



Technical Assistance Report

Project Number: 39387
November 2005

Technical Assistance Socialist Republic of Viet Nam: Strengthening Institutional Capacity of Local Stakeholders for Implementation of Son La Livelihood and Resettlement Plan (Financed by the Poverty Reduction Cooperation Fund)

CURRENCY EQUIVALENTS

(as of 14 November 2005)

Currency Unit	–	dong (D)
D1.00	=	\$ 0.0001
\$1.00	=	D15,904

ABBREVIATIONS

ADB	–	Asian Development Bank
DRCMC	–	district resettlement compensation management committee
EVN	–	Electricity of Viet Nam
HQHPP	–	Huoi Quang Hydropower Project
MARD	–	Ministry of Agriculture and Rural Development
NIAPP	–	National Institute for Agricultural Plan and Projection
SLHPP	–	Son La Hydropower Project
TA	–	technical assistance
TOT	–	training of trainer

TECHNICAL ASSISTANCE CLASSIFICATION

Targeting Classification	–	Targeted intervention
Sector	–	Energy
Subsector	–	Transmission and distribution
Themes	–	Capacity development, inclusive social development, gender and development
Subthemes	–	Institutional development, indigenous peoples, involuntary resettlement, gender equity in capabilities

NOTE

In this report, "\$" refers to US dollars.

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Director General	R. Nag, Mekong Department (MKRD)
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I. INTRODUCTION

1. Poverty reduction is the overarching goal of the Asian Development Bank (ADB). The ADB country strategy for Viet Nam emphasizes sustainable economic growth, poverty reduction, and inclusive social development. Power sector investments to achieve annual economic growth of more than 7% is a priority for the Government of Viet Nam. While large-scale power generation projects have contributed to economic growth over the past decade, the benefits from this growth have not been distributed equitably. People displaced by power generation projects have not benefited fully from the economic growth. Moreover, the involuntary resettlement caused by such projects often has impoverished them further. The Government has developed resettlement sites and livelihood programs for displaced people. However, due to the inadequate capacity of the authorities at the central, provincial, and district levels, resettlement and livelihood programs often have not been implemented effectively. People displaced by hydroelectric power projects often have been unable to restore their livelihoods. Livelihood restoration is often the weakest part of any resettlement plan. However, for hydropower projects with significant displacement and loss of livelihood, the need for well-designed and effectively implemented livelihood programs is critical.

2. ADB is processing the Northern Power Transmission Expansion Sector Project (the Project) for approval in late 2005. The Project's transmission lines will evacuate power from power plants under construction in northern Viet Nam to load centers in Hanoi, Haiphong, and Quang Ninh. The 2,400-megawatt Son La Hydropower Project (SLHPP)¹ and 560-megawatt Huoi Quang Hydropower Project (HQHPP) are considered associated facilities of the proposed Project. SLHPP will displace about 91,000 people, while HQHPP will displace 5,000. Therefore, the proposed technical assistance (TA) will strengthen the institutional and technical capacity of national, provincial, and district authorities, as well as commune leaders, for effective planning and implementation of resettlement and livelihood programs for the communities affected by these facilities. The Resettlement Master Plan for SLHPP has been completed, and the district resettlement plans² are being prepared. In June 2005, the Poverty Reduction Cooperation Fund endorsed the TA concept paper for funding.³

II. ISSUES

3. Viet Nam's record in poverty reduction has been impressive in the past decade. The proportion of population living in poverty has declined from about 58% in 1993 to 29% in 2002. Despite this significant achievement, the reduction in poverty varies by region and ethnicity. About half of the ethnic minority population is poor. The northern upland region is the poorest of the nine regions in Viet Nam. Lai Chau is the poorest province in the northern region with a poverty headcount of 77.7%, while Son La ranks third at 71.4%. Insufficient investment in development projects, as well as poor physical and social infrastructure, has limited poverty reduction in the northern region. In recent years, investments have been made to improve physical and social infrastructure, and to develop hydropower projects in the northern mountainous region. The Government is preparing new cycles of targeted poverty reduction programs. In addition, the 2001–2005 Public Investment Program has increased the public investment allocation to the northern mountainous and northern central region provinces to

¹ The Government of Viet Nam is financing SLHPP and HQHPP. Construction of access roads, diversion of channels, and river embankment protection have started for SLHPP. The resettlement of people displaced by SLHPP started in 2001 on a pilot basis. The resettlement plan is being prepared for HQHPP.

