 4.37 and the average number of main labors in each household is 2.75.

51. Among 233 surveyed households, the male AH heads account for 69.96% while female heads make up 30.04%. All of the PAHs belong to Kinh group from the main society of Vietnam.

2.2. Age Profile

52. Of the total 233 household heads, the majority of the household heads are in 55-64 age group, accounting for 38.63%, followed by those in the above 65 age group, making up 25.75%. The number of household heads in the 45-54 age group is 51 persons or 21.89% while the number of people in the 35-44 age group is 20 (equivalent to 8.58%). The younger household heads in the groups from 18 to 24 and 25 to 34 account for 0.43% and 4.72%, respectively.

Figure 8. Affected Population by Age Structure

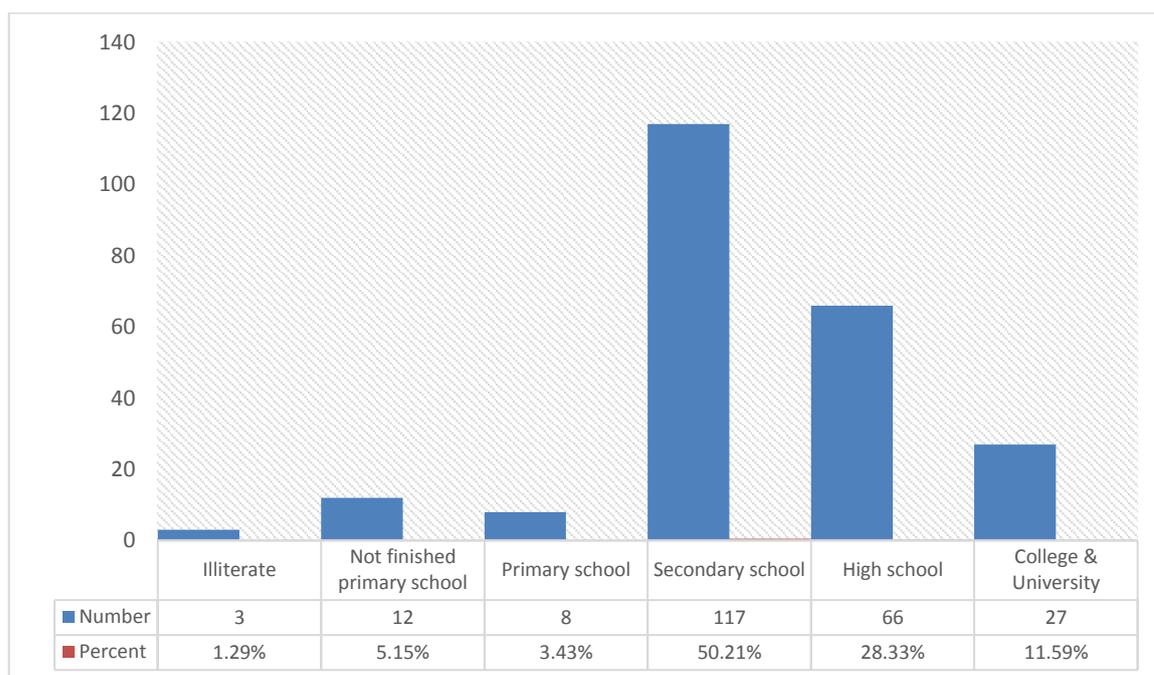


Source. SES results, April-May 2019

2.3. Level of Education

53. According to the survey data in the subproject area, the majority of the household heads have rather high educational attainment. In which, 50.21% of the household heads finished secondary school, followed by 28.33% of the heads finished high school. The number of AHs heads with college and university education account for 11.59% (27 household heads). The AH heads with primary school education represent 3.43% (8 people). Particularly, in the subproject area, there are 3 and 12 household heads, equivalent to 1.29% and 5.15%, who are without schooling and not yet finished primary school.

Figure 9. Educational Attainment of the AH Heads



Source. SES results, April-May 2019

2.4. Livelihoods and Incomes

54. The survey finds that most common main income sources of the affected households is from wages/salaries from working in private sector (37.34%) followed by agriculture (17.17%) in combination with aquaculture (1.29%). The third largest income sources of the affected households are from pension and allowances/subsidies from government policies (15.02%). Business and services activities are the primary income sources of 11 households and 10 households, equivalent to 4.72% and 4.29%, respectively. Day labors also contribute greatly to the income of 29 affected households, or 12.45% whereas two households, or 0.86%, rely on the financial supports from their families and relatives. Only 11 households, or 4.72%, are dependent on salaries of government officials.

Table 7. Main Household Income Sources

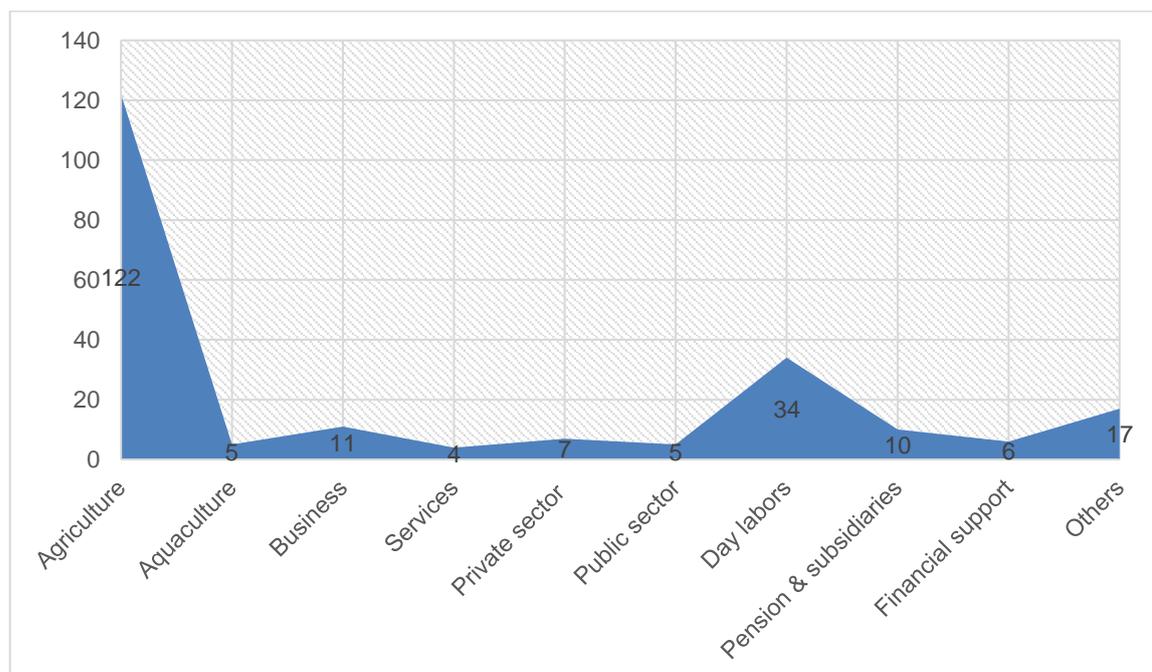
Income sources	Quantity	
	Number of HHs	Percentage (%)
Agriculture	40	17.17
Aquaculture	3	1.29
Business	11	4.72
Services	10	4.29
Wages/salaries from working in private sector	87	37.34

Salaries from working in public sector	11	4.72
Day labors	29	12.45
Pension and allowances/subsidies	35	15.02
Financial supports from families and relatives	2	0.86
Others	5	2.15
Total	233	100.00

Source. SES results, April-May 2019

55. In support of the above-mentioned main income sources, the affected households also earn their income from different secondary sources. According to the survey results, 221/233 affected households have secondary income sources. In which, the largest secondary source is from agriculture with 122 affected households, representing 55.2%, followed by day labors of 34 households, or 15.38%. Small business is the largest third secondary source with 11 households, equivalent to 4.98%. Other households earn their secondary income from pension and subsidiaries (4.52%), working for private sector (3.17%), supports from relatives and families (2.71%), salaries from public sector (2.26%), aquaculture (2.26%), and services (1.81%). Other sources are secondary income source of 17 households (7.69%).

Figure 10. Secondary Household Income Sources



Source. SES results, April-May 2019

56. Of the surveyed 233 households, the household's main earners are both household heads and spouses (64 households, or 27.47%). 62 households (26.61%) respond that their main earners are household heads, their spouses and adult children while 57 households (24.46%) inform that their children are the primary income earners. 48 households, or 20.60%, say that only the household heads are the main contributor to the household income.

Table 8. Household's Main Earners

Household members	Number of households	Percent (%)
Only household heads	48	20.60
Household heads and their spouses	64	27.47

Adult children	57	24.46
Household heads, spouses and adult children	62	26.61
Other members	2	0.86
Total	233	100.00

Source. SES results, April-May 2019

57. According to the survey results, the total average monthly income is VND 10,369,310 per household from both main and secondary income sources. In which, the average monthly income from households' primary income sources as analyzed above is VND 8,029,830 while the average monthly income from their secondary sources contribute about VND 2,557,010. With the household size of 4.37, on average, each person will have an income level of about VND 2,372,840 per month.

Table 9. Income Levels of the Affected Households

Income sources	No. of households	Total monthly income (VND)	Average monthly income (VND)
Main income sources	233	1,870,950,000	8,029,838
Secondary income sources	221	565,100,000	2,557,010
Total income	233	2,416,050,000	10,369,310

Source. SES results, April-May 2019

Table 10. Household Monthly Expenditure

Expenses	No. of households	Total monthly expenditure (VND)	Average monthly expenditure (VND)
Daily consumption (food)	233	832,750,000	3,574,030
Healthcare	223	236,420,000	1,060,180
Education	129	261,900,000	2,030,230
Vacations, festivals, weddings, funerals, etc.	199	209,330,000	1,051,910
Others	20	24,230,000	1,211,500
Total expense	233	1,564,630,000	6,715,150

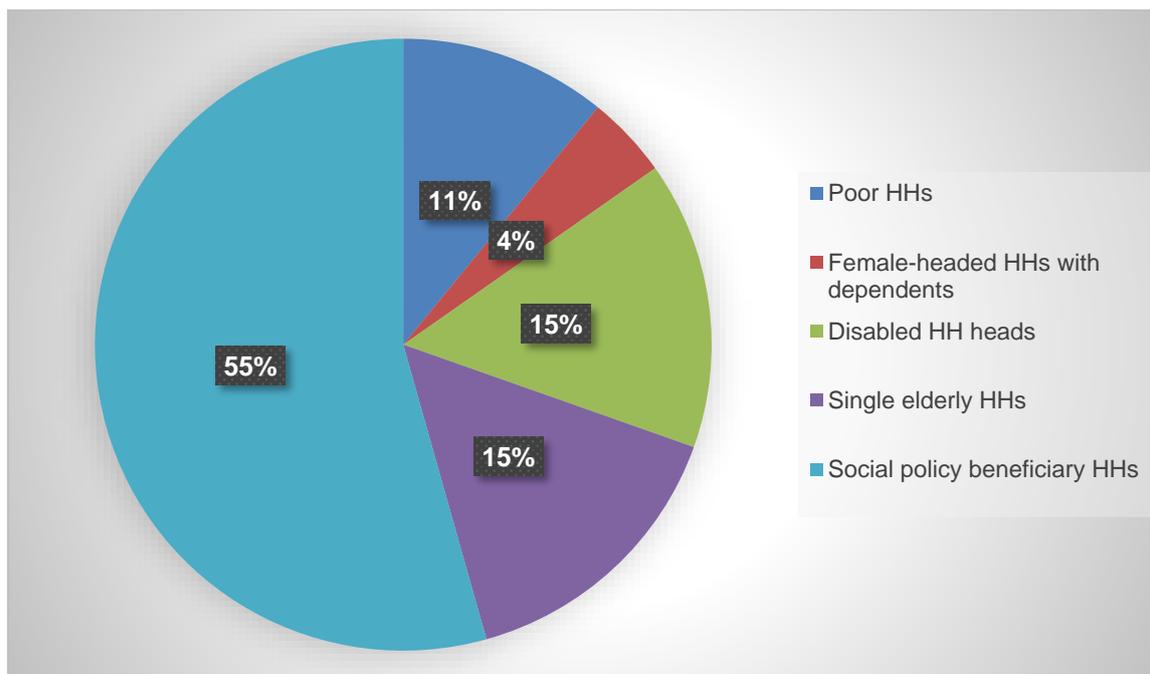
Source. SES results, April-May 2019

58. The Table above shows that for average monthly expenditure, 53.22% is spent on food, followed by 30.23% spent on their children's education while 15.78% is spent to healthcare. It is reported that 15.66% is spent on ceremonies such as weddings and funerals and other leisure activities like vacations. On average, each household spends a monthly expenditure of about VND 6,715,150. With the income and expenditure levels as above, the majority of the surveyed households have enough income to meet expenditure and even to save.

2.5. Vulnerable Households

59. Of the total 233 PAHs, 46 households belong to the vulnerable group as defined in the RPF. By vulnerability categories, 5 households are classified as poor households, 2 households are headed by single women with dependents while 7 household heads are disabled. The number of single elderly households is 7 whereas 25 households are beneficiaries of social policies (families of martyrs and wounded soldiers).

Figure 11. Vulnerable Households in the Subproject Area



Source. SES results, April-May 2019

2.6. Water, Energy Sources, Sanitation and Assets

60. 100% of the PAHs are connected to the national power grid. 100% of the households use electricity for lighting purpose. For cooking, most families use gas (169 households or 72.53%) with biogas being used by around one fifth (47 households). A small number of households (6.44% and 0.86%) use electricity and wood/straw, respectively, for cooking purpose.

61. With regards to water resources, the majority of households source their drinking water from drilled wells (98.71%) while 0.86% use rainwater and 0.43% use dug well for domestic use (including cooking and drinking as well as bathing purposes).

62. Most report the quality of their drinking water as acceptable (57.94%) while more than one quarter (26.61%) assess that the quality is good. Only 36 households or 15.45% report that the quality of their drinking water is not good.

Table 11. Household Self-Assessment of Water Quality

Assessment	No. of households	Percent (%)
Good	62	26.61
Acceptable	135	57.94
Not good	36	15.45
Total	233	100.00

Source. SES results, April-May 2019

63. The vast majority of households have a toilet in the house with a septic tank (98.71%) or a tank toilet (0.86%). Only 0.43% reports to have toilets but that the outflow leads to wastewater source.

Table 12. Household Sanitation

Toilet types	No. of households	Percent (%)
Tank toilets	2	0.86
Toilets in house with septic tanks	230	98.71
Toilets leading to wastewater source	1	0.43
Total	233	100.00

Source. SES results, April-May 2019

64. The SES also collects information on household assets to use a relative household wealth proxy indicator for baseline data, presented below.

Table 13. Household Assets

Household assets	No. of households	Percent (%)
Bicycle	203	87.12
Motorbike	10	4.29
Car/Truck	217	93.13
Television	48	20.60
CD/VCD player/ loudspeaker system	5	2.15
Electric generator	229	98.28
Pump	232	99.57
Rice cooker	203	87.12
Electric fan	233	100.00
Mobile phone/ Cable phone	201	86.27
Fridge	210	90.13
Computer	22	9.44
Air-conditioner	17	7.30
Washing machine	32	13.73

Source. SES results, April-May 2019

2.7. Gender

65. In the subproject area, both men and women are actively engaged in the workforce. The most common livelihood activities were farming with general labour also a common income source.

66. Women in the subproject area are very busy, carrying a large part of housework as well as earning a living. Some responsibilities fall to a greater extent on women alone, such as cooking and taking care of children and the elderly in the family. In other activities, both husbands and wives mostly share such as farming, conducting retail or service businesses.

67. Most of household decision-making was reported by surveyed households to be shared between husbands and wives. However, where one or the other is the main decision maker, it tended to be the husband. Land registration in the name of both spouses.

