

# Ethnic Minority Development Plan

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August 2018

## VIE: Northern Mountain Provinces Transport Connectivity Project

Lai Chau Province

Prepared by Project Management Unit No. 2 of the Ministry of Transport for the Asian Development Bank.

### **CURRENCY EQUIVALENTS**

(as of 15 August 2018)

Currency unit	–	Vietnamese Dong (D)
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### **NOTE**

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## Acronyms and Abbreviations

<b>ADB</b>	Asian Development Bank
<b>AP</b>	Affected Person/s
<b>AH</b>	Affected Household/s
<b>CEMA</b>	Committee for Ethnic Minority Affairs
<b>CPC</b>	Commune People's Committee
<b>DARD</b>	Department of Agriculture and Rural Development
<b>DOLISA</b>	Department of Labor, Invalids and Social Affairs
<b>DOT</b>	Department of Transport
<b>DPC</b>	District People's Committee
<b>EM</b>	Ethnic Minority
<b>GAP</b>	Gender Action Plan
<b>GOV</b>	Government of Vietnam
<b>GRM</b>	Grievance Redress Mechanism
<b>HH</b>	Households
<b>HIV / AIDS</b>	Human immunodeficiency virus/ Acquired immune deficiency syndrome
<b>HTAP</b>	HIV and Human Trafficking Awareness and Prevention
<b>IEC</b>	Information, Education and Communication
<b>KAP</b>	Knowledge, Attitude, Practice (survey)
<b>MOLISA</b>	Ministry of Labor, Invalids and Social Affairs
<b>MOT</b>	Ministry of Transport
<b>MOU</b>	Memorandum of Understanding
<b>NGO</b>	Non-Government Organization
<b>PAC</b>	Provincial AIDS Centre
<b>PE</b>	Peer Educators
<b>PMU</b>	Project Management Unit
<b>PPC</b>	Provincial People's Committee
<b>PPTA</b>	Project Preparation Technical Assistance
<b>TOR</b>	Terms of Reference
<b>USD</b>	U.S. Dollar
<b>VAAC</b>	Vietnam Administration for HIV/AIDS Control
<b>VND</b>	Vietnam Dong
<b>WU</b>	Women's Union
<b>YU</b>	Youth Union

# Executive Summary

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1. **The project.** The VIE: Northern Mountain Roads Connectivity Project aims to enhance the access to the GMS corridors in the north-western Region through upgrading national and provincial highways where the economic and social development conditions, the transport network, the topography and the climate change effects are the most difficult in comparison with other regions in the country. Project works include upgrading of National Highway (NH) 32 in Lai Chau Province; National Highway 279 in Lao Cai Province; and Provincial Road 175 in Yen Bai Province. The project in Lai Chau Province will involve the upgrading of National Highway 32 from San Thang to Khau Co over a total length of 82.485km. The project will utilize 71km of existing alignment and construct one 11km bypass (Dong Pao-Ban Bo). NH 32 traverses 3 districts, Than Uyen, Tan Uyen and Tam Duong, covering 11 communes and 2 district-level towns.

2. **Legal and Policy Framework.** The Resettlement Legal and Policy Framework for the project is based on laws of the Government of Vietnam and the ADB Safeguard Policy Statement (ADB, 2009). The overall objectives of the Project with respect to land acquisition and resettlement and ethnic minority peoples in the project areas are as follows: Land Acquisition and Resettlement -The objectives are to avoid involuntary resettlement wherever possible; to minimize involuntary resettlement by exploring project and design alternatives; to enhance, or at least restore, the livelihoods of all displaced persons in real terms relative to pre-project levels; and to improve the standards of living of the displaced poor and other vulnerable groups. Ethnic Minority Peoples -To design and implement projects in a way that fosters full respect for ethnic minority peoples' identity, dignity, human rights, livelihood systems, and cultural uniqueness as defined by the ethnic minority peoples themselves so that they (a) receive culturally appropriate social and economic benefits, (b) do not suffer adverse impacts as a result of projects, and (c) can participate actively in projects that affect them.

3. **Socio-economic context:** The population of the immediate project area is 70,312. There are a high proportion of ethnic minorities most of the project communes. The largest ethnic minority groups by proportion of the project area populations are: Thai (38%), Hmong (9%), Giay and Kho Mu (5% each) and Dao (4%). Thai represent the majorities in Than Thuoc (93%), Phuc Than (77%), Trung Dong (69%) and Pac Ta (55%). The most common main occupation of household members is agriculture. Women were equally engaged in occupations as men, and there was no significant difference between men and women within the occupation groups. Access to district-level services for the communes in the project area is relatively convenient with an average distance of 10km. Half of the communes have a distance of 10km or more to the district centre and two have a distanced of 20-21km. The average distance to the highway is 3km. The average distance to hospitals is 8km. Most of the areas studied through the focus group discussions did not report difficulties accessing health services. Services in the locality were reported to be adequate with local people have health insurance cards. Areas reporting difficulty accessing health services due to poor road conditions were Na Tam, Ban Bo and outlying areas of Tan Uyen Town. The areas studied through the focus group discussions, did not report difficulties accessing basic education. Children were generally reported to attend school up to lower secondary school with no or only small numbers of drop outs. Primary and lower secondary schools are situated in the locality. However, most children did not progress to upper secondary school after year nine mainly due to distance. Based on district records, the average poverty rate in the project areas is 23% (poor and near poor) with Tam Duong District having a very poverty rate of 51%. The poorest communes are Na Tam (61%), Ban Hon (51%), Ban Bo (49%) and Ban Giang (39%) which are all in Tam Duong District. The overwhelming majority of focus groups identified limited availability of suitable agricultural land combined with limited opportunities for non-farm livelihoods as the main underlying cause of poverty in their areas. Adverse climatic conditions

(flash floods and extreme cold) exacerbate their poverty. Those in Ban Bo commune stated they generally had sufficient arable land and there were non-farm employment opportunities a nearby tea factory. Those in Than Thuoc Commune focussed on tea production and there was generally adequate land as quite a number of households who had children working elsewhere rented their land out to other locals. Furthermore, in that commune there were opportunities to work in a local garment factory or to work as tea pickers to supplement income. Most communes, however, stated that arable land was insufficient and most available land was upland, which can't be irrigated. The poor soil conditions of upland areas require additional inputs of fertilizer further reducing the quality and profitability of crops. Quite a number of communes reported that mainly only corn could be produced for animal food or making alcohol. As time goes by the area of available arable land is decreasing due to population increase. In most areas traditional practices of grazing animals, especially buffalo is being abandoned due to lack of grazing land. Households that do raise buffalo generally only have one or two. Farming, aside from those with land for tea production or who have fish ponds, was reported to be mainly for household consumption. That is, most of the population in the studied areas generally live by subsistence.

4. **Consultation, Participation and Disclosure.** Meaningful consultation is an integral element of RP preparation and implementation for this project RP. Information dissemination and **consultations** were conducted with project stakeholder, local communities and affected households during the preparation of the project. A communication strategy has been prepared which includes requirements for disclosure and ongoing consultation and information sharing. The strategy highlights the need to incorporate special measures for those with low levels of literacy and use of Vietnamese language.

5. Twelve consultation meetings were held in all the affected communes 29 January to 5 February 2018. The information presented included general information about the project design and anticipated land requirements and environmental impacts, approach to mitigation and policy **principles** as well as the grievance redress mechanism. Out of a total of 490 people who participated in these meetings, 281 were ethnic minority people consisting of 183 men and 98 women (35% of total). Twenty-one focus group discussions (FGD) were undertaken: covering each of 12 communes in the project area in November 2017 and August 2018. Topics covered during the FGDs included living conditions and challenges, perceptions about the project, risks and concerns. The FGDs were attended by 261 participants, 237 of whom were ethnic minority people. Key feedback included difficulties in low living standards mainly due to inadequate availability of arable land, unfavourable climatic conditions and limited non-farm work prospects. A number of focus groups pointed to difficulties accessing markets and social services as well as the need for improvement of agricultural techniques. Recommendations included, agricultural extension and vocational training, provision of breeding stock, employment opportunities during project construction and mitigation of potential disruptions from labour influx.

6. **Grievance Redress.** A Grievance Redress Mechanism (GRM) will be established for the project to address grievances and requests. The GRM is to be accessible, timely and effective in addressing issues of concern. The GRM consists of options to elevate grievances to higher **levels** as well as courts of law. APs may lodge a written complaint directly to the Department of Southeast Asia through the Resident Representative Office of Asian Development Bank (ADB) in Vietnam. If AP is not satisfied with the response of Southeast Asia Department, and only as a last option, APs can access ADB's Accountability Mechanism.

7. **Impacts, Risks and Benefits.** The project poses a number of negative and positive impacts. Negative impacts can be fully mitigated through programs to be implemented under the project. The project also provides a number of benefits, some of which are associated with the mitigation programs which focus on building capacities of local communities and stakeholders. A summary description is set out below.

IMPACTS ISSUES	ACTION	KEY RESPONSIBLE AGENCIES	RESOURCES	RELATED PLANS
<b>(i) Land Acquisition and Resettlement</b>  <b>Impact: (-)</b>	Resettlement Plan prepared and agreed between ADB and the Government of Vietnam	PMU will be responsible for the updating and implementation of the RPs with the concerned provincial authorities/departments (DOLISA, WU). Project Supervision Consultants will assist finalization and implementation of the RPs.	Resourced under Resettlement Plan	<b>Resettlement Plan.</b> <b>The RP is subject to updating following detailed design.</b>
<b>(ii) Road Safety</b>  <b>Impact: (-/+)</b>	Project design to include physical design features such as traffic calming measures and safety signage. Community based road safety awareness and education be provided to local communities and schools for children.	MOT, PMU, PPCs, DOT, DOE, WU, YU	Resourced Under Road Safety Program	<b>Road Safety Plan</b>
<b>(iii) Risk of HIV/AIDS &amp; Human Trafficking</b>  <b>Impact: (-/+)</b>	<p>A HIV/AIDS and Human Trafficking Awareness and Prevention Program (HTAP) prepared as part of the design. The HTAP will require updating at the commencement of project implementation to finalize budget and institutional arrangements.</p> <p>HIV/AIDS awareness and prevention measures to be included in the contractors' contracts.</p> <p>Livelihood restoration/ development to form a focal approach to trafficking mitigation along with awareness.</p>	<p>PMU will coordinate the development and implementation of the Program with the concerned Provincial authorities/departments.</p> <p>The PMU/Project Supervision Consultant will sub-contract a qualified service provider</p>	Resourced Under HTAP Program	<b>HIV/AIDS and Human Trafficking Awareness and Prevention Program</b>

IMPACTS ISSUES	ACTION	KEY RESPONSIBLE AGENCIES	RESOURCES	RELATED PLANS
<b>(iv) Disruptions to Local Communities during Construction</b>  <b>Impact: (-)</b>	Prioritize hire of local staff. Provide jobs requiring re-training for employees hired locally; workers are properly registered with local authorities. code of conduct and implement a strict and zero-tolerance policy to regulate gambling, prostitution, theft, wildlife poaching and forest product collection. Regular liaison meetings with local communes	Contractor, PMU	Resourced under works contracts	
<b>(v) Communication/ Information Dissemination</b>  <b>Impact: (+/-)</b>	Communication, Participation and Consultation Plan to be implemented.	PMU, PSC, Contractor	VND 700 million  (approx. USD 31,320) (other non-EMDP resources for communication described in Communication , Participation and Consultation Plan)	<b>Communication, Participation and Consultation Plan</b>
<b>(vi) Improved Access and Mobility</b>  <b>Impact : (+)</b>	Design and construct bridge and access road	PMU, PSC, Contractor	VND 6,613 million (approx. USD 290,895)	
<b>(vii) Opportunities for Improved Livelihoods</b>	Preparation of detailed plan, needs assessment and detailed consultations. Establishment of models, extension training,	PMU will coordinate the detailed development and implementation of the	Resourced under Resettlement	<b>Resettlement Plan.</b> <b>The RP is</b>

IMPACTS ISSUES	ACTION	KEY RESPONSIBLE AGENCIES	RESOURCES	RELATED PLANS
Impact : (+)	provision of inputs.	Program with the concerned Provincial authorities/departments. Implementation by DARD and DOLISA.	Plan	subject to updating following detailed design.
Project related work opportunities  Impact: (+)	Contractor to prioritize efforts to hire local ethnic minority people. The contractor bidding documents and civil works contracts to include provision for preference for local sourcing of labour, especially unskilled labour.	PMU and PSC to ensure provisions included in bidding documents and contracts regarding provision for preference for local sourcing of labour, especially unskilled labour with priority to ethnic minority people. Contractors for implementation.	Resourced under Works Contracts.	

8. **Budget:** The EMDP specific actions are estimated to cost VND 8,776 million, including 20% **contingency** on direct costs for ethnic language interpreters and rural road access. The EMDP will be funded by the Government of Vietnam.

9. Institutional arrangements:

- Ministry of Transport (MOT) is the Project Executing Agency for the Project, through the Project Management Unit 2 (PMU 2). MOT is also specifically responsible for working with ministerial or provincial level authority on resettlement policies, ensuring funds, and providing guidance on resettlement policy in cases which require clarification on application of policy on specific issues. Project Management Unit 2 (PMU2) is responsible for overall coordination in land acquisition and resettlement matters as well as technical matters regarding demarcation in the field as well as disbursement.
- Provincial People's Committees (PPC) will take the overall responsibility for the resettlement activities within their management authorities.
- Provincial Department of Labour, War Invalids and Social Affairs (DOLISA) and Department of Agriculture and Rural Development (DARD) will play lead roles in the design and implementation of the project's Livelihood Development Program (LDP) together with PMU2.
- Committee for Ethnic Minority Affairs will play a key role in advising and monitoring on EMDP implementation.
- Detailed Design Consultants and the Project Supervision Consultant will include a social safeguards team that will provide technical assistance to PMU and the major stakeholders in the updating and implementation of the EMDP.

10. **Implementation schedule:** The Project will be implemented over the period of 5 years. Following detailed design, EMDP updating will be carried out by PSC in close consultation with local authorities and stakeholder in the project areas. As soon as the updated EMDP is completed, it will be submitted by PMU to ADB for review and approval.

11. **Monitoring and Evaluation** The implementation of the EMDP will be monitored regularly to help ensure that it is implemented as planned and that mitigating measures designed to address adverse social impacts are adequate and effective. The monitoring will be done at two levels, internal monitoring to be done by the PMU, and external monitoring to be undertaken by an external monitor. Monitoring reports will be prepared on a semi-annual basis.

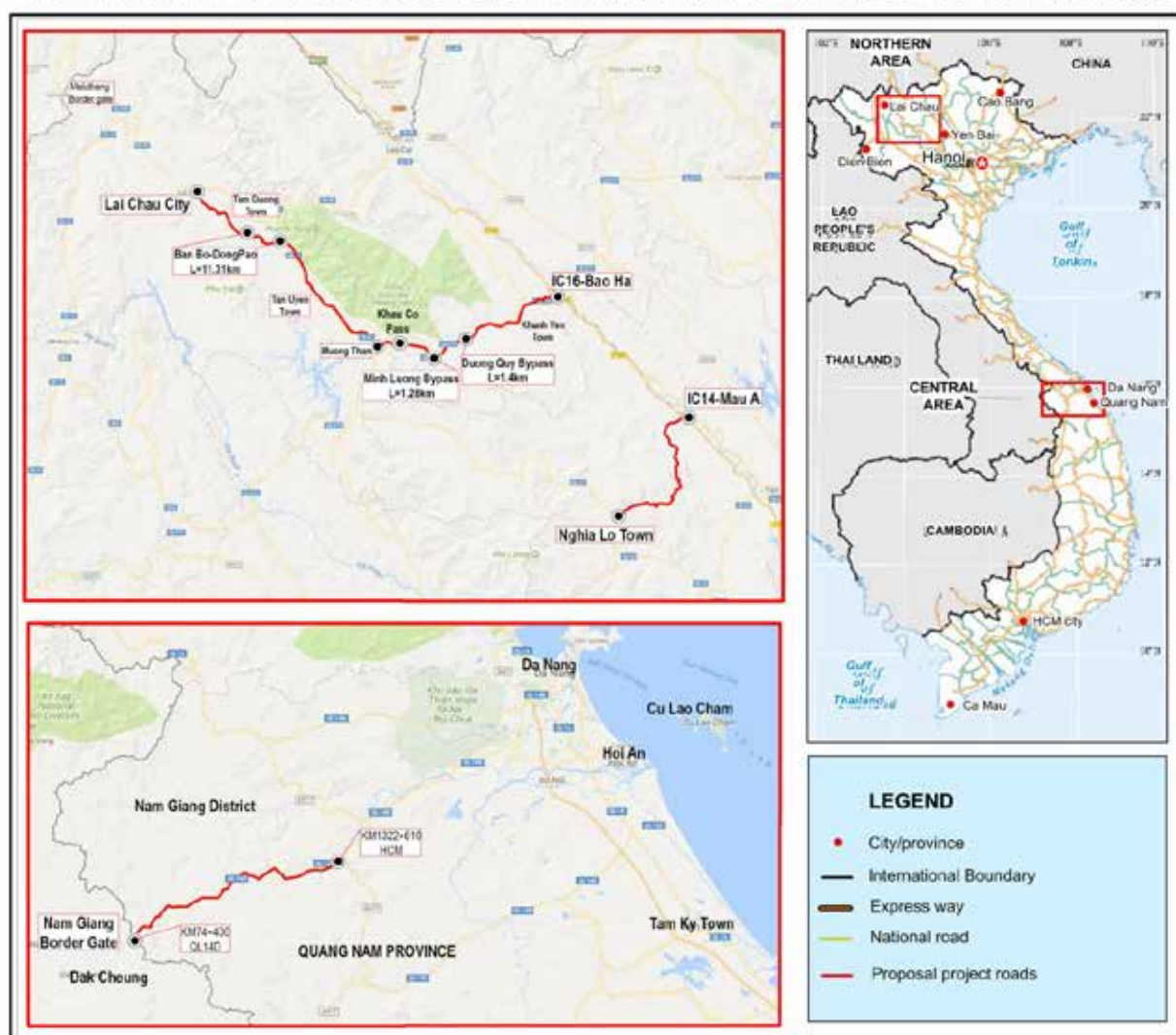
# Chapter 1 - Description of the Project

## 1.1. The VIE: Northern Mountain Roads Connectivity Project

12. The VIE: Northern Mountain Roads Connectivity Project aims to enhance the access to the GMS corridors in the north-western Region through upgrading national and provincial highways **where** the economic and social development conditions, the transport network, the topography and the climate change effects are the most difficult in comparison with other regions in the country. Project works include upgrading of National Highway (NH) 32 in Lai Chau Province (82.485km from San Thang to Khau Co); National Highway 279 (63.88 km from intersection with NH 32 to Hanoi – Lao Cai Expressway); and Provincial Road 175 in Yen Bai Province (51.375km from intersection with NH32 to intersection with PR 151). A Map of the roads considered in the PPTA are set out below.

### THE PROJECT MAP

#### ADB TA-9252 VIE: Great Mekong Subregion (GMS) Northern Mountain Roads Connectivity Project



## 1.2. Project Components in Lai Chau Province

13. The project in Lai Chau Province will involve the upgrading of National Highway 32 from San Thang to Khau Co over a total length of 82.485km. The project will utilize 71km of existing alignment and construct one 11km bypass (Dong Pao-Ban Bo).

**Table 2-1: List of Main Project Works**

Highway	Location	Description	Length (km)
NH 32	Lai Chau Province.  From San Thang to Khau Co	Existing alignment plus 1 considered bypass: Dong Pao – Ban Bo Bypass (11km)	82.485

14. NH 32 traverses 3 districts, Than Uyen, Tan Uyen and Tam Duong, covering 11 communes and 2 district-level towns.

**Table 2-2: Locations Traversed by NH32 Upgrade**

Province	District	Commune/ Town
Lai Chau	Than Uyen	Muong Than
	Tan Uyen,	Pac Ta Phúc Khoa Thân Thuộc Trung Đông Than Uyên Town
	Tam Duong	Bản Bo Bản Giang Bản Hòn Bình Lư Nà Tăm Sơn Bình Tam Đường Town

## 1.3. Rationale for the Project and Description of the Project Area

15. In the recent past, ADB activities in the Transport sector in Viet Nam mainly focused on supporting the government to develop the key GMS expressway infrastructure. This network expansion either almost complete or is under implementation and further expressway expansion is increasingly being considered under public–private partnership/build-operate-transfer (PPP/BOT) modality. Attention needs to be broadened to other road priorities as put forward in the transport sector assessment, strategy, and road map. In Northwestern Viet Nam, the Noi Bai-Lao Cai expressway is part of the GMS Kunming–Hai Phong Transport Corridor that connects the Ha Noi region to Yunnan Province in the PRC. The next-tier road network connecting to these GMS corridors is still underdeveloped. Provinces in the corridors' proximity have not fully benefitted from the improved GMS corridors and have generally developed at a slower pace than the rest of the country.

16. The project roads that are currently considered for further analysis under the project preparatory technical assistance (PPTA) include three highways (NH32, NH279 and upgraded PR175) in Yen Bai, Lai Chau and Lao Cai provinces connecting to Noi Bai-Lao Cai Expressway. All three roads are located in the most difficult terrain crossing high mountains or large rivers

with lower class technical standards that do not meet the increasing transport demands and do not provide all-year accessibility. The proposed project roads are prone to climate change effects such as flash flooding and increasing temperature variations. The project will upgrade the design class, ensure standard is consistent over the entire length and integrate climate resiliency features (reinforced slope protection, increased drainage capacity, etc.) in the design of the proposed roads.

#### 1.4. Introduction to the Ethnic Minority Development Plan

17. The Ethnic Minority Development Plan is prepared in accordance with the requirements of ADB's Safeguards Policy Statement. It is prepared to assist the project to meet the safeguards objectives (i) to design and implement projects in a way that fosters full respect for ethnic minority peoples' identity, dignity, human rights, livelihood systems, and cultural uniqueness as defined by the ethnic minority peoples themselves, and (ii) so that ethnic minority peoples receive culturally appropriate social and economic benefits, and do not suffer adverse impacts as a result of projects, and can participate actively in projects that affect them.

# Chapter 2 - Social Impact Assessment

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## 2.1 Legal and Policy Framework Related to Ethnic Minority Peoples

### 2.1.1 Law and regulations of the Government of Vietnam

- (i) The Constitution of the Socialist Republic of Vietnam adopted on 28 November 2013 recognizes the equality of all ethnic groups under one nation, the right to maintain their unique culture and language as well as the obligation of the State to promote equitable development of the living conditions of ethnic minority. The Constitution defines indigenous people based on the following criteria: (i) a language other than the national language; (ii) has long lived on that land, or has a relationship with that land; and a long-standing social organization; (iii) self-sufficient production system; and (iv) distinct cultural identities and identified as a distinct cultural group recognized by neighboring ethnic groups. Article 5 of Constitution 2013 recognizes the following general principles:
- (ii) The Land Law of 2013 (No.45/2013/QH13) enacted on 10/12/2013 recognizes the right of communities residing together, sharing the same customs and practices or same family line to have land use rights recognized by the State. It also states that such communities have rights to use land compensated for acquired land and non-land assets. The same law states that ethnic minority communities can be allocated or have long term and stable use of agricultural land recognized in order to preserve national identities associated with the traditions and customs of the people. (In the project affected areas, ethnic minority households tend to have individual rather than collective land use rights).
- (iii) The Government of Viet Nam has issued various policies on ethnic minority development issues, which can be divided into three groups of basic policy solutions, namely, (i) relating to facilitating agricultural settlement for ethnic minority people (ii) relating to facilitating the overall socio-economic development of the ethnic minority people in the uplands; and, (iii) relating to land allocation and land use in upland areas formerly inhabited by ethnic minorities.
- (iv) Decision 900/QĐ-TTg date 20th June 2017, issued the list of poverty commune, border area commune and safety area communes for investment of the program 135 – period 2017 – 2020.
- (v) Decree 05/2011/ND-CP issued 14<sup>th</sup> Jan 2011 on Ethnic Minority Mission, Regulations on 16 ethnic groups, need of special assistance. (The Lu which are present in the project area in Lai Chau are specified in this decree).
- (vi) Circular No. 01/2012/TTLT-BTP-UBDT dated 17 January 2012 guiding legal assistance for the ethnic minority people sets of the roles and responsibility of the Committee for Ethnic Minority Affairs in supporting ethnic minority people in the grievance redress process.

### 2.1.2 ADB Policies

18. The ADB Safeguard Policy Statement (2009) consolidates three existing safeguard policies: involuntary resettlement (IR), indigenous peoples (IP), and environment. The objectives of the IR policy are to: (i) where possible, avoid involuntary resettlement; (ii) explore design alternatives to avoid or reduce impacts; (iii) restore livelihoods and (iv) improve living standards

of poor and vulnerable households. The IP policy objectives are to: (i) design and implement projects that foster full respect for IP's identity, dignity, human rights, livelihood systems and cultural uniqueness as defined by IPs themselves; and (ii) ensure that IPs receive culturally appropriate social and economic benefits, do not suffer adverse impacts as a result of projects, and can participate actively in projects that affect them.

19. The ADB Policy on Gender and Development (1998) adopts gender mainstreaming as a key strategy for promoting gender equity, and for ensuring that women participate in and that their needs are explicitly addressed in the decision-making process for development activities. The new safeguard policy and requirements also reiterates the importance of including gender issues in the preparation of safeguards documents at all stages to ensure that gender concerns are incorporated, including gender-specific consultation and information disclosure. This includes special attention to guarantee women's assets, property, and land-use rights and restoration/improvement of their living standards; and to ensure that women will receive project benefits. Other policies of the ADB that have bearing on resettlement planning and implementation are the (i) Public Communications Policy (March 2005), and (ii) Accountability Mechanism (2003).

## 2.2 Socio-Economic and Cultural Description of the Project Area

20. The following sections of this chapter provide an overview of some key socio-economic and cultural characteristics of ethnic minority people in the project area. The information is drawn from available government statistics, socio-economic survey results and secondary sources. The socio-economic information is based on the results of a socio-economic survey conducted together with the inventory of losses used to prepare the resettlement plan from December 2017 to January 2018 and qualitative information obtained through 21 focus group discussions attended by 261 participants conducted November 2017 and August 2018. The survey results used here are based on 66 household survey results of ethnic minority households included in the survey. The focus groups consisted of 237 ethnic minority participants in 12 communes. Details of the focus group discussions are set out in Appendix 3. Data sources for tables are indicated underneath the tables.