² Eight district resettlement plans involve 270 resettlement sites. Preparation of detailed plans for each resettlement site will continue until 2009.

³ The TA first appeared in *ADB Business Opportunities* (internet edition) on 15 July 2005.

24.3% of the total, an increase from 20.3% during 1996–2000. The budget allocations to the Government's targeted programs associated with poverty reduction also were increased in the northern regions.

4. Under SLHPP, relocation and resettlement of the displaced people will be completed by 2009. Thus far, about 3,375 people have been relocated to pilot resettlement sites in three provinces. The recent implementation review of the Government's resettlement plan in the pilot resettlement sites⁴ identified many weaknesses in the implementation plan, including the livelihood program. The findings included: (i) inaccurate assessment for compensation, (ii) inadequate disclosure and planning of income restoration and livelihood program, (iii) tension between relocated people and host communities, and (iv) ineffective grievance mechanism. The livelihoods of the relocatees, which have been disrupted by displacement, need to be restored. Most of the displaced people are ethnic minorities, predominantly Thai, from the provinces of Dien Bien, Lai Chau, and Son La.

5. In 1998, the Government issued a decree (22/1998/CP) to regulate compensation and other allowances for land structures for national and public interest. Following this decree, a resettlement plan for SLHPP was prepared in the pilot provinces. Based on the lessons learned from the pilot, the Government issued a special decision (No 459/QD-TT) in May 2004, which addressed gaps in the earlier decree and provided measures to maintain the standard of living of the affected people. The Government has approved \$687 million for the resettlement and compensation plans and livelihood program for SLHPP. Faced now with the challenge of implementing large and complex resettlement plans, the Government recognizes its weak institutional and technical capacity in planning and implementing such plans and livelihood programs.

6. The TA Fact-Finding Mission identified specific problems with the district resettlement plans and livelihood activities for the affected people: (i) inadequate implementation of the Government's special decision of May 2004 in the district resettlement plan and livelihood programs; (ii) lack of proper land use planning in selecting resettlement sites; (iii) weak feasibility study on the availability of adequate or suitable cultivable land for an appropriate upland farming system, suitable crops, extension and marketing, etc., for the livelihood development of the relocatees; (iv) inadequate attention to retaining the cultural and traditional way of life and subsistence system of the relocatees; (v) more emphasis on building infrastructure in the resettlement sites than on preparing livelihood programs for the relocatees; (vi) inadequate consultation with the affected people (relocatees and host communities) regarding relocation, land acquisition, compensation, and retention of traditional way of living in the resettlement sites; (vii) no specific grievance process established to address resettlement issues at the commune and district level for the affected people; and (viii) district resettlement and compensation management committees (DRCMC) in most cases do not include representatives from the District Agriculture and Rural Development Division and Natural Resource Management Division. Rather, most members of the committees are from the infrastructure division. In two districts, resettlement plans are linked to the urban development plan of the districts, which could complicate further the resettlement and livelihood programs of SLHPP. Further, the DRCMC does not have a representative from the Committee for Ethnic Minorities in Mountainous Area. Overall, the provincial resettlement steering committees and the DRCMCs lack the institutional and technical expertise to plan and implement effectively resettlement and livelihood programs. Domestic consulting firms prepared the detailed district

⁴ Viet Nam Son LA Hydropower Project: Resettlement Due Diligence Report, MKID/MKRD, May 2005.

plans, because of DRCMC's weak technical expertise. As such, the quality of the district plans cannot be ensured.

7. The ethnic minority communities in the affected areas depend mainly on wetland agriculture. Since the proposed resettlement sites are in the upland, a change in farming systems from wetland agriculture to upland agriculture will be needed. Selection of resettlement sites for upland farming and development of livelihood program will require (i) significant technical skills of national and local authorities in land use planning; (ii) selection of farmland for upland agriculture; (iii) selection of suitable crops; (iv) management and sustainable use of natural resources; and (v) assessment of capital requirements for production, agriculture extension services, marketing facilities, etc. For the affected people downstream, an income restoration program will require technical expertise in community-based aquaculture development. A comprehensive review is needed of the Master Resettlement Plan, as well as the district resettlement plans and livelihood programs. The aim is to (i) assess the selection of resettlement sites for appropriate livelihood development programs for the affected people; (ii) identify the institutional and technical capacity required at the national, provincial, district, and commune level for developing an effective resettlement plan and livelihood program; and (iii) identify the gaps between Special Decision No 459/QDT and the district resettlement plans.