IV. Legal Framework for Resettlement Policy Framework

1. The Legal Framework of the Government of Vietnam

68. The legal framework with respect to land acquisition, compensation and resettlement is based on the Constitution of the Socialist Republic of Vietnam (2013), and the Land Law 2013 (revised), and other relevant decrees/guidelines. The principal legal documents applied for the RPF include the followings:

- Constitution of Vietnam 2013.
- The Land Law 2013 which has been effective since July 1, 2014.
- Decree No.43/2014/ND-CP guiding in detail some articles of Land Law 2013
- Decree No.44/2014/ND-CP providing methods for land pricing; adjustment to land price brackets, land price lists; specific land pricing and land price consultancy activities.
- Decree No. 47/2014/ND-CP providing compensation, support, resettlement when land is recovered by the State
- Decree No. 16/2016/ND-CP of 16 March 2016, on management and use of official development assistance (ODA) and concessional loans of donors.
- Circular No. 36/2014 / TT-BTNMT dated 30 June 2014, regulating method of valuation of land; construction, land price adjustment; specific land valuation and land valuation advisory
- Circular No. 37/2014/TT-BTNMT dated 30 June 2014, regulating compensation, assistance and resettlement when the State acquires land.
- Decision No. 1956/2009/QD-TTg, dated November 17 2009, by the Prime Minister approving the Master Plan on vocational training for rural labors by 2020;
- Decision No. 52/2012/QD-TTg, dated November 16 2012, on the support policies on employment and vocational training to farmers whose agricultural land has been recovered by the State;
- Other regulations or administrative decisions related to resettlement plan to be issued by Vinh Phuc Province People's Committee in relation to the Land Law 2014, and its relevant decrees and circulars.

69. Laws, decrees and decisions relevant to public disclosure of information include Land Law (No. 45/2013/QH13, Article 67, stipulating that before issuing a decision on land recovery, competent state agencies will notify the land users of the land recovery, at least 90 days prior to the recovery of agricultural land or 180 days prior to the recovery of residential land.

70. At local level, the Vinh Phuc Province issued their own decisions on the basis of Land No. 45/2013/QH and other legal documents related to resettlement planning and implementation at provincial level. The above-mentioned requirements are indicated in Decision No. 35/2014/QD-UBND of the Vinh Phuc PPC dated 15 August 2014 on issuing regulations on compensation and resettlement assistance when the State acquires land in Vinh Phuc Province and Decision No. 61/2014/QD-UBND dated December 31 2014 by Vinh Phuc PPC on land prices in Vinh Phuc Province for the 2015-2019 period.

2. World Bank Policy on Involuntary Resettlement (OP 4.12)

71. Involuntary resettlement may cause severe long-term hardship, impoverishment, and environmental damage unless appropriate measures are carefully planned and carried out. The Bank's Resettlement Policy OP 4.12, includes safeguards to address and mitigate the economic, social, and environmental risks arising from involuntary resettlement.

72. The WB's involuntary resettlement policy objectives are the following:

- (i) Involuntary resettlement should be avoided where feasible, or minimized after exploring all viable alternatives in project design;
- (ii) Where resettlement cannot be avoided, resettlement activities should be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the people affected by the Project to share in benefits. Affected Persons should be meaningful consulted and should have opportunities to participate in planning and implementing resettlement programs.
- (iii) Affected Persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-project levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.

3. Comparison between the Government of Vietnam and World Bank Approaches

73. There are differences between the Government of Vietnam's Laws, policies, regulations related to land acquisition/resettlement, and the World Bank's OP 4.12 on Involuntary Resettlement. The following table highlights the key differences in order to establish a basis for the design of the principles to be applied for compensation, assistance and livelihood restoration support for the affected households, which will be applied under this project.

Table 14. Discrepancies between World Bank Policies and Vietnam Laws

Subjects	Bank's OP 4.12	Government of Vietnam	Project Measures
Land Property			
Policy objectives	PAPs (Project Affected Persons) should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher	There is a provision of support to be considered by PPC to ensure PAPs have a place to live, to stabilize their living and production. (Article 25 of Decree 47). In case the amount of compensation/support is not enough for resettled people to buy a minimum resettlement plot/apartment, they will be financially supported to be able to buy a minimum resettlement plot/apartment (Article 86.4 of Land Law 2013 and Article 27 of Decree 47)	Livelihoods and income sources will be restored in real terms, at least, to the pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.
Support for affected households who have no recognizable legal	Financial assistance to all project affected persons to achieve the policy objective (to improve their livelihoods	Agricultural land used before July 1, 2004 is eligible for compensation. (Provision 2 Article 77, Land Law 2013).	Financial assistance of an agreed amount will be given to all PAPs, regardless of their legal

Subjects	Bank's OP 4.12	Government of Vietnam	Project Measures
right or claim to the land they are occupying	and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher)	Other cases are considered for assistance by VP PPCs according to regulations of Article 19, 20, 21, 22, 23, 24 and 25, Decree 47.	status, until their livelihoods and standards of living restore in real terms, at least, to pre-project levels.
Compensation for illegal structures	Compensation at full cost for all structures regardless of legal status of the PAP's land and structure.	PPC consider providing supports according to Article 25, Decree 47.	Compensation at full replacement cost will be given for all structures affected, regardless of legal status of the land and structure.
Compensation			
Methods for determining compensation rates	Compensation for lost land and other assets should be paid at full replacement costs,	Independent land valuers are hired to determine compensation rates, these rates are equal to replacement cost of WB (Provision 4 Article 114, Land Law 2013 and Article 18, Decree 44); For houses and physical structures, compensation rates are calculated according to Decision No. 35/2014/QD-UBND of the Vinh Phuc PPC dated 15 August 2014. For special structures, Independent land valuator is hired to determine compensation rates.	Independent appraiser identifies replacement costs for all types of assets affected, which are appraised by land appraisal board and approved by. City People's Committees to ensure full replacement costs.
Compensation for loss of income sources or means of livelihood	Loss of income sources should be compensated (whether or not the affected persons must move to another location)	According to Article 88, Land Law 2013, assistance in respect of income loss is given only for registered businesses. Besides, assistance measures to restore income sources are provided (Article 19, 20 and 21, Decree 47).	All income losses are to be compensated and, where necessary to achieve the objectives of the policy, development assistance in addition to compensation will be provided.
Compensation for indirect impact caused by land or structures taking	It is good practice for the borrower to undertake a social assessment and implement measures to minimize and mitigate adverse economic and social impacts, particularly upon poor and vulnerable groups.	Regulated at Article 88 Land Law 2013; Article 19, 20, 21, 22, 23, 24, 25 Decree 47.	Social assessment has been undertaken and measures identified and being implemented to minimize and mitigate adverse impacts, particularly upon poor and vulnerable groups.
Livelihood restoration and	Provision of livelihood restoration and assistance	Livelihood restoration and assistance measures are	Provision of livelihood restoration and assistance

Subjects	Bank's OP 4.12	Government of Vietnam	Project Measures
assistance	to achieve the policy objectives.	provided (Article 19, 20, 21, 22, 23, 24 and 25 Decree 47).	measures to achieve the policy objectives. These will be monitored as detailed in the RAP
Consultation and disclosure	Participation in planning and implementation, specially confirming the eligibility criteria for compensation and assistance, and access to Grievances Redress Mechanisms	Consultation with PAPs on draft plan of compensation, support and resettlement and plan for training, career change and facilitating job seeking.	Consultation and participation incorporated into RAP design, along with information sharing with PAPs and stakeholders.
Grievance redress mechanism			
	Grievance redress mechanism should be independent	According to legal regulations, complainants can go to court at any steps as they wish.	More effective Grievance and Redress mechanisms are to be established, built on the existing governmental system, with monitoring by an independent monitor
Monitoring & Evaluation			
	Internal and independent monitoring are required	Citizens have rights to supervise and report on breaches in land use and management on their own (or through representative organizations), including land recovery, compensation, support and resettlement (Article 199, Land Law 2013).	Both internal and external (independent) monitoring is to be regularly maintained (on a monthly basis for internal and bi-annual basis for independent monitoring). An end-of-project report will be done to confirm whether the objectives of OP 4.12 were achieved.

74. As a World Bank member country, the Government of Vietnam has committed that, should the international agreements signed or acceded to by Vietnam with the World Bank contain provisions different from those in the present resettlement legal framework in Vietnam, the provisions of the international agreements with the World Bank will prevail. According to Provision 2, Article 87 of Land Law 2013: "For projects using loans from international or foreign organizations for which Vietnam has committed to a policy framework for compensation, support and resettlement, that framework policy will apply". The waiver provisions are prescribed in the Article 51, Item 1 of Decree No. 16/2016/ND-CP.

V. Principles and Policy for Resettlement, Compensation and Rehabilitation

1. General Principles

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

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

- (g) Compensation and rehabilitation assistance must be provided to each PAP at least 30 days prior to the taking of the assets for those who are not to be relocated and 60 days for those who will have to be relocated. Exceptions should be made in the case of vulnerable groups who may need more time.
- (h) If, by the end of the project, livelihoods have been shown not to be restored to pre-project levels, additional measures will be provided.
- (i) Financial services (such as loans or credits) will be provided to PAPs if necessary. The installment amounts and the schedule of payments will be within the repayment capacity of PAP.
- (j) Additional efforts, such as economic rehabilitation assistance, training and other forms of assistance, should be provided to PAPs losing income sources, especially to vulnerable groups, in order to enhance their future prospects toward livelihood restoration and improvement.
- (k) The previous level of community services and resources, encountered prior to displacement, will be maintained or improved for resettlement areas.

2. Compensation Policies

2.1 Compensation Policies for Permanent Impacts

2.1.1. For Loss of Agricultural Land

Legal Land Users

76. If the lost area represents less than 20% of a Household's (HH's) land holding (or less than 10% for poor and vulnerable groups), and the remaining area is economically viable, compensation in cash will be at 100% replacement cost for the lost area. If the lost area represents 20% or more of the HHs' land holding, (or 10% or more for the poor and vulnerable groups) or the remaining area is not economically viable, then "land for land" compensation should be considered as the preferred option. If no land is available, then VPMO must demonstrate this to the World Bank's satisfaction before proceeding.

77. If land is not available, or if the PAP prefers cash compensation, then cash compensation will be provided for the lost area at 100% of land replacement cost, and the PAP will be provided with rehabilitation measures to restore the lost income sources, such as agricultural extension, job training, credit access, provision of non-agricultural land at a location appropriate for running off-farm business or services (Article 83,84 of Land Law and Item 1, Article 15 of Decision 35/2014/QD-UBND dated August 15 2014). If the PAPs wish, and there is land of similar value elsewhere, the project should also assist these PAPs to visit these areas and help with legal transactions should they wish.

78. For agricultural land located intermixed with residential areas, and/or garden and pond land located adjacent to residential areas, apart from compensation at the price of agricultural land having the same use purpose, monetary support shall also be provided. The specific support levels being decided by the Vinh Phuc Province People's Committees to suit local conditions (Item 1, Article 17 of Decision 35/2014/QD-UBND dated August 15, 2014).

Users with Temporary or Leased Rights to Use Communal/Public Land (PAPs who Rent Communal or Public Land):

79. Cash compensation at the amount corresponding to the remained investment put on the land or corresponding to the remained value of the land leased contract, if it exists (Item 1, Article 76, Land Law 2013 and Item 3, Article 17 of Decision 35/2014/QĐ-UBND dated August 15 2014).

80. For PAPs currently using land assigned by State-owned agricultural or forestry farms on a contractual basis for agricultural, forestry, or aquaculture purposes (excluding land under special use forests and protected forests), compensation shall be provided for investments made on the land, but not for the land itself, and these PAPs will also receive additional support for income rehabilitation if they are directly involved in agricultural activities as per Government's regulations (Item 3, Article 14 of Decision 35/2014/QĐ-UBND dated August 15 2014).

Land Users Who Do Not Have Formal or Customary Rights to Affected Land.

81. Instead of compensation, these PAPs will receive rehabilitation assistance at 80% of the land value in cash. Agricultural land used before July 1, 2004 will be compensated at 100% as per Article 77.2 of the Land Law. These PAPs will be entitled to the rehabilitation measures mentioned above, to ensure that their living standards are restored.

82. In cases (i) where the land is rented through civil contracts between individuals, households or organizations, then the compensation for crops, trees or aquaculture products will be paid to the affected land users and VP ODA PMU shall assist the renter to find similar land to rent; (ii) when PAPs utilize public land (or protected areas), with an obligation to return the land to the Government when requested, the PAPs will not be compensated for the loss of use of the land. However, these PAPs will be compensated for crops, trees, structures and other assets they own or use, at full replacement cost.

83. The social and baseline assessment should consider if a physical impediment caused by the VPFRWMP will impose additional costs on PAPs, and whether additional compensation is required to offset these costs.

2.1.2. For Loss of Residential Land

Loss of Residential Land W/O Structures Built Thereon

84. For legal and/or legalizable land users, all compensation for loss of land will be made in cash at full replacement cost. For land users who have no recognizable land use right, financial assistance will be provided. The amount will be determined by the respective Vinh Phuc Province People's Committees (Article 79 of the Land Law and Article 3 of Decision 35/2014/QĐ-UBND dated August 15 2014).

Loss of Residential Land with Structures Built Thereon, Where The Remaining (Non-Acquired) Land Is Adequate To Rebuild The Structure (Re-organizing PAP):

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

Loss of Residential Land with Structures Built Thereon, And The Remaining Land Is Not Adequate To Rebuild The Structure (Relocating PAP):

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

- A land plot of equivalent size and quality, in a well-developed resettlement site. Where land is not available, an apartment will be provided to the PAP. This will be done in consultation with the PAP. Full ownership title to the land or apartment will be given at no cost to the PAP (*Article 86 and 87 of Land Law, and Item 1, Article 18 of Decision 35/2014/QĐ-UBND dated August 15 2014*).

OR,

- On request of and with full consultation with the PAP, cash compensation at full replacement cost. In case, the household is expected to relocate themselves, it will plus an amount equivalent to the value of the infrastructure investments calculated as an average for each household in a resettlement site (*Item 2, Article 18 of Decision 35/2014/QĐ-UBND dated August 15 2014*).

86. In the event that the compensation amount to be paid is less than the cost of a minimum land plot /apartment in the project's resettlement site, PAPs will be given support with the difference needed to allow them to acquire the new land plot/apartment at no additional cost. If a land plot/apartment in the resettlement site is not PAP's chosen option, a financial assistance, equivalent to the difference in the value of the chosen and actually received land plot/apartment will be provided to them (Item 4, Article 86 of Land Law).

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

- Financial assistance of an amount to be determined by Vinh Phuc Province People's Committee will be given.
- If the PAP has no place to move, a land plot or an apartment satisfactory to them will be provided in the resettlement site and they can either pay in installment or rent it for living.

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

2.1.3. For Loss of House/Structures

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

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

Tenants

- Tenants of state-owned or organization-owned houses will be: (i) entitled to rent or buy a new apartment of an area at least equal to their affected ones or (ii) provided a financial assistance equivalent to 60% of replacement cost of the affected land

and houses. The affected structures built at the PAP's own costs will be compensated for at full replacement costs.

- Tenants who are leasing a private house for living purposes will be provided with transportation allowance for moving assets, and will be assisted in identifying alternative accommodation.

2.1.4. For Loss of Standing Crops and Trees or Aquaculture Products

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

2.1.5. For Loss of Income and/or Business/Productive Assets

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

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

2.1.6. Compensation for Graves

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

2.1.7. Compensation for Other Assets

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

2.1.8. Compensation for Loss of Public Structures

94. In cases where community infrastructure such as schools, factories, water sources, roads, sewage systems, medical centers, distribution/transmission, communication and fiber cable are damaged and the community wishes to reuse them, the project will ensure that these are restored or repaired as the case may be, at no cost to the community. Public infrastructure directly related to people's livelihoods and developmental needs, such as irrigation canals, school, clinic, etc. will be restored/rebuilt to pre-project or higher quality levels or compensated at replacement cost, as determined through consultation with the affected community.