**Table 3-1: Socio-Economic Survey Sample of Ethnic Minority Households**

District/ Commune	No. of Ethnic Minority Household Respondents
<b>Than Uyen district</b>	<b>5</b>
Phuc Than commune	5
<b>Tan Uyen district</b>	<b>6</b>
Tan Uyen town	0
Phuc Khoa commune	0
Pac Ta commune	1
Than Thuoc commune	1
Trung Dong commune	4
<b>Lai Chau City</b>	<b>4</b>
San Thang commune	3
Dong Phong ward	1
<b>Tam Duong district</b>	<b>51</b>
Ban Giang commune	15
Ban Bo commune	5
Ban Hon commune	12
Na Tam commune	19

District/ Commune	No. of Ethnic Minority Household Respondents
<b>Total</b>	<b>66</b>

21. The locations, attendance and ethnic composition of the discussion groups are presented in the following two tables.

**Table 3-2: List of Focus Groups**

Commune	Focus Groups	Male Participants	Female Participants	Total
Đông Phong	1	3	4	7
Bản Giang	2	11	7	18
Bản Hòn	2	11	8	19
Nà Tầm	2	6	10	16
Bản Bò	2	16	34	50
Phúc Khoa	2	9	12	21
TT Tân Uyên	2	27	21	48
Thân Thuộc	1	10	9	19
Trung Đồng	2	7	14	21
Pắc Ta	2	5	14	19
Phúc Thán	2	5	11	16
San Thành	1	5	2	7
<b>Total</b>	<b>21</b>	<b>115</b>	<b>146</b>	<b>261</b>

**Table 3-3: Ethnic Composition of Focus Groups**

Commune	Dao	Thái	Hmong	Lự	Lào	Kho mú	Giáy	Ethnic Minority*	Kinh	Total
Đông Phong		3					3		1	7
Bản Giang							16		2	18
Bản Hòn		2		17						19
Nà Tầm					16					16
Bản Bò								45	5	50
Phúc Khoa			10			11				21
TT Tân Uyên								48		48
Thân Thuộc		7	1						11	19
Trung Đồng		9	3			9				21
Pắc Ta	9					10				19
Phúc Thán	7	8							1	16
San Thành							3		4	7
<b>Total</b>	<b>16</b>	<b>29</b>	<b>14</b>	<b>17</b>	<b>16</b>	<b>30</b>	<b>22</b>	<b>93</b>	<b>24</b>	<b>261</b>

\* Note: The FGDs in Ban Bò and Tân Uyên only recorded whether participants were ethnic minority or Kinh.

## 2.3 Demographic Characteristics of the Project Area

22. The population of the immediate project areas is 70,312 with an average household size of 4.00 persons per household. The areas with the largest populations are Tân Uyên Town (13,402), Phúc Thán Commune (10,114), Trung Đồng Commune (7,074), Pắc Ta (6,319) and Đông Phong Ward (5,777). The remaining communes have populations under 5,000.

**Table 3-4: Population of the Immediate Project Area**

District/Commune	No. of HHs	No. of persons	Ave HH size
<b>Than Uyen district</b>	<b>3,691</b>	<b>10,114</b>	<b>2.74</b>
Phuc Than	3,691	10,114	2.74
<b>Tan Uyen district</b>	<b>7,938</b>	<b>34,721</b>	<b>4.37</b>
Tan Uyen town	3,366	13,402	3.98
Phuc Khoa	1,005	4,357	4.34
Pac Ta	1,331	6,319	4.75
Than Thuoc	844	3,569	4.23
Trung Dong	1,392	7,074	5.08
<b>Lai Chau City</b>	<b>2,742</b>	<b>10,366</b>	<b>3.78</b>
San Thang	1,229	4,589	3.73
Dong Phong ward	1,513	5,777	3.82
<b>Tam Duong district</b>	<b>3190</b>	<b>15,111</b>	<b>4.74</b>
Ban Giang	783	3,705	4.73
Ban Bo	1,164	5,175	4.45
Ban Hon	557	2,647	4.75
Na Tam	686	3,584	5.22
<b>Total</b>	<b>17,561</b>	<b>70,312</b>	<b>4.00</b>

(Source: Commune records)

23. There is a high proportion of ethnic minorities most of the project communes. All communes have majority ethnic minority populations of 75% to 99%, with the exception of Tan Uyen Town, San Thang Commune and Dong Phong Ward, which have 44%, 45% and 18% ethnic minority populations, respectively.

**Table 3-5: Ethnic Minority Population in the Immediate Project Areas**

District/Commune	Total HHs	Ethnic Minority HHs	Ethnic Minority HHs as % of Population
<b>Than Uyen district</b>	<b>3,691</b>	<b>3,476</b>	<b>94%</b>
Phuc Than	3,691	3,476	94%
<b>Tan Uyen district</b>	<b>7,938</b>	<b>5,556</b>	<b>70%</b>
Tan Uyen town	3,366	1,488	44%
Phuc Khoa	1,005	767	76%
Pac Ta	1,331	1,147	86%
Than Thuoc	844	793	94%
Trung Dong	1,392	1,361	98%
<b>Lai Chau City</b>	<b>2,742</b>	<b>829</b>	<b>30%</b>
San Thang	1,229	553	45%
Dong Phong ward	1,513	276	18%
<b>Tam Duong district</b>	<b>3,190</b>	<b>2,836</b>	<b>89%</b>
Ban Giang	783	735	94%
Ban Bo	1,164	874	75%
Ban Hon	557	547	98%
Na Tam	686	680	99%
<b>Total</b>	<b>17,561</b>	<b>12,697</b>	<b>72%</b>

(Source: Commune records)

24. The largest ethnic minority groups by proportion of the project area populations are: Thai (38%), Hmong (9%), Giay and Kho Mu (5% each) and Dao (4%). Thai represent the majorities in Than Thuoc (93%), Phuc Than (77%), Trung Dong (69%) and Pac Ta (55%).

**Table 3-6: Ethnic Minority Groups in the Immediate Project Areas by % Local Population**

District/ Commune	Thai	Giay	Dao	Hmong	Kho Mu	Lu	Others
<b>Than Uyen district</b>	77%	0%	2%	15%	0%		0%
Phuc Than	77%	0%	2%	15%	0%		0%
<b>Tan Uyen district</b>	40%	2%	5%	11%	12%		1%
Tan Uyen town	17%	0%	4%	12%	10%		2%
Phuc Khoa	13%	12%	3%	20%	24%		0%
Pac Ta	55%	0%	15%	2%	14%		0%
Than Thuoc	93%	0%	0%	0%	0%		1%
Trung Dong	69%	0%	0%	16%	13%		0%
<b>Lai Chau City</b>	3%	24%	1%	0%	0%		1%
San Thang	2%	40%	2%	0%	0%		0%
Dong Phong ward	4%	11%	0%	0%	0%		3%
<b>Tam Duong district</b>	18%	16%	6%	6%	0%	16%	1%
Ban Giang	0%	64%	19%	11%	0%		0%
Ban Bo	48%	0%	2%	5%	0%		2%
Ban Hon	0%	0%	0%	7%	0%	91%	0%
Na Tam	0%	0%	0%	0%	0%		99%
<b>Total</b>	<b>38%</b>	<b>7%</b>	<b>4%</b>	<b>9%</b>	<b>5%</b>	<b>3%</b>	<b>4%</b>

(Source: Commune records)

25. Based on the SES survey, 50% of the ethnic minority population are female. The for most age groups females are slightly over half, except for the age-group 31-40 for which women represent only 37% of the population.

**Table 3-7: Age-Sex Distribution**

District	Comme	Sex	Age Group						Total
			<18	18-30	31-40	41-50	51-60	>60	
Than Uyen district	Phuc Than	M	3	3	3	1	1	0	11
		F	1	4	2	1	2	1	11
Tan Uyen district	Tan Uyen town	M	0	0	0	0	0	0	0
		F	0	0	0	0	0	0	0
	Phuc Khoa	M	0	0	0	0	0	0	0
		F	0	0	0	0	0	0	0
	Pac Ta	M	0	0	1	0	0	0	1
		F	1	1	1	0	0	0	3
	Than Thuoc	M	1	0	1	0	0	0	2
		F	0	2	0	0	0	0	2
	Trung Dong	M	3	5	2	2	3	2	17
		F	3	7	1	2	4	0	17
Lai Chau City	San Thang	M	1	3	2	0	1	0	7
		F	4	1	2	0	1	0	8
	Dong Phong ward	M	1	1	0	0	0	0	2
		F	0	1	0	0	0	0	1

District	Comme	Sex	Age Group						Total
			<18	18-30	31-40	41-50	51-60	>60	
Tam Duong district	Ban Giang	M	7	16	3	9	1	1	37
		F	9	17	1	8	2	1	38
	Ban Bo	M	3	6	0	3	1	0	13
		F	0	7	0	4	0	0	11
	Ban Hon	M	8	12	5	4	1	1	31
		F	7	7	4	3	1	2	24
	Na Tam	M	13	16	7	5	9	4	54
		F	19	14	3	7	10	5	58
Total		M	40	62	24	24	17	8	175
		F	44	61	14	25	20	9	173
		Sum	84	123	38	49	37	17	348
		% F	52%	50%	37%	51%	54%	53%	50%

(SES)

## 2.4 Social and Cultural Characteristics of Main Ethnic Groups

26. Below are descriptions of the social, cultural and traditional livelihood practices of the main ethnic groups in the project areas.

### 2.4.1 Dao

27. The Dao belong to the Hmong-Dao language group. They have a population of 621,000 and are located in highland regions across northern Vietnam. Their ancestors migrated to Vietnam from southern China in the 18th and 19th centuries.

28. There are three main types of houses built by Dao: level with the ground (typical of sedentary communities) or on stilts or part stilts and part built ground level (typical of upland communities).

29. Traditional livelihood of upland Dao focused on swidden or shifting milpa type cultivation. Sedentary communities of valley areas cultivate crops, especially rice, maize along with other vegetables. Over the past decades and much associated with improvements in irrigation, Dao people have increasingly shifted to sedentary forms of cultivation and moved to lower laying valley areas. Animal husbandry and fish production are also typical farming practices.

30. Handicrafts tend to be sidelines undertaken during slack periods of the annual farming cycles. Some handicrafts have been developed such as weaving, forging, carpentry, paper making, oil pressing ... Dao food is mainly bamboo shoots, vegetables, sometimes fish meat. They raise a lot of pigs, chickens, but mainly used in the days of funeral, wedding, holidays.

31. Traditional society is composed of lineages and branches of lineages. Each lineage is headed by a chief ("Toc Truong") who played an important role in community life. Society is patriarchal and patrilocal.

32. The Dao practices ancestor worship. They also worship Ban Vuong, the common mythical ancestor of the Dao people. In spiritual life, the influence of Taoism, Buddhism and Confucianism is very marked – especially Taoism in their ceremonies and festivals.

33. They have a rich tradition of folk arts and literature. The Dao have long used Chinese script for religious books, genealogical records, and to transcribe tales, stories and verse. Principal literature genres are ancient tales, humorous tales, fables, riddles and folk-songs.

#### 2.4.2 Giay

34. The Giay belong to the Tay-Thai language group. They have a population of around 50,000 and inhabit mainly Lai Cai Province (Bat Xat, Bao Thang and Muong Khoung districts), Lai Chau Province (Phong Tho and Muong Te districts) and Ha Giang Province. Ancestors of the Giay migrated from southern China about 200 years ago. They have many similarities with the Tay, Thai, Nung and Bo Y in terms of custom and language.

35. The Giay generally live in stilted houses. However, those in Lai Chau typically build houses level with the ground. Their main income source is rice cultivation. The Giay are well versed in irrigated terrace rice farming. Besides rice growing, slash and burn cultivation supplies corn, potatoes, cassava, gourd and vegetables. Vegetable production is typically a secondary income source.

36. Animal husbandry includes mainly pigs and chickens. They also raise horses for riding and buffalo for hauling timber and pulling carts. Handicrafts are not well developed except for basketry as well as bamboo objects for family use. Traditionally, farming land was communal rather than individual and there is a strong practice of mutual assistance.

37. Society is patriarchal and patrilineal. On the ancestral altar located in the central bay of the Giay house, there are usually many incense stick vases, each for the worship of a deity such as that of heaven, of earth, spirits of ancestors, the genie of hearth, of soil and others.

#### 2.4.3 Hmong

38. The Hmong belong to the Hmong-Dao language group. They have a population of 788,000 and are located widely across northern Vietnam, including Yen Bai, Lai Chau and Lao Cai provinces. The Hmong are part of the San Miao of South China. Their ancestors emigrated to northern Vietnam around the end of the 18th and early 19th centuries associated with the Hmong struggle against Chinese feudal lords.

39. The Hmong house is often rudimentary in architecture, comprising three bays and two lean-tos. The altar to ancestors is located in the central bay. The lateral bays serve as kitchen and bedrooms. The Hmong family is patriarchal and patrilocal. The patrilineal nuclear family is the rule in society.

40. In the past, the Hmong practiced shifting cultivation but have now adopted a sedentary lifestyle, often constructing hydraulic systems to develop irrigated terraced fields. The principal food crop grown by Hmong is corn, while rice takes second place. Besides irrigated fields, the Hmong also grow rice on terraces. In corn fields, they alternatively plant various leguminous species such as green beans and peas. The principal fiber plant is hemp. They also grow cotton and are good weavers. Traditionally the most wide-spread plant of the Hmong was poppy to produce opium which formed an important place in their economy. Peach, plum and apple are famous fruit species in Hmong areas but their sales are still limited due to poor transportation. Poultry and cattle rearing is relatively well-developed. Most Hmong families have buffalos, oxen and horses and draught animals. Each family raises pigs and chicken. Forest products constitute an important income source and hunting is commonly practiced. Handicrafts are well developed: weaving; cloth dyeing with indigo; making of paper, agricultural implements and silver jewelry; leather tanning; basketry; and carpentry.

41. The Hmong worship spirits of the house, door and cattle. Buddhism, Confucianism and Taoism have also left their mark on Hmong spiritual beliefs. Catholicism is also practiced in some areas such as Sapa in Lao Cai Province. In the past, the Hmong had no script. Literary works were preserved and disseminated orally. This oral literature included legends, folk-songs, riddles, and proverbs. The arts are rich in music and dance. Musical instruments comprise skin drums, flute and harps, which provide rhythm to folk-dances and accompany songs performed in ceremonies.

#### 2.4.4 Lu

42. The Lu belong to the Tay-Thai language group. They have a population of around 5,000 in Vietnam and predominantly in Dien Bien Province. However, in the project area 91% of the population of Ban Hon Commune are ethnic Lu. The Lu ethnic group is categorized by the Government as being particularly vulnerable.

43. The village typically comprises 40-60 houses, that tend to be spacious and well-ventilated. The staple food is sticky rice served with fish and vegetables. They have led a sedentary lifestyle for a long time.

44. They cultivate submerged fields crisscrossed by streams that supply water for irrigation. The fields are carefully ploughed and weeded. They also grow corn, cassava, indigo and cotton with the techniques of slash-and-burn farming. Vegetables, gourd plants and fruit trees are grown in gardens. Animal husbandry is a family activity. Domestic animals are reared for meat needed for special occasions: receptions, religious ceremonies, funerals, weddings and so on. Hunting is becoming less popular and with less skilled hunters than in the past. Weaving is a widespread occupation.

#### 2.4.5 Tay

45. The Tay belong to the Thai-Ka Dai language group. They have a population of over 1,190,000 and are located mainly along the belt from Quang Ninh to Lao Cai and Yen Bai.

46. The Tay village typically has 40-50 houses built at the foot of a mountain or hill near a river or stream. The houses are on stilts with a two-flap or four-flap roof of palm leaves, tiles or thatch. The inside is divided into two by a partition. The rear section serves as bedroom and kitchen, the front as guest reception area where the altar to ancestors is located. Society is patriarchal. Traditionally, the father decided all matters with the eldest son as designated successor. The greater part of the family inheritance is given to the eldest son. The latter's children are given accorded greater consideration than those of his younger brothers.

47. The Tay are mainly wet-rice farmers. The techniques are well advanced and commonly include irrigation systems. Market gardening is a recent innovation, but traditionally the Tay have engaged in producing specialized crops such as anise, soya beans, cinnamon (Yen Bai), and timber. Also grown are fruit trees (pear, apricot, peach, tangerine), indigo plant and chestnuts. Growing bamboo for use in construction and basketry is also common. Animal rearing is quite developed: poultry, pigs, oxen and buffalos along with fish-rearing in ponds.

48. The culture of the Tay has been deeply influenced by that of the Viet due to their long-standing co-existence. Similar to the Viet, they also had a Nom based script with a rich literary history. Like the Viet, the Tay are influenced by Buddhism, Confucianism and Taoism. The rituals of marriage, funerals and naming new-borns follow Confucian prescriptions and very similar to those of the Viet. The earth genie is worshipped in a sanctuary at the foot of a banyan tree. Local deities are worshipped in a secluded forest area or on the top of a mountain considered sacred. In their temples, the Tay worship all the deities of the three religions, the

spirits of the rivers, the mountains and others. The ancestral altars of many families also include the veneration of Confucius, Buddha and Kwan Yin (the Goddess of Compassion).

#### 2.4.6 Thai

49. The Thai belong to the Tay-Ka Dai language group. They have a population of 1,040,00 and are located in Northwestern Vietnam from the Red to Lam River. The main sub-groups are White Thai (Tay Khao) and Black Thai (Tay Dam). Besides Vietnam, they are also present in Laos, Thailand and southern China. They tend to settle in fertile valleys, river basin and besides streams where they practice wet-rice cultivation.

50. The Thai village generally comprises 40-50 houses. The Thai live in houses on bamboo or wooden stilts with wattle and daub. The house is generally spacious. The roof of the Black Thai house is shaped like to tortoise carapace while that of the White Thai is rectangular and provided with a balcony.

51. Society is patrilineal and patrilocal. However, the numbers of families based on patriarchal lineages has decreased in favour of smaller ones. Although patriarchy remains the foundation of society. Historically Thai society was feudal with clear class differentiation which reflected in the distribution of productive land.

52. The Thai have highly developed wet-rice farming cultivation practices with high yields due to small-scale irrigation works enabling two annual crops. Besides rice, they also produce vegetables, often in terraced fields. Gathering, fishing and hunting also play a large role in their livelihoods. From the forest, they collect building materials and food during periods of food shortages such as prior to harvest. Handicrafts, such as patterned handmade cloth with floral and animal motifs is also practiced.

53. The Thai have a rich cultural and spiritual heritage comprised of those created by the common people and those by the upper class. The Thai traditional written form is Sanskrit based. Many valuable legacies have been discovered such as historical books of thousands of pages, folk songs, writings on morality, religion, customs and practices, legends, stories and genres. Thai arts are rich and unique. There are folk dances such as 'xoe vong' performed by young people on festival nights, dances of reapers, or rowers, dances with shields and with bamboo sticks ('mua sap').

## 2.5 Access to Social Services

54. Access to district-level services for the communes in the project area is relatively convenient with an average distance of 10km. Half of the communes have a distance of 10km or more to the district centre and two have a distance of 20-21km. The average distance to the highway is 3km.

### 2.5.1 Health

55. The average distance to hospitals is 9km. Most of the areas studied through the focus group discussions did not report difficulties accessing health services. Services in the locality were reported to be adequate with local people have health insurance cards. Areas reporting difficulty accessing health services due to poor road conditions were Na Tam, Ban Bo and outlying areas of Tan Uyen Town.

Table 3-8: Distance from Communes to Services (km)

Commune	From commune to highway	From commune to district center	From commune to hospital, health station	From commune to the nearest bus station
Phuc Than	2.0	10.0	10.0	10.0
Tan Uyen town	0.3	1.0	0.6	40.0
Phuc Khoa	0.1	10.0	10.0	50.0
Pac Ta	0.1	20.0	20.0	20.0
Than Thuoc	3.0	4.0	4.0	4.0
Trung Dong	1.0	2.5	4.0	-
San Thang	0.1	5.0	0.2	0.2
Dong Phong ward	0.1	7.5	1.0	0.1
Ban Giang	11.5	21.0	22.0	11.5
Ban Bo	0.1	12.0	10.0	40.0
Ban Hon	15.0	15.0	16.0	12.0
Na Tam	4.5	8.5	7.0	40.0
Average	3.1	9.7	8.7	19.0

(Commune People's Committees)

### 2.5.2 Education

56. The areas studied through the focus group discussions, did not report difficulties accessing basic education. Children were generally reported to attend school up to lower secondary school with no or only small numbers of drop outs. Primary and lower secondary schools are situated in the locality. However, most children did not progress to upper secondary school after year nine mainly due to distance.

57. All communes have a kindergarten, primary school and lower secondary school. Only one of the communes (Trung Dong) has an upper secondary high school. It is noted that some communes (Phuc Than, Pac Ta, Than Thuoc, Trung Dong, San Thang, Dong Phuong) have primary or lower secondary school with only 1-2 classrooms. For other communes the nearest

upper secondary high school would be located at the district centres. Access to upper secondary schools for the communes far from the district centres is constrained by longer distances for children to travel on a daily basis.

**Table 3-9: School Classrooms in the Project Areas**

Commune	School	Number of Rooms				
		Total	Temporary house	Semi-permanent, one-story brick house	Multi-storeyed house	Library
Phuc Than	Kindergarten	2			2	1
	Primary school	2			2	1
	Secondary school	1			1	1
	High school	1			1	1
Tan Uyen town	Kindergarten	41	-	21	20	1
	Primary school	64		34	30	1
	Secondary school	41		16	25	1
	High school	36		-	36	1
Phuc Khoa	Kindergarten	6	2	4		
	Primary school	6		6		1
	Secondary school	1		1		1
	High school					
Pac Ta	Kindergarten	3	1		2	
	Primary school	2			2	
	Secondary school	1			1	
	High school	-				
Than Thuoc	Kindergarten	1			1	

Commune	School	Number of Rooms				
		Total	Temporary house	Semi-permanent, one-story brick house	Multi-storeyed house	Library
	Primary school	2			2	
	Secondary school	1			1	
	High school					
Trung Dong	Kindergarten	35		33	2	
	Primary school	52		50	2	
	Secondary school	34		32	2	
	High school	19		18	1	
San Thang	Kindergarten	2		2		
	Primary school	2		1	1	
	Secondary school	2			2	
	High school					
Dong Phong ward	Kindergarten	2			2	
	Primary school	1			1	
	Secondary school	1			1	
	High school	2			2	
Ban Giang	Kindergarten	6		5	1	
	Primary school	5		4	1	
	Secondary school	1			1	
	High school					

Commune	School	Number of Rooms				
		Total	Temporary house	Semi-permanent, one-story brick house	Multi-storeyed house	Library
Ban Bo	Kindergarten	10	9	1		
	Primary school	3	2	1		
	Secondary school	9		1	8	
	High school					
Ban Hon	Kindergarten	10		10		
	Primary school	16		16		
	Secondary school	8			8	
	High school					
Na Tam	Kindergarten					
	Primary school	6		5	1	
	Secondary school	2		1	1	
	High school					

(Communes People's Committees)

58. The SES survey gathered information on the highest education attainment of household members. For most, the highest education attainment was primary and secondary school (21% and 22%, respectively) while 10% had completed high school. The average of those who responded as being illiterate was 20%. Women were twice and likely as men to be illiterate (28% versus 13% for men). Illiteracy levels were significant in most of the surveyed communes.

**Table 3-10 Education Attainment of Household Members**

District/Commune	Sex	Illiterate	Primary school	Secondary school	Not finish High school	High school	Vocational college	University and above	Other	Total
Than Uyen district										
Phuc Than	M	0	2	3	0	4	1	0	1	11
	F	2	1	2	2	3	1	0	0	11

District/ Commune	Sex	Illiterate	Primary school	Secondary school	Not finish High school	High school	Vocational college	University and above	Other	Total
Tan Uyen District										
Pac Ta	M	0	0	0	0	0	0	1	0	1
	F	0	1	0	0	0	0	1	1	3
Than Thuoc	M	0	1	0	0	0	0	1	0	2
	F	0	0	0	0	0	1	0	1	2
Trung Dong	M	2	4	7	1	1	0	1	1	17
	F	6	4	2	0	2	0	2	1	17
Lai Chau city										
San Thang	M	0	1	2	1	0	0	1	2	7
	F	2	0	1	2	0	0	1	2	8
Dong Phong	M	0	1	0	1	0	0	0	0	2
	F	0	0	1	0	0	0	0	0	1
Tam Duong District										
Ban Giang	M	7	9	4	1	10	0	2	4	37
	F	4	10	7	5	3	0	4	5	38
Ban Bo	M	3	3	5	0	0	0	0	2	13
	F	5	1	3	1	1	0	0	0	11
Ban Hon	M	4	6	6	1	4	1	0	9	31
	F	9	6	2	0	2	1	1	3	24
Na Tam	M	6	12	21	3	3	1	1	7	54
	F	20	12	11	3	1	0	0	11	58
Total	M	22	39	48	8	22	3	7	26	175
	F	48	35	29	13	12	3	9	24	173
	Σ	70	74	77	21	34	6	16	50	348
	%	20%	21%	22%	6%	10%	2%	5%	14%	100%
Sex distribution within each education level	%M	13%	22%	28%	4%	13%	2%	4%	15%	100%
	% F	28%	20%	16%	8%	7%	2%	5%	14%	100%

(SES survey)

## 2.6 Living Standards

### 2.6.1 Livelihood

59. The survey found that the most common main occupation of household members was agriculture (60%) followed by public sector (8%). Women were equally engaged in occupations as men. Women were slightly more likely to be engaged in farming than men and less likely to be engaged in hired labour.

**Table 3-11: Main Occupation of Household Members**

Location	Sex	Agriculture	Livestock breeding	Business/Ser vice	Restaurant/food stall	Factory worker	Public sector	Private sector	Housewife	Hired labor	Freelancer	Other	Total
<b>Than Uyên district</b>	<b>M</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>3</b>	<b>1</b>	<b>8</b>
	<b>F</b>	<b>2</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>2</b>	<b>9</b>
Phúc Than	M	2	0	0	0	0	2	0	0	0	3	1	8
	F	2	0	1	0	0	3	0	0	1	0	2	9
<b>Tân Uyên District</b>	<b>M</b>	<b>7</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>3</b>	<b>1</b>	<b>2</b>	<b>16</b>
	<b>F</b>	<b>9</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>3</b>	<b>16</b>
Thị trấn Tân Uyên	M	0	0	0	0	0	0	0	0	0	0	0	0
	F	0	0	0	0	0	0	0	0	0	0	0	0
Xã Phúc Khoa	M	0	0	0	0	0	0	0	0	0	0	0	0
	F	0	0	0	0	0	0	0	0	0	0	0	0
Xã Pắc Ta	M	0	0	0	0	0	1	0	0	0	0	0	1
	F	0	0	0	0	0	1	0	0	0	0	1	2
Xã Thân Thuộc	M	0	0	0	0	0	1	0	0	0	0	0	1
	F	0	0	0	0	0	1	0	0	0	0	1	2
Xã Trung Đồng	M	7	0	0	0	0	1	0	0	3	1	2	14
	F	9	0	0	0	0	0	0	0	0	2	1	12
<b>Thành Phố Lai Châu</b>	<b>M</b>	<b>3</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>7</b>
	<b>F</b>	<b>5</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>7</b>
Xã Sần Thàng	M	2	0	1	0	0	1	0	0	0	0	2	6
	F	4	0	1	0	0	0	0	0	0	0	1	6
Phường Đông Phong	M	1	0	0	0	0	0	0	0	0	0	0	1
	F	1	0	0	0	0	0	0	0	0	0	0	1
<b>Tam Đường District</b>	<b>M</b>	<b>66</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>7</b>	<b>1</b>	<b>0</b>	<b>10</b>	<b>5</b>	<b>21</b>	<b>111</b>
	<b>F</b>	<b>71</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>4</b>	<b>0</b>	<b>2</b>	<b>3</b>	<b>3</b>	<b>19</b>	<b>104</b>
Xã Bàn Giàng	M	19	0	0	0	0	2	0	0	4	1	6	32
	F	21	0	0	0	0	1	0	0	1	1	5	29
Xã Bản Bo	M	7	0	0	0	0	0	0	0	2	0	2	11
	F	6	0	1	0	0	0	0	0	1	0	1	9
Xã Bản Hòn	M	11	0	0	0	0	3	1	0	0	1	7	23
	F	14	0	0	0	0	3	0	0	0	0	2	19
Xã Nà Tăm	M	29	0	0	0	1	2	0	0	4	3	6	45
	F	30	1	0	0	0	0	0	2	1	2	11	47
<b>Total</b>	<b>M</b>	<b>78</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>13</b>	<b>1</b>	<b>0</b>	<b>13</b>	<b>9</b>	<b>26</b>	<b>142</b>
	<b>F</b>	<b>87</b>	<b>1</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>9</b>	<b>0</b>	<b>2</b>	<b>4</b>	<b>5</b>	<b>25</b>	<b>136</b>
	<b>Σ</b>	<b>165</b>	<b>1</b>	<b>4</b>	<b>0</b>	<b>1</b>	<b>22</b>	<b>1</b>	<b>2</b>	<b>17</b>	<b>14</b>	<b>51</b>	<b>278</b>
	<b>As %</b>	<b>60%</b>	<b>0%</b>	<b>1%</b>	<b>0%</b>	<b>0%</b>	<b>8%</b>	<b>0%</b>	<b>1%</b>	<b>6%</b>	<b>5%</b>	<b>18%</b>	<b>100%</b>

Location	Sex	Agriculture	Livestock breeding	Business/Service	Restaurant/food stall	Factory worker	Public sector	Private sector	Housewife	Hired labor	Freelancer	Other	Total
As %	<b>M</b>	55%	0%	1%	0%	1%	9%	1%	0%	9%	6%	18%	100%
	<b>F</b>	64%	1%	2%	0%	0%	7%	0%	1%	3%	4%	19%	100%

(SES survey)

## 2.6.2 Water, Energy Sources, Sanitation, Assets and Health

60. There is a very mixed variety of water sources for drinking across the project communes. Dug well water are the most common source of water at 34.8% of respondents followed by pond, lake, stream... (32%), while 25.7% used piped water.