8. In 2001, ADB approved a TA grant⁵ to prepare a new decree on compensation and rehabilitation. The proposed TA will complement capacity building under TA 3727. However, while the proposed TA on SLHPP will be completed within two years, the resettlement and livelihood program of SLHPP will continue until 2009. The capacity development training program of this TA for national, provincial, and district authorities from Son La, Dien Bien, and Lai Chao provinces, as well as commune leaders, will increase their capacity in formulating and implementing the resettlement plans and livelihood programs for SLHPP and HQHPP. The outputs of the TA will be used for the Project in the northern provinces, and for the proposed ADB-supported Son Bung 4 Hydropower Project in Quang Nam Province in Central Viet Nam.

III. THE TECHNICAL ASSISTANCE

A. Impact and Outcome

9. The long-term impact of the TA will be sustainable livelihood development programs for the affected people of SLHPP and HQHPP. The outcome of the TA will be increased capacity of the national, provincial, and district resettlement authorities, as well as grassroots stakeholders, for developing appropriate livelihood programs for the affected people, including ethnic minorities. The design and monitoring framework is in Appendix 1.

B. Methodology and Key Activities

10. The TA will (i) review the existing livelihood system and proposed livelihood programs of the district resettlement plan for the affected people (relocatees and host communities); (ii) review the development of a framework and operational guideline for preparation of livelihood programs relevant to different ethnic groups, with specific focus on ethnic minorities, women, and other vulnerable groups; (iii) review the Master Resettlement Plan and district resettlement plans for the affected people, and develop a comprehensive framework and operational guidelines for improving the district plans for SLHPP and HQHPP; (iv) develop

⁵ ADB. 2001. *Technical Assistance to the Socialist Republic of Viet Nam for Enhancing the Resettlement, Legal Framework and Institutional Capacity*. Manila (TA 3727-VIE).

guidelines for the selection of appropriate resettlement sites for improving the livelihood system of the affected people; (v) assess the institutional capacity and technical expertise of the national, provincial, and district authorities, as well as the leaders of communes and mass organizations, in formulating, implementing, and monitoring resettlement and sustainable livelihood programs for resettled people; (vi) develop capacity building training modules; (vii) undertake the training of trainers (TOT) for the relevant resource people from national, provincial, and district authorities,⁶ as well as men and women leaders of the communes and mass organizations; (viii) prepare a master training plan for continuation of the training for the relevant members of the national, provincial, and district resettlement committees, as well as men and women leaders of the communes and mass organizations; (ix) review the commune-level consultation and monitoring system for planning and implementing resettlement and livelihood programs, and recommend mechanisms for improved consultation and monitoring in line with Decree 79 (Grassroots Democracy) and Decree 80 (Regulation for Participatory Investment Supervision); (ix) initiate dialogue with the provincial and district authorities on establishing a separate grievance system for resettlement; (x) recommend an effective system for monitoring resettlement activities and livelihood programs within the Ministry of Agriculture and Rural Development (MARD), and provincial and district resettlement committees; and (xi) develop monitoring indicators, disaggregated by ethnic groups and gender, to assess the implementation of resettlement activities, income restoration, and livelihood programs.

11. The review of Master Resettlement Plan and the district resettlement plans with the relevant national, provincial, district, and commune leaders from the affected areas will help to formulate an appropriate framework and operational guidelines for improving the existing resettlement plans and livelihood programs of Son La. This process also will help in the preparation of effective resettlement plans and livelihood programs for the subsequent years of SLHPP and HQHPP. The capacity building training program will focus on preparation of resettlement and livelihood programs following the training needs assessment and operational guidelines prepared under the TA. The training program will focus on (i) effective consultations at the village and commune levels for assessment of inventory loss, land acquisition, compensation, etc., relevant to ethnic groups and gender; (ii) grassroots-level planning, implementation, and monitoring of resettlement activities and livelihood programs using the framework of Decree 79 and Decree 80; (iii) selection of resettlement sites based on land use planning for an appropriate farming system and sustainable income generation from farm and off-farm activities; (iv) planning of crops and extension services for an upland farming system; (v) management of natural resources for sustainable use and income; (vi) planning of farm and off-farm activities for immediate and long-term income generation and capital requirements, and extension and marketing facilities, etc.; (vii) downstream aquaculture planning; (viii) selection of resettlement sites for suitable physical and social infrastructure; (ix) planning and coordination between livelihood programs in the resettlement sites and the Government's rural development and poverty reduction programs; (x) development of an appropriate grievance process for addressing resettlement issues; (xi) monitoring system for resettlement and livelihood activities at the national, provincial, district, and commune levels; and (xii) monitoring indicators disaggregated by ethnic groups and gender. The increased capacity of the authorities at the national, province, and district levels will facilitate implementation of Special Decision No 459/QD-TT as an effective resettlement and livelihood plan relevant to the livelihood system of ethnic groups in the mountainous region.