2.2. Compensation Policy for Temporary Impact during Construction

95. When PAPs are adversely impacted by project works on a temporary basis, they are entitled to the following:

- Compensation for all affected assets/investments made on the land, including trees, crops etc., at full replacement cost;
- Cash compensation for rental loss, which is at least equivalent to the net income that would have been derived from the affected property during the period of disruption;

96. **Damages caused by contractors to private or public structures:** Damaged property will be restored to its former condition by contractors, immediately upon completion of civil works. 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 repair the damage and may also be required to pay compensation to the affected families, groups, communities, or government agencies at the same compensation rates that are applied to all other assets affected by the Project.

97. **Secondary PAPs:** This refers to PAPs affected by development of individual resettlement or group resettlement sites. Because all secondary PAPs are likely to be affected in similar ways as primary ones, they will be entitled to compensation and rehabilitation assistance in accordance with the impacts on them and according to the same compensation rates and procedures that apply to all PAPs affected in this project.

98. **Compensation for Loss of Community Assets:** In cases where community infrastructure such as schools, bridges, factories, water sources, roads, sewage systems are damaged, the project will ensure that these will be restored or repaired at no cost for the community and be done to a standard that meets the community's satisfaction.

99. **Any other impacts that may be identified during implementation.** Any other impacts identified during project implementation will be compensated in accordance with the principles of the RPF and World Bank OP 4.12. Any disruption of business will be compensated in accordance with the principles of the RPF.

2.3 Allowances and Rehabilitation Assistance

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

For Impacts on Residential Land:

- a. *Removal Support:* Organizations and PAPs that are allocated or leased land by the state or are lawfully using land and have to relocate their productive and/or business establishments are entitled to financial support for dismantling, relocating and re-installation of the establishment. Support levels will be determined by actual costs at the time of removal, based on self-declaration of the organizations and verification by the agency in charge of compensation. (*Item 10, Article 17 of Decision 35/2014/QĐ-UBND dated August 15 2014*).
- b. *House Renting Allowance* or temporary accommodation will be provided to PAPs (i) who may be forced to relocate from their original homes and are still awaiting the replacement land plots or apartments, or (ii) who are re-organizing, but remaining land is not viable for continued living and need for re-building, with amount of 2,000,000VND per month, for period of 6 months. In the case of replacement land plots, the rental allowance will extend to the period during which the new house is being built.

For Impacts on Agricultural Land:

- ***Allowance for Loss of Livelihood (during transition period):***
 - (i) PAPs losing 20 - 70% of their agricultural landholding (or 10 - 70% for the poor and vulnerable groups) will be provided with compensation by three hundred (300) thousand VND /person/month for 6 months if they do not have to relocate, and for 12 months in case of relocation. In some special cases, in extremely difficult areas, the compensation may be provided for a maximum of 24 months;
 - (ii) PAPs losing more than 70% of their agricultural landholding will be assisted at the above rate for a period of 12 months if they do not have to relocate, and 24 months in case of relocation. In some special cases, in extremely difficult areas, the compensation may be provided up to a maximum of 36 months;
 - (iii) Households *affected by loss of less than 20% of land, where the remaining land is rendered unviable for continued use*, will be assisted with the above support plus any additional support as determined, for a period of 12 months. In case of land-for-land compensation, PAPs will be assisted with seedlings, agricultural-forestry extension programs, husbandry etc.
- ***Support for Skill/Job Change:*** The project will offer a range of training options in consultation with the affected PAPs and refer to the market demand and needs of the area. The financial compensation will be at most 2.5 times the agricultural land prices established by Vinh Phuc PPC of the acquired agricultural land, but subject to the local land allocation limit as per Government's regulations.
- ***Support for training, apprenticeships on vocational training establishments:*** At least one member of each affected household will be entitled to vocational training and support for job creation. The PAPs participating in such training programs will be

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

- **Assistance for agricultural, garden and pond land adjacent to, but not included in the category of residential land:** will be supported in cash equivalent to 40% of the compensation for the adjacent residential plot.

Other allowances/ assistance:

- **Incentive Bonus:** All PAPs who vacate the affected land immediately after receiving compensation and allowances will be given an incentive allowance, the specific support levels being decided by the Vinh Phuc Province People's Committees to suit local conditions.
- **Relocated households which eligible for resettlement, choose to resettle by themselves (not wish to receive land in project resettlement site)** will be provided with one-time support. The support is divided into 03 categories, including: (i) VND 50 million for Vinh Yen city and Phuc Yen district town; (ii) VND 60 million for Tam Dao district town and (iii) VND 40 million for other areas (Item 2, Article 18, Decision 35/2014/QD-UBND dated August 15 2014)
- **Relocated Households with school-going children** will be supported with 1-year tuition as regulated by the Ministry of Education

Allowances/ Assistance Targeted to Vulnerable Households:

- **For landless households:** Assistance through provision of an apartment with rental or installment plan options (at PAP's choice). Additional assistances will be considered if needed to ensure the PAP have a place to live.
- **Social Policy:** (i) Relocated Households which included heroic mothers, heroes of the armed force, heroic labor, war veterans, wounded or dead soldiers will be provided with support from VND 03 to 07 million per household as regulated by the Vinh Phuc PPC: (ii) Poor Relocated Household or Poor Household whose 10% or more of their productive land affected or where <10% land affected but the remaining land is rendered unviable: VND 03 million/HH (to be certified by local authority).
- **Other vulnerable groups:** Female headed households with dependents, household with disabled persons, elderly without any source of support and ethnic minority households will get the same additional support given to poor households in accordance with the provincial policy but not less than VND 03 million per household.
- PAPs who will lose income sources will be entitled to take part in Income Restoration Programs. Rehabilitation measures like agricultural extension services, job training and creation, credit access and/or other measures as appropriate will be given to PAPs losing income sources to ensure their livelihood could be restored to the pre-project level.

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

3. Eligibility Criteria and Entitlements

102. **Project Affected People (PAP).** People directly affected by a project through the loss of land, residences, other structures, business, assets, or access to resources, specifically are:

- Persons whose agricultural land will be affected (permanently or temporarily) by the Project;
- Persons whose residential land/houses will be affected (permanently or temporarily) by the Project;
- Persons whose leased-houses will be affected (permanently or temporarily) by the Project;
- Persons whose businesses, occupations, or places of work will be affected (permanently or temporarily) by the Project;
- Persons whose crops (annual and perennial)/ trees will be affected in part or in total by the Project;
- Persons whose other assets or access to those assets, will be affected in part or in total by the Project; and
- Persons whose livelihoods will be impacted (permanently or temporarily) due to restriction of access to protected areas by the Project.

103. **Identification of vulnerable groups or Households (HHs): the initial rapid socioeconomic surveys, the vulnerable groups will generally include the following:**

- Poor and poorest households as identified by DOLISA and other pertinent national survey results. Poor rural landless households, especially those that are heavily natural resource dependent;
- Poor landholders that have limited productive land (this will be determined by the minimum amount of farm land needed to be a viable farmer in the project area)
- Ethnic minority Households
- Mentally and physically handicapped people or people in poor physical health; infants, children and women without assistance;
- Poorest women-headed households or women-headed households with no other support;
- Other PAP identified by the project management unit and who may not be protected through national land compensation or land titling; or

104. Any additional groups identified by the socio-economic surveys and by meaningful public consultation. Cut-off date for the Nguyet Duc PS and related canals Subproject is November 2015 when Vinh Phuc Provincial People's Committee announced project to the community in the project area.

105. **Eligibility:** The eligibility for entitlement to compensation is determined by asset ownership criteria:

- (i) Those who have formal legal rights to land (including customary and traditional rights recognized under the laws of the country. In the consideration, it is also useful to

document how long they have been using the land or the assets associated with it);

(ii) Those who do not have formal legal rights to land at the time the census begins but have a claim to such land or assets provided that such claims are recognized under the laws of the country or become recognized through a process identified in the resettlement plan;

(iii) Those who have no recognizable legal right or claim to the land they are occupying.

106. Persons covered under (i) and (ii) are provided compensation for the land they lose, and other assistance. Persons 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 out in this policy, if they occupy the project area prior to a cut-off date established by the borrower and acceptable to the Bank. Persons who encroach on the area after the cut-off date are not entitled to compensation or any other form of resettlement assistance. All persons included in (i), (ii), or (iii) are provided compensation for loss of owned or used assets other than land.

107. **Replacement Cost.** For agricultural land, it is the pre-project or pre-displacement, whichever is higher, market value of land of equal productive potential or use located in the vicinity of the affected land, plus the cost of preparing the land to levels similar to those of the affected land, plus the cost of any registration and transfer taxes. For land in urban areas, it is the pre-displacement market value of land of equal size and use, with similar or improved public infrastructure facilities and services and located in the vicinity of the affected land, plus the cost of any registration and transfer taxes. For other structures, it is the market cost of the materials to build a replacement structure with an area and quality similar to or better than those of the affected structure, or to repair a partially affected structure, plus the cost of transporting building materials to the construction site, plus the cost of any labor and contractors' fees, plus the cost of any registration and transfer taxes. In determining the replacement cost, depreciation of the asset and the value of salvage materials are not taken into account, nor is the value of benefits to be derived from the project deducted from the valuation of an affected asset.

108. **Entitlements:** With respect to a particular eligibility category, entitlements are the sum of compensations and other forms of assistance provided to project affected persons. Please refer to Annex 1 for the Full Entitlement Matrix.

Newly-identified Households after the Cut-Off-Date:

109. Those households splitting from the large families after the cut-off-date who meet the following conditions will be eligible for resettlement benefits as stand-alone households and are recognized as PAPs:

- a. Households splitting from a family with minimum of two couples and having minimum of six persons; and
 - b. Endorsement by the District authority, with verification of commune's People's Committee that the household has split.
- b) Newly born children, spouses of persons named in the household registration books, people who have completed military service, and people who have just returned from schools to live with the affected households prior to the cut-off date will be entitled to the compensation and support measures outlined in this document.

VI. Income Restoration Plan

1. Objectives

110. Restoration program will be implemented to support the PAPs to improve, or at least restore, their living standards, income, and production capacity, to the pre-project level. The program will cover a total of 150 households who lose more than 20% of their agricultural land (including vulnerable households) and six other vulnerable households who would lose more than 10% to 20% of the agricultural land. Without double counting, the total number of severely affected households of the subproject is 156.

111. The overall objective of the project is to ensure that all people affected by the subproject can maintain or improve living standards and income earning capacity of the compensation and rehabilitation support for all types of real estate they lost.

2. Principles

112. According to the policy framework for compensation and resettlement for the subproject and the decision on support and resettlement when the State recovers land in the province of Vinh Phuc and inventory results, 156 households will lose 20% or more (from 10% for the vulnerable households) of their productive landholdings. Hence, the livelihood restoration program is designed and implemented in consultation with those affected during the project implementation.

3. Income Restoration Plan

Financial Source

113. Funding sources for implementation of compensation and resettlement include funds for paying compensation and support, building resettlement sites (if necessary), restoring livelihoods and income, and managing implementation of resettlement as counterpart funds of Vinh Phuc Province.

Program

114. 156 households affected from 20% of productive land (from 10% for vulnerable households) or more, will be receiving support for livelihood rehabilitation:

115. Support for production and life stability in cash equivalent to 30kg of rice/person/month for a maximum period of 12 months for each specific case.

116. Support for vocational training to change job for all affected people in working age (men: 18-55 years old, women: 18-50 years old) who are farming, fishing or similar profession and bear significant impact or major loss of revenue.

117. Facilitating participation in the construction work (the manual work such as excavation, embankment) to increase income.

118. In addition to the above-mentioned support, the implementation phase of resettlement, will hold intensive consultation for affected households to understand the aspirations of households on livelihood restoration, thereby building livelihood rehabilitation plan for the affected households and monitor the recovery process to ensure the livelihood of the household income as before the project.

4. Vulnerable Group

119. The vulnerable households are poor households defined by the government regulations; female-headed households with dependents, households who are beneficiaries of the social policies such as martyrs' and wounded soldiers' families, the elderly, and the disable. These households will be provided with assistance to rehabilitate and improve their livelihoods and income on the case-by-case basis. Assistance will include food and vocational training supports.

120. The vulnerable households or severely affected households who fall under two or more than two categories of vulnerability (for example, poor household who is also beneficiary of social policy, or woman-headed household) will receive an assistance package suitable to their type of vulnerability. There is no ethnic minority household affected by the subproject.

5. Gender Mainstreaming

121. Gender strategies designed below will ensure to attract the participation of women in planning and implementing RAP as well as livelihood restoration program. The monitoring consultants, social development experts, and project managers are responsible for developing and guiding the implementation of gender strategies to ensure that these activities are carried out accordingly.

122. The gender strategy incorporating the following gender related issues will be implemented:

1. Create employment opportunities for women to be paid during the construction sub-project;
2. Give priority to vocational training for female headed-households and female members of the families affected to help them have access to the activities of non-agricultural income.
3. Support the expansion of animal husbandry will be implemented for older affected woman;
4. Consult women to determine criterions for replaced land or improving current land, especially in planning for current lands and maintain the family as well as set up the relationship with services and public facilities such as school, health organization, market and economic activities.
5. AHs consultation about proprietary arrangement will ensure that women (including female heads or members of family) know thoroughly about their selections and obligation; and women's opinions are reviewed for decision making.
6. The payment of compensation will be signed by both wife and husband or women who are household heads.
7. Project construction contract includes gender equal commitment: i) ensure not to use child and illegal labor as labor force; ii) not distinguish, against woman labor; and iii) not pay differently between woman and man if they have the same qualifications and work in the same positions.

123. Female AH heads as well as members of Compensation Committee are encouraged and supported to fully participate in the RAP implementation process. These activities are in consistent with the policies on participation defined in the RPF, including:

- District CARC and Town/CPCs will ensure that the grievance redress process will involve the representatives of the Women's Union as well as women who are household heads or members of AHs;
- Representatives of women in the District and Commune/Town CARC will be facilitated to exchange experiences with other projects;
- The affected women and representatives of the Women's Union will provide recommendations in minimizing environmental and social related impacts.

VII. Information Disclosure and Public Consultation

1. World Bank Disclosure Policy (BP17.50)

124. Information disclosure for the affected people and involved departments/ organizations is an important part of the project preparation and implementation process. Consultation with the APs and ensure their active participation will reduce the risks of conflicts and delay of the project. This also enables the Project to design the resettlement and livelihood restoration program as a comprehensive development program which is appropriate to the needs and priorities of the affected people, thereby maximize the socioeconomic efficiency of the investment funding. The objectives of the information disclosure and public consultation program include:

125. Ensure that the competent authorities as well as local representatives of those affected, were involved in planning and decision making. VPMO will work closely with the Province People's Committee, district and communes/town in the project implementation process. The participation of the affected people during implementation were continued by requesting the district to invite representatives of the affected people to be the members of district Compensation and resettlement Council/Board and to participate in resettlement activities (property evaluation, compensation, resettlement, and monitoring).

- Share information on all items and activities expected of the project affected persons.
- Collect information on needs and priority of those affected, as well as receive information about their reaction on policies and activities planned.
- Ensure that those affected can be fully informed decisions directly affect the incomes and living standards, and they had the opportunity to participate in the activities and decisions about issues directly affecting them.
- Achieve coordination and participation of affected people and communities in activities necessary for planning and implementing resettlement.
- Ensure transparency in all activities related to land acquisition, compensation, resettlement and restoration.