**Table 3-12: Sources of Water for Drinking**

No.	District / Commune	Unit	Water source					
			Rain water	Dug well water	Drilled well water	Tap water	Piped water	Pond, lake, stream, etc.
<b>I</b>	<b>Than Uyen district</b>	No. of HHs	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>3</b>	<b>2</b>
		%	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>60.00%</b>	<b>40.00%</b>
1.1	Phuc Than commune	No. of HHs	0	0	0	0	3	2
		%	0.00%	0.00%	0.00%	0.00%	60.00%	40.00%
<b>II</b>	<b>Tan Uyen district</b>	No. of HHs	<b>0</b>	<b>4</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>0</b>
		%	<b>0.00%</b>	<b>66.67%</b>	<b>16.67%</b>	<b>0.00%</b>	<b>16.67%</b>	<b>0%</b>
2.1	Tan Uyen town	No. of HHs	0	0	0	0	0	0
		%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
2.2	Phuc Khoa commune	No. of HHs	0	0	0	0	0	0
		%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
2.3	Pac Ta commune	No. of HHs	0	0	1	0	0	0
		%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%
2.4	Than Thuoc commune	No. of HHs	0	0	0	0	1	0
		%	0.00%	100.00%	0.00%	0.00%	100.00%	0.00%
2.5	Trung Dong commune	No. of HHs	0	4	0	0	0	0
		%	0.00%	100%	0.00%	0.00%	0.00%	0%
<b>III</b>	<b>Lai Chau City</b>	No. of HHs	<b>0</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>1</b>
		%	<b>0.00%</b>	<b>25.00%</b>	<b>0.00%</b>	<b>25.00%</b>	<b>25.00%</b>	<b>25.00%</b>
3.1	San Thang commune	No. of HHs	0	1	0	0	1	1
		%	0.00%	33.30%	0.00%	0.00%	33.30%	33.30%
3.2	Dong Phong ward	No. of HHs	0	0	0	1	0	0

No.	District / Commune	Unit	Water source					
			Rain water	Dug well water	Drilled well water	Tap water	Piped water	Pond, lake, stream, etc.
		%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%
IV	Tam Duong district	No. of HHs	0	18	0	3	12	18
		%	0.00%	35.29%	0.00%	5.88%	23.53%	35.29%
4.1	Ban Giang commune	No. of HHs	0	4	0	3	6	2
		%	0.00%	26.67%	0.00%	20.00%	40.00%	13.33%
4.2	Ban Bo commune	No. of HHs	0	1	0	0	1	3
		%	0.00%	20.00%	0.00%	0.00%	20.00%	60.00%
4.3	Ban Hon commune	No. of HHs	0	7	0	0	5	0
		%	0.00%	58%	0.00%	0%	41.67%	0%
4.4	Na Tam commune	No. of HHs	0	6	0	0	0	13
		%	0.00%	31.58%	0.00%	0.00%	0.00%	68.42%
	Total	No. of HHs	0	23	1	4	17	21
		%	0.00%	34.8%	1.5%	6.0%	25.7%	32%

(SES survey)

61. Households self-assessment of the quality of their water is mixed. A large majority (92%) find their water quality either good or acceptable. However, there are significant proportions that consider their water quality poor in Phuc Than (20%) and San Thang (33%).

**Table 3-13: Household Self-Assessment of Water Quality**

District/ Commune	Unit	Good	Accept - able	Not good	Total
Than Uyen district	HHs	1	3	1	5
	%	20%	60%	20%	100%
Phuc Than	HHs	1	3	1	5
	%	20%	60%	20%	100%
Tan Uyen district	HHs	4	2	0	6
	%	67%	33%	0%	100%
Pac Ta	HHs	1	0	0	1
	%	100%	0%	0%	100%
Than Thuoc	HHs	1	0	0	1
	%	100%	0%	0%	100%
Trung Dong	HHs	2	2	0	4
	%	50%	50%	0%	100%
Lai Chau City	HHs	2	1	1	4
	%	50%	25%	25%	100%
San Thang	HHs	1	1	1	3
	%	33%	33%	33%	100%
Dong Phong ward	HHs	1	0	0	1
	%	100%	0%	0%	100%
Tam Duong district	HHs	23	25	3	51
	%	45%	49%	6%	100%

District/ Commune	Unit	Good	Accept - able	Not good	Total
Ban Giang	HHs	6	8	1	15
	%	40%	53%	7%	100%
Ban Bo	HHs	3	2	0	5
	%	60%	40%	0%	100%
Ban Hon	HHs	2	9	1	12
	%	17%	75%	8%	100%
Na Tam	HHs	12	6	1	19
	%	63%	32%	5%	100%
<b>Total</b>	<b>HHs</b>	<b>30</b>	<b>31</b>	<b>5</b>	<b>66</b>
	<b>%</b>	<b>45%</b>	<b>47%</b>	<b>8%</b>	<b>100%</b>

(SES Survey)

62. Toilets inside with houses with a septic tank is the most common form of household sanitation in all areas. This is the main type in all locations, except Tam Duong District communes where 39% had toilets inside the house, 18% had no toilet, 10% had tank toilet and 20% reported 'other' types of toilets.

**Table 3-14: Household Sanitation**

District/ Commune	Unit	Tank toilet	Toilets beyond fish pond	Public toilets	Toilets in house have septic tanks	Toilets in house lead to wastewater source	Toilets in house lead to water source	No toilets	Other
<b>Than Uyen district</b>	<b>HHs</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>	<b>100%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>
Phuc Than	HHs	0	0	0	5	0	0	0	0
	%	0%	0%	0%	100%	0%	0%	0%	0%
<b>Tan Uyen district</b>	<b>HHs</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>5</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>	<b>83%</b>	<b>17%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>
Pac Ta	HHs	0	0	0	1	0	0	0	0
	%	0%	0%	0%	100%	0%	0%	0%	0%
Than Thuoc	HHs	0	0	0	0	1	0	0	0
	%	0%	0%	0%	0%	100%	0%	0%	0%
Trung Dong	HHs	0	0	0	4	0	0	0	0
	%	0%	0%	0%	100%	0%	0%	0%	0%
<b>Lai Chau City</b>	<b>HHs</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>3</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>	<b>75%</b>	<b>25%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>
San Thang	HHs	0	0	0	2	1	0	0	0
	%	0%	0%	0%	67%	33%	0%	0%	0%
Dong Phong ward	HHs	0	0	0	1	0	0	0	0
	%	0%	0%	0%	100%	0%	0%	0%	0%

District/ Commune	Unit	Tank toilet	Toilets beyond fish pond	Public toilets	Toilets in house have septic tanks	Toilets in house lead to wastewater source	Toilets in house lead to water source	No toilets	Other
Tam Duong district	HHs	5	0	0	20	6	1	9	10
	%	10%	0%	0%	39%	12%	2%	18%	20%
Ban Giang	HHs	4	0	0	5	2	0	2	2
	%	27%	0%	0%	33%	13%	0%	13%	13%
Ban Bo	HHs	1	0	0	2	1	0	1	0
	%	20%	0%	0%	40%	20%	0%	20%	0%
Ban Hon	HHs	0	0	0	7	2	0	2	1
	%	0%	0%	0%	58%	17%	0%	17%	8%
Na Tam	HHs	0	0	0	6	1	1	4	7
	%	0%	0%	0%	32%	5%	5%	21%	37%
Total	HHs	5	0	0	33	8	1	9	10
	%	8%	0%	0%	50%	12%	2%	14%	15%

(SES Survey)

63. Virtually all households (98%) are connected to the national electricity grid. Only one household is sourcing their electricity from a private grid.

**Table 3-15: Household Sources of Energy for Lighting**

District/ Commune	Unit	National grid	Private grid	Private generator	Gas/petrol	Gas cylinder
Than Uyen district	HHs	5	0	0	0	0
	%	100%	0%	0%	0%	0%
Phuc Than	HHs	5	0	0	0	0
	%	100%	0%	0%	0%	0%
Tan Uyen district	HHs	6	0	0	0	0
	%	100%	0%	0%	0%	0%
Pac Ta	HHs	1	0	0	0	0
	%	100%	0%	0%	0%	0%
Than Thuoc	HHs	1	0	0	0	0
	%	100%	0%	0%	0%	0%
Trung Dong	HHs	4	0	0	0	0
	%	100%	0%	0%	0%	0%
Lai Chau City	HHs	3	1	0	0	0
	%	67%	33%	0%	0%	0%
San Thang	HHs	2	1	0	0	0
	%	67%	33%	0%	0%	0%
Dong Phong ward	HHs	1	0	0	0	0

District/ Commune	Unit	National grid	Private grid	Private generator	Gas/petrol	Gas cylinder
	%	100%	0%	0%	0%	0%
<b>Tam Duong district</b>	<b>HHs</b>	<b>51</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	%	<b>100%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>
Ban Giang	HHs	15	0	0	0	0
	%	100%	0%	0%	0%	0%
Ban Bo	HHs	5	0	0	0	0
	%	100%	0%	0%	0%	0%
Ban Hon	HHs	12	0	0	0	0
	%	100%	0%	0%	0%	0%
Na Tam	HHs	19	0	0	0	0
	%	100%	0%	0%	0%	0%
<b>Total</b>	<b>HHs</b>	<b>65</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>
	%	<b>98%</b>	<b>2%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>

(SES Survey)

64. The most common forms of energy for cooking are wood (41%) and gas cylinder (35%). Other common cooking energy sources are kerosene and electricity.

**Table 3-16: Household Sources of Energy for Cooking**

District/ Commune	Unit	Electric	Gas/ kerosene	Gas cylinder	Charcoal	Wood	Other
<b>Than Uyen district</b>	<b>HHs</b>	<b>0</b>	<b>0</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>%</b>	<b>0%</b>	<b>0%</b>	<b>100%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>
Phuc Than	HHs	0	0	5	0	0	0
	%	0%	0%	100%	0%	0%	0%
<b>Tan Uyen district</b>	<b>HHs</b>	<b>0</b>	<b>2</b>	<b>2</b>	<b>0</b>	<b>2</b>	<b>0</b>
	<b>%</b>	<b>0%</b>	<b>14%</b>	<b>57%</b>	<b>0%</b>	<b>29%</b>	<b>0%</b>
Pac Ta	HHs	0	1	0	0	0	0
	%	0%	100%	0%	0%	0%	0%
Than Thuoc	HHs	0	0	1	0	0	0
	%	0%	0%	100%	0%	0%	0%
Trung Dong	HHs	0	1	1	0	2	0
	%	0%	17%	50%	0%	33%	0%
<b>Lai Chau City</b>	<b>HHs</b>	<b>2</b>	<b>0</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>%</b>	<b>50%</b>	<b>0%</b>	<b>50%</b>	<b>0%</b>	<b>0%</b>	<b>0%</b>
San Thang	HHs	1	0	2	0	0	0
	%	33%	0%	67%	0%	0%	0%
Dong Phong ward	HHs	1	0	0	0	0	0
	%	100%	0%	0%	0%	0%	0%

District/ Commune	Unit	Electric	Gas/ kerosine	Gas cylinder	Charcoal	Wood	Other
<b>Tam Duong district</b>	HHs	<b>2</b>	<b>9</b>	<b>14</b>	<b>1</b>	<b>25</b>	<b>0</b>
	%	<b>4%</b>	<b>18%</b>	<b>27%</b>	<b>2%</b>	<b>49%</b>	<b>0%</b>
Ban Giang	HHs	0	2	7	1	5	0
	%	0%	13%	47%	7%	33%	0%
Ban Bo	HHs	0	1	1	0	3	0
	%	0%	20%	20%	0%	60%	0%
Ban Hon	HHs	0	3	4	0	5	0
	%	0%	25%	33%	0%	42%	0%
Na Tam	HHs	2	3	2	0	12	0
	%	11%	16%	11%	0%	63%	0%
Total	HHs	4	11	23	1	27	0
	%	6%	17%	35%	2%	41%	0%

(SES Survey)

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

**Table 3-17: Household Assets**

District/ Commune	Unit	Bike	Motorbike	TV	Fridge	Washing machine	Air-conditioner	Gas stove/ Electric stove/Induction hob	Electric Cooker	Computer	Mobile phone	Valuable wood cabinets/ beds
<b>Total</b>	<b>%</b>	<b>40 %</b>	<b>100 %</b>	<b>100 %</b>	<b>80%</b>	<b>80%</b>	<b>0%</b>	<b>100 %</b>	<b>100 %</b>	<b>60%</b>	<b>100 %</b>	<b>40%</b>
Phuc Than	HH	2	5	5	4	4	0	5	5	3	5	2
	%	40 %	100 %	100 %	80%	80%	0%	100 %	100 %	60%	100 %	40%
<b>Tan Uyen district</b>	<b>HH</b>	<b>1</b>	<b>8</b>	<b>7</b>	<b>7</b>	<b>2</b>	<b>1</b>	<b>8</b>	<b>8</b>	<b>5</b>	<b>8</b>	<b>4</b>
	<b>%</b>	<b>13 %</b>	<b>100 %</b>	<b>88%</b>	<b>88%</b>	<b>25%</b>	<b>13%</b>	<b>100 %</b>	<b>100 %</b>	<b>63%</b>	<b>100 %</b>	<b>50%</b>
Pac Ta	HH	0	1	1	1	1	1	1	1	1	1	1
	%	0%	100 %	100 %	100 %	100 %	100 %	100 %	100 %	100 %	100 %	100 %
Than Thuoc	HH	0	1	1	1	1	0	1	1	1	1	1
	%	0%	100 %	100 %	100 %	100 %	0%	100 %	100 %	100 %	100 %	100 %
Trung Dong	HH	1	6	5	5	0	0	6	6	3	6	2
	%	17 %	100 %	83%	83%	0%	0%	100 %	100 %	50%	100 %	33%

District/ Commune	Unit	Bike	Motorbike	TV	Fridge	Washing machine	Air-conditioner	Gas stove/ Electric stove/Induction hob	Electric Cooker	Computer	Mobile phone	Valuable wood cabinets/ beds
<b>Lai Chau City</b>	<b>HH</b>	<b>2</b>	<b>4</b>	<b>4</b>	<b>4</b>	<b>3</b>	<b>0</b>	<b>4</b>	<b>4</b>	<b>1</b>	<b>4</b>	<b>3</b>
	<b>%</b>	<b>50 %</b>	<b>100 %</b>	<b>100 %</b>	<b>100 %</b>	<b>75%</b>	<b>0%</b>	<b>100 %</b>	<b>100 %</b>	<b>25%</b>	<b>100 %</b>	<b>100 %</b>
San Thang	HH	2	3	3	3	2	0	3	3	1	3	3
	%	67 %	100 %	100 %	100 %	67%	0%	100 %	100 %	33%	100 %	100 %
Dong Phong ward	HH	0	1	1	1	1	0	1	1	0	1	0
	%	0%	100 %	100 %	100 %	100 %	0%	100 %	100 %	0%	100 %	0%
<b>Tam Duong district</b>	<b>HH</b>	<b>16</b>	<b>47</b>	<b>43</b>	<b>20</b>	<b>3</b>	<b>0</b>	<b>42</b>	<b>44</b>	<b>2</b>	<b>48</b>	<b>10</b>
	<b>%</b>	<b>31 %</b>	<b>92%</b>	<b>84%</b>	<b>39%</b>	<b>6%</b>	<b>0%</b>	<b>82%</b>	<b>86%</b>	<b>4%</b>	<b>94%</b>	<b>20%</b>
Ban Giang	HH	3	14	12	6	0	0	13	15	0	14	3
	%	20 %	93%	80%	40%	0%	0%	87%	100 %	0%	93%	20%
Ban Bo	HH	1	4	4	3	0	0	4	5	0	4	1
	%	20 %	80%	80%	60%	0%	0%	80%	100 %	0%	80%	20%
Ban Hon	HH	5	11	11	8	3	0	10	11	2	11	3
	%	42 %	92%	92%	67%	25%	0%	83%	92%	17%	92%	25%
Na Tam	HH	7	18	16	3	0	0	15	13	0	19	3
	%	37 %	95%	84%	16%	0%	0%	79%	68%	0%	100 %	16%

(SES)

### 2.6.3 Poverty in the Project Area

66. Being poor or near-poor is based on the Government-set national poverty line of an average monthly per capital income together with consideration of deprivation of access to social services. A poor household in rural areas is one that satisfies either of the two following norms: (i) Having a monthly per capita income of VND 700,000 or lower; or (ii) Having a monthly per capita income of between over VND 700,000 and VND 1.000. 000 and deprived of at least 3 indicators measuring deprivation of access to basic social services. A poor household in urban areas is one that satisfies either of the two following norms: Having a monthly per capita income of VND 900,000 or lower; or Having a monthly per capita income of between over VND 900,000 and VND 1.300.000 and deprived of at least 3 indicators measuring deprivation of access to basic social services. A near-poor household in rural areas is the one that has a monthly per capita income of between over VND 700.000 and VND 1,000,000 and is deprived of less than 3 indicators measuring deprivation of access to basic social services. A near-poor household in an urban area is the one that has a monthly per capita income of between over VND 900.000 and VND 1,300,000 and is deprived of less than 3 indicators measuring deprivation of access to basic social services. (Decision No 59/2015/QĐ-TTg issued by Prime minister).

67. Based on district records, the average poverty rate in the project areas is 23% (poor and near poor) with Tam Duong District having a very poverty rate of 51%. The poorest communes are Na Tam (67%), Ban Hon (51%), Ban Bo (49%) and Ban Giang (39%) which are all in Tam Duong District.

**Table 3-18: Poverty Rates in the Project Areas**

District/Commune	Number of HHs	Number of poor HHs	Number of near-poor HHs	% Poor and Near Poor
<b>Than Uyen district</b>	3,691	439	122	15%
Phuc Than commune	3,691	439	122	15%
<b>Tan Uyen district</b>	7,938	1,059	810	24%
Tan Uyen town	3,366	497	304	24%
Phuc Khoa commune	1,005	102	162	26%
Pac Ta commune	1,331	132	89	17%
Than Thuoc commune	844	94	61	18%
Trung Dong commune	1,392	234	194	31%
<b>Lai Chau City</b>	2742	33	15	2%
San Thang commune	1229	27	14	3%
Dong Phong ward	1513	6	1	0%
<b>Tam Duong district</b>	3190	1136	479	51%
Ban Giang commune	783	221	81	39%
Ban Bo commune	1164	448	117	49%
Ban Hon commune	557	121	165	51%
Na Tam commune	686	346	116	67%
<b>Total</b>	17,561	2,667	1,426	23%

(District records)

68. The SES also obtained information on household incomes reported by the surveyed households. The results presented as per capita incomes and grouped according to Government poverty ranges is presented below. There is significant difference with local Government records which can be attributed to the sample size. For example, ethnic Lu which constitute 91% of the Ban Hon Commune population and are categorized by the Government as a particularly vulnerable ethnic group have a poor and near poor rate of 51% in local government records, but 33% from the SES survey results based on a sample size of 12 for that commune.

**Table 3-19: Grouping of Per Capita Household Income Ranges**

Commune		Economic conditions of EM households according to poor standard of Government		
		Poor (VND 700,000/person/month)	Near-poor (from VND 700,000 - VND 1,000,000/person/month)	Average or above
<b>Than Uyen District</b>				<b>11</b>
Phuc Than Commune	<b>HH</b>	0	0	5
	<b>%</b>	0%	0%	100%
<b>Tan Uyen District</b>				
Tan Uyen Town	<b>HH</b>	0	0	0
	<b>%</b>	0%	0%	0%

Commune		Economic conditions of EM households according to poor standard of Government		
		Poor (VND 700,000/person/month)	Near-poor (from VND 700,000 - VND 1,000,000/person/month)	Average or above
Phuc Khoa Commune	<b>HH</b>	0	0	0
	%	0%	0%	0%
Pac Ta Commune	<b>HH</b>	0	0	1
	%	0%	0%	100%
Than Thuoc Commune	<b>HH</b>	0	0	1
	%	0%	0%	100%
Trung Dong Commune	<b>HH</b>	0	0	4
	%	0%	0%	100%
<b>Lai Chau City</b>				
San Thang Commune	<b>HH</b>	0	1	2
	%	0%	33%	67%
Dong Phong Ward	<b>HH</b>	0	0	1
	%	0%	0%	100%
<b>Tam Duong District</b>				
Ban Giang Commune	<b>HH</b>	5	3	7
	%	33%	20%	47%
Ban Bo Commune	<b>HH</b>	1	0	4
	%	20%	0%	80%
Ban Hon Commune	<b>HH</b>	1	3	8
	%	8%	25%	67%
Na Tam Commune	<b>HH</b>	11	4	4
	%	58%	21%	21%
<b>Total</b>		<b>18</b>	<b>11</b>	<b>37</b>
<b>Percentage</b>		<b>27%</b>	<b>17%</b>	<b>56%</b>

(SES)

69. The majority of SES surveyed households (80%) reported that their income was in excess of expenditure, eight percent that their income was equivalent to expenditure and 12% reported that their expenditure was more than their income.

**Table 3-20: Difference between the income and expenditure of the affected households**

No.	District/ Commune	Comparison							
		Income < expenditure		Income = expenditure		Income > expenditure		Total	
		HHs	%	HHs	%	HHs	%	HHs	%
<b>I</b>	<b>Than Uyen district</b>	0	0%	0	0%	5	100%	<b>5</b>	100%
1.1	Phuc Than	0	0%	0	0%	5	100%	5	100%
<b>II</b>	<b>Tan Uyen district</b>	<b>0</b>	0%	<b>1</b>	17%	<b>5</b>	83%	<b>6</b>	100%
2.1	Tan Uyen town	0	0%	0	0%	0	0%	0	0%
2.2	Phuc Khoa	0	0%	0	0%	0	0%	0	0%

No.	District/ Commune	Comparison							
		Income < expenditure		Income = expenditure		Income > expenditure		Total	
		HHs	%	HHs	%	HHs	%	HHs	%
2.3	Pac Ta	0	0%	0	0%	1	100%	1	100%
2.4	Than Thuoc	0	0%	0	0%	1	100%	1	100%
2.5	Trung Dong	0	0%	1	25%	3	75%	4	100%
<b>III</b>	<b>Lai Chau City</b>	<b>1</b>	<b>25%</b>	<b>0</b>	<b>0%</b>	<b>3</b>	<b>75%</b>	<b>4</b>	<b>100%</b>
3.1	San Thang	1	33%	0	0%	2	67%	3	100%
3.2	Dong Phong ward	0	0%	0	0%	1	100%	1	100%
<b>IV</b>	<b>Tam Duong district</b>	<b>7</b>	<b>14%</b>	<b>4</b>	<b>8%</b>	<b>40</b>	<b>78%</b>	<b>51</b>	<b>100%</b>
4.1	Ban Giang	1	7%	0	0%	14	93%	15	100%
4.2	Ban Bo	0	0%	0	0%	5	100%	5	100%
4.3	Ban Hon	1	8%	3	25%	8	67%	12	100%
4.4	Na Tam	5	26%	1	5%	13	68%	19	100%
	<b>Total</b>	<b>8</b>	<b>12%</b>	<b>5</b>	<b>8%</b>	<b>53</b>	<b>80%</b>	<b>66</b>	<b>100%</b>

(SES)

70. The northwest region of Vietnam has the highest poverty rate in the country. Key contributing factors are poorly developed infrastructure (particularly infrastructure linking to markets and services), land comparatively not well suited to commercial agriculture, remoteness from commercial and industrial hubs, undeveloped local economies with associated limited non-farm livelihood opportunities. There are other factors that are largely the result of poverty that also limit opportunities for economic improvement such as poor education and limited access to capital.

71. The overwhelming majority of focus groups (19/21) identified limited availability of suitable agricultural land combined with limited opportunities for non-farm livelihoods as the main underlying cause of poverty in their areas. Those in Ban Bo commune stated they generally had sufficient arable land and there were non-farm employment opportunities a nearby tea factory. Those in Than Thuoc Commune focussed on tea production and there was generally adequate land as quite a number of households who had children working elsewhere rented their land out to other locals. Furthermore, in that commune there were opportunities to work in a local garment factory or to work as tea pickers to supplement income. Most communes, however, stated that arable land was insufficient and most available land was upland, which can't be irrigated. The poor soil conditions of upland areas require additional inputs of fertilizer further reducing the quality and profitability of crops. Quite a number of communes reported that mainly only corn could be produced for animal food or making alcohol. As time goes by the area of available arable land is decreasing due to population increase. In most areas traditional practices of grazing animals, especially buffalo is being abandoned due to lack of grazing land. Households that do raise buffalo generally only have one or two. Farming, aside from those with land for tea production or who have fish ponds, was reported to be mainly for household consumption. That is, most of the population in the studied areas generally live by subsistence.

72. The focus groups also pointed to climatic conditions as another contributing factor to poverty. Flash floods wash away crops, fish stock from ponds and were reported in two communes to have permanently washed away entire crop fields. Extreme cold events were mentioned in tandem with livestock failure as buffalo, pigs and poultry perish. One commune (Phuc Khoa) mentioned snowfall causing the loss of a season's fruit harvest.

73. Incomes are supplemented by non-farm labour. Men tend to undertake seasonal manual hired labour work, either as tea pickers or in construction work when available, earning VND 100,000 to VND 200,000 per day depending on the work. This is normally done in the farming off-season to make up for food staple shortages. Women reported that in some areas there was regular work making ethnic clothing for sale (Phuc Than and Ban Giang) or in a local clothing factory (Than Thuoc) or collecting crabs and snails for sale (Ban Giang). However, they reported that their income was much lower compared to men (less than VND 50,000 per day for collecting crabs or VND 500,000 a traditional dress than takes around two months to make). Due to the need to tend to children, women tend not to have opportunities for casual waged work which requires leaving home.