⁶ TOT for selected staff from Ministry of Agriculture and Rural Development, National Institute for Agricultural Plan and Projection, Son La Power Project Management Board, Electricity of Viet Nam, and Power Engineering Consulting Company of EVN; provincial and district resettlement steering committees; DRCMCs, and selected leaders of district women's union, communes, and mass organizations.

C. Cost and Financing

12. The estimated cost of the TA is \$1,250,000 equivalent, comprising \$609,000 in foreign exchange cost and \$641,000 equivalent of local currency cost. ADB will provide a grant of \$1,000,000 from the Poverty Reduction Cooperation Fund, covering the entire foreign exchange cost and \$391,000 equivalent of local currency cost. The grant will be used for financing international and domestic consultants, including (i) preparation of guidelines and training modules; and (ii) TOT and training of the national, provincial, and district authorities, as well as commune leaders. The Government of Viet Nam will provide \$250,000 equivalent for the TA, primarily through in-kind contributions to cover accommodations, venue of training, counterpart support, transport and monitoring of the training, and TA implementation. ADB will administer the TA. The detailed cost estimates and financing plan are in Appendix 2.

D. Implementation Arrangements

13. MARD will be the Executing Agency of the TA, facilitating implementation of the training program and monitoring TA activities. A national project director from MARD will head the project office. Within MARD, a steering committee will be formed comprising representatives from national resettlement committees, Ministry of Finance, Electricity of Viet Nam, and chairpersons of three provincial steering committees on resettlement and compensation. The steering committee, which will play an advisory role, will meet every 6 months to review the progress of the TA.

14. International and domestic consultants will implement the TA. The TA will require 72 person-months of consulting services, including 24 person-months of international consultants and 48 person-months of domestic consultants. The consultants will be recruited individually in accordance with ADB's *Guidelines on the Use of Consultants*. The terms of reference of the consultants are in Appendix 3.

15. The TA, which will be implemented over 2 years, is expected to start in January 2006 and be completed in December 2007. The first 2 months will be used to select the consultants and prepare the start of the TA. The next month will focus on (i) review of district plans; (ii) visits to proposed resettlement sites; (iii) consultations with the government authorities, commune leaders, and affected people; and (iv) assessment of training needs. The preparation of guidelines for the resettlement plans and livelihood programs, and development of training modules and TOT program for the relevant government authorities, commune leaders, and mass organizations, will be completed by October 2006. Training of the national, provincial, and district authorities, as well as leaders of communes and mass organizations, will continue until October 2007. The final report of the TA will be completed by December 2007.

IV. THE PRESIDENT'S DECISION

16. The President, acting under the authority delegated by the Board, has approved ADB administering technical assistance not exceeding the equivalent of \$1,000,000 to the Government of Viet Nam to be financed on a grant basis by the Poverty Reduction Cooperation Fund, for Strengthening Institutional Capacity of Local Stakeholders for Implementation of Son La Livelihood and Resettlement Plan, and hereby reports this action to the Board.