2. Information Disclosure and Public Consultation

126. The purpose of the information disclosure is to provide information regarding compensation, impacts and assistances to the affected people as well as local communities. In fact, due to the limited social relationships of the farmers and their hesitance when contacting with the local authorities, the concerns related to policies are rarely exchanged between the local authorities and PAPs. Affected people feel comfortable asking about compensation policies and receive documents related to the project at any time, they do not have to wait to hear information dissemination.

2.1 Information Disclosure during RAP Preparation

127. Information disclosure and public consultations are conducted during the project preparation and implementation processes to ensure that the PAHs and stakeholders are timely informed about land acquisition, compensation and resettlement. This is also an opportunity for the PAPs to participate and express their opinions with regards to resettlement implementation programs. The Resettlement Consultant has coordinated with the representatives of the DPCs, Town PC and CPCs in the subproject area, and leaders of the villages to organize public

meetings and consultations in order to provide information and guide the next steps to ensure that the PAHs are informed in a timely manner.

128. In addition, organizations and individuals concerned about land acquisition and impacts on assets attached to land and resettlement can also take part in the public meetings and consultations. Representatives of mass organizations in the subproject area have also attended the meetings and consultations, such as Vietnam Women's Union, Fatherland Front and Vietnam Farmers' Union.

Key topics covered in the public consultations are as followings:

- i. Dissemination of key information related to policies of the World Bank, the Government, and VPFRWMP applied to the subprojects.
- ii. Project information and World Bank policies on resettlement, environment, gender as well as ethnic minority issues through village loudspeaker system and project information brochures/leaflets.
- iii. Collect opinions and feedback of the local communities regarding the project implementation.
- iv. In the public consultations, information related to the project and safeguard policies of the World Bank is provided. Opinions and comments of the residents on design and resettlement options as well as their aspirations and expectations are recorded.
- v. Questions of the local communities concerning the project and safeguard policies were responded to.
- vi. Town/CPCs and VPMO have also provided answers to specific questions of the local residents related to project details or local policies.
- vii. The opinions of local communities and representatives of the CPC as well as other stakeholders were recorded in the meeting minutes.

2.2 Information Disclosure during RAP Implementation

129. The purpose of information disclosure is to inform the affected households and local communities about the impacts, compensation and assistances. There is undeniable fact that, due to limited social relationships and exchanges with the local authorities of the farmers, issues and concerns related to policy are not discussed in a regular and direct manner with the people.

130. As mentioned above, the Environmental and Social Division of VPMO and Vinh Phuc LCDB has coordinated with the local authorities in the subproject area to organize public meetings and consultations with the affected households in order to share information and discuss the positive as well as adverse impacts likely to occur during the subproject implementation process, the implementation schedule, resettlement, compensation and assistance progress, compensation procedures, and specific policies related to compensation which were included in the RPF. The documents related to the subprojects are distributed to the affected households in the meetings.

3. Public Consultation

3.1 Public Consultation during RAP Preparation

131. Public consultations were conducted June, 15 2019 in Nguyet Duc Commune, covering the following topics:

- Inform the local authorities as well as affected people in the subproject area about the subproject in a fully, freely and democratic manner.
- Send RAP preparation announcement to the local authorities at city/district and ward/commune levels.
- Collect feedback from the potentially affected households, including those who are not adversely affected but are beneficiaries.

132. Survey of the affected households, including:

- Impacts of the subproject on people's lives in the area; advantages and difficulties of resettlement. Opinions on compensation and resettlement plan.
- Impacts of construction on people's lives, local infrastructure.
- Comments on the proposed compensation and resettlement plan.

133. The public consultations were attended by the 149 of the PAHs (113 males accounting for 75.83% and 36 females accounting for 24.17%), CPCs, and mass organizations such as Farmers' Union and Women's Union (table 15). The purpose of the consultations was to discuss the proposed subproject and collect opinions of the local communities on design alternatives.

134. Key information disseminated in the meetings included (i) Scope and objectives of the subproject; (ii) processes and procedures related to compensation, assistance and resettlement; and (iii) resettlement impacts.

Table 15. Summary of Public Consultation

Venue	Participants	Key topics	Feedback of participants
Nguyet Duc Commune, Yen Lac District, Vinh Phuc Province	<ul style="list-style-type: none"> - Representatives of Nguyet Duc CPC; - Representatives of mass organizations in Nguyet Duc Commune; - Officials of Nguyet Duc Commune; - Representatives of village officials; - PAHs in Nguyet Duc Commune. 	<ul style="list-style-type: none"> (i) Introduction to the VPFRWMP; (ii) Civil work components to be implemented in the area of Vinh Phuc in general and Nguyet Duc Commune in particular; (iii) Scope of land acquisition impacts and impact levels on land and assets in the commune; (iv) Issues in 	<ul style="list-style-type: none"> - The local officials as well as PAH basically support and agree with the project implementation in the area because in Vinh Phuc in the recent years, the flooding issues have become more severe. - People expect that the project implementation will help solve the prolonged flooding issues, due to which, people are able to cultivate only one crop. Therefore, people expect that the project will help them increase the number of crops as well as the productivity. - However, there are some opinions related to the concerns about environmental pollution that can be occurred when the project is completed and comes into

		<p>implementing detailed measurement survey, socioeconomic survey, replacement cost survey and information disclosure;</p> <p>(v) Gaps in Government's and World Bank's policies in land acquisition and resettlement;</p> <p>(vi) Project policies on compensation, support, and resettlement;</p> <p>(vii) Project implementation schedule;</p> <p>(viii) Grievance redress mechanism</p> <p>(ix) Other issues during project implementation process</p> <p>(x) Discussion</p>	<p>operation. In addition to environmental pollution, this can lead to the spread of infectious diseases, especially in this period when African hog cholera has become more complicated. The current situation of the rivers in the area shows that there are many animal carcasses thrown into the rivers by people, which also contributes to the concerns of people in the area.</p> <p>- The scope of land acquisition and number of PAHs in Nguyet Duc Commune is rather large; moreover, the project is linear project which will lead to the situation that the households' fields will not be acquired entirely but passed through, thereby dividing the land area into smaller areas. Therefore, the project should not only have adequate policies and compensation rates but also identify clearly which cases are eligible to acquisition of the remaining land (in terms of area, shape of the land plot, accessibility to cultivation such as traffic road, water to the field, etc.). If this issue is solved properly, the project will receive support from affected people; otherwise, land acquisition will be difficult.</p> <p>- In terms of scope, in addition to impacts on land of the households, the project also affects public land of the CPC which is being leased to some households. On this area, the households have planted fruit trees, perennial trees and built huts and livestock shelters; therefore, the project should have adequate compensation policies and mechanism to ensure their entitlements.</p> <p>- With regards to impacts on farmland, this is the area that is rather complicated in terms of owners and land users when the households lease land from other households to develop farms by planting trees, building shelters and huts. Although at present, the livestock husbandry is not favorable due to diseases and several households do not let their livestock on this area. However, assets have been established and existed before the project; hence, they should be compensated adequately to ensure entitlements of the affected people. For this area, it is necessary</p>
--	--	--	---

			<p>to differentiate between assets of the land users and of land leasees.</p> <ul style="list-style-type: none"> - The majority of people are of the opinions that the compensation rates for agricultural land in Vinh Phuc in general and Yen Lac District in particular at VND 83 million/360 m² (one “sao”) as of now is too low. People also state some examples about enterprises acquiring land in the area, specifically, in Yen Lac Town, the rate being negotiated is more than VND 160 million/360 m². Therefore, it is requested that the project should consider to have appropriate compensation rates. - The project needs to be implemented promptly to avoid delays which will cause worries and concerns in production activities of people, thereby affecting their lives. - Because the project is linear, during the construction process, it is necessary to closely manage impacts outside the land clearance boundaries; if there are arising impacts, the project is responsible for providing additional compensation and assistances for affected people. - Construction activities should avoid harvest season to not cause impacts on production and cultivation activities of people.
--	--	--	---

Source. Summary from consultation records (April-May 2019).

The opinions of the stakeholders included:

135. The PAPs, local authorities, and mass organizations expressed their supports towards the project implementation. However, they also have various concerns and worries. Specifically:

136. The compensation of the project should be consistent, fast, and not be delayed. The PAPs also requested clarification regarding regulations on compensation for permanently affected land as well as temporary impacts (in case if the construction causes impacts on rice fields or leads to fish deaths); impacts emerged during construction period must be compensated; the unviable remaining area must be acquired and policies on reclaimed land area.

137. The commune leaders requested that the project owner and Vinh Phuc LCDB should coordinate closely with the authorities during the land clearance process in order to identify accurately land owners and users.

138. The opinions of the mass organizations focused on the responsibilities for the local infrastructure to be affected during the project implementation. The compensation, restoration and maintenance should be carried out before the construction unit leaves the area. The

construction activities will affect traffic in the area; therefore, it is requested to have an appropriate plan to address this issue.

139. Public consultations after the completion of the draft RAP will be organized with the aims to provide information and consult with the PAPs and concerned organizations and individuals regarding (i) results of impact calculations; estimated compensation rates; and entitlements; (ii) compensation payment procedures and resettlement activities. Opinions and comments of the PAPs will be collected fully and accurately, thereby, creating opportunities for the PAPs to take part in developing their resettlement plan in order to ensure transparency and democracy in development.

140. All participants agreed and supported the project implementation as well as its policies and expected that the project would be implemented soon so that people would have better opportunities in developing production and improving living standards.

3.2 Public Consultation during RAP Implementation

141. Prior to RAP updating according to the detailed designs, the VPMO/Province CARC/District CARC will organize public meetings in each affected commune to provide additional information for the PAPs and give them opportunities to discuss publicly about the resettlement policies and procedures. Invitations are sent to all PAPs prior to each meeting. The purpose of these meetings is to clarify available information and give PAPs chance to discuss issues they are concerned. Other information disclosure channels should also be used including posting at the public places, district and commune People's Committees, using local loudspeaker system, radio and newspapers. Both male and female members of the affected households as well as community members who are interested in are encouraged to participate. In the meetings, project information, entitlements of the PAPs will be explained. The meetings are also a chance for PAPs to ask questions and raise their concerns. Such meetings will be periodically organized during the project cycle.

3.3. Project Information Brochure (PIB)

142. A Project Information Brochure (PIB) will be prepared by VPMO and distributed to the PAPs during the preparation as well as implementation period to ensure that people are aware of the benefits brought by the Project. The PIB also provides details of compensation and assistance policies as stated in the RPF as to minimize social impacts when the subproject involves land acquisition and clearance.

4 Public Disclosure

143. Apart from information disclosure to the PAPs and their communities, RAP will be disclosed locally in Vietnamese at the project areas and in English on the Bank's website.

VIII. Grievance Redress Mechanism

144. In order to ensure that all PAPs' grievances and complaints on any aspect of land acquisition, compensation and resettlement are addressed in a timely and satisfactory manner, and that all possible avenues are available to PAPs to air their grievances, a well-defined grievance redress mechanism needs to be established. All PAPs can send any questions to implementation agencies about their rights in relation with entitlement of compensation, compensation policy, rates, land acquisition and grievance redress. PAPs are not required to pay any fee during any of the procedures associated with seeking grievance redress including if resolution requires legal action to be undertaken in a court of law. This cost is included in the budget for implementation of RAPs. The mechanism of complaint and complaint and grievances resolution steps are as below:

First Stage - Commune/Town People's Committee

145. An aggrieved APs may bring his/her complaint to the One-Stop-Shop (OSS) of the Commune/Town People's Committee, in writing or verbally. The member of CPC/Town PC at the OSS will be responsible to notify the CPC/Town PC leaders about the complaint for solving. The Chairman of the CPC/Town PC will meet personally with the aggrieved APs and will have 30 days following the receiving date of the complaint to resolve it. The CPC/Town PC secretariat is responsible for documenting and keeping file of all complaints handled by the CPC/Town PC.

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

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

Third Stage - At Provincial People's Committee (Vinh Phuc PPC)

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

Final Stage - Court of Law Decides

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

149. Decision on solving the complaints must be sent to the aggrieved PAPs and concerned parties and must be posted at the office of the People's Committee where the complaint is

solved. After three days, the decision/result on solution is available at commune/ward level and after seven days at district or city level.

150. In order to minimize complaints to the provincial level, VP MO will cooperate with the District CARC to participate in and consult on settling complaints;

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

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

153. Environmental and Resettlement personnel selected by VP MO will develop and maintain a database of the affected people's complaints received related to the Project which will contain the following information: nature of the complaint, source & date of receiving complaints, name and address of complainant, action taken, and current status.

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

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

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

IX. Implementation Arrangements

157. The following section specifies the key responsibilities of relevant stakeholders with respect to implementation of Resettlement Action Plan for Nguyet Duc PS and relevant canals Subproject that will be finalized/determined during project implementation.

1. Responsibilities of Stakeholders

1.1 Vinh Phuc Provincial People's Committee

158. As a line agency, Vinh Phuc PPC is responsible for the overall outcome of any RAP that will be prepared and implemented under this project. Vinh Phuc PPC will maintain an overall oversight of the RAP preparation and implementation, and will provide guidance to relevant Departments, District People's Committee to ensure effective and timely collaboration and coordination between these agencies in the preparation and implementation of site-specific RAP. When a Resettlement Action Plan is prepared, Vinh Phuc PPC will ensure the RAP is prepared in accordance with the requirements set forth in the RPF. Once a RAP is concurred by the World Bank (via a No Objection Letter), Vinh Phuc PPC will approve the final RAP, or designate a relevant DPC to ratify the RAP to enable RAP implementation. The Vinh Phuc PPC will also assure it will cover all the costs related to compensation to affected, and their resettlement, if any, under this Project, and ensure the compensation. Resettlement and livelihoods restoration of affected households will be implemented and monitored in accordance with the RPF.

1.2 Department of Planning and Investment

159. The Vinh Phuc Department of Planning and Investment is the project owner that is fully responsible for managing and supporting VPMO in the project implementation, which includes approval of updated RAP and managing the implementation of RAP.

1.3 Relevant Provincial Departments

160. The Department of Finance (DOF) will be responsible for appraising the compensation rate proposed by the relevant authorities based on results of independent land price appraisal and submitting to the PPC for approval. In the beginning of RP implementation, the DOF will closely coordinate with DOC, Department of Natural Resources and Environment, Department of Transport, Department of Industry, District People's Committee in appraising unit prices and proposing PPC to adjust if necessary to ensure that compensation rate is replacement cost at time of compensation for the project-affected persons.

Department of Finance:

- a) Coordinate with the relevant agencies to submit prices of land and assets to the PPC for approval.
- b) Coordinate with Department of Natural Resources and Environment to appraise compensation, assistance and resettlement plan and compensation cost.
- c) Checking the compensation payment, assistance and related costs.

Department of Natural Resources and Environment:

- a) Guiding to determine categories and area of land as well as entitlements to compensation when the State acquires land.

- b) Coordinate with DPI, DOC, and DOF to submit to the PPC for making decision on land acquisition scope.
- c) Being chairman for appraising the compensation, assistance and resettlement option, evaluating and selecting compensation, assistance and resettlement plan and compensation cost.
- d) Submitting to Vinh Phuc Provincial People's Committee for making decision on land acquisition scope.

Department of Construction:

- a) Guiding to determine scope, area and legal status of the structures attached to the acquired land.
- b) Re-appraising quality of houses, structures, museums, ports and other construction works.
- c) Determining price of houses and structures built on land for calculating compensation value to submit to the PPC for approval.
- d) Coordinate with the competent authorities to determine position and scope of the resettlement sites.