74. Agricultural extension support is provided in the project area, mainly by the Department of Agriculture and Rural Development. However, the coverage is not even. Some areas report ongoing adequate support leading to improved productivity (Dong Phong, Ban Giang, Phuc Khoa, and Na Tam Communes). Some reported having been provide extension training, but that the extension service was not sustained or unsuitable (Than Thuoc, Phuc Khoa, Trung Dong, Phuc Than). There were other villages reporting no coverage (Pac Ta, Na Tam, Phuc Than, San Thang Communes).

75. Market access was not reported to be a contributing factor to poverty in most of the villages covered by the focus group discussions. Most reported either being relatively close to markets or having good rural road conditions. Some said that while they had to rely on middlemen to come to the village to buy produce or selling farm inputs, the price differences were not that much. Ban Bo Commune and one of two villages studies in Na Tam Commune said that difficulty accessing markets impacted their ex-farm prices.

76. Credit to develop farming is available, but many do not avail because they do not know what to invest in or are worried that they will fail and will not be able to repay the loan. Many specifically mentioned fears of investing in livestock only to have them die due to bad weather or disease. The discussion groups generally reported that credit for productive purposes are available to the local villagers from the Vietnam Bank for Agriculture and Rural Development and Social Policy Bank. Interest rates are around 0.65% to 0.9% per month. Loan amounts tend to be up to VND 50 million over 3-5 years. Common purposes for borrowing have been buying animal stock or for tea or forest production.

77. The discussion groups did not note any specific ethnic groups being more vulnerable to poverty than others. However, there was a view that Kinh people in these areas tend to be better off than ethnic minorities as they tend to be engaged in business, are better at managing money, have stable salaried employment and live near urban centres.

78. Ethnic Lu are categorized by the Government as a particularly vulnerable ethnic group with a total population of around 5,000 in Vietnam. Ban Hon Commune, itself has quite a high poverty rate of 51%. The two ethnic Lu discussion groups in Ban Hon reported good access to markets and social services and ongoing engagement with Government extension services that were said to be leading to meaningful improvements. They suffer many of the same key underlying causes of poverty with insufficient arable land and adverse weather. However, they were able to address much of their food securing issues through non-farm work opportunities, especially for men, as well as Government food assistance (15kg rice per month) during periods of food shortage.

79. Some groups put forward that families with many dependents, female headed households and those with family members in poor health were more likely to be poor.

#### 2.6.4 Membership in Mass Organizations

80. There is a high participation rate in local mass organizations. The more popular for membership amongst those surveyed in the SES are Youth Union (32 people), Farmers Association (31 people), and Women's Union (21 people).

**Table 3-21: Membership of Mass Organizations**

District/Commune	Women Union	Youth Union	Farmer Association	Veteran Association	Other	Total
<b>Than Uyen district</b>	3	2	0	1	1	<b>7</b>
Phuc Than commune	3	2	0	1	1	<b>7</b>
<b>Tan Uyen district</b>	2	4	4	1	3	<b>14</b>
Tan Uyen town	0	0	0	0	0	<b>0</b>
Phuc Khoa commune	0	0	0	0	0	<b>0</b>
Pac Ta commune	1	0	0	0	1	<b>2</b>
Than Thuoc commune	1	0	0	0	1	<b>2</b>
Trung Dong commune	0	4	4	1	1	<b>10</b>
<b>Lai Chau City</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>4</b>
San Thang commune	1	1	1	1	0	<b>4</b>
Dong Phong ward	0	0	0	0	0	<b>0</b>
<b>Tam Duong district</b>	<b>15</b>	<b>25</b>	<b>26</b>	<b>3</b>	<b>6</b>	<b>75</b>
Ban Giang commune	3	9	3	0	0	<b>15</b>
Ban Bo commune	0	2	2	0	0	<b>4</b>
Ban Hon commune	7	4	8	1	5	<b>25</b>
Na Tam commune	5	10	13	2	1	<b>31</b>
	21	32	31	6	10	100

(SES)

#### 2.6.5 Gender

81. In the project areas, 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.

82. Women in the project areas are very busy, carrying a large part of family work to care of duties within the home 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, forestry work and conducting retail or service businesses as noted in tables above related in occupations.

83. 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 is not uniform. There

remains a sizable proportion of households in some areas for which land is registered in the name of husbands only.

**Table 3-22: Gender Division of Labour in the Household**

Household Activity	Husband/ Wife/ Both	Average
Shopping	Male	3%
	Female	67%
	Both	30%
Cooking	Male	1%
	Female	75%
	Both	24%
Cleaning house	Male	2%
	Female	73%
	Both	26%
Clothes Washing	Male	1%
	Female	82%
	Both	16%
Taking care of children, elder	Male	0%
	Female	46%
	Both	54%
Taking children to school	Male	8%
	Female	29%
	Both	63%
Tutoring children	Male	7%
	Female	30%
	Both	63%
Working to generate income	Male	9%
	Female	3%
	Both	88%
Repairing household items	Male	84%
	Female	3%
	Both	13%
Meeting at residential cluster	Male	43%
	Female	9%
	Both	48%
Making important decisions	Male	45%
	Female	3%
	Both	52%
Participating in community activities	Male	25%
	Female	4%
	Both	70%
Property registration	Male	55%
	Female	3%
	Both	42%
Attending funerals, weddings	Male	20%
	Female	8%

Household Activity	Husband/ Wife/ Both	Average
	Both	73%

84. Adult women in the surveyed households had been afforded much less opportunities for formal education than men. Women in surveyed households have significantly lower education attainments than men and are over represented in the proportion of illiterate adults. (Refer to table related to education attainment above.)

## Chapter 3 - Consultation, Participation and Information Disclosure

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### 3.1 Information dissemination, consultation and participation requirements

85. Meaningful consultation is a process that (i) begins early in the project preparation stage and is carried out on an ongoing basis throughout the project cycle; (ii) provides timely disclosure of relevant and adequate information that is understandable and readily accessible to affected people; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of affected people and other stakeholders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues. Consultations commenced during the preparation of REMDP with consultations held before, during and after the implementation of the IOL and SES. Consultations, including individual consultations will continue during project implementation, including implementation of the various social mitigation plans and resettlement plan.

86. This process enables communities and affected persons to be fully informed about the decisions that will affect their way of life and living standards. Importantly, it also provides opportunities for them to participate in the decision making on matters that will directly affect them. This is not only consistent with principles of transparency and fairness, but ensures better outcomes in the design and implementation of mitigation measures.

### 3.2 Information dissemination and consultation during the preparation of the EMDP

87. Information dissemination and consultations were conducted with affected households identified through the IOL. Main consultations with ethnic minority people during project preparation included consultations with the Committee for Ethnic Minority Affairs (CEMA), focus group discussions in a sample of project communes and public consultations in which information about the project and environmental and land acquisition impacts were presented and discussed.

88. **Meetings with Committee for Ethnic Minority Affairs (CEMA).** Meetings were conducted with CEMA by the national social development consultant at the provincial level on 1 November 2017 and at Tan Uyen District on 4 November 2017. The purpose of the meeting was to present information about the project, ascertain issues and challenges facing ethnic minority peoples in the project areas and to discuss the intended strategy of the project to mitigate risks with respect to HIV, human trafficking, involuntary resettlement and road safety.

89. **Focus Group Discussions:** Twenty-one focus group discussions (FGD) were undertaken: covering each of 12 communes in the project area in November 2017 and August 2018. Topics covered during the FGDs included living conditions and challenges, perceptions about the project, risks and concerns. (See Tables 3.2 and 3.3 for details of participants.) Key feedback included difficulties in low living standards mainly due to inadequate availability of arable land, unfavourable climatic conditions and limited non-farm work prospects. A number of focus groups pointed to difficulties accessing markets and social services as well as the need for improvement of agricultural techniques. Recommendations included, agricultural extension

and vocational training, provision of breeding stock, employment opportunities during project construction and mitigation of potential disruptions from labour influx. (Refer to Appendix 3 for further details)

90. **Public consultation meetings.** Twelve consultation meetings were held in all the affected communes 29 January to 5 February 2018. The meetings were facilitated by social safeguards and environmental safeguards consultants. Attendance included potentially affected households, representatives of local authorities and mass organizations. The information presented included general information about the project design and anticipated land requirements, approach to mitigation and policy principles as well as GRM. Out of a total of 490 people who participated in these meetings, 281 were ethnic minority people consisting of 183 men and 98 women (35% of total). Summaries of these consultation meetings along with issues raised are in presented below. A record of these public consultation meetings are presented in Appendix 3.

**Table 4-1: List of Consultation Meetings Conducted with Affected Communities**

Commune	Date	Participants	Ethnic Minority Attendendees		
			Total	Male	Female
Lai Chau Province					
1. Ban Bo	Feb 1, 2018	Potentially affected households; - Representatives of local authorities: Commune People's Committee chairpersons, commune cadastral official Project consultants.	25	17	8
2. Phuc Khoa	Feb 2, 2018	Potentially affected households; Representatives of local authorities: Chairman of the People's Committee, Party Secretary, cadastral staff of the commune. Project consultants.	12	7	5
3. Tan Uyen town	Feb 3, 2018	Potentially affected households; Representatives of local authorities: Vice Chairman of Commune People's Committee, Chairman of Fatherland Front Committee, Land Administration- construction official. Project consultants.	21	12	9
4. Na Tam	Jan. 31, 2018	Potentially affected households; - Representative of local authorities: Vice Chairman of Commune People's Committee, Vice Chairman of Commune Council. Project consultants.	21	21	0
5. Ban Hon	January 30, 2018	Potentially affected households; - Representatives of local authorities: Vice Chairman of Commune People's Committee, Chair of Fatherland Front Committee, Land Administration- construction official. Project consultants.	40	29	11
6. Ban Giang	January 30, 2018	Potentially affected households; - Representative of local government: Secretary of Commune Party Committee, Commune Cadastral chief officer. Project consultants.	59	34	25

Commune	Date	Participants	Ethnic Minority Attendendees		
			Total	Male	Female
7. Pac Ta - Tan Uyen district	Feb 5, 2018	Potentially affected households; - Representative of local authorities :Commune People's Committee Chairman, Commune People's Committee Office Project consultants.	31	18	13
8. Trung Dong	Feb 5, 2018	Potentially affected households; - Representative of local authorities: Commune Vice Chairman, Commune Land Officials Project consultants.	13	11	2
9. Than Thuoc - Tan Uyen District	Feb 3, 2018	Potentially affected households; - Representatives of local authorities: Commune People's Committee, Commune Cadastral official. Project consultants.	13	8	5
10. Dong Phong Ward	Jan. 29, 2018	Potentially affected households; - Representatives of local authorities: Chairman of Commune People's Committee, Land Administration to build commune. Project consultants.	10	6	4
11. Phuc Than ,Tan Uyen District	Feb 1, 2018	Potentially affected households; - Representatives of local authorities: Chairman of Commune People's Committee, Commune Land Administration, Office staff - Statisticians Project consultants.	23	11	12
12. San Thang	Jan 29, 2018	Potentially affected households; - Representatives of local authorities: Chairman of Commune People's Committee, Commune Land Administration , Office staff - Statisticians Project consultants.	13	9	4

91. Issues raised by attendees at the meetings included resettlement related matters, such as adequate compensation, livelihood restoration, and transparency in resettlement planning. There were also some environment and design related comments. The issues raised along with responses and how these issues are addressed by the project is summarized below.

**Table 4-2: Summary of Feedback from Public Consultation Meetings and Focus Groups**

Issue Raised	Responses/ How the Issue is Addressed in the Project
<b>Resettlement Related</b>	
Compensation needs to be reasonable	Fair compensation for land and non-land losses: Compensation will be at replacement cost based on a replacement cost study to be undertaken when the RP is being updated. Land and non-land assets will be compensated at replacement costs. Assistance will be provided for culturally appropriate reburial on a plot provided by the

Issue Raised	Responses/ How the Issue is Addressed in the Project
	project. If the remaining portion of land is unviable, the entire parcel of land will be acquired in accordance with Government regulations.
- It is necessary to provide support to people living on roadside trading (disrupting and limiting trading). (General Comment)	As for business households along the road, if they are affected, in addition to compensation for affected assets at replacement cost, market price, they will be provided with supports for disrupted/affected business.
during implementation, measuring land and property needs to be transparent and equitable. (General Comment)	DMS of the affected assets will be carried out by the district land fund development center staff and commune officers, village leaders and representatives of the affected households. Copies of DMS records will be handed over to the affected households for checking and keeping.
Life stabilization assistance needed. (General Comment)	An allowance package will be provided for the affected households losing land, in which there is also life stabilization assistance.
Livelihood support should focus on supporting trees (orange, macadamia), livestock (chicken, etc.) suitable with local conditions. (Ban Hon Commune)	Livelihood restoration program will be designed with land-based activities, livestock husbandry and non-agricultural activities.
Perennial crops (tea) need more support e.g. more seedling. (Ban Giang Commune)	Affected trees and crops will be compensated at their economic value brought by the trees.
- Solid houses and class 4 houses have been built on agricultural land (not yet converted) along the section through Cluster 24. (Dong Phong Ward)	Houses built on agricultural land will also be compensated at 100% of the replacement cost without deducting depreciation and salvageable materials if the structures are built before the project cut-off date.
<b>Design Related</b>	
- The construction of a bypass should be considered to reduce traffic density through the town. (Tan Uyen town)	The construction of bypass through Tan Uyen town or upgrading based on existing road is being considered by the consulting unit.
- The construction should avoid a cemetery located at Km108 +500. (Na Tam commune)	The basic design has been carried out avoiding this cemetery area.
- The construction should not affect the power pole newly constructed on the left side of the road. (San Thang Commune)	The affected public structures will be compensated. The displacement of electric poles will be carried out by the specialized unit.
- It is necessary to arrange access paths to people's production areas to ensure agricultural production. (Pac Ta Commune)	Regarding access paths to the production areas, if they are affected by the project, they will be compensated at the principle of restoration. In case the construction of the road causes obstacles to the accessibility to the production areas, the project will have to construct a new access path to the production areas.

Issue Raised	Responses/ How the Issue is Addressed in the Project
<b>Environment Related</b>	
Environmental impacts need to be carefully assessed, mitigation measures put in place; and environment plans be implemented carefully. The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
Erosion and landslides need to be avoided during construction. Concerns that any erosion could lead to subsidence of houses.	
Construction camps should not be built near graveyards/ cemeteries.	
When the project goes into operation, large trucks passing through the town will cause traffic disruption and unsafety.	
Care must be taken when constructing pavement, drainage, and monitoring should be in place for all the phases.	
For the household losing the house area but still living by the road will be affected by noise and vibration during project operation. Attention should be given to relocation and life stabilization.	
When constructing, it is necessary to ensure proper environmental measures and drainage positions, avoiding the land for production of houses and fish ponds.	
For the household losing the house area but still living by the road will be affected by noise and vibration during project operation. Attention should be given to relocation and life stabilization.	
When constructing, it is necessary to ensure proper environmental measures and drainage positions, avoiding the land for production of houses and fish ponds.	
The project must take measures to minimize the environmental impacts during construction.	
Need to ensure public security and traffic safety during construction	
<b>Recommendations from the Focus Group Discussions</b>	
Manage traffic safety during the construction process to minimize disruptions and accidents. (Dong Phuong, Ban Giang, Pac Ta, Phuc Khoa, Phuc Than, San Thang ).	This will be included in the EMDP
Improve road safety awareness (Ban Hon, Pac Ta, Phuc Khoa, Trung Dong, Phuc Than)	The project will include a community road safety awareness program.

Issue Raised	Responses/ How the Issue is Addressed in the Project
<p>Vocational training:</p> <ul style="list-style-type: none"> <li>• We wish to learn handicrafts as those graduating from high school only work as waged labors or do farming work. It would be better if there are vocational training classes. (Ban Giang)</li> <li>• Vocational training in weaving (Trung Dong)</li> <li>• We wish to have vocational training and some capital to start up (Ban Hon)</li> <li>• If there are vocational training classes, they should be about weaving, knitting, embroidery as Lu people have already had such skills. Given on their current background, new knowledge shall help them be more confident and creative and take advantages of such work. (Ban Hon)</li> <li>• training courses on textile and garment are provided for local people so that people can produce their own. (Phuc Khoa)</li> <li>• vocational training in connection with weaving, embroidery, sewing. Therefore, such kind of works should be promoted in this area. (Trung Dong)</li> </ul>	<p>The project will include a livelihood development program. While the program will prioritize those affected by land acquisition, the livelihood development program will also explore enhancing training opportunities to ethnic minority people in the local areas. The training to be provided will be detailed during the updating of the EMDP and will include a phase of needs analysis and consultations with local communities.</p>
<p>Agricultural Extension Training:</p> <ul style="list-style-type: none"> <li>• Extension training: breeding ..., capital support models, breeding models using local seeds/varieties in order to support stabilizing lives and developing the local economy. Local seeds are more expensive for sale and they should be promoted. (Trung Dong)</li> <li>• Development policies should be in line with local realities and needs. Our wish is to have chicken and ducklings to raise alike another program financed by the Women's Union. For buffalo raising, it is better to lend us money so that we go buy buffalo ourselves, the buffalo provided buy a previous program could not live long since the breeding supplier raised buffalo with animal feeds, so they did not get used of eating grass anymore. The same goes with seedlings and piglet provision program, the seedlings in the previous program were not suitable and the piglet were weak, they died of diarrhea. (Than Thuoc)</li> <li>• Trainings on cultivation and breeding (Pac Ta)</li> </ul>	<p>The project will include a livelihood development program expected to include farming extension through model development and training. While the program will prioritize those affected by land acquisition, the local models will be accessible to those in the local community. The training to be provided will be detailed during the updating of the EMDP and will include a phase of needs analysis and consultations with local communities.</p>

Issue Raised	Responses/ How the Issue is Addressed in the Project
<ul style="list-style-type: none"> <li>• Provide pig and chicken breeding stock (Pac Ta)</li> <li>• The households wish to be trained on livestock, veterinary medicine and disease prevention skills.</li> <li>• Training on regarding crop production, additional training on how to use fertilizers, tender crops should be provided. Regarding livestock, the project is expected to provide support to local chickens and ducks raising given their resistance to disease. Big animals such as buffaloes and cows are not recommended given their feed scarcity. Training on agriculture product storage following each product's characteristics and climate conditions are also expected</li> <li>• Open training courses on plant and animal species because there is no training course.</li> </ul>	
Local labour hire during construction should be actively promoted. (Dong Phuong, Ban Giang, Na Tam, Trung Dong, Phuc Than)	The project will actively promote local labour hire.
Need to maintain social order during construction. (Dong Phuog, Ban Giang, Ban Hon, Na Tam, Trung Dong, Phuc Than)	This will be covered in the EMDP and will be monitored.
Contractors need to properly manage their workers, and pay full compensation to local workers. (Trung Dong)	Contractors will be required to adhere to labour laws and will be monitored.

### 3.3 Information Disclosure

92. The Ethnic Minority Development Plan and Resettlement Plan (draft and updated versions) are required to be publically disclosed and pertinent information disclosed to affected people in a timely manner and in an accessible and understandable form.

#### 3.3.1 Disclosure of the EMDP

93. Salient features of the project, project impacts related to environment and land acquisition, mitigation measures and GRM were disclosed to affected households and relevant local Government agencies through public consultation meetings presented above. A public information brochure (PIB) setting out key information related to land acquisition was disseminated to potentially affected people at the time of the consultations. The project's strategy to address impacts and risks related to HIV, human trafficking and road safety were presented to local authorities, CEMA and Women's Union in the project areas.

94. The agreed EMDP will be disclosed in the project areas as well as publically disclosed on the ADB website. A translated summary version of the EMDP will be disseminated to the project communes. An updated PIB setting out various project activities, mitigation strategies, including those set out in the EMDP and an updated project schedule will also be publically posted in each commune following approval of the EMDP and the draft resettlement plan.

## 3.4 Consultation, Communication and Disclosure Plan

### 3.4.1 Special considerations for communication and consultation

95. Various means of communication can be applied depending of the communication objectives as well as constraints in time or resources.

96. Communication needs to recognize the language needs of different audiences. There are 15 ethnic minority groups residing in the provinces of the project areas making up a significant proportion of the local populations. While Vietnamese is commonly spoken in addition to their own ethnic languages, levels of understanding, ability to converse as well as read Vietnamese vary considerably. Literacy in local ethnic languages is not common. Community meetings should take consideration of this, using appropriate vocabulary and local languages. Public information, education and communication printed material, should incorporate posters and brochures with drawings and diagrams. Additional resources will be provided for local interpreters of local ethnic languages. The project will allocate resources to engage local interpreters from the community for each main ethnic group on an intermittent basis for the duration of the project.

97. Ethnic minority villages often have informal institutions and mass organizations that should be incorporated in the consultation process where these are present. Such traditional leaders and mass organizations will need to be provided training from early during project implementation to provide assistance in consultation and information dissemination activities.

- Village patriarchs are prestigious people, usually over 60 and are men. Village patriarchs often know traditions and customs better than others and often support village chiefs in village management. Today, the role of the village patriarch is fading. They are often involved in the reconciliation of small frictions between families, individuals in the community;
- Head of the family lineage. The lineage heads have a special role in the Mong community. Mong people do not have village elders/patriarchs, but the lineage heads are leaders in the Mong community in all aspects. Even in many places, the lineage head has a greater voice than the local authorities;
- Mass organizations. There is a high participation of ethnic minority households in the project areas in mass organizations such as Women's Union, Farmers Union and Youth Union. Associations participate in advocating their members to participate in activities initiated or launched by the government, including land acquisition/site clearance or implementation of different projects. The Women's Union and the Fatherland Front are also members of the Compensation Board at different levels and they are also members of the Grievance Redress Board. In the communes participating in the project, Women's Unions often mobilize members to support families of other members if their families have to relocate. The members of the village women's groups will help the household with their cooking, caring for children and even support the harvesting of crops during relocation.

98. Gender participation needs to be promoted across all project communications. Invitation notices to such meetings should indicate the names of both spouses. Attention should be given to the need for separate women's meetings on critical issues, such as resettlement and livelihood restoration. The level of women's participation in meetings should monitored and consideration given to conducting dedicated meetings for women if participation levels are low.

### **3.4.2 Roles and responsibilities of communication and consultation**

99. The requirements for consultation and disclosure along with roles and timing are presented in the table below.

**Table 4-3: Roles and Responsibilities for Consultation and Participation**

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
<b>EMDP Specific</b>					
Disclosure of agreed EMDP	Communities in project areas; Stakeholders (including mass organizations and traditional leaders)	Translated versions dissemination of EMDP to all DPCs/ CEMA/ CPCs/village chiefs/ Fatherland Front/ Women's Union in project areas and agencies involved in EMDP implementation. Public posting of updated PIB in CPC notice boards and dissemination to village chiefs and neighbourhood group leaders.	EMDP dissemination: PMU 2/ DPCs  PIB dissemination: DPCs/ CPCs	Following formal approval and concurrence from Government and ADB	Counterpart contribution; Project supervision consultant time;
	General public	Public disclosure on ADB's website Uploading on MOT website	ADB MOT		NA
Disclosure of periodic External EMDP Monitoring Reports	Public, local authorities, CEMA, mass organizations	Uploaded on ADB website. Translated versions of external monitoring reports.	ADB PMU, DPCs	Upon submission of periodic monitoring reports (semi-annual)	NA
Disclosure of periodic Internal Monitoring Reports	Public	Uploaded on	ADB	Upon submission of periodic monitoring	NA

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
		ADB website.		reports by PMU 2 (semi-annual)	
<b>Construction and Environment Related</b>					
Consultation on rural access infrastructure (rural roads/ bridges connecting villages to project road).	PPC, DOT, DPC, communities in the area concerned.	Meetings with agencies Consultation meetings with communities.	PMU, PSC, DD Consultant	During detailed design	Project supervision consultant time
Presentation of planned activities and schedule; anticipated impacts and mitigation measures (including restricted access, disruptions, hazards, road safety); GRM	Potentially affected households, communities in vicinity of works, Commune PC representatives	Public meetings & site visits. Household discussions with any that are directly affected.	Contractors	Prior to start of construction works; quarterly thereafter	Works contracts
Presentation of planned activities and schedule; anticipated impacts and mitigation measures; GRM	Potentially affected households, communities in vicinity of works, Commune PC representatives	Public meetings & site visits and informal interviews	PMU2, PSC, traditional leaders and mass organizations	Once before construction commences (public meetings) and semi-annually thereafter during construction (site visits and informal interviews)	Project supervision consultant time
Comments and suggestions on mitigation measures, public opinion	Experts of various sectors, county/ district EPBs	Expert workshop, CEMA	PMU2, PSC	As needed, based on public consultation	Project supervision consultant time
Public satisfaction with EMP implementation	Potentially affected households, ward PC representatives	Public opinion survey, CEMA	PSC, traditional leaders and mass organizations	Once at mid-term review stage	Project supervision consultant time
Effectiveness of mitigation measures, impacts of operation, comments and suggestions	Potentially affected households, ward PC representatives	Public consultation and site visits, CEMA	PMU2, PSC	Once in the first year of operation	Project supervision consultant time
Public satisfaction with EMP	Potentially affected	Public satisfaction	PSC, PMU2	Once at project	Project supervision

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
implementation Comments and suggestions	households, ward PC representatives	survey, CEMA		completion report stage	consultant time
<b>Resettlement Related</b>					
Disclosure of agreed RP	Affected households, communities in project areas; Stakeholders.	Dissemination of RP to all DPCs/ CPCs in project areas and agencies involved in RP implementation. Public posting of updated PIB in CPC notice boards	PMU 2/ DONRE/ DPCs DPCs/ CPCs	Following formal approval and concurrence from Government and ADB	Project supervision consultant time Resettlement Plan
	General public	Public disclosure on ADB's website Uploading on MOT website	ADB MOT		NA
Resettlement	Relocating AHs, CEMA	Group and individual discussions with relocating AHs on options details and assistance entitlements.	CLDF, CPC, traditional leaders and mass organizations	Following DMS	Resettlement Plan
Livelihood development	AHs eligible for LDP, CEMA	Group discussions on LDP strategy, including proposed options. Needs and preference assessment. (Feedback informs final design of LDP.)	LDPSC, LDPMB, DPC, traditional leaders and mass organizations	Following DMS	Resettlement Plan
Entitlements, eligibility and compensation rates	Affected households	Public consultation meetings.	CLDFs, CPC with support from PMU 2,	Following DMS and replacement cost study	Resettlement Plan

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
		Distribution of the PIB to APs	CEMA, traditional leaders and mass organizations		
Disclosure of draft updated RP and entitlements	Affected households	Posting the compensation and support plan in commune and village public areas. This plan covers all project entitlements for APs as well details of GRM. AP feedback on compensation plans to be collected and recorded at least 20 days following disclosure	CLDF		Resettlement Plan
Disclosure of agreed updated RP	Affected households; Communities in project areas.	Translated resettlement plan publically accessible in local People's Committee Office, uploaded on ADB website and MOT website.	-PMU 2, DCARB with support of PSC. -PIB disseminated by CPCs. -ADB for uploading	Upon final approval of updated RP	Resettlement Plan
Implementation schedule of resettlement plan and civil works	Affected households	Public consultation meetings	DCARB, PMU 2, CPCs	Ongoing prior to implementation and upon significant change in implementation schedule.	Resettlement Plan
Compensation disbursement	Affected	Notices to	DCARB and	Minimum 1 week	Resettlement Plan

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
schedule	households	individual households	local PCs	prior to disbursement	
Relocation arrangements	Households required to relocate	Group discussions and individual consultations as needed.	DCARB, Affected households	Commencing upon final approval of updated RP until resettlement satisfactorily completed.	Resettlement Plan
Disclosure of periodic External Resettlement Monitoring Reports	Public, local authorities, mass organizations, CEMA,	Uploaded on ADB website. Translated versions made available at District PC offices for public access upon request.	ADB PMU, DPCs	Upon submission of periodic monitoring reports (semi-annual)	NA
Disclosure of periodic Internal Monitoring Reports	Public, CEMA	Uploaded on ADB website.	ADB	Upon submission of periodic monitoring reports by PMU 2 (semi-annual)	NA
<b>Other Social Issues</b>					
HIV and human trafficking mitigation	Communities in the project areas.  Construction workers	Public consultation and small group meetings	Provincial AIDS Centre, Women's Union, Youth Union, HTAP Service Provider	Ongoing during construction	HIV and Human Trafficking Awareness and Prevention Program
Road safety awareness	Communities in the project areas	Public consultation meetings, class room	Women's Union, Youth Union, Teachers,	During construction phase and at commencement of operation phase.	Road Safety Awareness program

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
			Road Safety Service Provider		
Opportunities for project work	Adults in the project area	Public notices	Contractor	Ongoing during construction phase	Works contracts

Note: CEMA: Committee for Ethnic Minority Affairs; CPC = Commune People's Committee; CLDF = Centre for Land Development Fund; DOLISA = Department of Labour, Invalids, and Social Affairs; DPC = District People's Committee; EIA = Environment Impact Assessment; EMP = Environment Management Plan; HTAP = HIV & Human Trafficking Prevention Programs; IEC = Information, Education & Communication; LDPSC = Livelihood development Program Steering Committee; LDPMB = Livelihood development Strategy Management Board (District Level); PIB = public information booklet; PMU 2 = Project Management Number 2; PPC = Provincial People's Committee; PSC= Project Supervision Consultant; WU=Women's Union.