DESIGN AND MONITORING FRAMEWORK

Design Summary	Performance Targets/Indicators	Data Sources/Reporting Mechanisms	Assumptions and Risks
<p>Impact Sustainable livelihood development of affected people</p>	<p>Improved livelihoods programs developed for the affected people; livelihood development and local consultation models replicated and implemented in Northern Power Transmission Expansion Sector Project in northern provinces and Song Bung 4 Project in central province</p>	<p>TA project monitoring data, midterm and final review report of the Northern Power Transmission Expansion Project</p>	
<p>Outcome</p> <p>Improved capacity of the local authorities and stakeholders for planning and implementing effective livelihood program and resettlement plan</p> <p>Improved village- and commune-level consultation process for livelihood development program, and compensation and resettlement; improved consultation between host communities and the relocatees</p> <p>Improved grievance process to address resettlement issues</p> <p>Effective monitoring system of livelihood programs and resettlement activities at the provincial, district, and</p>	<p>Livelihood programs planned according to suitable resettlement sites, and appropriate livelihood activities developed for ethnic groups; gender-based livelihood activities</p> <p>Implementation of resettlement plans, as per Special Decision No 459/QDT-TTG</p> <p>Participatory community consultation process following Decree 79 (Grassroots Democracy) and Decree 80 (Regulation for Participatory Investment); participation of affected groups in the community consultation process; inclusion of women from the affected groups in the consultation process; decreased tension between host communities and relocatees</p> <p>Separate grievance process to address resettlement issues</p> <p>Disaggregated database system by gender, ethnic minority groups, and various affected groups established at the</p>	<p>Monitoring and TA Review Mission, TCR reports, midterm and final review report of the Northern Power Transmission Expansion Sector Project</p> <p>Monitoring and TA review mission reports; midterm and final review report of the Northern Power Transmission Expansion Sector Project</p> <p>TA Review Mission Report</p> <p>Monitoring and TA review mission reports; ADB midterm and final review report of the Northern Power Transmission Expansion Sector Project</p>	<p>Assumption</p> <ul style="list-style-type: none"> • Local authorities and stakeholders gain required skills to implement livelihood programs and resettlement plan <p>Risks</p> <ul style="list-style-type: none"> • Relevant staff are not assigned to DRMCs • Delay in releasing government fund for resettlement, compensation, and livelihood programs • Conflict between host communities and relocatees • Inadequate consultation with affected people in implementing livelihood programs • District authority not interested in establishing separate grievances process

Design Summary	Performance Targets/Indicators	Data Sources/Reporting Mechanisms	Assumptions and Risks
commune levels	provincial and district levels; commune-level monitoring of resettlement activities		
<p>Outputs</p> <p>1. Incorporation of livelihood program into the resettlement framework and operational guidelines for preparation of resettlement plan and livelihood programs (future resettlement sites of the district resettlement plans) for the affected people of Son La Hydropower Project and Huoi Quang Hydropower Project</p> <p>2. Capacity building training modules, TOT for 330 selected trainees from national, provincial and district authorities, provincial and district Women's Organization, men and women leaders of the Commune and Mass Organizations;</p> <p>3. Training plan for approximately 1,080 trainees from national, provincial, and district authorities; leaders of the provincial and district Women's Union; and men and women leaders of the communes and mass organizations</p> <p>4. Initiation of a process at the commune level for consultation and monitoring system in line with Decree 79 (Grassroots Democracy) and Decree 80 (Regulation for Participatory Investment Supervisory Groups)</p>	<p>Operational guidelines on resettlement plans prepared, including criteria for selection of sites appropriate for upland farming system and sustainable livelihood programs relevant to ethnic minority groups; gender-based planning of livelihood activities; resettlement plan emphasizes maintenance of traditional housing and cultural way of life of the ethnic minority groups</p> <p>Training Modules are prepared; TOT conducted for 80% of the selected trainees</p> <p>Training for at least 80% of selected trainees from the national authorities, provincial, and district resettlement compensation committees; provincial and district Women's Union; and men and women leaders of the mass organization and commune</p> <p>Process established for implementation of Decree 79 and Decree 80 by commune leaders to address resettlement issues</p>	<p>Consultants' reports, TA monitoring, and ADB review mission reports</p> <p>Consultants' reports, TA monitoring, and ADB review mission reports</p> <p>Consultants' reports, TA monitoring, and ADB review mission reports; monitoring report of Northern Power Transmission Expansion Sector Project</p> <p>TA monitoring and ADB review mission reports</p>	<p>Assumption</p> <ul style="list-style-type: none"> • Local authorities committed to preparation of a comprehensive action plan <p>Risks</p> <ul style="list-style-type: none"> • Low participation rate in training • Pressure from the provincial government to implement livelihood programs without proper plan and implementation strategies • Relevant authorities and stakeholders unavailable for capacity building training • Provincial and district authorities prefer not to establish separate grievance process for resettlement issues • Insufficient understanding of the traditional way of living of the ethnic minority groups