1.4 Vinh Phuc Foreign Concessional Loans Project Management Office (VPMO)

161. VPMO should/will take general responsibility for the project's operations, including resettlement. The VPMO includes technical, financial, accounting, social and resettlement divisions. VPMO will be responsible for:

During RAP preparation:

- a) Work closely with the WB to prepare the agreed RAP in accordance with the RPF.
- b) Develop and provide orientation training on the requirements of the RPF to ensure District PC, and relevant stakeholders involved in RAP planning and implementation understand the requirement for RAP – as set forth in the RPF.
- c) Coordinate with the relevant departments under Vinh Phuc PPC and relevant DPC to obtain their comments/suggestions, and their consensus on RAP preparation and implementation.
- d) Ensure the RAP is prepared in accordance with the RPF.

During RAP implementation:

- a) Take lead in recruitment of consultants who will carry out a replacement costs survey, and independent monitoring of RAP implementation.
- b) Ensure the required budget for RAP implementation is timely allocated and available for compensation payment/resettlement. Update RAP and conduct internal monitoring of RAP implementation as per requirements set out in the RPF.
- c) Designate staff with profound experience in resettlement and familiar with Bank's OP 4.12 as a social focal point for VPMO. This/these staff will provide regular support to provincial governments in RAP implementation. If such experienced staffs are not available, a consultant should be recruited. ToR for this consultant is subjected to Bank's prior review.
- d) Prepare bi-annual progress reports and submit to the WB.

- e) Conduct training on requirements of project's RPF and RAP; work closely with District's People's Committee and District CARC in updating RAPs following the completion of detailed measurement survey, consultation, and replacement costs survey.
- f) RAP of the VP PPC must reflect the replacement costs surveys, local compensation rates, and consultation with affected households. The RAPs must be submitted to the Bank for prior review and no-objection prior to proceeding with civil works and compensation payment

1.5 Yen Lac District People's Committee (DPC)

- a) Directing, organizing, disseminating propaganda and motivating all concerned organizations and individuals to comply with the compensation, assistance and resettlement policies.
- b) Directing the District CARC to support the Vinh Phuc LCDB to prepare and implement the compensation plan.
- c) Coordinating with the departments, divisions, organizations and the Project Owner to implement the project.
- d) Solving grievances related to compensation, assistance and resettlement.

1.6 Vinh Phuc Land Clearance and Land Fund Development Board (LCDB)

162. Vinh Phuc PPC makes decision on establishing LCDB as resettlement unit fully responsible for the project resettlement implementation. Responsibilities of the LCDBs as following:

- a) Preparing and organizing the implementation of compensation, assistance and resettlement plan.
- b) Inspecting and taking responsibility for the compensation calculation for households and summarizing volume of compensation payment to submit to the Vinh Phuc PPC for appraisal and approval, then directly payment to the affected households right after receiving the compensation fund.
- c) Reflecting expectations and participating in solving DPs' grievances related to compensation entitlements and policies.
- d) Closely coordinating with the independent monitoring agency.
- e) Working under the principle of collective decision by majority rule.

1.7 Town/Commune People's Committee

163. The Town/Commune PC will assist the LCDB in implementing the RAP. Specifically, the Town/Commune People's Committee will be responsible for the followings:

- a) Assist the DPC, LCDB in organizing public meetings, consultations and information dissemination during RAP implementation;
- b) Form working groups at the commune and direct their functions, assign commune officials to assist the LCDB to conduct Detailed Measurement Survey, prepare land acquisition dossiers for the project, prepare and implement resettlement activities;
- c) Identify replacement land for the affected households who are eligible and propose income restoration programs appropriate to the conditions of the people and the locality;

- d) Supervise and implement the resettlement support measures and cooperate with LCDB to find resettlement land for the relocating households;
- e) Resolve complaints at the first level as prescribed by the existing law;
- f) Actively participate in the land acquisition, compensation payments, and in other related-resettlement activities and concerns.

2. Replacement Cost Survey

164. As required by the World Bank's OP 4.12 on Involuntary Resettlement, Replacement Costs Survey (RCS) will need to be done to establish basis for calculation of replacements costs for all the lands/crops/structures/assets that will be affected by the Project. An independent price appraisal consultant is specialized in assessing costs of land/assets/structures to be affected under the Project, will be engaged by VPMO to conduct replacement costs survey.

165. With regard to land and structures, "replacement cost" is defined as follows: For agricultural land, it is the pre-project or pre-displacement, whichever is higher, market value of land of equal productive potential or use located in the vicinity of the affected land, plus the cost of preparing the land to levels similar to those of the affected land, plus the cost of any registration and transfer taxes. For land in urban areas, it is the pre-displacement market value of land of equal size and use, with similar or improved public infrastructure facilities and services and located in the vicinity of the affected land, plus the cost of any registration and transfer taxes. For houses and other structures, it is the market cost of the materials to build a replacement structure with an area and quality similar to or better than those of the affected structure, or to repair a partially affected structure, plus the cost of transporting building materials to the construction site, plus the cost of any labor and contractors' fees, plus the cost of any registration and transfer taxes.

166. District People's Committee, and Land Clearance and Land Fund Development Board will ensure compensation payment proposed to affected households is at the replacement costs (for land and structures), and at market prices (for crops/trees).

3. Implementation Procedures

Implementation Steps

167. The process and procedures for the implementation of compensation and resettlement are in compliance with the Decree No. 47/2014/ND-CP dated May 15 2014, Decree No. 69/2009/ND-CP dated August 13 2009 by the Government, and Circular No. 14/2009/TT-BTNMT dated October 1 2009 by MONRE.

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

Step 1: Location introduction and land acquisition notice

169. The identification and land acquisition notice is based on the written evaluation letters of land use needs of the Department of Natural Resources and Environment submitted to Vinh Phuc PPC for approving and issuing land acquisition notices (including reasons for land acquisition, area and location of land recovery on the basis of the existing cadastral or detailed approved construction planning; to assign the DPCs for land acquisition notification to the public, to guide compensation, assistance and resettlement in the district level to perform

inventory tasks, establish compensation plans). DPCs are responsible for directing the widespread policy of land confiscation, the regulations on land acquisition, compensation, resettlement assistance when recover of used land for national defense purposes, security, national interests, public interests and economic development.

170. Town/CPCs are responsible to post up a public notice about land acquisition policies at the Town/CPC Offices and at public places in the area involving land acquisition, and broadly announce through commune available loudspeaker system.

Step 2: Prepare cadastral dossiers for land acquisition area

171. Based on documents on land acquisition of the PPC, DONRE will direct the LURC Registration Office at the same level to prepare for cadastral dossiers.

172. Revision of the cadastral map to suit the current situation and make copies of the cadastral map for places which have formal cadastral maps or conduct cadastral measurements for places with no formal cadastral maps.

173. Complete and make copies of cadastral records (land register) to send to the DRCs.

174. Make a list of land parcels to be acquired, covering the followings: number of map, number of land parcel, name of land user, area of the land parcel that has the same land use purpose, and land use purpose.

Step 3: Planning, evaluating and approving the general plan on compensation, assistance and resettlement

175. The Project Owner guides the consultant to prepare the general compensation, assistance and resettlement plan (hereinafter referred to as General Plan) based on field survey data and available documents provided by DONRE to be appraised and approved along with approved project investment. The General Plan will contain the followings:

- a. Rationale for plan development;
- b. Integrated data on area of different types of lands, land classifications as to agricultural land, number of map, number of parcel, and estimated value of existing assets attached to land;
- c. Data on the number of households, number of household members, number of labors in the land acquisition area, in which the number of labors that have to change jobs and number of relocating households should be pointed out;
- d. Estimated compensation and assistance and expected locations and area of the resettlement sites or resettlement houses, and resettlement options;
- e. Anticipated job creation measures and training plan for job conversion;
- f. List of structures and scale of structures of the state, organizations, religious establishments, and local communities to be relocated and expected locations;
- g. Number of graves to be relocated and locations;
- h. Estimated cost for plan implementation;
- i. Budget for plan implementation; and
- j. Implementation schedule.

Step 4: Identifying land clearance demarcation

176. After the investment project is approved by the competent authorities, the Project Owner will base on the basic design to determine land clearance demarcation and then hand over to the organization in charge of compensation to implement the next steps of site clearance. During the process of developing and approving technical design (or construction drawing), in case of adjustment of clearance boundary, the Project Owner will coordinate with the implementing agency to adjust accordingly and inform the local authorities regarding the adjustment in a timely manner.

Step 5: Preparing compensation, assistance, and resettlement plan

1. Conducting Detailed Measurement Survey (DMS)

177. Based on the land acquisition announcement and site clearance demarcation of the project, the implementing agency will conduct detailed measurement survey (DMS) and prepare the DMS records for each land acquisition case. The records should cover the following contents: Name, registration of permanent address or temporary address, current address, number of household members, number of members in the working age, number of social policy beneficiaries (if any); area and location of acquired land plot; amount of affected trees and crops, livestock; shape, dimensions, weight, structure, and basic features of assets on land; on-ground and underground structures associated to the acquired land.

2. Identifying land origin of each acquired land plot

178. The organization in charge of compensation co-operates with the LURC Registration Office and Town/Commune PCs, based on the papers related to land use, cadastral records, cadastral map, inventory documents, cadastral books, statistical registration books, LURC issuance books, and tax registration books of the acquired land plot, to identify land origins of each land plot as well as its legal land users.

3. Preparing compensation and assistance plan

179. Pursuant to the DMS records, land origins of the acquired land plots, compensation rates and policies, the implementing agency will prepare the compensation and assistance plan, covering the following contents:

- Name and address of the owner of the acquired land;
- Area, type, location and origin of the acquired land;
- Calculation bases for the compensation and assistance costs including land compensation rates, rates of compensation for houses and structures, number of members, number of people in the working age, number of social policy beneficiaries;
- Amount of compensation and assistance;
- Resettlement arrangement;
- Relocation of governmental works, religious organizations and communities;
- Grave's displacement.

180. Collecting opinions regarding compensation, assistance and resettlement plan:

- The compensation, assistance and resettlement plan is posted at Town/Commune PC Offices and public places in the area where land acquisition is required so that the PAPs and concerned people can give their feedback and comments;

- The posting must be made in written form confirmed by representatives of Town/Commune PCs, Town/Commune Fatherland Front, and representatives of the PAPs;
- The period of posting and receiving comments lasts at least twenty (20) days as from the date of posting.

4. Finalizing the compensation, assistance and resettlement plan:

181. At the end of the plan posting and comments receiving period, the implementing agency is responsible for summarizing the comments in a written document, stating the number of agreements/disagreements and other opinions regarding the compensation plan; then finalizing and submitting the finalized plan including the summary table of comments to the DONRE for appraisal.

182. In case of several disagreement opinions towards the compensation, assistance and resettlement plan, the implementing agency need to clarify or review and adjust the plan before submitting to the DONRE for appraisal.

Step 6: Appraisal and approval of the compensation and assistance plan

183. The DONRE is responsible for taking the lead and coordinating with the concerned district departments to appraise the compensation and assistance plan as regulated; then submitting to the DPC for approval of the compensation plan.

Step 7: Decision on land acquisition and redress grievances against decision on land acquisition

184. Based on land acquisition announcement, compensation, assistance and resettlement plan which is prepared and approved by the competent authorities and copies of the cadastral maps, DPC will issue land acquisition decision to the affected households, individuals and communities.

185. During the implementation of land acquisition, if there is any question or complaint from citizens, the Town/Commune PCs will gather queries and complaints and send to the competent authorities for solutions.

186. While a decision of grievance redress is yet issued, the implementation of decision on land acquisition must be continued. In case the responsible state agency concludes that the land acquisition process is not compliant with the laws, land acquisition must be halted. The state agency that issued the land acquisition decision must issue new decision to cancel the previous one and compensate for losses caused by land acquisition decision (if any). In case the responsible state agency concludes otherwise, the AP has to abide by the land acquisition decision.

Step 8: Approval and disclosure of the compensation, assistance and resettlement plan

187. The DPC approves the compensation, assistance and resettlement plan as regulated.

188. Within three (03) days from the date of receipt of the approved compensation, assistance and resettlement plan, the implementing agency is responsible for coordinating with the Town/Commune PC to disseminate and post the approved plan at the Town/Commune PC Offices as well as at public places in the area where land acquisition is required. The compensation, assistance and resettlement decision will be sent to the people whose land is acquired. The decisions should clearly state the compensation and assistance amount,

resettlement arrangement (if any), time and place of compensation payment, and time for handing over land to the implementing agency in charge of compensation and land acquisition.

Step 9: Compensation payment

189. The Compensation, Assistance and Resettlement Committee will provide compensation and assistance after the decision approving compensation, assistance and resettlement plan is issued.

Step 10: Handover

190. Within twenty (20) days since the date when the implementing agency completes the compensation and assistance payment for the PAPs in accordance with the approved plan, the PAPs is responsible for handing over land to the implementing agency.

4. RAP Updating

191. Detailed Measurement Survey (DMS) has not been conducted at the moment. When DMS is implemented, all the data should be will be included and updated in RAP. The local authorities, based on RAP, will prepare compensation plan to update compensation rates of affected land, assets and assistances. This will be submitted to the Project Owner and WB for review and clearance before conducting compensation payment.

192. Draft RAP and updated RAP, according to the Bank Policy BP 17.50, will be disclosed to the affected communities and at the WB Information Center (Infoshop). Draft RAP will be submitted to the WB for clearance before disclosing to the affected people.

X. Implementation Schedule

193. The implementation schedule for the resettlement activities if the subproject is summarized in the following table, including (i) consultation activities; (ii) completed activities for the preparation of RAP; and (iii) external monitoring activities.

Table 16. Implementation Schedule

Activities	Responsible agencies	Timeframe
Preparation		
Approving social safeguard policy documents at the project level and RAP of the subproject	WB and Government/Vinh Phuc PPC	July 2019
Uploading the social safeguard documents at the project level and subproject RAP on the website of PPC and WB	VPMO	July 2019
Recruiting independent monitoring consultant (IMC)	VPMO	December 2018
RAP Implementation		
Disseminating project information to the affected people	LCDB and CPCs	April-May 2019
Conducting DMS and preparing compensation plan	LCDB and CPCs	February - August 2019
Providing compensation and clearing site	VPMO, LCDB and CPCs	September-October 2019
Conducting monthly resettlement internal monitoring and preparing quarterly report	VPMO	Started since 2018
Conducting resettlement external monitoring every six month and preparing monitoring report	IMC	Start from September 2019 for this subproject

XI. Monitoring and Evaluation

1. Purpose

194. Monitoring and evaluation of the implementation of the RAP are important. Good monitoring and evaluation of RAP implementation will not only enable IMC to identify shortcomings during implementation, thereby making timely corrective actions but also enable them to make sure the objective of the RAP is met when RAP implementation is completed.

195. Good monitoring enables timely and sufficient collection of the right information related to RAP implementation whereas good evaluation of the RAP implementation outcome enables IMC to determine if the objective of the RAP is met upon completion of RAP, and whether or not the livelihoods of affected households have restored to the pre-project level, or even better.

2. Monitoring Methods

196. Monitoring could be done in two ways – internal monitoring by VPMO, and external monitoring by an independent monitoring agency.

Internal Monitoring

197. Internal monitoring of the RAP implementation is the main responsibility of the VPMO, inter alia, in addition to project implementation and management. Monitoring of RAP implementation does not only focus on actual RAP implementation, but also on RAP preparation to ensure the RAP is timely and appropriately prepared and implemented in accordance with the project's RPF. Monitoring of RAP implementation is required by VPMO, on a monthly and quarterly basis, to ensure the RAP implementation is on track and that any emerging issues/shortcomings; including complaints from affected households are timely solved.