## Chapter 4 - Benefits, Impacts and Mitigation

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100. This section presents the negative impacts and risks that the project poses to the people within the vicinity of the project area. Negative impacts are events or changes that are expected to take place with a high degree of certainty while risks are events or changes that may take place and have significant implications for the wellbeing of people in the project area. Project positive impacts (benefits) and opportunities are also presented.

### 4.1 Impacts and Risks

#### 4.1.1 Land Acquisition and Resettlement

101. The project is expected to affect an estimated 171 ethnic minority households comprised of 684 people. The most common impact is loss of residential land (109 households) followed by impacts on houses (26 households), loss of productive land (82 households) and impacts on businesses (16 households). All those with fully affected houses have sufficient residual land upon which to rebuild and will not require relocation.

102. A total of 0.6ha of residential land belonging to 109 ethnic minority households will be acquired. A total of 82 ethnic minority households will lose some form of productive land. An estimated 3.8ha of productive land belonging to ethnic minority households will be acquired. Productive land comprises paddy, annual cropping, perennial, other agricultural land, and forestry land. The largest loss will be in Tham Duong District. Most of the affected productive land is productive forest and paddy.

103. Of the 109 ethnic minority households losing residential land, no plots are fully affected. Of the 82 ethnic minority households losing productive land, eight will experience severe loss of 10% or more of total productive land holdings.

104. There will be 21 fully affected houses belonging to ethnic minority households and five partially affected. Affected houses are located in Tham Duong District and impacts are mostly associated with the bypass. Of the fully affected houses, all will be able to be rebuilt on remaining unaffected land.

105. There are 16 ethnic minority households with affected small businesses. The impacts on businesses are expected to be temporary in nature. As no relocation is required for affected houses, the households with businesses associated with affected houses are anticipated to be able to recommence their businesses once their houses are repaired and business space rearranged. Impacts on roadside vendors are likewise expected to be temporary. During updating of the resettlement plan, detailed consideration will need to be given to reorganizing sites for their continued trading while roadworks are ongoing.

106. A draft Resettlement Plan (RP) has been prepared to address the impacts of physical and economic displacement. The RPs have been designed to be in compliance with the ADB Safeguards Policy Statement and prepared in consultation with affected households and relevant government authorities. The RP includes specific measures for ethnic minority peoples,

including ethnic minority specific indicators and additional entitlements. The reader is referred to the RP for further information.

#### 4.1.2 Road Safety

107. In Vietnam, there are about 20-30 deaths per day caused by traffic accidents, mainly road traffic accidents. In 2016, nationally, there were 21,094 cases, including 8,417 fatalities and 19,035 injuries. The rate of road traffic accidents/ 100,000 peoples in the whole country was 23.3 and the rate of deaths/100,000 people in the whole country is 9.4. While there has been a decreasing trend in road fatalities, the high rates of injury and death is concerning. According to the analysis of the causes of traffic accidents, road traffic accidents were mainly caused by violation of traffic safety and order leading to traffic accidents such as: going wrong way, not following traffic lights, speeding, changing direction incorrectly. Alcohol use also accounted for a significant proportion.

108. In the project provinces, Lai Chau has the lowest number of incidents. However, in terms of death rate / traffic accident, Lai Chau province has a high rate of 0.59 per accident. On NH 32 from 2015 to the end of June 2017, there were 20 traffic accident cases, killing 17 people and injuring 15 people. Analysis showed that 41% of traffic accident cases occurred due to driving in the wrong lane, 23% due to speed violations, 5% due to alcohol use, and 32% were caused by other causes such as navigation not carefully observed.

109. The project is designed to be constructed to higher standards allowing for vehicle speeds of up to 80km/hr for mixed traffic and it is expected that there will be a very significant increase in traffic flow. There are associated risks of traffic accidents and risks to local road users, especially pedestrians and non-motorized transport users, in the local communities along the roads. There will be two phases of risks posed by the project with respect to local road users:

- Risks posed during construction. These include hazards to vehicle users and pedestrians due to changing road conditions, excavation, presence of heavy vehicles and machinery on the roads, workers on the roads, etc.
- Risks during operation of the upgraded road. The project is designed to be constructed to higher standards allowing for vehicle speeds of up to 80km/hr for mixed traffic and it is expected that there will be a very significant increase in traffic flow. There are associated risks of traffic accidents and risks to local road users, especially pedestrians and non-motorized transport users, in the local communities along the roads.

110. The project has prepared various measures to address road safety risks. Risks during the construction phase will be addressed through a community road safety awareness campaign along with actions by the contractor for a road traffic management plan, signage and hazard warnings and other safety measures that are required for the Environment Management Plan. Risks during road operation will be addressed through a community-based road safety awareness program along with built safety features. Road design safety features, include signage and traffic calming measures to slow down traffic in local communities, especially in front of community facilities such as schools, markets, religious buildings, etc.

111. The road safety awareness program will target both vehicle users, non-motorized transport users and pedestrians in the local communities in the vicinity of the project roads. It will be implemented from prior to commencement of the road works up to the period when civil works are completed.

112. The awareness raising activities will be delivered through a variety of means including small-group community meetings delivered by community-based road safety facilitators with support from resource persons (e.g. police, contractors), in-class teaching (for school children) and Information, Education and Communication (IEC) material such as banners, posters, and pamphlets.

113. Agencies with roles and responsibilities in implementing the community based road safety awareness program include the following:

- Provincial People's Committees: coordinate the program;
- Department of Transport / Traffic Safety Committee: Coordinate in managing and organizing the activities of traffic safety propaganda;
- Department of Traffic Safety: Coordinate the organization of activities of Traffic Safety Propaganda;
- Department of Education and Training: Coordinate management activities awareness, safety awareness in schools.
- School teachers: Provide road safety awareness training to children as part of the classroom teaching.
- Women's Union and Youth Union: Provide members to serve as community based road safety facilitators.
- Local police: Serve as resource persons in community based training, in addition to their enforcement role;
- Project Supervision Consultant: In collaboration with the Traffic Safety Committee, develop training and IEC materials and provide training to community facilitators. Provide guidance on modes of communication to ensure that language use, community mobilization methods and style of IEC materials are conducive to ensure full participation of ethnic minority people.
- Contractors: coordinate with the local community road safety awareness programs, providing information on changing road conditions and risks and serving as resource persons for community training activities.

114. The program will be implemented from prior to commencement of road works up to the time of completion of the upgraded road. It is estimated that the program will provide training to around 12,300 people in the project vicinity, of whom around 8,900 would be ethnic minority people.

#### **4.1.3 HIV/AIDS & Human Trafficking**

115. The construction phase of the project presents increased risks of HIV/AIDS infection to the local communities, construction workers and mobile populations. There will be a number of concentrated locations for construction workers (including construction camps) during the construction of the project. The vast majority are expected to be unaccompanied men away from their families and communities for extended periods. There is also expected to be an associated increase in the presence of sex workers and other mobile populations during this phase. There are several project impacts that would adversely impact on or present significant risks to livelihoods and household living standards as well as social dislocation – especially land

acquisition and resettlement and changed traffic flow. If such impacts are not mitigated women and children can face significantly increased risks of human trafficking and exploitation.

116. The current situation of HIV infection in Lai Chau Province. In Lai Chau province, the total number of people living with HIV/AIDS is 3,449. The number of HIV infections detected in 2016 was 227. This rate is around twice that of Yen Bai and Lao Cai. However, this figure at the same time represents a decrease of 27% of new infection cases over the previous years. Those with HIV are mostly men, accounting for 71.7%. Infected persons are mostly in the age group 25-49 years (69%) with those aged 16 to 24 representing 26%. Persons who use intravenous drugs (PWID) represent the largest infected group. Some communes in remote and mountainous areas have a high rate of drug addicts who have switched from smoking to injecting. The proportion of intravenous drug users with HIV in Lai Chau province is one of the highest in the country at 28% of PWID.

117. Trafficking of women from Viet Nam is linked primarily to prostitution and forced labour. According to the Vietnamese Ministry of Public Security, trafficking of women and children has become increasingly complicated and more difficult to control. In the recent years, especially following Vietnam's transfer to market economy, the situation of human trafficking has become a serious and an increasing national trend. In Vietnam, the crime of human trafficking occurs in all 63 provinces/cities and is concentrated in border areas of China, Laos and Cambodia. In the period 2011 - 2015, authorities investigated and discovered over 2,200 human trafficking cases, arrested more than 3,300 offenders and rescued and received nearly 4,500 victims of trafficking. In 2016 alone, there were 383 detected human trafficking cases, involving 523 criminals, and 1,128 victims. Vietnamese men and women often migrate through labor recruitment companies in the construction, fishing, agriculture, mining, logging, and manufacturing sectors. Some of these workers subsequently face conditions of forced labor. Vietnamese women and children subjected to sex trafficking throughout Asia are often misled by fraudulent labor opportunities and sold to brothels on the borders of Cambodia, China, and Laos, with some eventually sent to third countries.

118. A HIV and Human Trafficking Awareness and Prevention Program (HTAP) has been prepared for the project to ensure that the awareness and resilience of local communities is strengthened. At the community level, the program will be delivered through local stakeholders with mandates for HIV and human trafficking prevention. A service provider will be engaged by the project to provide support to the local stakeholder agencies and to provide training directly to construction workers. Implementation arrangements will also focus on partnership with local agencies and community based organizations, including Department of Health, Provincial AIDS Centres, Women's Union and Youth Union. A Summary of the HIV and Human Trafficking Awareness and Prevention Program is attached as Appendix 1 of the EMDP. The reader is referred to the HTAP report for further details.

#### **4.1.4 Disruptions to Local Communities during Construction**

119. With the construction taking place with associated presence of construction workers in the project areas, there is the potential for disruptions to communities and friction. The communities in traversed by the project road are by no means isolated and there is a fair amount of heterogeneity in terms of ethnic composition. However, disruptions to normal community life need to be avoided and minimized.

120. The address these the following requirements will be incorporated in to the civil works contracts:

- To the extent possible, the contractor will hire local staff. For some jobs requiring re-training, the contractor will select among the employees hired locally to train them for new skills so they can do the job well;
- The contractor will ensure that all workers are properly registered with local authorities.
- The contractor will brief all employees on the code of conduct and implement a strict and zero-tolerance policy to regulate gambling, prostitution, theft, wildlife poaching and forest product collection.
- The contractor will arrange regular liaison meetings with local communes to which community representatives are invited. These meetings will present information on the project, including construction items, environmental and social issues related to the project, introduce construction personnel from other places to the community. The meetings will also provide feedback from the community on issues of concern related to construction, including environmental and behaviour of the workers.
- The contractor will, in collaboration with local leaders, organize regular exchanges between workers and local people.

121. Any issues of concern about the conduct of the workers not addressed through the above actions, may be submitted to the project grievance redress mechanism for resolution.

#### **4.1.5 Poor Communication/Information Dissemination**

122. The ADB Safeguard Policy Statement requires the provision of meaningful consultation and information dissemination to those affected by the project throughout the project planning and implementation cycle. People affected by the project include authorities, institutions and those in the project area and especially those who may be adversely affected by the project. To be effective and meaningful, communication needs to be inclusive (women as well as men, old as well as young, the poor and other vulnerable groups), timely and use methods which enable effective dissemination and two-way communication. Poor communication/information dissemination can exacerbate the vulnerability of those already marginalized and constrain their ability to mitigate negative impacts.

123. Communication needs to recognize the language needs of different audiences. There are various ethnic minority groups residing in the project areas making up a significant proportion of the local populations. While Vietnamese is commonly spoken in addition to their own ethnic languages, levels of understanding, ability to converse as well as read Vietnamese vary considerably. Literacy in local ethnic languages is not common. Community meetings should take consideration of this, using appropriate vocabulary and local languages. Public information, education and communication printed material, should incorporate posters and brochures which drawings and diagrams.

124. A Communication, Participation and Consultation Plan has been prepared as part of the project design.

125. Additional resources will be required for local interpreters of local ethnic languages. The project will allocate costs to engage local interpreters from the community for each main ethnic group for an average of 1 week per month for the duration of the project. Local interpreters are expected to be sourced from local mass organizations such as Women's Union or Youth Union. The local interpreters will be managed by the PMU. The daily rates will be based on

government rates for meal and travel allowances for cadre. The cost estimate for 6 local interpreters for one week per month for 48 months is VND 700 million (approx. USD31,320).

## 4.2 Beneficial Measures

### 4.2.1 Economic Improvement

126. The project aims to enhance the access to the GMS corridors in the northwestern region through upgrading national and provincial highways where the economic and social development conditions, the transport network, the topography and the climate change effects are the most difficult in comparison with other regions in the country. These improvements will contribute indirectly to economic improvements through time savings and lower transport costs. Such benefits will be diffuse but long-term gains for people in the project areas.

### 4.2.2 Improved Access and Mobility

127. Consultations with local communities during the preparation of the project revealed that village access to major roads was a key issue of concern and constraint to local communities in accessing markets and social services.

128. The project will include the construction of a small-scale farm bridge and access road at Na Tam Commune, Tam Duong District to improve access to the project road. The bridge was identified as a priority transport infrastructure need as the community's access to the highway is made difficult due to a small river with no bridge. The bridge will serve an estimated 120 households (approx. 480 persons) located in Na Tam and Na Ca Communes. The bridge and access road will cost an estimated VND 6,613 million (approx. USD 290,895). Further summary details are set out below.

**Table 5-1: Summary Information of Na Tam Farm Bridge and Access Road**

Location	Prov	Lai Chau
	Dist.	Tam Duong
	Communes	Na Ca/ Na Tam
	Chainage	Km126+00
	Section	ADB-CR1
Existing Condition	Distance from project road	180 & 520
	Estimated numbers of households	120
	Existing Access	Not Available
Proposed Pedestrian/ Farm Bridge and Access Road Details	Bridge Location/ Coordination (WGS-84)	22.282841, 103.613977
	Bridge's length (m)	100
	Access/ approach Road (m)	350
	Bridge type	cable stay bridge, 2m overall width, 100m length for span;
	Access road	2m width, PCC pavement (C20) 10cm thickness, crushed base course 15cm;
	Unit Cost:	Bridge 32 million VND/m2; Access road: 305,000 VND/m2

Construction Cost	in million VND	6,613.50
	in USD	290,895

(source: PPTA consultant)

#### 4.2.3 Opportunities for Improved Livelihoods

129. The resettlement plan includes a livelihood development program (LDP) as part of its income restoration strategy. The LDP will focus mainly on diversifying farming practices and improving farming skills through a combination of model establishment, training and on-going mentoring by extension services. The program will build on and strengthen existing extension programs operating in the districts in the project areas.

130. The approach of the LDP strategy is to utilize and build on existing capacities and programs as well as AP resources. The LDP will complement existing services with supplementary support along with capacity and institutional strengthening to focus efforts on meeting the project objectives. The main elements of the livelihood development strategy are:

- **Consultation, information dissemination and needs assessment.** Affected persons (APs) will be provided detailed information on the LDP from early in the preparatory stages of the detailed LDP and will be consulted on preferences and LDP design. Information dissemination will include counselling on effective use of compensation and assistance money, the requirement for AH contribution, ongoing programs as well as benefits, challenges and risks of various livelihood options. A detailed needs assessment of eligible APs will inform the design of the detailed LDP.
- **The LDP will consist of training, model development, ongoing mentoring and monitoring combined with AP contributions.** Where appropriate, support will be provided to enable APs to organize and collaborate. Priority will be for training to be provided in local communities and be suited to local conditions and likelihood of success. APs will also be able to avail of vocational training in existing training centres in lieu of locally based training if they prefer this. Training in non-agricultural vocational skills should be based on a realistic understanding of where and how to make a living from the skill. Training in rural livelihoods will incorporate use of models – either existing in the local area or newly developed. The LDP will provide support to models to promote their effectiveness and sustainability. Model owners will be incorporated in the training and mentoring regime of the LDP to promote sustainability of training outcomes. Training will include modules on financial management.
- **Livelihood development activities will be delivered through DOLISA and DARD.** These organizations have existing ongoing programs in the project areas as well as an ongoing presence. Both are experienced in providing outreach training programs and establishment of models. DARD has permanent extension services which extend to the commune level. DOLISA and DARD will take the lead in establishing an effective LDP management and coordination structure at the provincial and district levels. It is expected that DOLISA will be the lead agency.
- The LDP will **incorporate capacity building** and arrangements **for ongoing support** such as mentoring and monitoring for locally-based training programs, such as from model owners and local extension cadre.

131. The specific benefits to indigenous peoples are two-fold. First, indigenous peoples who are affected households will benefit from eligibility for provision of additional training and farming

input support. Second, establishment of models and providing training in a given locality has secondary benefits to those who are not affected households because the model farms add to the local extension service and can be accessed by others in the commune as well as nearby communes. The LDP in the RP plans on an average of one model per commune in the project areas. The reader is referred to the RP for further details.

#### **4.2.4 Improved Community Resilience Against Risks of HIV, Human Trafficking and Road Accidents**

132. The project poses increased risks of HIV transmission, human trafficking and road accidents. However, the mitigation measures not only increase awareness and knowledge of means of prevention, but also build capacities within the local communities.

133. Communities in the project area were noted during the project preparation social assessment to generally have a low level of understanding of the risks and means of prevention for both HIV infection and human trafficking. The HIV and Human Trafficking Awareness and Prevention Program (HTAP) will be implemented in local communities through local agencies with mandates covering these areas. The program will strengthen the capacities of agencies such as health services as well as mass organizations such as Women's Union and Youth Union in their work in these areas beyond the immediate scope of the project.

134. The road safety awareness program will be implemented mainly through community-based awareness activities. The program will be delivered through mass organizations such as Women's Union and Youth Union as well as through local schools. The community-based approach will include training-of-trainers that will build the capacity of local community based organizations.

#### **4.2.5 Project related work opportunities**

135. The project construction activities will provide short to medium term benefits of local labour hire, especially unskilled labour, for people in the local communities, most of whom are ethnic minorities. The benefits will be in terms of additional sources of income, but will be of limited duration and for a limited number of people.

136. The contractor bidding documents and civil works contracts will include provision for preference for local sourcing of labour, especially unskilled labour. The contractor will be required to prioritize efforts to hire local ethnic minority people.

**Table 5-2: Summary Matrix of Impact Issues, Associated Actions and Resources**

<b>IMPACTS ISSUES</b>	<b>ACTION</b>	<b>KEY RESPONSIBLE AGENCIES</b>	<b>RESOURCES</b>	<b>RELATED PLANS</b>
<b>(i) Land Acquisition and Resettlement</b>  <b>Impact: (-)</b>	Resettlement Plan prepared and agreed between ADB and the Government of Vietnam	PMU will be responsible for the updating and implementation of the RPs with the concerned provincial authorities/departments (DOLISA, WU). Project Supervision Consultants will assist finalization and implementation of the RPs.	Resourced under Resettlement Plan	<b>Resettlement Plan.</b>  <b>The RP is subject to updating following detailed design.</b>
<b>(ii) Road Safety</b>  <b>Impact: (-/+)</b>	Project design to include physical design features such as traffic calming measures and safety signage. Community based road safety awareness and education be provided to local communities and schools for children.	MOT, PMU, PPCs, DOT, DOE, WU, YU	Resourced Under Road Safety Program	<b>Road Safety Plan</b>
<b>(iii) Risk of HIV/AIDS &amp; Human Trafficking</b>  <b>Impact: (-/+)</b>	<p>A HIV/AIDS and Human Trafficking Awareness and Prevention Program (HTAP) prepared as part of the design. The HTAP will require updating at the commencement of project implementation to finalize budget and institutional arrangements.</p> <p>HIV/AIDS awareness and prevention measures to be included in the contractors' contracts.</p> <p>Livelihood restoration/ development to form a focal approach to trafficking mitigation along with awareness.</p>	<p>PMU will coordinate the development and implementation of the Program with the concerned Provincial authorities/departments .</p> <p>The PMU/Project Supervision Consultant will sub-contract a qualified service provider</p>	Resourced Under HTAP Program	<b>HIV/AIDS and Human Trafficking Awareness and Prevention Program</b>
<b>(iv) Disruptions to Local Communities</b>	Prioritize hire of local staff. Provide jobs requiring re-training for employees hired locally;	Contractor, PMU	Resourced under works contracts	

IMPACTS ISSUES	ACTION	KEY RESPONSIBLE AGENCIES	RESOURCES	RELATED PLANS
<b>during Construction</b>  <b>Impact: (-)</b>	workers are properly registered with local authorities.  code of conduct and implement a strict and zero-tolerance policy to regulate gambling, prostitution, theft, wildlife poaching and forest product collection.  Regular liaison meetings with local communes			
<b>(v) Communication/ Information Dissemination</b>  <b>Impact: (+/-)</b>	Communication, Participation and Consultation Plan to be implemented.	PMU, PSC, Contractor	VND 700 million  (approx. USD 31,320) (other non-EMDP resources for communication described in Communication, Participation and Consultation Plan)	<b>Communication, Participation and Consultation Plan</b>
<b>(vi) Improved Access and Mobility</b>  <b>Impact : (+)</b>	Design and construct bridge and access road	PMU, PSC, Contractor	VND 6,613 million (approx. USD 290,895)	
<b>(vii) Opportunities for Improved Livelihoods</b>  <b>Impact : (+)</b>	Preparation of detailed plan, needs assessment and detailed consultations. Establishment of models, extension training, provision of inputs.	PMU will coordinate the detailed development and implementation of the Program with the concerned Provincial authorities/departments  Implementation by DARD and DOLISA.	Resourced under Resettlement Plan	<b>Resettlement Plan.</b> <b>The RP is subject to updating following detailed design.</b>
<b>Project related work opportunities</b>  <b>Impact: (+)</b>	<b>Contractor to prioritize efforts to hire local ethnic minority people.</b> <b>The contractor bidding documents and civil works contracts to include provision for</b>	<b>PMU and PSC to ensure provisions included in bidding documents and</b>	<b>Resourced under Works Contracts.</b>	

IMPACTS ISSUES	ACTION	KEY RESPONSIBLE AGENCIES	RESOURCES	RELATED PLANS
	preference for local sourcing of labour, especially unskilled labour.	contracts regarding provision for preference for local sourcing of labour, especially unskilled labour with priority to ethnic minority people. Contractors for implementation.		

# Chapter 5 - Grievance Redress

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## 5.1 Project Grievances

137. A project grievance can be defined as an actual or perceived project-related problem that gives ground for complaint by an affected person (AP). As a general policy, the EA (Ministry of Transport - MOT) and IA (Project Management Unit No.2- PMU2) will work proactively to prevent grievances through the implementation of impact mitigation measures and community liaison activities that anticipate and address potential issues before they become grievances. Nonetheless, it is possible that unanticipated impacts may occur if the mitigation measures are not properly implemented or unforeseen issues occur.

138. To address complaints, a project grievance redress mechanism (GRM) will be developed in accordance with ADB requirements and Government procedures. A GRM is a systematic process for receiving, recording, evaluating and addressing AP's project-related grievances transparently and in a reasonable period. The GRM will be established by PMU2 prior to the commencement of any land acquisition or resettlement activities, and will operate during the pre-construction, construction and operation phases.

## 5.2 Grievance Redress Mechanism

139. The proposed GRM integrates resettlement, environment and technical issues into a single structure. The structure considers Vietnamese laws and provisions for complaint handling as well as nuances of the operating environment and cultural attitudes toward lodging complaints. Specifically, the structure enables the GRM to:

- provide a predictable, transparent, and credible process to all parties, resulting in outcomes that are seen as fair, effective, and lasting;
- build trust as an integral component of broader community relations activities; and
- enable a systematic identification of issues or problems, facilitating corrective actions and pre-emptive engagement.

140. The proposed GRM includes the following elements:

- a grievance receipt and registration system to provide ways for community members to register complaints and confirm they have been received;
- grievance eligibility assessment to determine if the issues raised in the complaint fall within the mandate of the GRM and if the complaints are legitimate;
- grievance assessment and investigation to clarify concerns raised in the complaint, to gather information on the situation, and to identify how the issues might be resolved;
- joint problem-solving, in which all relevant project stakeholders engage in a dialogue and action planning to resolve the problem;
- grievance tracking, including maintenance of written records of grievances, monitoring, public information disclosure and reporting to the affected people; and
- grievance closure, including community feedback and confirmation of resolution of the problem.

141. APs are entitled to lodge complaints regarding any aspect of affected environment, land acquisition and resettlement, such as noise, pollution, entitlements, rates and payment and procedures for resettlement, income restoration programs, etc.

142. The principles and procedures of the GRM are based on provisions of the Land Law No. 45/2013/QH13, dated 29/11/2013; Law on Grievances No. 02/2011/QH13, dated 11/11/2011; Law on Denunciations No. 03/2011/QH13, dated 11/11/2011; Law on Receiving of Residents No. 42/2013/QH13, dated 25/11/2013; Decree No. 75/2012/ND-CP, dated 03/10/2012 of the Government Stipulating Detailed Regulations on Some Articles of Law on Grievance 2011; Decree No. 76/2012/ND-CP, dated 03/10/2012 of the Government Stipulating Detailed Regulations on Some Articles of Law on Denunciation 2011; Circular No. 06/2013/TT-TTCT, dated 30/9/2012 of the Government Inspectorate Stipulating Procedures of Denunciation Settlement, Circular No. 07/2014/TT-TTCT, dated 31/10/2014 of the Government Inspectorate Stipulating Procedures of Settling Grievances, Denunciating Letters and Letters of Requests; ADB's SPS (2009) and ADB's Public Communications Policy (2011). According to the Land Law No. 45/2013/QH13, a grievance must be submitted within 90 days of the time they receive the decision of land acquisition or become aware of the actions of the administrative action in question. In circumstances, such as sickness, natural calamity, or required to work or study in a distant location or other objective constraints, that time will not be counted within the 90 days mentioned above.