Design Summary	Performance Targets/Indicators	Data Sources/Reporting Mechanisms	Assumptions and Risks
<p>5. Disaggregated monitoring indicators by ethnic groups and gender developed for livelihood programs, as well as resettlement and compensation activities</p> <p>6. Established dialogue for separate system for grievance process to address resettlement issues</p>	<p>Disaggregated monitoring indicators by ethnic groups and gender included at the national level monitoring system and in provincial and district resettlement and compensation committees</p> <p>Recommendations for separate grievance process for resettlement issues</p>	<p>TA monitoring and ADB review mission reports; monitoring report of Northern Power Transmission Expansion Sector Project</p> <p>TA monitoring report; monitoring report of Northern Power Transmission Expansion Sector Project</p>	
<p>Activities with Milestones</p> <p>1.1. Recruitment of consultants, inception mission (January–February 2006)</p> <p>1.2. Consultation with affected people, local authorities, and stakeholders for review of present livelihood programs and resettlement plans of the districts; training needs assessment (March 2006)</p> <p>2.1. Preparation of guidelines for resettlement plan and livelihood programs; development of training modules on resettlement and livelihood programs; preparation of training plan and TOT (approximately 300 trainees); and development of monitoring indicators (April–October 2006)</p> <p>2.2. Conduct training programs (approximately 1,080 trainees) for national, provincial, district, and commune level (September 2006–October 2007)</p> <p>3. Establish dialogue with government authorities for separate grievance system for resettlement at the commune and district level (July 2006)</p> <p>4. Monitoring activities throughout the project.</p> <p>5. Midterm review of the TA (December 2006); final report of the TA implementation (December 2007).</p>			<p>Inputs</p> <ul style="list-style-type: none"> • ADB \$1,000,000 • Government \$250,000 (in-kind)

ADB = Asian Development Bank, DRCMC = district resettlement compensation management committee, TA = technical assistance, TCR = technical assistance completion report, TOT = training of trainer.

COST ESTIMATES AND FINANCING PLAN
(\$'000)

Item	Foreign Exchange	Local Currency	Total Cost
A. Poverty Reduction Cooperation Fund^a			
1. Consultants			
a. Remuneration and Per Diem			
i. International Consultants (4 consultants, 24 person-months)	468.0	0.0	468.0
ii. Domestic Consultants (6 consultants, 48 person-months)	0.0	150.0	150.0
b. International and Local Travel			
i. International Consultants	38.0	0.0	38.0
ii. Domestic Consultants (local travel)	0.0	12.0	12.0
c. Translation Services	0.0	5.0	5.0
2. Training Program ^b	0.0	224.0	224.0
3. Miscellaneous Administration and Support Costs	3.0	0.0	3.0
4. Contingencies	100.0	0.0	100.0
Subtotal (A)	609.0	391.0	1,000.0
B. Government Financing			
1. Office Accommodation and Transport	0.0	100.0	100.0
2. Counterpart Staff/Training Venue/Monitoring	0.0	150.0	150.0
Subtotal (B)	0.0	250.0	250.0
Total (A+B)	609.0	641.0	1,250.0

^a Administered by Asian Development Bank.

^b Preparation of guidelines, modules, training plans, and training of trainers (TOT). Approximately 300 trainees from three project provinces will participate in TOT. The trainees will be selected from the following government authorities and mass organizations: Ministry of Agriculture and Rural Development (MARD), National Institute for Agricultural Plan and Projection (NIAPP), Son La Power Project Management Board, Electricity of Viet Nam (EVN), Power Engineering Consulting Company (PECC) of EVN, provincial steering committees on resettlement and compensation, district resettlement compensation and management committees (DRCMC), selected leaders of district Women's Union, and men and women leaders of the affected communes and mass organizations. The master training plan will include approximately 1,080 trainees from 111 communes from eight project districts in three provinces: (i) Son La, (ii) Dien Bien, and (iii) Lai Chao. The trainees will be selected from national authorities (MARD, NIAPP, EVN, and PECC); provincial and district resettlement steering committees; provincial resettlement and compensation committee; DRCMCs, leaders of the district Women's Union, and men and women leaders of communes and mass organizations.

Source: Asian Development Bank estimates.