198. Internal monitoring aims to:

- a. Make sure the RAP is disclosed and disseminated to the PAHs and affected organizations by provincial government prior to compensation payment.
- b. Replacement costs survey is done to establish the compensation rates for affected households and inform design of the livelihoods restoration.
- c. Ensure that a baseline of living standard of affected households is established (prior to compensation payment/resettlement) to enable monitoring and additional support/intervention from VPMO side, if needed.
- d. To ensure all affected households, particularly those severely affected, restore their living standards to the pre-project level, or even improve, as a result of the support from the project.
- e. Ensure a livelihood restoration plan is prepared and implemented, taking into the account the feedback from the affected households, particularly those who are severely affected, to ensure their livelihood is restored to the pre-project level.
- f. Funds for implementing the RAP are provided in a timely manner and in amounts sufficient for their purposes, and that such funds are used in accordance with the provisions of the RAP.
- g. Monitor all grievances and their resolution and coordinate with the relevant parties to ensure that complaints are solved satisfactorily in a timely manner.

- h. Monthly and Quarterly Internal Monitoring Reports should be submitted to Bank for implementation support, information sharing and coordination purposes.

Independent/External Monitoring and Evaluation

199. In addition to internal monitoring by VPMO, an independent monitoring consultant (an academic or a consulting firm with proven track record in resettlement monitoring and evaluation) will be recruited by VPMO to carry out monitoring of the RAP implementation.

200. The contracted independent monitoring consultant will provide independent monitoring and evaluation of the implementation of the RAP, focusing on the criteria set forth below. The service of independent monitoring will be maintained during project implementation until restoration of livelihoods of affected households has been re-established to pre-project levels.

201. The main indicators of independent monitoring include:

- a. Full payment of compensation for land, housing and other assets to PAPs prior to land acquisition.
- b. Adequacy of compensation in enabling PAPs to replace affected assets.
- c. Provision of technical support for house construction to affected households who rebuild their structures on their remaining land, or build their own structures in new places as arranged by the project, or on newly assigned plots.
- d. Provision of income restoration support.
- e. Restoration of productive activities.
- f. Restoration or replacement of community infrastructure and services.
- g. Operation and results of grievance procedures (to check if the GRM functions properly and if grievances are fully and timely addressed to ensure the objective of RAP is met).
- h. Throughout the implementation process, household income trends will be observed and surveyed. Any potential problems in the restoration of living standards will be reported.
- i. Risks associated with labor influx to the communities around the subproject area. The potential social risks related to labor influx need to be analyzed and disaggregated by gender.
- j. Labor safety at the construction site of the project; safety of the local communities from the impacts caused by civil works, mainly including any risk related to temporary influx of construction workers into these communities during the project duration;
- k. Implementation of solutions and measures to minimize occupational risks and enhance community safety as per ESIA, EMP and RAP; and
- l. Contractor management and control of labor influx and potential risks.

202. During RAP implementation, VPMO (internal monitoring), VPMO's consultant (independent monitoring), and the World Bank's Task Team are expected to work closely with each other. A Terms of Reference for the Independent Monitoring Consultant will be prepared by VPMO and approved by the World Bank. Technical support will be provided by the Bank in the finalization of the ToR. Monthly and Quarterly Internal Monitoring Reports should be submitted to Bank for coordination and support purpose.

XII. Budget

203. For purpose of preparing the Project costs, a preliminary budget estimate is prepared. Compensation rates for residential and agricultural land, houses, structures, trees and crops used to estimate resettlement budget are based on a quick replacement cost survey conducted by consultants and staffs of VP MO. In order to establish a set of reference market prices, affected people and LCDB were consulted on compensation rates. Following Table summarize the estimated resettlement budget of the project.

Table 17. Summary of Cost Estimate for Compensation and Resettlement

No.	Categories	Unit	Quantity/ Amount	Rate	Cash amount (VND)
A	Compensation and Assistance				34,793,388,500.0
I	Compensation	VND			11,905,513,200.0
1	Agricultural land	m²	104,176.4	78,000.0	8,125,759,200.0
1.1	Rice growing land	m ²	81,160.7	78,000.0	6,330,534,600.0
1.2	Aquaculture land	m ²	23,015.7	78,000.0	1,795,224,600.0
2	Trees and crops	m²			1,065,714,000.0
2.1	Crops		104,176.4	10,000.0	1,041,764,000.0
2.2	Timber trees	Tree	260.0	50,000.0	13,000,000.0
2.3	Fruit trees	Tree	73.0	150,000.0	10,950,000.0
3	Secondary structures				2,714,040,000.0
3.1	Temporary huts	m ²	300.0	1,436,000.0	430,800,000.0
3.2	Livestock shelters	m ²	1,590.0	1,436,000.0	2,283,240,000.0
II	Assistances	VND			22,887,875,300.0
1	Jog change and creation support	m²	104,176.4	195,000.0	20,314,398,000.0
2	Life stability support	VND			2,043,124,500.0
2.1	<i>Less than 20%</i>	m ²	11,468.3	15,000.0	172,024,500.0
2.2	<i>Vulnerable HHs losing from 10% to 20%</i>	Person	26.0	2,700,000.0	70,200,000.0
2.3	<i>From 20%-70%</i>	Person	615.0	2,700,000.0	1,660,500,000.0
2.4	<i>Above 70%</i>	Person	26.0	5,400,000.0	140,400,000.0
3	Allowances for vulnerable households	Household	46.0	7,000,000.0	322,000,000.0
4	Incentive bonuses	m²	104,176.4	2,000.0	208,352,800.0
B	Management and Implementation Cost	VND			695,867,770.0

1	Land acquisition implementation cost (2%)	VND		695,867,770.0
C	Subtotal (A+B)	VND		35,489,256,270.0
1	Contingency cost (15%)	VND		5,323,388,440.5
D	Total (A+B+C)	VND		40,812,644,710.5
USD (1USD=23,300.0 VND)		USD		1,751,615.7

204. The cost for the allowances and resettlement assistance includes of the items which were described in the entitlement matrix.

ANNEX 1. Entitlement Matrix

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
<p>1. Productive land ²(Agricultural, garden, pond land, etc.) either in or out of the residential area.</p>	<p>Legal land users 1.1. Marginal loss (<20% of land holding or <10% for vulnerable group) <i>The remaining area of affected plot is still economically viable for use or meets the expected personal yield.</i> (77 AHs)</p>	<p>Cash compensation at replacement cost (free from taxes and transaction costs) for the affected area of the land.</p>	<p>Affected households to be notified at least ninety days before land acquired by the Project. The owner of land will hand over the land within 20 days from the date District CARC fully pays compensation for land.</p>
	<p>1.2. Loss >20% or >10% for vulnerable groups (156 AHs)</p>	<p>Land for land compensation should be as the preferred option. If land is not available, or at the PAP's choice, cash compensation can be provided for the lost area at 100% of land replacement cost. The PAP will be provided with the additional rehabilitation measures to restore the lost income sources</p>	<p>Other assistance options which city could decide based on the locality conditions. Affected households to be notified at least ninety days before land recovery by the Project The owner of land will hand over the land within 20 days from the date District CARC/ has paid compensation and other allowances in full. For poor, vulnerable and severely affected farmers, including landless, allocation of arable land equal to per capita arable land in commune, or if there no land available for allocation or, on the PAPs request through informed choice, training/ rehabilitation</p>

²The sub-categories of productive land such as agricultural, forestry, garden, aquaculture and pond will be compensated at different rates. These will be specified and detailed in the Resettlement Action Plans to ensure the compensation is reflective of current rates and takes into account geographic variation. Land on which businesses are located will be compensated as detailed in the section on relocation of business.

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
			programs will be provided to at least restore, if not improve, their income and living standards.
	Land Users with temporary or leased rights to use land.	Cash compensation at the amount corresponding to the remaining investment on the land.	
	Land Users who do not have formal or customary rights to the affected land	<p>Agricultural land used before July 1, 2004 will be compensated at 100% as per Article 77.2 of the Land Law. In addition to above, rehabilitation/training assistance will be provided.</p> <p>Other cases will be considered by Vinh Phuc PPC to provide supports according to Articles 19, 20, 21, 22, 23, 24, 25 Decree 47 for ensuring the entitlements of PAPs.</p> <p>In case the PAP uses public land where there was previous agreement to return the land to the Government when so requested, they will not be compensated for the acquired public land but will be compensated for structures, crops, trees and other assets on the land at 100% of the replacement cost.</p>	
2. Residential land	2.1. Marginal loss (i.e., land is still viable for use and not requiring relocation). (0 AH)	<p>Compensation for loss of land in cash at (i) replacement cost to the legal and legalizable land users; (ii) An financial assistance of an agreed amount to the land users not having recognizable land use right.</p> <p>If PAPs have to rebuild their houses, they are entitled to financial support for dismantling, relocating and re-installation of the establishment, and also receive a house rental allowance for 6 months in recognition of the time needed to rebuild their houses.</p>	<p>Affected household to be notified at least 180 days before land acquired by the Project.</p> <p>The owner of land will hand over the land within 20 days from the date LCDB has paid compensation in full.</p>
	2.2. Relocated PAPs (0 AH)	<p><i>i) Legal or legalizable land users:</i></p> <p>A land plot in a resettlement site or apartment will be provided to the PAP, in consultation with them. They will have full land title or apartment ownership title without any cost to them.</p>	<p>Affected household to be notified at least 180 days before land acquired by the Project.</p> <p>The process of compensation for a plot/apartment for legal and legalizable PAPs at the resettlement site will be as follows:</p>

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		<p>Or, on request of the PAPs through informed choice, cash compensation at full replacement cost. In case, the household is expected to relocate themselves, it will plus an amount equivalent to the value of the infrastructure investments calculated as an average for each household in a resettlement site</p> <p>If the compensation amounts is less than the cost of a minimum land plot/apartment in the project's resettlement site, PAPs will be provided additional supported to enable them to acquire the land plot/apartment (or cash assistance will be provided equivalent to this difference for self-relocated PAPs).</p> <p>(ii) PAPs who do not have formal, or customary rights to the affected land:</p> <p>An identified financial assistance of agreed amount will be provided. If the PAP has no place to move, an apartment in the resettlement site will be provided and the PAP can either pay in installment to buy or rent it for living</p> <p>In case the relocated PAP belongs to poor or vulnerable groups or HHs, the project will provide assistance to ensure that the PAP is able to relocate and re-establish by themselves to a new site.</p>	<p>If the selling cost of minimum plot(s)/apartment at the new site is more than the value of the affected residential land, PAPs receive new plot/apartment at no additional cost.</p> <p>If the plot(s)/apartment at the new site is equal the value of affected residential land, PAPs receive new plot/apartment at the new site without any balance.</p> <p>If the plot(s)/apartment at the new site is less than the value of affected residential land, PAPs will receive plot/apartment and the difference in cash.</p> <p>The planning and detailed design for the relocation sites will be done by consultant of LCDB in consultation with stakeholders and then approved by the PPC.</p> <p>Detailed regulation on plot/apartment allocation will be developed by LCDB through consultation with commune and PAPs, followed by approval of PPC.</p> <p>For relocating households, assistance is in form of land-for-land of similar characteristics with title at no cost. The replacement land is no less than 50m², or compensation in cash with equal value if PAPs for self-relocation.</p> <p>Area and number of land plot/apartment in resettlement sites will be decided in consultation with PAPs.</p>

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
			For poor or vulnerable PAPs who have no other residential land in the same as their affected commune, the project will provide an apartment and the PAPs can either pay in installment to buy or rent it for living
3. Houses and structures	<p>3.1. Partial impact: Unaffected portion of the house is still viable for use and could be remained from the technical viewpoints, therefore, require no relocation. (10 AHs)</p>	<p>If house/structure is partially affected and the remaining structure is viable for continued use, the project will provide a house/structure repair cost, in addition to the compensation for affected portion at replacement cost, to enable PAPs to restore it to former or better conditions. Compensation for other structures/fixed assets will be at full replacement cost and will be in cash.</p>	The calculation of rates will be based on the actual affected area and not the useable area.
	<p>3.2. Full impact (i.e., house is partially acquired by the project but no longer viable for continued use or the entire structure is acquired). (0 AH)</p>	<p>Compensation in cash for entire affected structures will be provided at 100% of the full replacement cost for materials and labor, regardless of whether or not they have title to the affected land or permit to build the affected structure. The amount will be sufficient to rebuild a structure the same as the former one at current market prices. No deductions will be made for depreciation or salvageable materials.</p> <p>Compensation for other structures/fixed assets will be at full replacement cost and will be in cash.</p> <p>Tenants of state or organization's houses will be: (i) entitled to rent or buy a new apartment of the area at least equal to their affected ones; or (ii) provided an assistance equal 60% of replacement cost of the affected land and houses. Any investments such as structures, trees, crops etc. made on the land by the PAPs will be compensated at their full replacement cost.</p> <p>The tenants who are leasing a private house for living purposes will be provided with transportation allowance for moving their assets. They will also be assisted in</p>	The calculation of rates will be based on the actual affected area and not the useable area.

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		identifying alternative accommodation.	
4. Crops and Trees, aquaculture products	Owners regardless of tenure status (255 AHs)	For annual and perennial standing crops or trees, aquaculture products regardless of the legal status of the land, compensation in cash will be paid to the affected persons, who cultivate the land, at full replacement cost in local markets to ensure the compensation is sufficient to replace the lost standing crops, trees or aquaculture products.	PAPs will be given notice several months in advance regarding evacuation. Crops grown after issuance of the deadline will not be compensated.
5. Public structures	Loss of, or damage to assets	Either in (i) cash compensation to cover the cost of restoring the facilities or (ii) in kind compensation based on the negotiation between District CARC and owners of assets.	For public structures, the displacement will be carried out by the owners prior to the start of works.
6. Communal-owned assets, collective assets	Loss of, or damage to assets of village, ward, commune, district, provincial government unit.	Either (i) cash compensation to cover the cost of restoring the facilities or (ii) in kind compensation based on the negotiation between District CARC and owners of assets.	For the communal owned assets directly affecting lives and production activities of the community, restoration must be done prior to the start of works.
7. Graves	Have to move the graves or tombs	All costs of excavation, relocation and reburial will be reimbursed in cash to the affected family. Graves to be exhumed and relocated in culturally sensitive and appropriate ways.	
8. Loss of Income/ Livelihood due to loss of productive land	Impacts due to permanent loss of 20% or more of their total productive land or where <20% land affected but the remaining land is rendered unviable. (Legal, legalizable land users and PAPs with lease agreement over the affected land) (255 AHs)	Allowance for Loss of Livelihood: (a) Affected households losing 20% to 70% of their agricultural land will be assisted for 6 months if the remaining land is viable for continued use, and for 12 months in case the remaining land is rendered unviable and entire land is acquired by the project. In some special cases, in extremely difficult areas, the assistance may be given up to a maximum of 24 months; (b) Affected households losing more than 70% of their agricultural land acquired will be assisted for 12 months if the remaining land is viable for continued use, and for 24 months in case the remaining land is rendered unviable and entire land is acquired by the project. In some special	

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		<p>cases, in extremely difficult areas, the assistance may extend to a maximum of 36 months; In addition, these PAPs will be targeted for livelihood restoration program;</p> <p>(c) households affected by loss of <20% of land and the remaining land is rendered unviable for continued use, the PAPs will be provided assistance for 12 months;</p> <p>Assistance for agricultural, garden and pond land in the residential area adjacent to residential land, but not recognized as residential land: will be supported in cash equivalent 40% of the cost of compensation for the adjacent residential plot.</p> <p>In case of land-for-land compensation, PAP will be assisted with seedlings, agricultural-forestry extension programs, husbandry etc.</p> <p>Vocational conversion assistance: Every PAP affected by loss of productive land, irrespective of the degree of impact, will be provided with additional assistance equivalent to at most 2.5 times the agricultural land price established by PPC/CPC.</p> <p>Support for vocational training and job creation: At least one member of households affected by loss of productive land will be entitled to vocational training and assistance in getting employment in the city. The PAPs participating in such training programs will be exempted from payment of tuition fees course will be paid directly to the vocational training centers. After finishing training courses, they will be given priority to be recruited in local manufacturing industries.</p>	
9. Loss of	Marginal impacts		