143. The GRM consists of several escalating stages. Complaint resolution and decision making are undertaken by PMU2's Environmental and Social Unit (ESU) in consultation with the District Grievance Redress Units of Than Uyen, Tan Uyen, Lai Chau City, Tam Duong (Lai Chau Province), Van Yen, Van Chan (Yen Bai Province), Van Ban (Lao Cai Province) then by a Provincial-level Grievance Redress Committee (GRC) of respective provinces, if required. The roles and responsibilities of PMU2 ESU, DGRU/CGRU and GRC are presented below.

144. **Environment and Social Unit of PMU2 (PMU2 ESU):** The unit consists of social and environmental staff at PMU2, supported by staff members, preferably one or two members based in respective Districts. Staff of PMU2 ESU will (i) receive all complaints from APs seeking access to the GRM; (ii) register the complaints; (iii) determine complaint eligibility; (iv) send confirmation of eligibility to the complainant; (v) forward the complaint to relevant contractor (during construction) or facility operator (during operation), DGRU/CGRU and GRU; (vi) follow up with the DGRU/CGRU and the GRC on status of complaint redress; (vii) investigate the complaint and identify corrective actions that are within the mandate of MOT; (viii) inform AP on the proposed corrective action; (ix) track and record all decisions taken; (x) maintain a complaint registration, tracking and monitoring system; and (xi) report to MOT, respective districts and provinces on the implementation and result of the corrective action plans.

145. **District/City Grievance Redress Units (DGRU/CGRU) (07):** The Unit consists of 6 officers of six relevant District/City divisions: Center for Land Fund Development, Natural Resources and Environment, Inspectorate, Finance, Construction, and Resident Receiving Office. The Units are chaired by the Vice Chairmen of 07 respective District People's Committees/City People's Committee. The DGRU/CGRU will (i) determine eligibility of complaints relating to resettlement and environment, (ii) conduct an assessment of complaints that relate to resettlement and environment, (iii) send confirmation of eligibility to the AP in case the complaint is related to resettlement and environment, with copy to PMU2 ESU; (iv) identify the corrective action plan and send it to the AP with copy to PMU2 ESU for further processing; (v) execute the plan and report the implementation, result of the plan implementation to PMU2 ESU; (vi) participate in GRC meetings if invited; (vii) monitor implementation of grievance resolution processes under their jurisdiction.

146. **The Grievance Redress Committees of respective Provinces of Lai Chau, Yen Bai and Lao Cai (GRC):** The Committee consists of 5 officers of five relevant provincial departments: Natural Resources and Environment, Inspectorate, Finance, Construction, and Resident Receiving Office. The Committee is chaired by the Vice Chairman of respective PPC. The Committee will (i) determine eligibility of appeals; (ii) conduct the assessment of appeals; (iii) send

confirmation letter of eligibility to the AP with a copy to PMU2 ESU; (iv) identify corrective action plans for appeals; (v) manage and supervise the implementation of the plan; and (iv) inform PMU2 ESU on the decision of the corrective action plan.

147. The GRM stages are presented below.

148. Stage 1: Submission of complaint.

- a. The AP submits a written complaint to PMU2 ESU staff, or as letter, or email (with attached signed letter). Contact details of PMU2 ESU will be posted at the construction sites. A registered and legally recognized civil society organization (CSO) with valid representation authorization may file a complaint on behalf of an AP through PMU2 ESU.
- b. Complaints can also be sent directly to the works contractor (during construction through a hotline number that will be posted for construction-related matters (such as noise, dust, access to property and other matters) which require immediate action, or to the operator (during the operation phase). Contractors are required to register the complaint, and report to PMU2 ESU on complaints received and actions taken.

149. Stage 2: Registration, Eligibility Assessment, Confirmation of Eligibility [max. 5 working days]

- a. PMU2 ESU registers the complaint in a grievance registry and identifies the nature of the complaint. If the complaint relates to resettlement (case 1), PMU2 ESU forwards the complaint to the relevant DGRU/CGRU for further processing. If the complaint relates to other matters such as environment, project design, damage to property or others (case 2), PMU2 ESU proceeds to the next step.
- b. The DGRU/CGRU (case 1) or PMU2 ESU (case 2) determines whether the complaint is eligible for the GRM using the screening procedure.
- c. If the complaint is deemed ineligible, the complainant is informed of the decision and the reasons for ineligibility.
- d. If the complaint is deemed eligible, the DGRU/CGRU (case 1) or PMU2 ESU (case 2) identifies how the complaints should be investigated and addressed and who will be responsible for these actions, and informs the relevant parties accordingly. Options include: (i) the works contractor (during construction phase); (ii) the operator (during operation phase); (iii) the Center for Land Fund Development; (iv) the DGRU/CGRU; (v) PMU2 ESU; (v) others.
- e. The DGRU/CGRU (case 1) or PMU2 ESU (case 2) sends a confirmation of eligibility to the complainant, with copy to PMU2 ESU for case 1. The letter provides information on when a decision will be made regarding the complaint, and the main agency in charge of addressing the complaint.

150. Stage 3: Assessment and Identification of Action [max. 10 working days]

- a. If the complaint is eligible, the entity identified under Stage 2(d) conducts an assessment and gathers information about the complaint to determine how it might be resolved.
- b. If outside experts or technical information is needed, the entity identified under Stage 2(d) may seek such guidance and may request all parties concerned (including the complainant, as relevant) to participate in the grievance redress process.
- c. The entity identified under Stage 2 (d), in consultation with PMU2 ESU, drafts a time-bound action plan including responsibilities for plan implementation.
- d. The entity identified under Stage 2(d) submits the assessment letter including time-bound action plan to the complainant. PMU2 ESU is copied in the letter.

151. Stage 4: Confirmation by AP, or First Appeal [max. 10 working days]
- The complainant confirms in writing consent with the proposed action plan to execute immediately the action plan.
  - The complainant may submit an appeal to GRC of respective Provinces in the following cases: (i) no response is provided within 30 days after acknowledgement of the complaint; (ii) the complainant disagrees with the decision under Stage 3.
152. Stage 5: Review, Eligibility Assessment and Confirmation of Appeal by GRC of respective Provinces [max. 5 working days]
- The GRC informs PMU2 ESU/concerned DGRU/CGRU that the complainant appealed the decision, and requests all relevant documents and issued decisions from PMU2 ESU/concerned DGRU/CGRU. The GRC, in consultation with the DGRU/CGRU determines whether the appeal is eligible using their own screening procedure.
  - If the appeal is deemed ineligible, the complainant is informed of the decision and the reasons for ineligibility.
  - If the appeal is deemed eligible, the GRC identifies who and how the complaint should be investigated and addressed, and informs the relevant parties accordingly.
  - The GRC sends a confirmation of eligibility to the complainant with copy to PMU2 ESU for registration. The letter provides information on when a decision will be made regarding the complaint, and the main agency in charge of addressing the complaint.
153. Stage 6: Assessment and Identification of Action by GRC [max 10 working days]
- If the complaint is eligible, the entity identified under Stage 5 (c) conducts an assessment and gathers information about the appeal to determine how it might be resolved.
  - If outside experts or technical information is needed, the entity identified under Stage 5 (c) may seek such guidance and may request all parties concerned (including the complainant, as relevant) to participate in the grievance redress process. For cases involving ethnic minority complainants, CEMA will participate as a party to the assessment and decision making process.
  - The entity identified under Stage 5 (c), in consultation with PMU2 ESU, drafts a time-bound action plan including responsibilities for plan implementation.
  - The entity identified under Stage 5 (c) submits the assessment letter including time-bound action plan to the complainant. The DGRU/CGRU and PMU2 ESU are copied in the letter.
154. Stage 7: Confirmation by AP, or Second Appeal [max 10 working days]
- The complainant confirms agreement in writing with the Decision and the proposed action plan.
  - The complainant may appeal to the local court in the following cases: (i) no response is provided within the 30 days after acknowledgement of the appeal; (ii) the complainant disagrees with the decision in Stage 6. In fact, at any time in the GRM the AP may appeal to the local court system if they so choose.
  - If the AP is not satisfied with the outcome of the GRM, they may send their grievance directly to ADB's Southeast Asia Department (SERD) through ADB Viet Nam Resident Mission. If the AP is not satisfied with the responses of SERD, APs can access ADB's Accountability Mechanism via <https://>

/www.adb.org/site/accountability-mechanism/main<sup>1</sup>.

155. Stage 8: Implementation of Action, Monitoring, and Reporting [duration: as defined in the Decision and time-bound action plan]

- a. Implementation of the Decision and action plan commences, with close collaboration of relevant project stakeholders depending on the type of complaint.
- b. PMU2 ESU monitors the implementation of actions and records findings, to be filed through the grievance administration system. As part of the monitoring process, PMU2 ESU consults the relevant project stakeholders, as needed.

156. Stage 9: Closure of Complaint

- a. When the decision/actions are implemented and when monitoring is completed, PMU2 ESU prepares a final report which is shared with the complainant, DGRU/CGRU and GRC, and filed.
- b. The complainant confirms completion of the actions and *agrees* to the closure of the complaint. The grievance dossier is closed and filed in the project archive.

The AP will not have to pay any fee for his/her case (official or unofficial). APs will be encouraged to use the above GRM. However, the GRM does not impede access to the country's judicial or administrative remedies by APs, at any stage, if they so wish.

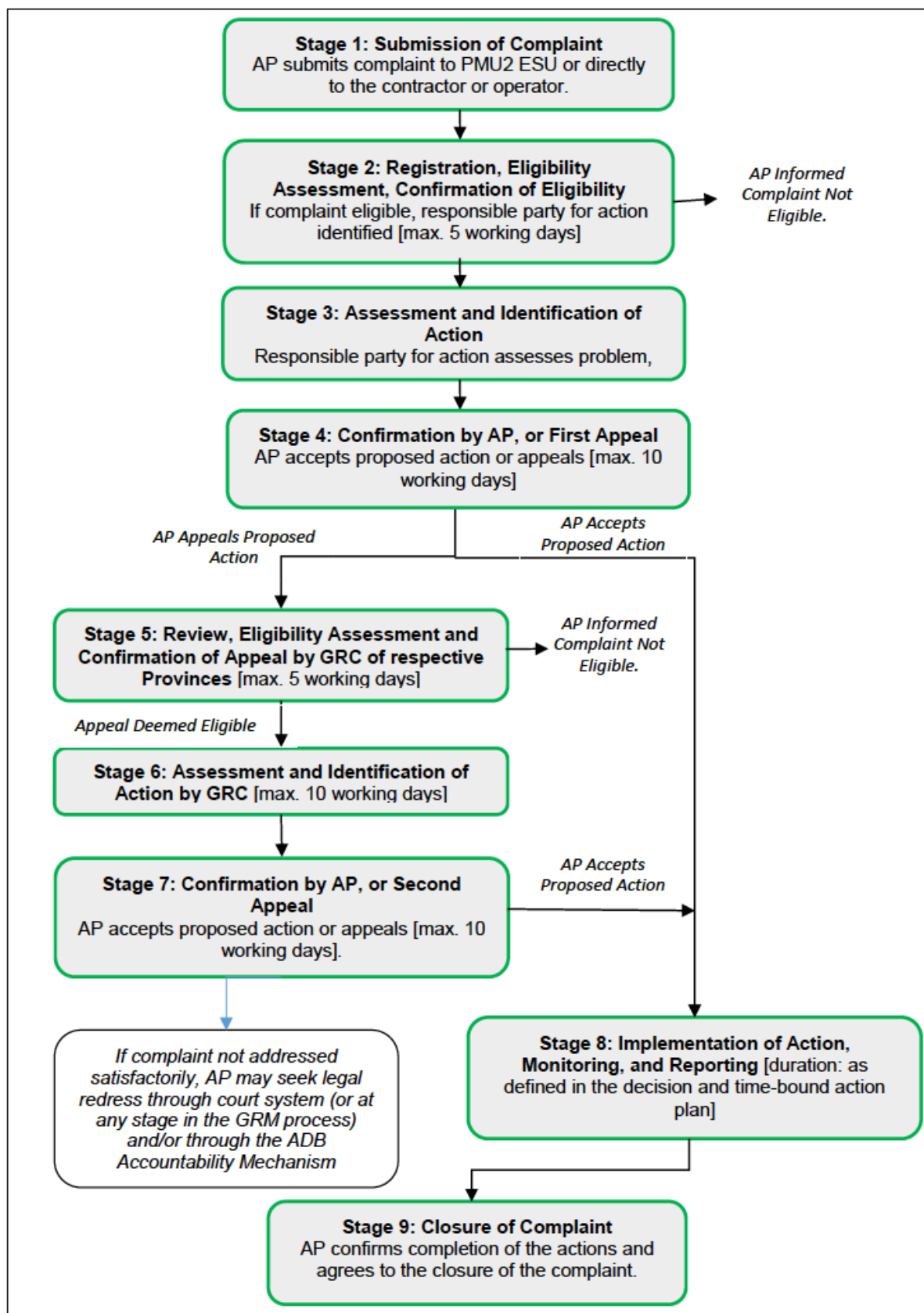
### 5.3 Role of Committee for Ethnic Minority Affairs in GRM

157. Based on the Circular No. 01/2012/TTLT-BTP-UBDT dated 17 January 2012 guiding legal assistance for the ethnic minority people CEMA will have various responsibilities to provide support through the GRM process. The provincial, district level CEMA are to cooperate with the judicial sections at all levels and representatives of the commune People's Committees in providing legal assistance to ethnic minority people when they have complaints and / or lawsuits (including: (i) providing legal advice; (ii) Participation in proceedings (iii) Representation except for legal proceedings, (iv) Other forms of legal aid as provided for by the law on legal aid. In addition, if ethnic minority people require, supporting in translating or providing interpreter. The above support is free of charge.

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<sup>1</sup> Vietnamese version: <https://www.adb.org/vi/documents/accountability-mechanism-policy-2012>

**Figure 1. Project GRM**



## Chapter 6 - Monitoring, Reporting & Evaluation

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158. The implementation of the EMDP will be monitored regularly to help ensure that it is implemented as planned and that mitigating measures designed to address adverse social impacts are adequate and effective. The monitoring will be done at two levels, internal monitoring to be done by the PMU, and external monitoring to be undertaken by an external monitor.

### 6.1 Internal Monitoring

159. The Project Management Unit 2 (PMU2) will conduct regular monitoring of the project, including implementation of the EMDP. The PMU will maintain a file of all data gathered in the field, including a database on the affected households. The PMU2 will submit semi-annual social monitoring reports to MOT starting from the commencement of the project. The PMU2 will also include updates on resettlement progress in its periodic project reports to ADB and MOT. Social monitoring reports will be provided to AHs and submitted to ADB for updating on website.

160. Internal monitoring and supervision will have the following objectives:

- The HIV and Human Trafficking Awareness Program and the Community Road Safety Awareness Program are implemented to meet the planned objectives.
- The Resettlement Plan is implemented as planned, with compensation and other entitlements are computed at rates and procedures as provided in the agreed RP.;
- The livelihood development program is implemented in line with the objectives and participation eligibility for ethnic minority people affected by land acquisition;
- Public information, public consultation and grievance redress procedures are followed as described in the EMDP and approved updated RP;
- Contractors effectively manage workers and community relations to minimize disruptions to community life and are able to quickly resolve any issues of discord;
- Ethnic minority people have equitable access to project employment opportunities;
- Ethnic language interpreters engaged for public consultation and information dissemination activities.
- Rural access infrastructure set out in the EMDP is implemented;
- Road safety awareness activities are delivered effectively to ethnic minority people in the project areas.
- The GRM is accessible to ethnic minority people, and that appropriate support is provided by CEMA, CPC, DPC and PPC legal services;
- The GRM is responsive to resolving ethnic minority grievances related to any matters regarding the project, including related to the EMDP, in a culturally appropriate and timely manner.

## 6.2 External Monitoring

161. An external monitor Agency (EMA) will be engaged by the project to conduct an external assessment of the extent to which EMDP objectives are being met. Specifically, the objectives of the monitoring program are:

- To verify internal monitoring information
- To verify whether the activity objectives are being met in accordance with the EMDP and RP, and if not to suggest corrective measures;
- To assess the effectiveness of the consultation activities of the project to ensure information dissemination and opportunities for consultation of ethnic minority people, including if special measures to ensure those with limited literacy and fluency in Vietnamese language are incorporated;
- To assess the effectiveness and accessibility of the grievance redress mechanism for those with limited literacy and fluency in Vietnamese language;
- To assess the extent of ethnic minority participation in the mitigation measures and benefits of the project;
- If shortcomings in participation of ethnic minority people are identified, to identify corrective measures, in consultation with ethnic minority people in the project areas, their community leaders and CEMA;
- To identify problems or potential problems;

162. The methods for external monitoring activities include:

- Participatory Rapid Appraisal (PRA), which will involve obtaining information, identifying existing or potential problems, and finding specific time-bound solutions through participatory means including: a) key informant interviews including representatives of civil society, community groups, and non-governmental organizations; b) focus group discussions (FGDs) on specific topics such as ethnic minority specific actions, compensation payment, income restoration and relocation<sup>2</sup>; c) community public meetings; d) direct field observations of program implementation; e) formal and informal interviews with households and individuals in the local communities; and, f) in-depth case studies of problems identified by internal or external monitoring that required special efforts to resolve.
- Review implementation reports of the HTAP and community road safety programs implementation reports as well as their monitoring, review and evaluation reports.
- Review the results of internal monitoring.

163. Post-completion Evaluation

164. A post-completion evaluation will be carried out one year following completion of all activities covered under the EMDP, expected to be combined with post-completion evaluation of the resettlement plan:

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<sup>2</sup> Groups that may be targeted for involvement in FGDs include AHs in general, and vulnerable AHs such as women-headed households, the poor, and ethnic minorities

- Carry-out a survey of affected households to compare with the baseline survey data to assess if income of affected households and other living conditions have been restored as pre-project. The survey will cover at least 20% of severely affected households, 100% of affected poor, landless and female headed households, as well as at least 10% of all other affected households. The database will disaggregate information by gender, vulnerability, and ethnicity.
- Conduct Participatory Rapid Appraisal (PRA), which will involve obtaining information identifying remaining/outstanding problems and finding specific time-bound solutions through participatory means including: a) key informant interviews including representatives of civil society, community groups, NGOs and Committee for Ethnic Minority Affairs; b) focus group discussions (FGDs) on specific topics such as outstanding issues related to compensation payment, income restoration and relocation; c) direct field observations, for example, completion of resettlement site development; d) formal and informal interviews with affected households, women, ethnic minorities, and other vulnerable groups to conclude on the remaining and outstanding issues.
- Discuss with the EA and IA on the completion of land acquisition and resettlement as well as the remaining/outstanding issues and commitments on actions, timeframe, resources and reporting of EA and IA to completely resolve the remaining/outstanding issues (if any).
- Discuss with EA and IA on the completion of agreed measures for mitigating negative impacts and measures for enhancement of positive impacts on the local EM people.
- Review the results of the mid-term and final evaluation of the HIV and Human Trafficking Awareness and Prevention Program and Community-based Road Safety Awareness Program.

#### 165. Schedule & Team Composition

166. Independent monitoring and evaluation should be conducted by a consultant agency (research institute, consultancy firm or NGO), with sufficient capacity and experience in monitoring, evaluating socio-economic survey and implementation of RP/EMDP/REMDP. PMU 2 will hire (select) consultant to perform this task. Fees paid to EMA are to be deducted from the counterpart fund of the project. The EMA will be responsible for preparing periodic reports on progress and recommending solutions to issues arising during the monitoring process.

167. External monitoring activities will be carried out for a period of at least 2 years on a semi-annual basis starting from the conduct of DMS until the completion of livelihood/income restoration activities. For project components where payment of compensation/allowances has been substantially completed, the external expert will also conduct a resettlement audit to verify completion of payment of compensation/allowances and hand-over of plots and recommend issuance of no objection letter for commencement of civil works. The post-completion evaluation will be carried out one year following completion of all resettlement activities.

168. Information presented in the reports should be disaggregated by sex and ethnicity.

169. All reports will be prepared in English and Vietnamese and submitted to MOT and ADB simultaneously on a semi-annual basis.

170. The table below sets out sample monitoring and evaluation indicators. The list of indicators and associated targets as appropriate will be finalized during inception phase of the external monitor in consultation with PMU2 and ADB.

**Table 6-1: Sample Monitoring and Evaluation Indicators**

	Examples of Indicators
Implementation of EMDP mitigation and beneficial measures	<b>Process Indicators</b> <ul style="list-style-type: none"> <li>Progress of implementation of mitigation / beneficial measures against plan</li> <li>Number of activities that occur/completed—construction of rural roads, livelihood development activities, HIV and Human Trafficking Awareness and Prevention, Road Safety Awareness</li> <li>model farms developed under the livelihood development program are accessible to non-affected households within those communities.</li> <li>% affected ethnic minority households participating in the activities covered under the HTAP;</li> <li>% improvement in awareness and knowledge related to HIV, human trafficking and road safety;</li> <li>% affected ethnic minority households participating in the livelihood restoration program;</li> </ul>
	<b>Outcome Indicators</b> <ul style="list-style-type: none"> <li>Increased participation in remunerated work</li> <li>Improved access to markets and services for communities in areas serviced by project-constructed rural roads.</li> </ul> <p>(Improved awareness of HIV and human trafficking issues and prevention and improved awareness of road safety will be monitored and measured separately by HTAP and Road Safety Awareness Programs under their M&amp;E activities.)</p>
Consultation, Participation	<b>Process Indicators</b> <ul style="list-style-type: none"> <li>Number of consultation and participation programs held with various stakeholders</li> <li>Number of consultation and participation activities that occur—meetings, information dissemination, brochures; flyers, training</li> <li>Percentage of IP women as participants; number of meetings exclusively with IP women</li> <li>Percentage of vulnerable IP groups represented / attending meetings; number of meetings exclusively with vulnerable IP groups.</li> <li>Languages used at meetings</li> <li>Consultation and participation progress against plan</li> </ul>
	<b>Outcome Indicators</b> <ul style="list-style-type: none"> <li>Awareness of EM issues among implementing stakeholders</li> <li>Awareness of EMDP mitigation and beneficial measures amongst recipients</li> <li>Awareness of project details amongst stakeholders</li> <li>EM perception of effectiveness, cultural appropriateness and inclusiveness of consultation measures</li> <li>Attendance at consultation and participation activities</li> <li>Level of involvement by IP and representatives in the design and implementation of consultation and participation</li> <li>Communication modes are accessible, effective and understandable.</li> </ul>

	Examples of Indicators
Changes to Status of Women	<p><b>Process Indicators</b></p> <ul style="list-style-type: none"> <li>• % participants in EMDP community-based programs are women</li> <li>• % unskilled labour in project construction are women</li> <li>• Equitable participation of women in livelihood development program</li> </ul> <p><b>Outcome Indicators</b></p> <ul style="list-style-type: none"> <li>• Increased participation in remunerated work</li> </ul> <p>(Improved awareness of HIV and human trafficking issues and prevention and improved awareness of road safety for women will be monitored and measured separately by HTAP and Road Safety Awareness Programs under their M&amp;E activities.)</p>
Procedures in Operation	<ul style="list-style-type: none"> <li>• CEMA and Women's Union participate in GRM and program implementation of HTAP and Community Road Safety programs.</li> <li>• The GRM is accessible to ethnic minority people, and that appropriate support is provided by CEMA, CPC, DPC and PPC legal services;</li> <li>• The GRM is responsive to resolving ethnic minority grievances related to any matters regarding the project, including related to the EMDP, in a culturally appropriate and timely manner.</li> </ul>

# Chapter 7 - Institutional and Implementation Arrangements

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171. The following section sets out the roles and responsibilities of various agencies and bodies in updating and implementing the EMDP.

## 7.1 Key Implementing Agencies

### 7.1.1 Ministry of Transport (MOT)

172. MOT is the Project Executing Agency for the Project, through the Project Management Unit 2 (PMU 2). As such MOT and PMU are generally responsible for the implementation of the project. They will be responsible for the approval of the detailed design, disbursement of funds, monitoring of the project implementation and coordination with ADB, the People's Committees of the respective provinces and districts of the project areas.

### 7.1.2 Project Management Unit 2 (PMU2)

173. PMU2 is responsible for overall coordination of program implementation as well as disbursement of funds.

174. The PMU2 will have specialist staff (or sign contract with a qualified and experienced agency/unit), which will be responsible for EMDP implementation. Their tasks include the following:

- Coordinate with the People's Committee in the formulation and implementation of the RP/EMDP and updated RP/EMDP. Recommend to MOT for submitting the RP/EMDP and updated RP/EMDP to ADB for the review and approval;
- Carry out the development and implementation of training programs for the People's Committees of districts, communes on the EMDP implementation and grievance redress with support from PSC consultants;
- Reporting the status of funding matter to MOT to ensure that the budget for the RP and activities covered under the EMDP are available and adequate;
- Provide information to, and work closely with the relevant departments and local governments in the implementation of the project;
- Monitor and report the settlement of complaints relating to the project and that the grievance redress mechanism operates effectively.
- Implement the internal monitoring of the EMDP implementation and ensure that the implementation of activities are in compliance with the agreed EMDP;
- Coordinate with PPC and other relevant agencies in the project areas to ensure the dissemination of relevant project and program information and community consultations. The consultant will support these activities.;

- Recruit an independent monitoring consultant to conduct external monitoring. Coordinate with the independent monitoring consultants for the conduct of external monitoring of the implementation of the RP and EMDP.
- Manage resourcing of local interpreters of ethnic minority languages.

### 7.1.3 Provincial People's Committees (PPC)

175. The People Committee will have an oversight responsibility for the project programs conducted in the project areas within their management authorities. The PPC responsibilities with respect to the resettlement plan are discussed separately in the RP. Their main responsibilities for other activities discussed within the EMDP are:

- Implement information dissemination to raise the awareness of the project development to the relevant agencies and administrative levels;
- Instruct District People's Committee and relevant agencies such as DOT, Department of Traffic Safety, Department of Education and Training, DOH, DOLISA, DARD, CEMA as well as mass organizations to help in the formulation and implementation of the project activities;
- Coordinate the Road Safety Awareness Program;
- Resolve complaints and problems as well as enforcement of resettlement when necessary.

### 7.1.4 Committee for Ethnic Minority Affairs (CEMA)

176. CEMA is a Government agency with coverage from national to the district level with a mandate to manage ethnic minority affairs. CEMA will be consulted on project activities and provide advice on matters relating to ethnic minorities. It will participate in significant consultation activities and be consulted in the process of monitoring of project implementation. CEMA will participate in the GRM in cases involving ethnic minority people.