OUTLINE TERMS OF REFERENCE FOR CONSULTANTS

A. International Consultants (24 person-months)

1. Four international consultants will be recruited individually for 24 person-months. The consultants will work with Ministry of Agriculture and Rural Development (MARD) to implement the Technical Assistance (TA). Consulting services will be required in the following areas: (i) resettlement specialist, (ii) land use planner, (iii) upland farming specialist, and (iv) natural resource management and fishery specialist. The consultants should have experience working in the Greater Mekong Subregion, as well substantial experience in their respective areas. The responsibilities of the international consultants are described in paras. 2–5:

1. Resettlement Specialist and Team Coordinator (6 person-months)

2. The resettlement specialist must have substantive experience preparing resettlement plans for hydropower projects, and implementing resettlement plans in the mountainous region for ethnic minority groups. The resettlement specialist should have experience in rural development and livelihood development programs in the mountainous region. In coordination with the international and domestic consultants, the resettlement specialist will:

- (i) Desk and filed review of Master Resettlement Plan and district resettlement plans and livelihood activities with MARD, National Institute for Agricultural Plan and Projection (NIAPP), Son La Power Management Board, provincial resettlement steering committees, provincial resettlement and compensation committees, district resettlement compensation management committees (DRCMC), men and women leaders from the affected commune and mass organizations.
- (ii) Prepare, in cooperation with the consultant team and relevant government authorities, a comprehensive framework and operational guidelines for district resettlement plans (covering future resettlement sites), which incorporate livelihood programs relevant to the resettlement sites and appropriate for the ethnic groups and gender of the relocatees.
- (iii) Prepare recommendations for improving the resettlement sites of the district resettlement plans that are being implemented.
- (iv) Conduct a training needs assessment, in coordination with the consultants, for MARD, NIAPP, Son La Power Management Board, provincial resettlement steering committees, provincial resettlement and compensation committees, DRCMCs, and men and women leaders from the affected communes and mass organizations; and prepare training modules (para. 11 of main report) and Master Training Plan for approximate 1,080 trainees.
- (v) Conduct Training of Trainer (TOT) (for approximately 330 trainees) on the modules for formulating resettlement and livelihood programs related to Son La Hydropower Project for the relevant resource people from MARD, NIAPP, Son La Power Project Management Board, Electricity of Viet Nam (EVN), Power Engineering Consulting Company of EVN, provincial and district steering committees for resettlement, DRCMCs, provincial and district Women's Union, and men and women leaders of the communes and mass organizations from the affected communes.
- (vi) Facilitate links between the Government's rural development program and poverty program with the livelihood program in the resettlement sites.
- (vii) Review the consultation system for planning and implementation of resettlement and livelihood programs, and recommend mechanisms to improve the consultation

- process in line with Decree 79 (Grassroots Democracy) and Decree 80 (Regulation for Participatory Investment Supervision).
- (viii) Initiate dialogue with the provincial and district authorities on establishing a separate grievance system for resettlement.
 - (ix) Recommend an effective system for monitoring resettlement activities and livelihood programs within MARD, provincial steering committees for resettlement, and DRCMCs.
 - (x) Recommend mechanisms for a grassroots-level monitoring system in line with Decree 79 and Decree 80.
 - (xi) Disaggregate monitoring indicators by ethnic groups and gender to assess the implementation of resettlement activities, income restoration, and livelihood program.
 - (xii) Prepare report on TA activities.

2. Land Use Planner (6 person-months)

3. The land use planner should have substantive experience in land use planning in the mountainous region for residential settlement and farming system development. The consultant, who will coordinate with the resettlement specialist, will:

- (i) Desk and filed review of Master Resettlement Plan and district resettlement plans and livelihood activities with MARD, NIAPP, Son La Power Management Board, provincial resettlement steering committees, DRCMCs, and men and women leaders from the affected communes and mass organizations.
- (ii) Prepare, in cooperation with the consultant team and relevant government authorities, an operational guideline on land use planning for selection of resettlement sites; incorporate the guidelines in the district resettlement plans.
- (iii) Conduct training needs assessment, and based on this assessment and operational guidelines (para. 11 of main report), prepare training modules for selection of resettlement sites appropriate for upland farming system and sustainable income generation from land, natural resources, and suitable physical and social infrastructure.
- (iv) Conduct TOT on the guidelines for land use planning for the relevant resource people from MARD, NIAPP, Son La Power Project Management Board, EVN, provincial and district steering committees for resettlement, DRCMCs, and leaders of the district Women's Union and affected communes and mass organizations.
- (v) Prepare simple training module on land use planning for commune-level training.
- (vi) Prepare monitoring indicators on resettlement site selection.
- (vii) Prepare report on TA activities.