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
Income/ Livelihood due to relocation of business	<i>Owner of the affected business and employees</i> (0 AH)	For PAPs losing income and/or business/productive assets as a result of land acquisition, the mechanism for compensating will be: (i) Allowance for Business Loss: All affected businesses and production households whose income is affected will be compensated or supported for losses in business equivalent to 30% of their actual annual income: (a) For licensed businesses the compensation will be based on their average yearly income declared with the taxation agency over the previous three years, and (b) For unregistered affected businesses but have made their tax obligations the compensation will be supported by 30% of the specified (ii) Employees who are affected by acquisition of residential/commercial land acquisition, public land or land of enterprises: Allowance equivalent to the minimum salary as per the provincial regulations to affected employees during the transition period for a maximum of 6 months, and will be assisted in finding alternative employment.	
	<i>Relocating shop owners regardless of tenure status.</i> (0 AH)	If the business has to be relocated, the project will provide alternative site with local advantage and physical attributes similar to the land lost with easy access to customers base, satisfactory to the PAP, OR compensation in cash for the affected land and attached structures at replacement cost, plus transportation allowance for movable attached assets.	PAPs will be given priority for business relocation at conveniently located in order to maximize their benefit from business opportunities. At the time of compensation, allowances will be adjusted to account for inflation.
10. Allowances /Assistance Targeted to Vulnerable Households	Loss of land and non- land assets Affected vulnerable groups regardless of severity of impacts. The vulnerable groups were defined as in Terms of Terminology (46 AHs)	Specific assistance to vulnerable groups would be as follows: For landless households , assistance through provision of an apartment that PAP can either pay in installment to buy or rent it for living. Social Policy: (i) Relocated Households that include heroic mothers, heroic armed force, heroic labor, war veterans, wounded or dead soldier families will be	Allowance for households as per Government regulation (social policy households, heroic mothers, wounded, dead soldiers). If the household eligible to more than one additional support allowance for the vulnerable people, only one package with the highest value will be applied

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		<p>provided with support as regulated by the PPCs from 2 million to 7 million VND per household; (ii) Poor Relocated Households or Poor Households where 10% or more of their productive land is affected or where <10% land is affected but the remaining land is rendered unviable: 3 mil/HH (to be certified by local authority).</p> <p>Other vulnerable groups affected by the Project, whether they have to relocate or not, (female headed households with dependents, households with disabled persons, elderly without any source of support, ethnic minority households) will get the same support given to poor households in accordance with the provincial policy but not less than VND 3 million per household.</p> <p>These households are entitled to take part in Income Restoration Program</p>	
11. Other Allowances/ Assistances	Loss of land and non-land assets (255 AHs)	<p>Incentive Bonus: All PAPs who vacate the affected land immediately after receiving compensation and allowances will be given an incentive allowance, the specific support levels being decided by the Vinh Phuc Province People's Committees to suit local conditions</p> <p>The relocating households with children who are going to schools will be supported with 1-year tuition as regulated by the Ministry of Education</p> <p>Based on the actual situation of the locality, the Vinh Phuc PPC Chairman issues other allowances to ensure accommodation and livelihood restoration for PAPs.</p>	
12. Temporary impacts	Temporary loss of land and assets. (0 AH)	<p>Compensation for all damaged or lost assets, including trees, crops at full replacement cost</p> <p>Rental in cash for the land acquired at a rate which will be no less than the net income that would have been derived from the affected property during disruption;</p> <p>Restoration of the land within 3 months after use: The contractor is expected to return the land in its original condition within 3 months of the termination of the civil</p>	If the quality of land is radically changed when returned to PAPs, requiring PAPs to change in the types of land use; then PAPs should be compensated for all envisaged cost of losses.

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		works.	
13. Any other impacts that may be identified during implementation	Individuals, organizations in the project area	Entitlements to compensation and other assistance would be provided in accordance with the compensation policy. Secondary impacts on production and business or PAPs isolated from access to resources temporarily have to be compensated and supported in accordance with RAP.	In case of impacts on livelihoods of PAPs, the contractors, construction units have to agree with the households on payment for disruption of business.

ANNEX 2. Detailed List of Identified Project Component, Subprojects and Locations

No	Components	Construction location (commune)	District
I	Kim Xa pumping station basin area of 8,640 ha		
1	Kim Xa pumping station, estimated capacity of 45m³/s	Hoang Lau	Tam Duong
	Scale of headwork 45 m ³ /s + Culvert through dyke	Hoang Dan	Tam Duong
	Diversion canal	Kim Xa	VinhTuong
2	Dredging So and Nhi Hoang retention lakes	Hoang Lau	Tam Duong
		Hoang Dan	Tam Duong
		Kim Xa	VinhTuong
3	Improving Yen Lap 8-gate culvert	Yen Lap	VinhTuong
4	Spoil landfill	Kim Xa	VinhTuong
II	NguKien pumping station basin area of 11.000 ha		
1	NguKien pumping station, estimated capacity of 45m³/s	NguKien	VinhTuong
	Scale of headwork 45 m ³ /s + Culvert through dyke		
	Outlet canal	NguKien	VinhTuong
		Dai Tu	Yen Lac
		Lien Chau	Yen Lac
2	Phan river from Thuong Lap bridge to Lac Y		
	Dredging	Lung Hoa	VinhTuong
	Embankment	Tho Tang	VinhTuong
		Tan Tien	VinhTuong
		Cao Dai	VinhTuong
		ThuongTrung	VinhTuong
		Vinh Son	VinhTuong
		Binh Duong	VinhTuong
		Vu Di	VinhTuong
		Trung Nguyen	Yen Lac
		BinhDinh	Yen Lac
		Dong Cuong	Yen Lac
		Hoi Hop	Vinh Yen City
		ThanhTru	Vinh Yen City
3	Diversion canal from Phan river to Rung retention lake	Vu Di	Yen Lac
		TuTrung	VinhTuong
		NguKien	VinhTuong
		Van Xuan	VinhTuong
		Yen Dong	Yen Lac
4	Dredging Rung retention lake of 50 ha	NguKien	VinhTuong
5	Spoil landfill	VinhNinh	VinhTuong
III	NguyetDuc pumping station basin of 19,700 ha		
1	NguyetDuc headwork pumping station outlet to Red river, estimated capacity of 75m³/s	NguyetDuc	Yen Lac
	Headwork 75 m ³ /s + Culvert	NguyetDuc	Yen Lac
	Diversion canal	NguyetDuc	Yen Lac
	Outlet canal	TrungKien	Yen Lac
		Trung Ha	Yen Lac
		Hong Phuong	Yen Lac

	2	<i>Vo detention lake and access road</i>	Tan Phong	BinhXuyen
			Thanh Lang	BinhXuyen
			Minh Tan	Yen Lac
			Dao Duc	BinhXuyen
			BinhDinh	Yen Lac
			ThanhTru	Vinh Yen City
	3	<i>Phan river from Lac Y to Sat bridge</i>	ThanhTru	Vinh Yen City
		Dredging	Huong Canh	BinhXuyen
		Embankment	Son Loi	BinhXuyen
			Dao Duc	BinhXuyen
			Nam Viem	Phuc Yen
	4	<i>Improving Sau Vo culvert</i>	ThanhTru	Vinh Yen City
	5	<i>Spoil landfill</i>	Huong Canh	Vinh Yen City
IV				
		TamDao zone 4, BX, PY (Flv= 32.160ha)		
	1	<i>Improving, dredging and embankment of low-lying areas, 3-river network in BinhXuyen district</i>	Huong Son	BinhXuyen
			Ba Hien	BinhXuyen
			ThienKe	BinhXuyen
			Huong Canh	BinhXuyen
			Son Loi	BinhXuyen
			Tien Chau	Phuc Yen
			Nam Viem	Phuc Yen
			Tam Hop	BinhXuyen
		<i>Embankment</i>	Huong Son	BinhXuyen
			Ba Hien	BinhXuyen
			ThienKe	BinhXuyen
			Huong Canh	BinhXuyen
			Son Loi	BinhXuyen
			Tien Chau	Phuc Yen
			Nam Viem	Phuc Yen
			Tam Hop	BinhXuyen
	2	<i>Building Cau Ton control gate of 80 m3/s</i>	Tam Hop	BinhXuyen
			Son Loi	BinhXuyen
	3	<i>Building Cau Sat control gate of 150m3/s</i>	Tien Chau	Phuc Yen
			Son Loi	BinhXuyen
	4	<i>Sludge landfill</i>	Huong Canh	BinhXuyen
V		<i>Construction of wastewater treatment stations at four townships</i>		
	1	Construction of 3 wastewater treatment stations at Tam Hong Town	Tam Hong Town	Yen Lac
	2	Construction of 3 wastewater treatment stations at Yen Lac Town	Yen Lac Town	Yen Lac
	3	Construction of 2 wastewater treatment stations at ThoTangTown	Tho Tang Town	VinhTuong
	4	Construction of 2 wastewater treatment stations at Huong Canh Town	Huong Canh Town	BinhXuyen
VI		<i>Construction of 50 small-scale wastewater collection and treatment points</i>	<i>Villages/residential groups in the communes along Phan River</i>	

**ANNEX 3. Public Consultation Minutes – Nguyet Duc PS and Relevant Canals
Subproject**

List of consultation participants

No.	Full name	Address
1	Bùi Hữu Nam- Đức	Van Chi
2	Kim Thị Hậu	Dong Village
3	Nguyễn Văn Tâm	Dong Village
4	Nguyễn Xuân Hải	Dong Village
5	Tạ Hồng Nguyên	Dong Village
6	Tạ Ngọc Thuận	Dong Village
7	Trần Văn Quyên-Lan	Dong Village
8	Nguyễn Văn Thân- Quyết	Dong Village
9	Trần Văn Quế-Trang	Dong Village
10	Tạ Văn Quang-Lan	Dong Village
11	Tạ Quang Sông-Đường	Van Chi
12	Tạ Thị Nhung	Ca Village
13	Tạ Thị Ich- Hạng	Dong Village
14	Tạ Văn Giáp-Hồng	Ca Village
15	Tạ Văn Tiến-Thanh	Ca Village
16	Nguyễn Văn Toán-Lương	Dong Village
17	Kim Thị Thoa-Sính	Dong Village
18	Nguyễn văn Hiền-Xạ	Ca Village
19	Tạ Thị Sen-Hiếu	Ca Village
20	Nguyễn Văn Huệ-Hoa	Van Chi
21	Nguyễn Thị Lân-Lợi	Ca Village
22	Kim Văn Thủy-Hương	Van Chi
23	Trần Thị Thuận	Ca Village
24	Kim Văn Lại- Thìn	Dong Village
25	Tạ Văn Phượng-Phương	Dong Village
26	Kim Thị Phương-Ngôn	Ca Village
27	Trần Ngọc Thiện-Tám	Ca Village
28	Hoàng Xuân Huy	Ca Village
29	Tạ Thị Hồng	Ca Village
30	Hoàng Văn Tường -Tự	Ca Village
31	Tạ Văn Tính-Phú	Ca Village
32	Nguyễn Thị Y	Ca Village
33	Hoàng Duy Huyền -Anh	Ca Village
34	Hoàng Văn Chanh-Phương	Ca Village
35	Trần Văn Thảo -Hằng	Ca Village
36	Trần Văn Trang-Nga	Ca Village
37	Phạm Thị Thu- Thắng	Ca Village
38	Tạ Mạnh Thường-Hoà	Cuoi Village
39	Tạ Thị Tâm	Ca Village
40	Trần Thanh Bằng- Oanh	Ca Village
41	Trần Văn Thảo-Hồng	Ca Village
42	Trần Văn Thứ- Thu	Ca Village
43	Kim Văn Sâu- Thu	Ca Village

44	Trần Văn Đồng-Lan	Ca Village
45	Nguyễn Thị Thìn	Ca Village
46	Nguyễn Thị Thanh- Hơ	Ca Village
47	Trần Đức Chinh-Đoan	Ca Village
48	Kim văn Sơn- Mai	Ca Village
49	Trần Thế Bình -Hiền	Ca Village
50	Nguyễn Văn Liễu-Vui	Ca Village
51	Kim Thị Phu-Luật	Ca Village
52	Trần Văn Thái-Sim	Ca Village
53	Kim Thị Sản- Nhân	Dong Village
54	Nguyễn Thanh Ba- Thịnh	Dong Village
55	Trần văn Đức-Thuý	Van Chi
56	Nguyễn Văn Quốc - Liên	Dong Village
57	Tạ Hữu Lợi - Loan	Dong Village
58	Tạ thị Dục	Dong Village
59	Tạ Thị Mùi	Van Chi
60	Nguyễn Văn Tâm - Sơn	Dong Village
61	Trần Thị Lan-	Dong Village
62	Nguyễn Thị Chỉ	Dong Village
63	Trần Hồng Phương -Tý	Dong Village
64	Tạ Văn Cẩn-Phương	Van Chi
65	Tạ Quang Vinh	Dong Village
66	Tạ Thị Ninh	Dong Village
67	Vũ Thị Hậu	Dong Village
68	Nguyễn Văn Vinh	Van Chi
69	Nguyễn Mai Hồng	Van Chi
70	Tạ Việt Tiến	Van Chi
71	Kim Thị Yên-Thịnh	Dong Village
72	Phạm Thị Chín-Hoạch	Dong Village
73	Tạ Văn Tiệp-Hằng	Van Chi
74	Tạ Thị Thuấn(Sơn -Oanh)	Van Chi
75	Nguyễn Xuân Hà-Hải	Van Chi
76	Trần Văn Tường-Hoa	Dong Village
77	Nguyễn Thị Ngọc- Liên	Dong Village
78	Tạ Văn Toàn-Mai	Dong Village
79	Nguyễn Văn Ninh-Thuý	Van Chi
80	Tạ Quang Nhã-Chiến	Van Chi
81	Tạ Văn Sang-Chanh	Van Chi
82	Tạ Văn Hiếu-Mai	Ca Village
83	Tạ Văn Quốc-Tâm	Van Chi
84	Tạ Thị Hải	Dong Village
85	Tạ Văn Hợi-Hoa	Dong Village
86	Tạ Văn Thái-Hau	Van Chi
87	Bùi Văn Tâm- Huyền	Dong Village
88	Tạ Quang Thanh-Cúc	Van Chi
89	Kim Thị Thịnh	Van Chi