177. Provincial and District CEMA have specific responsibilities as follows:

- Review the EMDP activities and advise on EMDP implementation issues;
- Participate in the EMDP implementation together with other relevant agencies;
- Participate in monitoring of EMDP implementation, discuss with local ethnic minority peoples, local authorities on the modifications of interventions/action plans (if any) to ensure that the mitigation activities and development measures to ethnic minority groups are implemented properly;
- Advise on the issues/impacts that arise during the subproject implementation in the ethnic minority area;
- Record of data/issues on the EMDP implementation, share of experiences and lesson learned from implementing of EMDP of the Subproject to other projects/subproject that are/will be implementing in the area, including the government funded projects.

178. Based on the Circular No. 01/2012/TTLT-BTP-UBDT dated 17 January 2012 guiding legal assistance for the ethnic minority people:

- The provincial, district level CEMA to cooperate with the judicial sections at all levels and representatives of the commune People's Committees in providing legal assistance to ethnic minority people when they have complaints and / or lawsuits (including: (i)

providing legal advice; (ii) Participation in proceedings (iii) Representation except for legal proceedings, (iv) Other forms of legal aid as provided for by the law on legal aid. In addition, if the EM people require, supporting in translating or providing interpreter. The above support is free of charge;

#### **7.1.5 Department of Labour, War Invalids and Social Affairs (DOLISA)**

179. DOLISA will play a lead role in the design and implementation of the project's Livelihood Development Program (LDP) together with PMU2. Specifically, DOLISA will undertake the following tasks and responsibilities:

- Collaborate with PMU, DD Consultants, and relevant local agencies such as Department of Agriculture and Rural Development (especially Extension Centre) and other relevant stakeholders at the provincial and local levels in the detailed design of the project's LDP Program during updating of RP.
- Together with DARD and PMU, determine and establish an effective management structure for the LDP that includes key stakeholders.
- In undertaking detailed design DOLISA will collaborate closely with the DARD Extension Centre as well as consult with DCARB and other relevant organizations in the project areas. The design of the LDP should be based on a needs assessment of eligible affected persons and local conditions to ensure effectiveness of the LDP in restoring income levels.
- Take lead in the implementation of the LDP in close collaboration with DARD Extension Centre. Consult and guide affected persons on training options, options to access credit, market outlets for products and other forms of material support (such as inputs for farming). Together with DARD Extension Centre deliver LDP activities and training programs in the local areas.
- Monitor and report on implementation of the LDP, including implementation of specific LDP activities, participation of affected persons, and outcomes of LDP activities.

#### **7.1.6 Department of Health/Provincial AIDS Centre/District Preventative Medicine Centre**

180. The health services will participate in the oversight and implementation of the HIV aspects of the HIV and Human Trafficking Awareness and Prevention Program (HTAP). Their role in the management of the program at the provincial level will be detailed when the HTAP is finalized at the commencement of the project.

#### **7.1.7 Department of Transport / Traffic Safety Committee:**

181. Coordinate in managing and organizing the activities of road safety awareness propaganda;

#### **7.1.8 Department of Traffic Safety:**

182. Coordinate the organization of activities of road safety awareness propaganda;

#### **7.1.9 Department of Education and Training:**

183. Coordinate management activities awareness, safety awareness in schools.

#### **7.1.10 Organization in charge of Compensation implementation, District People's Committee (DPC); District Compensation and Resettlement Board (DCARB) and Centre for Land Development Fund (CLDF)**

184. The DCARB is responsible for implementation of the resettlement plan. The DCARB led by the Vice President of the District People's Committees will include the Directors of Centre for Land Development Fund (vice-chair), Financial and Planning Office, Natural Resources and Environment Office, Agricultural Office, Economy and Infrastructure Office, Chairperson of the affected communes and PMU 2 staff, in addition to representatives of the Fatherland Front, Farmers Associations, Committee for Ethnic Minority Affairs, the Women's Unions and representatives of affected households. The specific tasks of the DCARB are discussed in the RP.

#### **7.1.11 Commune People's Committee**

185. The responsibilities of the CPC relative to resettlement include the following:

- Assign commune officials to assist the DCARB in the updating of the RP and its implementation;
- Support the implementation of all programs and activities covered under the EMDP.

#### **7.1.12 Mass Organizations: Women's Union, Youth Union and Farmers' Union**

186. Relevant mass organizations will participate in program implementation in areas in the realm of their respective mandates. The Women's Union and Youth Union will collaborate in the implementation of the HTAP and community road safety awareness programs, especially with respect to community outreach. The Farmers' Union will support the implementation of the livelihood development program in cooperation with DARD and DOLISA.

#### **7.1.13 Detailed Design Consultants (DD Consultant) /Project Supervision Consultant (PSC)**

187. The DD Consultant or PSC will have a team of expertise covering oversight of the aspects set out in the EMDP, including technical design, social safeguards, social development and road safety. The consultant team will provide technical assistance to PMU 2 and the major stakeholders related to the updating and implementation of the EMDP.

188. The social safeguards tasks of the DD Consultant/ PSC include:

- Assess the capacity of the concerned institutions involved in project implementation at the central and project levels, including the training and capacity building activities provided during the Loan, and continue to implement necessary capacity-building interventions;
- Review and assess the consultation and disclosure activities that have been carried earlier, and revise the approach as necessary to ensure the transparent, continuous and active involvement of the stakeholders;
- Support the detailed design of the project's livelihood development program (LDP) under the RP. Monitor and review LDP implementation and provide advice, as needed, to ensure the effectiveness of the LDP in restoring income earning capacity of eligible affected persons.;

- Assist the DPCs in the implementation of the ethnic minority and gender strategies as described in the updated RP and EMDP;
- Coordinate with the external monitor, ensuring that its findings and recommendations are discussed with PMU 2 and the DPCs for appropriate action; and
- Assist PMU 2 in the preparation of quarterly progress reports on resettlement, including the preparation of a Resettlement Completion Report.
- Ensure that requirements on the contractor set out in the RP and EMDP are included in the conditions in the bidding documents and contracts for civil works and assist the PMU 2 to monitor contractor performance in regards to these matters.

189. The road safety awareness tasks of the DD Consultant/ PSC include:

- Provide technical support to the PMU 2, PPC related agencies to design and implement the community-based road safety awareness program;
- In collaboration with the Traffic Safety Committee, develop training and IEC materials and provide training to community facilitators. Provide guidance on modes of communication to ensure that language use, community mobilization methods and style of IEC materials are conducive to ensure full participation of ethnic minority people.

190. The social development and gender tasks of the DD Consultant/ PSC include:

- Provide technical support to the PMU 2, PPC related agencies to finalize the detailed design and implement the HIV and Human Trafficking Awareness Program;
- Manage implementation of the Consultation, Participation and Communication Plan. Ensure meaningful participation of ethnic minority people, including that local interpreter resource persons are provided for consultation meetings and that IEC material is appropriately designed to address various language competency levels.

191. The technical design tasks of the DD Consultant/ PSC include:

- Design of the improved rural access infrastructure measures described in the EMDP.

## Chapter 8 - Budget and Financing

192. The EMDP specific actions are estimated to cost VND 8,776 million, including 20% contingency on direct costs.

193. Funding for the EMDP implementation will be sourced from the Government of Vietnam. The budget will be allocated by MOT.

194. A summary is presented below.

**Table 9-1: EMDP Budget Estimate**

Mitigation/ Beneficial Measures	Cost (VND million)	Remarks
local interpreters of ethnic minority languages for consultation and information dissemination meetings	700	6 interpreters x 288 days x VND400,00/day
Farmer Bridge and Access Road at Na Tam, Tham Duong District	6,613	Bridge's length (m): 100 Access/ approach Road (m): 350 Bridge type: cable stay bridge, 2m overall width, 100m length for span; Access road: 2m width, PCC pavement (C20) 10cm thickness, crushed base course 15cm; Unit Cost: Bridge 32 million VND/m <sup>2</sup> ; Access road: 305,000 VND/m <sup>2</sup>
Direct Costs	7,313	
Contingency (20%)	1,463	
Total	8,776	

195. Resources required to mitigate other impacts and deliver benefits identified in the EMDP are sourced from other programs and action plans. The resources for these are presented in Table 4.2 above.

# Chapter 9 - Appendices

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## Appendix 1: Summary of HIV - Human Trafficking Awareness & Prevention Program

### 196. Rationale for the HIV/AIDS and Human Trafficking Prevention Program (HTAP)

197. The project contributes to increased risks of HIV infection and human trafficking. There are also underlying pre-existing risks in the project areas. The HIV and Human Trafficking Prevention Program has been prepared to mitigate the project induced risks as well as to strengthen the awareness and resilience of local communities. At the community level, the program will be delivered through local stakeholders with mandates for HIV and human trafficking prevention. A service provider will be engaged by the project to provide support to the local stakeholder agencies and to provide training directly to construction workers. Implementation arrangements will also focus on partnership with local agencies and community based organizations, including Department of Health, Provincial AIDS Centres, Women's Union and Youth Union. The following provides a summary of the HTAP program. The reader is referred to the HTAP report for further details.

### 198. Risks for HIV infection stems from the following factors:

- an influx of construction workers who are expected to be predominantly unaccompanied men from other parts of the country. There is an assumed associated increase in demand for, and presence of, sex workers in the vicinity of the construction sites;
- increased mobility upon completion of the road which will include movement to and from areas of higher HIV prevalence.
- general low understanding of risks of HIV transmission and prevention amongst communities in the project areas.

### 199. Risks for human trafficking are associated with:

- increased vulnerability of women and children if they, or their families, experience economic hardship or displacement as a result of land acquisition and resettlement or other project impacts;
- the ease of movement resulting from the operation of the completed project. This increases potential for exploitation when women are prompted, or have the desire, to work far from home yet are insufficiently aware of the risks, their rights and appropriate responses to exploitative situations.

200. To address the potential impact of the road project on HIV and Human Trafficking the PPTA recommended the project implement mitigating measures. The mitigating measures will take two forms:

- A specific HIV/AIDS and Human Trafficking Prevention Program (HTAP) be financed under the loan;
- Information, education, and communication on HIV/AIDS and STIs and the prevention of trafficking be made a contractual obligation of the construction contractors.
- 

### 201. HIV and Human Trafficking Situation

202. The construction phase of the project presents increased risks of HIV/AIDS infection to the local communities, construction workers and mobile populations. There will be a number of concentrated locations for construction workers (including construction camps) during the construction of the project. The vast majority are expected to be unaccompanied men away from their families and communities for extended periods. There is also expected to be an associated increase in the presence of sex workers and other mobile populations during this phase. There are several project impacts that would adversely impact on or present significant risks to livelihoods and household living standards as well as social dislocation – especially land acquisition and resettlement and changed traffic flow. If such impacts are not mitigated women and children can face significantly increased risks of human trafficking and exploitation.

203. After peaking in the early 2000s, Viet Nam's HIV epidemic has stabilized, with HIV prevalence among adults (15-49) at 0.4%. However, HIV remains a public health threat in Viet Nam, with an estimated 11,000 new HIV infections and 7,800 AIDS-related deaths in 2016. Injecting drug use remains the main mode of HIV transmission. The epidemic is concentrated among key populations, especially people who inject drugs, men who have sex with men and female sex workers and their sexual partners. People living with HIV mainly live in large cities and the mountainous provinces.

204. The overwhelming majority of HIV infections are amongst men, however, the proportion of women infected has been steadily increasing. Men accounted for 73.2% of all reported cases in 2009. The proportion of female HIV cases among all cases reported has been steadily increasing. The majority of PLHIV reported in 2013 are between the ages of 20-39, with this age demographic accounting for 79%. Injecting drug use is the leading contributor to the transmission of HIV in Viet Nam, further fuelled through sexual transmission.

205. The current situation of HIV infection the three project provinces is:

- Lai Chau: In Lai Chau province, the total number of people living with HIV/AIDS is 3,449. The number of HIV infections detected in 2016 was 227. This rate is around twice that of Yen Bai and Lao Cai. However, this figure at the same time represents a decrease of 27% of new infection cases over the previous years. Those with HIV are mostly men, accounting for 71.7%. Infected persons are mostly in the age group 25-49 years (69%) with those aged 16 to 24 representing 26%. Persons who use intravenous drugs (PWID) represent the largest infected group. Some communes in remote and mountainous areas have a high rate of drug addicts who have switched from smoking to injecting. The proportion of intravenous drug users with HIV in Lai Chau province is one of the highest in the country at 28% of PWID.
- Yen Bai: Yen Bai Province has seen a decrease in new infection rates over the past few years. The two project area districts of Van Chan and Van Yen have the highest number of new rates in the province.
- Lao Cai: The total number of HIV infected people detected in the province is 2,880 people, and another 2,110 have developed AIDS. Over 63% of HIV infected people in the group of drug users. The risk of HIV infection is concentrated mainly through blood (65%) and sexual transmission (24.8%). The northern and northwestern border areas are also the key areas for drug dealing, narcotics, heroin and addictive drugs. It is also home to high numbers of drug users. In some remote and mountainous areas, there are drug retailers; smoking habit, opium cultivation of some ethnic minority households has not been resolved thoroughly and the trend of rejuvenation of drug addicts, etc. makes the situation in the border area complex. The project area district of Van Ban has the highest number of new infection cases and Bao Yen District ranks 5 out of 9 districts with new infection cases.

206. Trafficking of women from Viet Nam is linked primarily to prostitution and forced labour. According to the Vietnamese Ministry of Public Security, trafficking of women and children has

become increasingly complicated and more difficult to control. In the recent years, especially following Vietnam's transfer to market economy, the situation of human trafficking has become a serious and an increasing national trend. In Vietnam, the crime of human trafficking occurs in all 63 provinces/cities and is concentrated in border areas of China, Laos and Cambodia. In the period 2011 - 2015, authorities investigated and discovered over 2,200 human trafficking cases, arrested more than 3,300 offenders and rescued and received nearly 4,500 victims of trafficking. In 2016 alone, there were 383 detected human trafficking cases, involving 523 criminals, and 1,128 victims. Vietnamese men and women often migrate through labor recruitment companies in the construction, fishing, agriculture, mining, logging, and manufacturing sectors. Some of these workers subsequently face conditions of forced labor. Vietnamese women and children subjected to sex trafficking throughout Asia are often misled by fraudulent labor opportunities and sold to brothels on the borders of Cambodia, China, and Laos, with some eventually sent to third countries.

#### 207. Target Groups for the HTAP

208. Given limited resources the HTAP is designed as a targeted program focusing on sub-groups in target locations that have been assessed as being most vulnerable to HIV or human trafficking as a result of the construction activities. The five target groups of the HTAP are outlined below.

209. Target Group 1: Women 18-40 living in communes directly affected by the construction, with a specific focus on women from resettled households

210. Women aged 18-40 are a target group for both HIV prevention and human trafficking prevention. Women in this group are vulnerable on a number of fronts. The influx of male construction workers creates opportunities for transactional sex with migrant workers. Increased mobility resulting from the new road enables women to seek out opportunities, or be coerced into moving, away from their home. Women in households who have been resettled may have increased vulnerability where economic hardship or displacement has resulted from the resettlement process.

#### 211. Target Group 2: Female Sex workers (FSW)

212. Female sex workers are a target group for HIV prevention. The FSW target group includes women working within entertainment establishments and women working as street based sex workers. A number of factors combine to place FSW at risk. These include: unequal bargaining power to negotiate condom use; few alternative income opportunities; lack of knowledge to prevent infection; lack of protection from authorities; and lack of access to mainstream health services.

#### 213. Target Group 3: Mobile Populations

214. Mobile populations is a broad and loosely defined target group that encompasses transport workers, traders, informal migrant/itinerant service providers and injecting drug users (IDU). At the design stage the profile of this target group is unknown. As construction proceeds assessments of mobile populations will allow a more specific definition of the risk group(s) within this population.

#### 215. Target Group 4: Men 18-30 in communes directly affected by construction

Young men in communes affected by the construction are a target group for both HIV prevention and human trafficking prevention. This need is based on the potential for migration resulting from displacement due to resettlement and the operation of the new road.

#### 216. Target Group 5: Construction workers

217. Male construction workers living within the camps along the construction route are a target group for HIV prevention. Factors such as loneliness and disconnection from community and family, disposable income that can readily be used for sex, and the accessibility of sex workers, combine to create an environment where construction workers may engage in behaviours that place them at risk of exposure to HIV.

## 218. Program Objectives

219. The purpose of the HTAP is to mitigate the impact on HIV transmission and human trafficking associated with the construction of the project. The Program's objectives and expected outcomes are:

220. OBJECTIVE 1: To strengthen the capacity of institutional stakeholders to manage and implement HIV prevention and human trafficking prevention programs.

- Outcome 1.1: HTAP effectively managed in each Province.
- Outcome 1.2: IEC/BCC activities effectively implemented.

221. OBJECTIVE 2: To increase the adoption of HIV prevention practices amongst HAPP target groups.

- Outcome 2.1: Increased knowledge of HIV and prevention practices amongst target groups.
- Outcome 2.2: Increased application of key protective practices by target groups.

222. OBJECTIVE 3: To reduce vulnerability to trafficking amongst HTAP target groups.

- Outcome 3.1: Increased knowledge of issues relating to safe migration amongst target groups.

## Activity Components

223. These outcomes will be achieved through a program of activities implemented across four component areas:

### Component 1: Capacity Strengthening of Institutional Stakeholders

224. Capacity strengthening is a cross cutting component of the HTAP. Its objectives are to strengthen capacity for both the management and implementation of the Program.

225. Activities to strengthen management capacity focus on ensuring that institutional stakeholders are resourced to effectively oversee and monitor the activities of the HTAP. Following loan approval, the roles and responsibilities of the provincial level stakeholders with respect to oversight of the HTAP program implementation will be detailed in consultation between the project PMU, Project Supervision Consultant and the provincial-level stakeholders and reflected in the finalized HTAP plan.

226. Activities to strengthen implementation capacity focus on providing partners from the district and commune levels with skills and knowledge to effectively design, plan and manage/deliver IEC and BCC activities both during the HTAP and after the Program's completion. Capacity strengthening is required to address a number of gaps. Implementing partners are likely to have varied and inconsistent understanding of approaches to HIV

prevention. Individual knowledge may reflect stigma-based messages found in mass media. Knowledge around human trafficking issues is anticipated to be limited. Stakeholder's skills in implementing IEC activities are likely to reflect traditional communications methods such as one-way information provision and dissemination of written materials. Understanding of key steps in IEC campaign design and innovative communications approaches such as peer education are likely to be minimal.

## **Component 2: Advocacy:**

227. A key requirement for behaviour change communication programs is an enabling environment that supports activity implementation. HIV prevention programs in particular are subject to a range of social, legal, and political sensitivities that serve as barriers to effective implementation. Advocacy can be used as a strategy to generate support for, and action by, key stakeholders to overcome these barriers and facilitate action. Key targets for advocacy under this program are entertainment establishments and construction contractors:

## **Component 3: Information Education and Communication (IEC) and Behaviour Change Communication (BCC)**

228. Information education and communication (IEC) and behaviour change communication (BCC) are the foundation of prevention programming. Well-designed IEC/BCC is fundamental to creating the motivation and ability to make positive choices related to HIV prevention and informed choices relating to migration. IEC/BCC programming is carried out through a combination of channels and approaches tailored to the target audience. Under the HTAP, IEC/BCC will be delivered through two programs - peer education and community campaigns. Distribution of IEC materials and condoms will be incorporated into each program.

229. Peer education is a recognised approach for targeting IEC/BCC activities to specific population subgroups. Peer education involves recruiting 'peers' from within the target group to deliver IEC/BCC. The underlying premise is that peers have access to the target audience, credibility within this target group, and an understanding of the social and cultural norms of the group. Peer education will be used to access all four target groups, including marginalized subgroups that may not be reached by conventional IEC programs (e.g. female sex workers, mobile populations).

230. Community campaigns will be used to reach the more accessible target groups in the communes affected by construction activities (women 18-40 and men 18-30). Under the campaigns IEC/BCC will be carried out using a combination of channels and approaches tailored to the two separate target audiences.

231. IEC materials will be reproduced under the HTAP for use in the peer education program and community campaigns. IEC materials help to achieve communication coverage. Materials are used to reinforce advocacy or interpersonal communication. Access to IEC materials increases the confidence and perceived authority of individuals delivering communications activities (e.g. peer educators).

232. Distributing condoms concurrently with IEC activities can facilitate the adoption of condom use as a protective practice. Consistent correct use of good quality, male latex condoms is the most effective way to decrease the risk of HIV and other STIs during sexual intercourse. Budget limitations of the HTAP prevent the implementation of a condom social marketing program. The budget does allow for limited procurement of male condoms for distribution amongst high risk target groups in combination with BCC activities.

#### **Component 4: Monitoring and evaluation**

233. The monitoring and evaluation framework for the HTAP is attached in Annex 3. The framework sets out the indicators for assessing Program progress at the output, outcome, and impact level. The framework also identifies key assumptions and risks.

234. Output level M&E focuses on assessing the deliverables from each activity area. Examples of outputs to be measured include: number of program implementers trained; number of people reached through IEC/BCC activities; numbers of materials and condoms distributed.

235. Outcome level M&E will focus on assessing the change in knowledge and practice of each of the target groups as a result of the activities implemented. Outcome indicators for the HAPP have been drawn from the relevant sections of the Government of Viet Nam's National HIV/AIDS Monitoring Framework. Outcome indicators for the HTPP have been developed in consultation with the resettlement specialist. Progress to achieving outcomes will be measured through baseline and endline surveys.

#### **IMPLEMENTATION ARRANGEMENTS**

236. The HTAP is designed to be implemented by local Government agencies and mass organizations that have mandated roles in HIV and human trafficking prevention with support from a contracted service provider. The implementation approach is intended to facilitate more effective coordination of HTAP activities with existing government implemented programs. The approach is also intended to contribute to building capacity of Government implementing agencies to sustain implementation of HIV and human trafficking prevention activities following completion of the HTAP.

#### **Project Management Unit/ Project Supervision Consultant**

237. The Project Management Unit and PSC International and National Specialists have overall responsibility for the management and technical quality of the HTAP. Specific responsibilities include:

- Preparation of a final HTAP technical design in consultation with Provincial Peoples Committees that is compliant with the relevant National Strategies and Laws of the Government of Viet Nam;
- Preparation and submission of plans, budgets and reports as required by the Ministry of Transport and ADB;
- Provide management support to the HTAP Steering Committees in the development of Program workplans, budgets, and reports;
- Implement program mobilisation and capacity building activities, including sourcing an appropriate service provider to serve as technical consultants for the design and delivery of these activities;
- Technical coordination of Program monitoring activities including the baseline survey, mid-term review, and final evaluation, in collaboration with the HTAP Steering Committees and Service Provider.

#### **HTAP Steering Committee**

238. The HTAP institutional framework envisages provincial-level steering committees of key institutional stakeholders with mandated roles in HIV and human trafficking prevention. Following project loan approval, the PSC will assist the PMU and key provincial stakeholders to finalize the coordination and oversight mechanism at the provincial level for each province in the project areas.

239. Proposed specific responsibilities include:

- Coordinate activities under this HTAP with those of existing Government programs within the province to maximize synergies and avoid activity duplication;
- Monitor and provide technical oversight to activities implemented under the HTAP to assure quality in implementation.
- Provide leadership and facilitate collaboration between the key stakeholders and the Service Provider to foster support for the implementation of the HTAP;

### **District and Commune Implementing Partners**

240. Implementing partners are staff of the District Preventive Medicine Centre, District Women's Union, and District Youth Union, and their counterparts from the target communes and towns. District implementing partners are accountable to the Steering Committee through existing line management arrangements with their Provincial line department.

241. Implementing partners are responsible for the field level planning and implementation of IEC/BCC<sup>3</sup> activities implemented under the HTAP. District and commune level implementing partners are the primary recipients for capacity building activities. Implementing partners will be supported in their roles by Provincial level line management agencies, a contracted service provider and the PSC International and National Specialists.

### **HTAP Service Provider**

242. A service provider, such as a national consulting entity or NGO with expertise in the area of community development, HIV and human trafficking prevention, will be contracted by the PMU to provide capacity building interventions and support the delivery of public awareness training to communities in the project areas as well as contractors. It will comprise of a program manager, 1 community development specialist with expertise in human trafficking and 1 community development specialist with expertise in HIV mitigation.

243. The Service provider will work under the direction of the PMU and Project Supervision Consultant.

244. The Service provider will implement various activities within the HTAP Program, including the following key tasks.

- Capacity building training to District and Commune level Women's Union, Youth Union and Peer Educators
- Coordinate program development and activities with DOLISA, DOH and Provincial AIDS Centre, Women's Union and Youth Union.
- Liaise and coordinate with PCs as required
- Oversee awareness training delivery at the community level.
- Design and produce IEC materials.
- Procure and distribute medical packages.
- Provide HIV awareness training to contractors on regular basis. Provide support to Women's Union, Youth Union to conduct awareness training to local communities in the project areas.

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<sup>3</sup> IEC= Information, Education and Communication (e.g. information material); BCC=Behaviour Change Communication

- Undertake regular monitoring as well as baseline, mid-term review and final evaluation. Provide regular progress reports.

#### Indicative Institutional Framework

AGENCY	ROLE IN HTAP	ON-GOING ROLE
Service Provider	Consulting entity or NGO contracted by the project. Responsible to PMU and Project Supervision Consultant. Provides regular progress reports. Provides training to and coordinates with provincial and district stakeholders. Trains and supports peer educators. Coordinates with contractors and provides awareness training to construction workers. Leads conduct of baseline survey, mid-term review and evaluation and produces associated reports.	For program only.
Provincial AIDS Centre (PAC) -representing Department of Health (DOH)	Overall coordination on HIV aspects of the project with respect to district and commune health centres;	HIV surveillance and prevention
Department of Transport (DOT)	Supports the DOH/PAC in project implementation.	Represents the PPC at the provincial level for project implementation.
Department of Labour, War Invalids & Social Affairs (DOLISA)	Monitoring and advocacy covering working conditions related to construction with respect to women and children; Support HTAP activities through their regular mandated programs.	Poverty alleviation and addressing social problems; Together with WU is a lead agency in human trafficking prevention and providing support to victims.
Department of Culture & Information	Support IEC activities, including facilitating approval; Technical liaison agency for communications events for HIV awareness programs.	Promotion of culture, civic responsibility and approval of public media.
Women's Union (WU)	Serve as peer educators, for both HAPP and HTPP; Conduct women's meetings in targeted communities.	The WU and DOLISA are lead agencies in human trafficking prevention and providing support to trafficking victims
Youth Union (YU)	Serve as peer educators for both HAPP and HTPP; Conduct young adult workshops in targeted communities.	Promotion of interests, positive values and civic responsibility amongst youth
PMU/PSC	HTAP design and overall management at the Program level; Financial control; Technical coordination of capacity building and M&E activities; Observer in HTAP Steering Committee.	Program design. technical input, and implementation oversight
Construction Contractors	Implement HIV prevention programs their employees; Observer in HTAP Steering Committee.	

## **Activity Description**

### **COMPONENT ONE – CAPACITY STRENGTHENING OF INSTITUTIONAL STAKEHOLDERS**

#### 245. Activity Area 1: Inception Workshop

246. **Activity Description:** A one day inception workshop will be held in each province. The workshop provides a forum for the official opening of, and orientation to, the HTAP. The workshop will target Provincial level stakeholders/Steering Committee members; District level implementing partners. Key content of the workshop includes:

- program implementation arrangements;
- administrative, financial and reporting requirements;
- a detailed overview of Program activities and monitoring and evaluation arrangements;
- a mapping exercise of partner's current programs and capacities.