3. Upland Farming System Specialist (6 person-months)

4. The upland farming system specialist should have substantive experience in integrated farming in the upland. The consultant, who will coordinate with the resettlement specialist, will:

- (i) Desk and file review of Master Resettlement Plan and district resettlement plans and livelihood activities with MARD, NIAPP, Son La Power Management Board, provincial resettlement steering committees, DRCMCs, leaders of the provincial and district Women's Union, and men and women leaders from the affected communes and mass organizations.
- (ii) Prepare, in cooperation with the consultant team and relevant government authorities, an operational guideline for livelihood development program which incorporates planning of upland farming system, extension knowledge on fast-

- growing field crops and tree crops, and crops and trees that will provide long-term sustainable income; incorporate the guideline in the district resettlement plans.
- (iii) Prepare training modules on upland integrated farming system, including tree crops and livestock.
 - (iv) Conduct TOT on upland farming system for the resource people from MARD, NIAPP, provincial and district steering committees for resettlement, DRCMCs, and men and women leaders of the communes and mass organizations.
 - (v) Develop a simple handbook on upland farming system, farming plan, and extension information (for men and women farmers), including capital requirements for production and marketing, etc.
 - (vi) Facilitate links between the Government's rural development program and poverty program and the livelihood program in the resettlement sites.
 - (vii) Develop gender-based monitoring indicators on farm production and income.
 - (viii) Prepare report on TA activities.

4. Natural Resource Management and Fishery Specialist (6 person-months)

5. The natural resource management specialist should have substantive experience in natural resource management and fisheries. In coordination with international and domestic consultants, the specialist will:

- (i) Desk and filed review of Master Resettlement Plan and district resettlement plans and livelihood activities with MARD, NIAPP, Son La Power Management Board, provincial resettlement steering committees, DRCMCs, district Women's Union, and men and women leaders from the affected communes and mass organizations.
- (ii) Prepare, in cooperation with the consultant team and relevant government authorities, an operational guideline on natural resource management and sustainable use of forest resource for the relocatees in the upland; incorporate the guidelines in the district resettlement plan for livelihood program development
- (iii) Prepare a community-based aquaculture plan and training plan for the relevant provincial and district authorities from the fisheries, as well as the affected people downstream.
- (iv) Prepare training modules on sustainable use and management of natural resource in the resettlement sites in the upland and aquaculture downstream.
- (v) Conduct TOT for the relevant government authorities, as well as men and women leaders of the commune and the mass organizations, on sustainable use of natural resources, planning and management of aquaculture and extension activities.
- (vi) Coordinate with the Danish International Aid Agency's community-based aquaculture program downstream of Son La in planning of aquaculture activities;
- (vii) Establish a system for monitoring aquaculture activities.
- (viii) Prepare report on TA activities.

B. Domestic Consultants (48 person-months)

6. Six domestic consultants will be recruited individually for 48 person-months. The domestic consultants will work with the international consultants and MARD to implement the TA. Consulting services will be required in the following areas: (i) resettlement specialist and rural development specialist (24 person-months), (ii) land use planer (5 person-months), (iii) upland farming specialist (6 person-months), (iv) rural off-farm income-generating specialist (4 person-months); (v) social development and gender specialist (5 person-months), and (vi) ethnic minority specialist (4 person-months).

7. The domestic consultants are to assist the international consultants with (i) reviewing the Master Resettlement Plan and district resettlement plans, (ii) preparing the guidelines for formulating the resettlement plan and livelihood programs (farm and off-farm activities) for the new district resettlement sites, and (iii) improving the existing sites in the district plans. With the international consultants, the domestic consultants will prepare training modules and a training plan, conduct TOT, and develop monitoring indicators. The social development/gender specialist and ethnic minority specialist will provide social, cultural, gender, and ethnic dimensions to the guidelines and training modules. These specialists also will implement Decree 79 and Decree 80. This entails developing training modules and a training program for local consultation on formulating and implementing resettlement plans, livelihood programs, and community-level monitoring. The resettlement and rural development specialist will monitor the training program throughout TA implementation.