90	Tạ văn Phương-Hường	Van Chi
91	Đỗ Quang Vinh-Hoa	Moi Village
92	Nguyễn Văn Hằng-Vụ	Dong Village
93	Nguyễn Văn Phú-Kiểm	Dong Village
94	Tạ Văn Sự-Tâm	Ca Village
95	Nguyễn Thị Thảo-Bào	Dong Village
96	Tạ Quốc Hoa-Mai	Van Chi
97	Tạ Văn Kiên-Giang	Van Chi
98	Trần Văn Ninh-Thúy	Van Chi
99	Tạ Văn Sạo-Nê	Van Chi
100	Tạ Văn Giang- Thư	Dong Village
101	Tạ Văn Hùng -Nhiệm	Cuoi Village
102	Tạ Quang Thiện-Ta	Cuoi Village
103	Tạ Văn Chiến-Hoà	Cuoi Village
104	Kim Xuân Đắc-Ngân	Dong Village
105	Nguyễn Đắc Bình- Hoà	Cuoi Village
106	Tạ Văn Hiên-Lan	Cuoi Village
107	Tạ Văn Hùng-Duyên	Cuoi Village
108	Tạ Văn Sơn -Hiên	Cuoi Village
109	Tạ Quang Trường -Liên	Cuoi Village
110	Tạ Văn Sang-Tại	Cuoi Village
111	Tạ Quang Chính -Bảy	Cuoi Village
112	Tạ Huy Bái-Phương	Cuoi Village
113	Phan Thị Hạ	Cuoi Village
114	Tạ Văn Phúc-Tâm	Cuoi Village
115	Nguyễn Thị Xuân -Nga	Cuoi Village
116	Tạ Văn Xuân-Xuân	Cuoi Village
117	Tạ Văn Bình-Tinh	Cuoi Village
118	Nguyễn Văn Bính-Tứ	Cuoi Village
119	Tạ Quang Chung-Thịnh	Van Chi
120	Tạ Thị Thuần	Van Chi
121	Kim Văn Tuấn-Hường	Van Chi
122	Nguyễn Văn Tuấn-Hải	Van Chi
123	Nguyễn Thanh Bình-Mười	Van Chi
124	Bùi Văn Dũng-Chúc	Dinh Village
125	Trần Hồng Liên-Hồng	Van Chi
126	Tạ Quang Chi	Ca Village
127	Tạ Hoàng Nam	Ca Village
128	Nguyễn Hữu Tiến-Phương	Moi Village
129	Hoàng Văn Thắng-Nguyệt	Moi Village
130	Nguyễn Hải Tiến- Dàn	Van Chi
131	Trần Văn Hoà	Ca Village
132	Trần Văn Chính--Hoà	Ca Village
133	Trần Văn Cường-Thà	Van Chi
134	Trần Văn Minh-Chinh	Ca Village
135	Trần Văn Hiếu-Sen	Ca Village

136	Nguyễn Văn Thực- Tùng	Ca Village
137	Trần Thị Thuần-Diệu	Ca Village
138	Tạ Văn Canh-Tuyển	Ca Village
139	Kim Văn Thường-Hoa	Ca Village
140	Trần Văn Hồng	Ca Village
141	Nguyễn Văn Dân- Tình	Ca Village
142	Bùi Văn Tâm	Dong Village
143	Kim Quang Hà-Nhung	Ca Village
144	Kim Văn Huynh-Lĩnh	Moi Village
145	Kim Văn Tình-Loan	Ca Village
146	Lương Thị Liên-Việt	Ca Village
147	Nguyễn Duy Tính -Thực	Van Chi
148	Nguyễn phúc Thọ-Minh	Van Chi
149	Nguyễn Thị Lân	Ca Village

ANNEX 4 – Rapid Assessment Replacement Cost

1. SUMMARY OF PROJECT

The Vinh Phuc Flood Risk and Water Management Project (VPFRWMP) is to provide a sustainable water environment for the long term economic and social development of Vinh Phuc Province. In particular, the project would focus on ensuring flood control in the central catchment of the province and halting the rapid deterioration of surface water quality. The project development objective will be achieved through (i) supporting structure measures for flooding control and river rehabilitation; (ii) improving wastewater collection and treatment in districts small towns and rural villages; (iii) establishing water resource and water quality monitoring and flooding and emergency response system; and (iv) institutional development and training for strengthening management capacity for staff of the local government departments and water sector practitioners aimed at managing the river basin and water related sectors in an integrated manner.

As required by the World Bank's OP 4.12 on Involuntary Resettlement, Replacement Costs Survey (RCS) will need to be done to establish basis for calculation of replacements costs for all the lands/crops/structures/assets that will be affected by the Project

With regard to land and structures, "replacement cost" is defined as follows: For agricultural land, it is the pre-project or pre-displacement, whichever is higher, market value of land of equal productive potential or use located in the vicinity of the affected land, plus the cost of preparing the land to levels similar to those of the affected land, plus the cost of any registration and transfer taxes. For land in urban areas, it is the pre-displacement market value of land of equal size and use, with similar or improved public infrastructure facilities and services and located in the vicinity of the affected land, plus the cost of any registration and transfer taxes. For houses and other structures, it is the market cost of the materials to build a replacement structure with an area and quality similar to or better than those of the affected structure, or to repair a partially affected structure, plus the cost of transporting building materials to the construction site, plus the cost of any labor and contractors' fees, plus the cost of any registration and transfer taxes.

2. OBJECTIVE AND SCOPE OF WORK

Objective: Develop a compensation unit price set for land and property on land applied for the project. The compensation unit price shall ensure close to real value and in accordance with market price. This is required in order to comply with the project policy framework of compensation at replacement cost at current market value, and to meet one of the project principles which is to ensure that (a) no one is left worse off with the project than without it, and (b) people affected by the project should be able to maintain, if not improve, their pre-project standard of living.

Scope of work: In the report should only conduct survey the unit price of land types and property on land (house, structure, tree and crop) which is equivalent to the affected land types and property on land by the priority subprojects.

3. BASIS FOR CONDUCTING REPLACEMENT COST

Land price is defined on the basis of popular market land price: This is the price that appears with maximum transaction frequency occurs in the transaction in the market, winning the auction on land use, land price is defined from cost, income of the land portion with same use purpose at the location and in the certain period of time.

Tree and crop price is defined on the basis of actual compensation rate of the other project in locality and local people's satisfaction.

House and structure price is defined on the basis of raw material price and labor price, especially interviews directly building workers in the locality.

Compensation unit price for land and property on land issued by Vinh Phuc through following documents:

- i) Decision No. 35/2014/QĐ-UBND of the Vinh Phuc PPC dated 15 August 2014 on issuing regulations on compensation and resettlement assistance when the State acquires land in Vinh Phuc Province;
- ii) Decision No. 61/2014/QĐ-UBND dated December 31 2014 by Vinh Phuc PPC on land prices in Vinh Phuc Province for the 2015-2019 period.

4. IMPLEMENTATION ARRANGEMENT AND METHOD

The rapid assessment on replacement cost is conducted in parallel with inventory of loss, social survey of affected households. Conduct interview with: i- Person who is affected directly by the project. ii- Person who is not affected by the Project; iii- building worker teams in the locality; iv- Representative of local authorities and mass organizations.

5. SURVEY RESULT OF REPLACEMENT COST

From the results showed that:

- Residential land: No sale activities, auction take place in recent time in the project area, therefore the majority of respondents did not identify the specific land price at each location.

- Perennial crops land: Perennial crops land price varies from 69.000 to 120.000VND/m² for site 1 from 58.000 to 90.000đ/m² for site 2.

- Tree and crop: Besides the sale of seeding, in the project did not take place any sale activities of timber trees, fruit trees (which have been harvested), thus most local people agreed in using the unit price of PPC at same time of compensation, some suggests for unit price equal to 1.39to 1.54time for current the unit price of PPC.

The result of replacement cost survey is summarized in following table:

Table 1. Land price

TT	Land type	Unit	Unit price issued by PPC (10 ³ VND)		Replacement cost (10 ³ VND)		Difference ratio (%)	
			Site 1	Site 2	Site 1	Site 2	Site 1	Site 2
1	Residential land							
	Hương Canh Town							
	Zone 1	VND/m	3600	3000	3800	3200	1.056	1.067
	Zone 2	VND/m	2700	2200	3000	2400	1.11	1.09
2	Annual crops land							
	Binh Xuyen district	VND/m	60		63		1.05	
	Yen Lac district	VND/m ²	60		62		1.03	
	Phuc Yen Town	VND/m ²	60		62		1.03	
3	Perennial crops land							
	Binh Xuyen district	VND/m ²	60		64		1.067	
	Yen Lac district		60		62		1.03	
	Phuc Yen Town		60		63		1.05	

Table 2. Unit price of house, structure and tree and crop

No.	Property	Unit	Unit price issued by PPC (10³VND)	Replacement cost (10³VND)	Difference ratio (%)
1	Annual crops				
	Binh Xuyen district	VND/m ²	5	7	1.4
	Yen Lac district	VND/m ²	5	6	1.2
	Phuc Yen Town	VND/m ²	5	7	1.4
2	Aquacultural land	VND/m2	7.5	9	1.2
3	House and structure				
	1 storey house	VND/m ²	3385	4000	1.18
	House level 4				
	- Type 1	VND/m ²	2097	2300	1.1
	- Type 2	VND/m ²	1460	1700	1.16
	Temporary house	VND/m ²	673	950	1.26

ANNEX 5 – SES and IOL Questionnaire

PART 1: GENERAL INFORMATION OF THE HOUSEHOLD

1.1	Subproject	1. Kim Xa Pumping Station	2. Ngu Kien Pumping Station	3. Nguyet Duc Pumping Station		
1.2	1.Village:	2.Commune:	3.District:	4.Vinh Phuc Province		
1.4	Name of respondent					
1.5	Age	(a) 18 - 24	(b) 25 - 34	(c) 35 - 44	(d) 45 - 54	
		(e) 55 - 64	(f) Above 65			
1.6	Gender	1 - Male		2 - Female		
1.7	Martial status	1 – Single	2 - Married	3 - Widowed	4 – Divorced	
1.8	Relations with the household head	1. Household head	2. Spouse of household head	3. Offspring	4. Grandchild n/ niece/ nephew	Others (specify)
1.9	Educational attainment	1- Illiterate		2- Not finished primary school	3- Primary school	
		4- Secondary school		5- High school	6- College, university	
1.10	Number of household members?	Adults (including grandparents)		Male	Female	
		Children (under 16)		Male	Female	
1.11	Information about household members			Male	Female	Total
		No. of people with jobs				
		No. of children in the school age (6-16)				
		No. of children within the school age going to school				
		No. of members above 16 able to read and write				
1.12	Does the household or any household member belong to ethnic minority group?	1 - Yes		Which ethnic group?		
		2 - No				
1.13	Languages used in the families?	1- Vietnamese		2- Others (specify)		
1.14	To which group does the household belong?	1 – Yes <i>(multiple answers acceptable)</i>		1. Poor household (with certificates from the CPC) 2. Near poor household (with certificates from the CPC) 3. Female headed household with dependents 4. Household with the disabled 5. Single elderly household without support 6. Landless household 7. Social policy beneficiary household		

PART 2: LIVING CONDITIONS OF THE HOUSEHOLD (SOCIOECONOMIC PROFILE)

2.1	Which type of house is your family living in?	1. Villa	2. Solid multi-storey house	3. Grade-4 house	4. Temporary house
2.2	Source of water for drinking and cooking	1. Rainwater 2. Dug well 3. Drilled well		4. Public tap water 5. Tap water 6. River, lake, canal, pond	7. Others (specify)

2.3	Source of water for bathing and washing	1. Rainwater 2. Dug well 3. Drilled well	4. Tap water 5. Pipeline water 6. River, lake, canal, pond	7. Others (specify)
2.4	How do you assess the water quality (well, tap water)?	1. Good	2. Acceptable	3. Not good (explain why)
2.5	Which type of toilet does your family have?	1. Tank toilet 2. Toilet beyond fish pond 3. Public toilet	4. Toilet in house with septic tank 5. Toilet in house leading to wastewater source	6. Toilet in house leading to water source 7. No toilet
2.6	What is your family's main energy source for lighting?	1. National grid 2. Private grid 3. Individual generator	4. Gas/ petrol 5. Gas cylinder 6. Battery	7. Others (specify)
2.7	What is your family's main energy source for cooking?	1. National grid 2. Private grid 3. Individual generator	4. Gas/ petrol 5. Gas cylinder 6. Wood	7. Others (specify)
2.8	Which of the following assets does your family have?	1. Bicycle 2. Motorbike 3. Car 4. TV 5. CD/VCD player	6. Electric generator 7. Pump 8. Rice cooker 9. Mobile phone 10. Cable phone	11. Fridge 12. Computer 13. Sewing machine 14. Truck 15. Others (specify)
2.9	What are the common ailments?	1=flu 2=respiratory, 3=cardiovascular, 4=bone/ joint 5=skin, 6=eyes 7=others		

PART 3: HOUSEHOLD INCOME AND EXPENDITURE

3. Income Sources

3.1	What are the primary income source(s) of the household?	1. Agriculture 2. Aquaculture/ Livestock raising 3. Business- wholesale and retail	4. Services (coffee, sewing, haircut, etc.) 5. Wages and salaries from working for private companies 6. Salaries of public officials	7. Daily labors 8. Renting out assets 9. Pensions 10. Support from relatives 11. Others
3.2	What are the secondary income source(s) of the household?	1. Agriculture 2. Aquaculture/ Livestock raising 3. Business- wholesale and retail	4. Services (coffee, sewing, haircut, etc.) 5. Wages and salaries from working for private companies 6. Salaries of public officials	7. Daily labors 8. Renting out assets 9. Pensions 10. Support from relatives 11. Others
3.3	Which members responsible for contributing to the household income?	1. Only household head 2. Household head and spouse 3. Only adult children	4. Household head, spouse, and adult children 5. Other members	
3.4	Average monthly income of household from the main income sources		VND/month
3.5	Average monthly income of household from all income sources		VND/month

4. Average household expenditure

1	Food and daily consumptionVND/month
2	HealthcareVND/month

3	EducationVND/month
4	Vacations, festivals, weddings and funerals, etc.VND/month
5	Others (specify)VND/month

PART 4: AFFECTED LAND AREA

4.1 Type of affected land	Area		Current land tenure (m2)		
	Total landholdings (m ²)	Affected land area (m ²)	LURC / legalizable	Lease/ having temporary land use	No LURC/ cannot legalizable
	1	2	3	4	5
4.1.1	Residential land				
4.1.2	Annual cropland				
4.1.3	Fish/shrimp pond				
4.1.4	Garden land				
4.1.5	Forest land				
4.1.6	Others (specify)				

PART 5: AFFECTED HOUSES AND STRUCTURES

5.1 Main houses/ structures	Total area (m ²)	Affected area (m ²)	Grade	Actual use	Does PAH lease the structure?		How is the structure affected?	
					Yes	Monthly rent (VND)	Totally	Partially
5.1.1	Structure 1							
5.1.2	Structure 2							

Structure grade: 1- Grade 1 = Villa

2- Grade 2 = Reinforced concrete floors, high quality construction materials and equipment

3- Grade 3 = Reinforced concrete floors, medium quality construction materials and equipment

4- Grade 4 = Brick walls and wooden frames have tile or corrugated iron roofs

5- Temporary structure = Bamboo or wooden frame, with corrugated iron or thatched roof

Actual use:

1- Residential only

4- Public structure (school, etc.)

2- Business only

5- Industry, commercial and/or storage

3- House cum shop

6- Others (specify)

5.2 Secondary structures: List affected secondary structures (for example kiosk, kitchen, toilet, livestock shelter, well, fence wall, grave, etc.)

	land or fish/shrimp pond or other productive land, how would you like to be compensated?	2- I want to be compensated in cash at market price 3- Not yet decided
9.2	Does your family have sufficient remaining residential land or non-agricultural land to rebuild affected structure?	1- Yes 2- No
9.3	If your family cannot rebuild structure on the remaining area, how would you like to relocate?	1- Self relocate to my other land plot 2- Self relocate to new area 3- Relocate to resettlement site, if available 4- Relocate to planned area allocated by the commune
9.4	Do you have any other opinions?	1- Yes, please specify: 2- No opinion:

PART 10– PLAN TO USE COMPENSATION OF THE HOUSEHOLD

1	Build or repair house	4	Invest in business
2	Buy land	5	Spend on children's study
3	Buy assets	6	Othes

PART 11– AWARENESS OF THE PROJECT

11.1	Does your family support the investment in this project?	1. Totally support 2. Partially support 3. No support	If answer 2 or 3, please specify the reason for partially support or no support:
11.2	Does the household have concerns about the adverse impacts that might be caused by the project during construction period related to environment and cultural preservation?	1. Yes, very much 2. Yes, a little 3. No	If answer 1 or 2, please specify the main concerns