#### 247. Activity Area 2: Training Program for Implementing Partners

248. **Activity Description:** Training for district and commune implementing staff will focus on building capacity to design, plan and manage/deliver the peer education program and community campaigns under Component 3 of the HTAP. Workshops will be designed and facilitated by the service provider with technical oversight from the PSC International and National Specialists. Target groups are District and commune level partners from Health, Women's Union and Youth Union responsible for field management and implementation of HTAP IEC/BCC activities (including peer educators from the Women's Union and Youth Union).

249. The first objective of the training is to increase participant's knowledge on social and technical issues relating to HIV and human trafficking, including approaches to prevention. Key content will include:

- an overview of HIV epidemiology in Vietnam and in the Program provinces and districts;
- an overview of the links between construction projects and HIV;
- community based approaches for HIV prevention;
- an overview of human trafficking and links to construction projects;
- basic facts on migration risks and rights;
- IEC approaches and methods, including peer education.

250. The second objective of the training is to develop participant's practical skills for planning, designing and implementing IEC/BCC campaigns. Activities under this component of the workshop will focus on practical skill development including:

- target group identification;
- message prioritization;
- channel/approach selection;
- campaign planning;
- communications techniques e.g. two-way communication, group discussion;

251. Participants in the Year 1 training will be required to develop an implementation plan for the peer education and community campaigns that they will manage and implement under the HAPP/HTAP Program in Year 1. Plans will detail the target group; key messages;

channel/approach; and the specific implementations arrangements (timing, resources/materials, person(s) responsible)

252. At the commencement of Year 2 a two-day refresher training will be held for district and commune partners. The training will be tailored to address challenges encountered in the implementation of Year1 activities. The training will again focus on both knowledge and skill development. Participants in the refresher training will be required to develop a detailed implementation plan for the peer education and community campaigns that they will manage and implement under the HAPP/HTTP Program in Years 2 and 3.

## **COMPONENT TWO - ADVOCACY**

### **Activity Area 1: Advocacy with entertainment establishments**

253. If HIV programs are to be targeted, rather than aimed at the general public, then interventions must be implemented in locations where risk groups are found and risk behaviours are likely to occur. Entertainment establishments<sup>4</sup> are recognized as venues at which sexual contacts are made and/or at which sexual activity occurs. Implementing activities such as IEC, condom distribution and peer education requires the consent and support of venue operators. A range of social, legal, and political sensitivities may serve as barriers to gaining this support.

254. Establishing an advocacy program on HIV/AIDS with entertainment establishments is the responsibility of the HTAP Steering Committee in each Province. Steering Committees will identify the appropriate agency(s) to lead this advocacy work, possibly at the district level. Indicative activities under this component include:

- a venue mapping exercise to be undertaken as a part of the baseline survey;
- a program of information provision and engagement with venue operators to foster support for collaboration on the HTAP;
- supply of IEC materials;
- building links between entertainment establishments and existing condom social marketing (CSM) programs. Due to resource constraints, it is not feasible to implement CSM as an activity under the HTAP. If a CSM program is initiated by another project in either province during the HTAP implementation period, then efforts will be made to link to this program.

### **Activity Area 2: Advocacy with construction contractors**

255. Each construction contractor is required to implement an HIV prevention program that:

- provides HIV/AIDS IEC campaigns via an approved service provider;
- undertakes other measures as specified in the Contract to reduce the risk of transmission of HIV between the contractor's personnel and within the local community;
- promotes early diagnosis of STI/HIV;
- assists affected individuals.

256. The efficacy of each of these measures will be determined, in part, by the degree of internal company support for the HIV prevention program. The more the program is integrated

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<sup>4</sup> Entertainment establishments are defined as venues where men go to relax and at which contacts for sex can be made and/or where sex can take place. They include karaoke, small beer shops, hairdressing and massage shops, and guesthouses and hotels.

within company structures, the more workers are likely to perceive the program as being associated with valued employment, and the more effective it is likely to be. Advocacy with company management is required to move the program beyond 'token' measures to a set of integrated and functional interventions that is coordinated with initiatives implemented under this HTAP.

257. The PMU and PSC are responsible for ensuring the full commitment of, and cooperation by, construction companies in implementing an HIV prevention program at the worksites as part of their contracted obligations. The service provider will provide ongoing technical support to the contractor. Indicative activities include:

- a program of direct engagement with construction company managers to support the development, implementation and monitoring of each company's internal HIV prevention program;
- involvement of construction companies as observers in Steering Committee meetings to raise awareness of construction company managers of the wider HTAP activities;
- a service mapping exercise undertaken by the PSC Specialists in collaboration with PAC to identify testing and counseling referral services available to construction personnel.

### **COMPONENT THREE - INFORMATION EDUCATION AND COMMUNICATION (IEC) AND BEHAVIOUR CHANGE COMMUNICATION (BCC)**

#### **Activity Area 1: Peer Education Program**

258. The peer education program will be implemented in all five target districts. Each program will have the following activity components:

- recruitment of peer educators (PE);
- training for peer educators;
- supervision and support to peer educator networks;
- implementation of peer education activities.

259. **Recruitment of peer educators:** The peer education program will be designed to reach four target groups:

- women aged 18-40 in communes directly affected by construction;
- men 18-30 in communes directly affected by construction;
- mobile populations.
- Female entertainment workers

260. Peer educators will be selected from the Women's Union and Youth Union and trained under the capacity building program described in Component 1 (Activity Area 3). Once operational this network will conduct peer education on HIV and human trafficking with their respective communities with priority to women 18-40 and men 18-30 from target communes as well as other high-risk groups.

261. **Trainings:** Trainings will be provided to each network of peer educators prior to mobilisation. Refresher training will be provided for each network after 6-8 months of operation. The training format, approach and content will be tailored to the characteristics and requirements of each network. The Women's Union/Youth Union network will be trained under the capacity building program described in Component 1 (Activity Area 3). Peer educators will be provided with peer educator kits containing flip charts, IEC materials, and condoms.

262. **Supervision and Support:** Peer educator networks will be supported through two-monthly network meetings. The purpose of these meetings is to foster support links within the network, review activity implementation, discuss issues and challenges, refresh on information and skills needs, and plan upcoming activities. Support meetings for the Women's Union/Youth Union network will be facilitated by the District Women's Union/Youth Union. Support meetings for the female sex worker and mobile populations networks will be planned in consultation with network members as part of the start-up training. The service provider will be used for this support role.

#### 263. Activity Area 2: Community Campaigns

264. Detailed implementation plans for community campaigns will be developed for each target commune/town as an output of the training workshop in year one and the refresher training in year two (see Component 1, Activity Area 3). Activities developed under the plan will be tailored to the information needs of each target group as identified through the baseline survey. Consistent with communications best practice activities will:

- be target group specific;
- focus on the delivery a limited number of key messages covering both HIV prevention and safe migration;
- comprise a range of channels and approaches including small group discussions, video nights, quiz competitions, mass communications, and training sessions.

265. Community campaigns will be scheduled for periodic implementation in the target communes/towns during Years 1, 2 and 3 of the HTAP.

#### **Activity Area 3: HIV prevention program with construction workers**

266. Construction contractors are required to implement an HIV prevention program for their workforce. The service provider contracted for the HTAP will provide HIV awareness training for construction workers.

#### **Activity Area 4: IEC Material Distribution**

267. A comprehensive range of IEC materials are available in Viet Nam. This includes materials developed by government agencies, international and local NGO's, specialist organisations (for example the International Organisation for Migration), and other ADB infrastructure projects. The PSC International and National Specialist will identify relevant HIV Prevention and Human Trafficking/Safe Migration materials currently available. Other materials may be developed appropriate to local needs as identified during program implementation. Materials will be selected for reproduction in consultation with the Steering Committee. Materials may be field tested prior to selection to ascertain appropriateness.

#### **Activity Area 5: Condom Distribution**

268. Budget limitations of the HAPP prevent the implementation of a condom social marketing program, but do allow for limited procurement of condoms. Condom distribution will focus on supply to female sex workers and appropriate sub groups of mobile populations. Distribution will be through peer educators.

269. As part of the advocacy program with entertainment establishments the supply of condoms may be undertaken as a limited activity in combination with the display of IEC materials promoting condom use in these venues.

270. Condom distribution to construction workers will be the responsibility of the construction contractor under the company's own HIV prevention program.

## **COMPONENT FOUR – MONITORING AND EVALUATION**

### **Activity Area 1: Baseline Survey**

271. The baseline survey will be designed to elicit information from the four HTAP target groups. Given the diversity in these groups separate methodologies will be applied for each. The implementation timeframe for the baseline may be staggered based on ability to access the study populations. For example, the survey with women aged 18-40 and men aged 18-30 in communes affected by the construction can commence at Program start up. The survey targeting female sex workers and mobile populations may commence following the recruitment of peer educators from these target groups. The methodologies for each target group are detailed below.

- Baseline data for the Construction Worker target group will be obtained from baseline surveys conducted by the service providers contracted by Construction Companies to deliver the workplace HIV prevention programs.
- Women aged 18-40 and men aged 18-30 in communes affected by the construction
- A Knowledge Attitude and Practice (KAP) survey will be implemented with this target group to assess baseline knowledge on HIV and safe migration. The survey tool will be informed by existing surveys. The National HIV/AIDS Monitoring Framework<sup>5</sup> provides sample questions for key indicators of HIV knowledge and practice that will be integrated into the survey design.

272. To maximize efficiency cluster sampling will be used to select communes for survey implementation. Within the communes, respondents from the target group will be selected using systematic sampling. Commune Peoples Committee records will be used as the sampling frame. Sample size calculation will be conducted as part of the survey design. The estimated sample size for this survey is 400-500 respondents.

### **Activity Area 2: Mid Term Review**

273. The mid-term review will be conducted by the HTAP Steering Committees in collaboration with the service provider, PMU and the PSC International and National Specialists. The mid-term review will focus on process evaluation. The review will assess implementation arrangements, technical quality of activity implementation and progress against the design. The review methodology will combine:

- a review of program documents including the design document, activity reports and workplans, technical materials produced (e.g. training materials, IEC/BCC materials), and budget and financial reports;
- key informant interviews with management and implementation stakeholders from provincial, district and commune levels;
- a review feedback workshop.

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<sup>5</sup> *National Monitoring and Evaluation Framework for HIV Prevention and Control Programs*, Ministry of Health, Viet Nam, 2007

274. Findings from the review will be used to inform revisions to the activity design and implementation arrangements.

### **Activity Area 3: Final Evaluation**

275. The purpose of the final evaluation is to assess outcomes and impact of the HTAP and to document lessons to inform future programming. The three components of the final evaluation are outlined below.

**Endline KAP survey with each target group:** An endline KAP survey will be conducted with each of the target groups surveyed at baseline. The purpose of the endline survey is to assess changes in knowledge and practice during the period of the intervention. Findings will be used to assess the achievements of the HTAP against the expected outcomes. The methodology for the endline survey will replicate that implemented for the baseline survey.

**Qualitative assessment with key informants:** Qualitative data will complement the quantitative data elicited through the KAP survey. Qualitative data will be collected to document the strengths, weaknesses and lessons of the Program. Respondents will include members of the HTAP target groups, peer educators, and implementing partners. Methodologies will include key informant interview and focus group discussions.

**Collection and analysis of secondary impact data:** Program impact will be assessed through analysis of secondary data collected by Government Departments. This includes epidemiological data on STI and HIV collected by District and Provincial Health Departments and socio-economic data collected by DOLISA and the Women's Union.

## Participants and Beneficiaries

	KEY ACTIVITIES	BENEFICIARIES/PARTICIPANTS
<b>1</b>	<b>Component One: Capacity Strengthening of Institutional Stakeholders</b>	
1.1	Provincial HTAP Stakeholders	<b>In each of Yen Bai, Lao Cai and Lai Chau Provinces:</b> Provincial AIDS Centre; Department of Transport, Department of Labour, War Invalids & Social Affairs; Department of Culture & Information; Provincial Women's Union and Provincial Youth Union
1.2	Inception Workshop	<b>In each of Yen Bai, Lao Cai and Lai Chau Provinces:</b> Provincial AIDS Centre; Department of Transport, Department of Labour, War Invalids & Social Affairs; Department of Culture & Information; Provincial Women's Union and Provincial Youth Union
1.3	Training Program for Implementing Partners	<p><b>Tam Duong, Tan Uyen, Than Uyen Districts (Lai Chau Prov): [13 communes/towns]</b> 3 District Preventive Medicine Centre; 3 District Women's Union; 3 District Youth Union; 13 Commune Health; 13 Commune Women's Union; 39 Women's Union/Youth Union peer educators.</p> <p><b>Bao Yen, Van Ban Districts (Lao Cai Prov): [12 communes/towns]</b> 2 District Preventive Medicine Centre; 2 District Women's Union; 2 District Youth Union; 12 Commune Health; 12 Commune Women's Union; 36 Women's Union/Youth Union peer educators.</p> <p><b>Van Chan, Van Yen Districts (Yen Bai Prov): [9 communes/towns]</b> 2 District Preventive Medicine Centre; 2 District Women's Union; 2 District Youth Union; 9 Commune Health; 9 Commune Women's Union; 27 Women's Union/Youth Union peer educators.</p>
<b>2</b>	<b>Component Two: Advocacy</b>	
2.1	Advocacy with entertainment establishments	Entertainment establishments in the five target districts (these establishments will be identified under the venue mapping exercise)
2.2	Advocacy with construction contractors	Construction contractors for each construction package
<b>3</b>	<b>Component Three: Information Education and Communication (IEC) and Behaviour Change Communication (BCC)</b>	
3.1	Peer Education Program	<p><b>Tam Duong, Tan Uyen, Than Uyen Districts (Lai Chau Prov)</b></p> <ul style="list-style-type: none"> <li>39 peer educators from the Women's Union and Youth Union targeting women 18-40 and men 18-30</li> </ul> <p><b>Bao Yen, Van Ban Districts (Lao Cai Prov):</b></p> <ul style="list-style-type: none"> <li>36 peer educators from the Women's Union and Youth Union targeting women 18-40 and men 18-30</li> </ul> <p><b>Van Chan, Van Yen Districts (Yen Bai Prov):</b></p> <ul style="list-style-type: none"> <li>27 peer educators from the Women's Union and Youth Union targeting women 18-40 and men 18-30</li> </ul> <p>* The precise number and allocation of the peer educators will be finalized during implementation based on</p>

	KEY ACTIVITIES	BENEFICIARIES/PARTICIPANTS
		risk assessment.
3.2	Community Campaigns	34 target communes/towns will each have 7 community campaigns each.
3.3	HIV prevention program with construction workers	HIV prevention programs for construction workers under each construction package coordinated with this HTAP and monitoring data collected.
3.4	IEC Material Distribution	Construction workers, Female sex workers; Mobile populations; Women 18-40 living in 34 communes/towns directly affected by the construction, with a priority focus on women from resettled households; Men 18-30 in 34 communes/towns directly affected by the construction.
3.5	Condom Distribution	Construction workers, Female sex workers; Relevant sub groups of mobile populations; Entertainment establishments.
<b>4</b>	<b>Component Four: Monitoring and Evaluation</b>	
4.1	Baseline Survey	<ul style="list-style-type: none"> <li>500 respondents from the women 18-40 and men 18-30 target groups in sampled from the 34 affected communes/towns</li> <li>Construction workers across the construction packages</li> <li>Entertainment establishments in the vicinity of the 34 target communes and towns</li> </ul>
4.2	Mid tern Review	<ul style="list-style-type: none"> <li>Steering Committee members and program implementers from the district and commune levels.</li> </ul>
4.3	Final Evaluation	<ul style="list-style-type: none"> <li>500 respondents from the women 18-40 and men 18-30 target groups in sampled from the 34 affected communes/towns</li> <li>Construction workers across the construction packages</li> <li>Entertainment establishments in the vicinity of the 34 target communes and towns Qualitative assessments with a sample from program implementers (including peer educators and beneficiary groups (numbers to be determined during evaluation design)</li> </ul>

## Summary Budget

276. The total budget for the HTAP is estimated at USD541,092. A summary budget for the HTAP is presented below.

### Summary Cost Estimate for the HTAP Program

	ITEM	COST ESTIMATION			
		1st year	2nd year	3rd year	Total
I	Cost Estimation for Service Provider				
	Total Service Provider	<b>86,130</b>	<b>86,130</b>	<b>86,130</b>	<b>258,390</b>
II	Direct Service Delivery Costs				
1	Inception Workshops in 3 Provinces	3,307	-	-	3,307
2	Training course for training of trainer for 28 officials from 7 Districts.	1,386	1,386	1,386	4,159
3	Condom and syringes distribution	13,636	13,636	13,636	40,909
4	Cost for Designing, printing and distributing media materials	15,873	-	-	15,873
5	Training for peer educators	3,496	3,496	3,496	10,489
6	Training for Commune Women's Union	7,764	7,764	7,764	23,291
7	Travel and Meal Allowance for Commune Women's Union and Peer Educators to Conduct Outreach	27,818	27,818	27,818	83,455
8	Tea and snacks for community meetings	1,855	1,855	1,855	5,564
	Total Direct Service Delivery Costs	<b>75,135</b>	<b>55,955</b>	<b>55,955</b>	<b>187,046</b>
III	Monitoring and Evaluation Costs				
1	Baseline survey	10,647	-	-	10,647
2	Mid-term evaluation of the Program implementation		2,523		2,523
3	Final evaluation	-	-	10,647	10,647
	Total Monitoring and Evaluation	<b>10,647</b>	<b>2,523</b>	<b>10,647</b>	<b>23,817</b>
	TOTAL(I+II+III)	<b>171,912</b>	<b>145,870</b>	<b>152,733</b>	<b>470,514</b>
IV	Contingency (15%)	25,787	21,880	22,910	70,577
	GRAND TOTAL	<b>197,699</b>	<b>167,750</b>	<b>175,643</b>	<b>541,092</b>

(Refer to HTAP document for detailed budget estimates.

## Appendix 2: Description of the Livelihood Development Program

277. The Livelihood Development Program (LDP) is an activity under the Resettlement Plan. Its objectives are to assist households affected by land acquisition to restore their income generating capacity as well as to assist vulnerable households affected by land acquisition to improve their living standards.

278. All ethnic minority households affected by land acquisition will be eligible to participate in the program. If they have additional aspects of vulnerability such as being severely affected or being poor they will receive additional levels of entitlement under the program.

279. The program's main activities will be to diversify farming livelihoods through establishment of model farms as well as provide training. The benefits of the program through improving farming techniques in the community are expected to indirectly benefit in a meaningful way others in the targeted communities who are not affected by land acquisition.

280. This section provides a brief description of the approach of the program.

### Livelihood Development Program Approach

281. The approach of the LDP strategy is to utilize and build on existing capacities and programs as well as AP resources. The LDP will complement existing services with supplementary support along with capacity and institutional strengthening to focus efforts on meeting the project objectives. The main elements of the livelihood development strategy are:

- **Consultation, information dissemination and needs assessment.** APs will be provided detailed information on the LDP from early in the preparatory stages of the detailed LDP and will be consulted on preferences and LDP design. Information dissemination will include counselling on effective use of compensation and assistance money, the requirement for AH contribution, ongoing programs as well as benefits, challenges and risks of various livelihood options. A detailed needs assessment of eligible APs will inform the design of the detailed LDP.
- **The LDP will consist of training, model development, ongoing mentoring and monitoring combined with AP contributions.** Where appropriate, support will be provided to enable APs to organize and collaborate. Priority will be for training to be provided in local communities and be suited to local conditions and likelihood of success. APs will also be able to avail of vocational training in existing training centres in lieu of locally based training if they prefer this. Training in non-agricultural vocational skills should be based on a realistic understanding of where and how to make a living from the skill. Training in rural livelihoods will incorporate use of models – either existing in the local area or newly developed. The LDP will provide support to models to promote their effectiveness and sustainability. Model owners will be incorporated in the training and mentoring regime of the LDP to promote sustainability of training outcomes. Training will include modules on financial management.
- **Livelihood development activities will be delivered through DOLISA and DARD.** These organizations have existing ongoing programs in the project areas as well as an ongoing presence. Both are experienced in providing outreach training programs and establishment of models. DARD has permanent extension services which extend to the commune level. DOLISA and DARD will take the lead in establishing an effective LDP management and coordination structure at the provincial and district levels. It is expected that DOLISA will be the lead agency.

- The LDP will **incorporate capacity building** and arrangements **for ongoing support** such as mentoring and monitoring for locally-based training programs, such as from model owners and local extension cadre.

## Participation Eligibility Approach

282. Eligibility to participate in the LDP is based on an incremental needs-based approach. Entitlement factors are being: (i) severely affected; (ii) ethnic minority; and (iii) being a vulnerable household. An affected household would accrue a LDP participation entitlement for each factor. For example, a household that is severely affected but not vulnerable would accrue one participation entitlement. An affected ethnic minority household would accrue one entitlement. However, a household that is both severely affected and vulnerable would accrue two participation entitlements. In this way, locations and households with greatest impacts and needs would receive more benefit.

283. A preliminary assessment of severely affected and vulnerable households was undertaken as part of preparing the draft resettlement plan through the IOL. Out of a total of 389 affected households, 20 are severely affected, 171 are ethnic minorities and 15 are estimated to be vulnerable. The number of household participation entitlements would therefore be 206. However, at this stage this number is indicative and will be assessed in more detail and updated during the updating of the resettlement plan. The indicative numbers of severely affected and vulnerable households who would be eligible to participate in the LDP are presented below.

### Estimate of Livelihood Development Program Participants

District/ Commune	AHs	LDP Participation Entitlement			
		Losing >10% Agricultural Land	Vulnerable Households (not including Ethnic Minority Households)	Ethnic Minority Households	Total
<b>Than Uyen district</b>	<b>41</b>	<b>3</b>	<b>1</b>	<b>11</b>	<b>15</b>
Phuc Than	41	3	1	11	15
<b>Tan Uyen district</b>	<b>168</b>	<b>6</b>	<b>9</b>	<b>22</b>	<b>37</b>
Tan Uyen town	42	1	5	0	6
Phuc Khoa	42	2	2	0	4
Pac Ta	35	2	1	12	15
Than Thuoc	38	1	1	5	7
Trung Dong	11	0	0	5	5
<b>Lai Chau City</b>	<b>38</b>	<b>2</b>	<b>5</b>	<b>8</b>	<b>15</b>
San Thang	18	1	2	7	10
Dong Phong ward	20	1	3	1	5
<b>Tam Duong district</b>	<b>142</b>	<b>9</b>	<b>0</b>	<b>130</b>	<b>139</b>
Ban Giang	61	2	0	46	48
Ban Bo	23	2	0	19	21
Ban Hon	38	2	0	35	37
Na Tam	20	3	0	30	33
<b>Total</b>	<b>389</b>	<b>20</b>	<b>15</b>	<b>171</b>	<b>206</b>

## Preparation of the Detailed LDP and Implementation Arrangements

284. Actions required to prepare and implement the detailed LDP are set out below.

## Preparation of Detailed LDP

285. During updating of the resettlement plan the following tasks will be undertaken to prepare the detailed LDP.

- Capacity building and institutional strengthening of agencies responsible for LDP detailed design and implementation.
  - ü Confirm institutional arrangements: PMU with support of PSC will work together with PPC and DPCs and relevant agencies to reassess and confirm participation and roles and responsibilities of participating agencies/organizations. Decide management, coordination and reporting mechanisms, including financial management and accountabilities. Management and coordination mechanisms are expected to include a provincial-level LDP Steering Committee (LDPSC) and district-level LDP Management Board (LDPMB). Upon confirming the management and implementation structure the PPC will issue a decision establishing the LDPSC (or similar) and the respective DPCs will issue decisions establishing the LDPMBs (or similar). DOLISA and DARD as key service providers are expected to be lead agencies.
  - ü Undertake capacity training and planning: Training will cover LDP planning, design and implementation arrangements including (i) participation eligibility; (ii) undertaking needs assessment; (iii) model and training design and selection; (iv) budget planning, design and LDP financial management; (v) consultation and community development issues relevant to LDP implementation; (v) monitoring, review and evaluation. Training and planning will be undertaken first at the provincial level structure and will be undertaken by PMU (with support of Project Supervision Consultants) and lead agencies, followed by training at the district level structures.
- Consultations and needs assessment. Information will be provided to all affected households on the project's livelihood development strategy and eligibility criteria through public consultations as part of the consultation and disclosure processes during the preparation of the updated resettlement plan. Following the detailed measurement survey, eligible households will be consulted on needs and preferences for livelihood development assistance and be provided. These consultations will also include information on current available areas of training and support; discussions on additional options and forms of support required to enable them to improve their livelihoods; and expectations of beneficiary contribution. The consultations and needs assessments will include various methods, including presentations of existing programs and proposed activities along with focus group discussions (of those with similar profiles), key informant interviews and broader consultations with larger groups. The consultation process will ensure the inclusion of women as well as men and vulnerable groups. The consultations will be undertaken principally by the LDPMB with support of PMU and PSC as well as other resource persons as invited by the LDPMB.
- Prepare detailed LDP document. The LDP document will be prepared by LDPSC and LDPMBs in consultation with PMU and PSC. Design of the detailed LDP will be based on an iterative process of assessing the needs and preferences of eligible affected persons, available resources of existing service providers (human resources/skills, programs and delivery mechanism), resources of eligible affected persons (land, existing skills, financial capital), and gaps that need to be filled through additional resources/support from the project. The LDP document will contain the following elements: (i) eligibility requirements; (ii) details of available programs and training; (iii) contribution requirements from trainees; (iv) managements and delivery arrangements; (v) indicative implementation schedule; (vi) budget estimate and financial management arrangements; and (v) monitoring, review and evaluation arrangements. The draft LDP document will be presented to affected households for

discussion and comment. The detailed LDP document will be submitted to the PPC and DPCs for review and approval. It will form part of the updated REMDP which in turn will be endorsed by PPC and MOT and submitted to ADB for concurrence.

## **Implementation Arrangements**

286. Following approval of the updated resettlement plan, the following tasks are undertaken to implement the LDP.

- Sign LDP implementation contracts. Once the LDP is agreed on by ADB and, PMU (through the working group) prepares the LDP implementation contract that will be signed by Provincial LDPSC.
- Open bank account at the State provincial/district treasuries. The established provincial LDPSC opens a bank account that will be used to receive management and administration costs.
- Finalize the LDP document. The LDP document is updated and finalized based on detailed information of participant registrations and detailed budget of implementation. The LDP document will be prepared by LDPSC and LDPMBs in consultation with PMU and PSC and submitted for approval following these key steps:
  - ü Households register for the LDP. LDPMB ensures that all interested eligible AHs officially register for participation in the LDP. The registration gives AHs the chance to change the livelihood development activity preference they had previously expressed interest in during preparation of the LDP.
  - ü Finalize detailed budget based on training registrations as well as costings of training programs, models, material support, and other implementation costs (including administration).
  - ü Submit the finalized detailed LDP to PPC for review and approval and to ADB for review and concurrence.
- Contract local service providers to provide LDP materials and support.
- Organize trainings for participating households
- Verify preparation and contributions of households for livelihood development activities
- Hand-over of LDP support and materials
- Monitoring, review and evaluation.
  - ü Monitoring: Primary responsibility for monitoring and review of the LDP implementation rests with the LDPSC and LDPMBs. The project will conduct internal and external monitoring of resettlement plan implementation, including the LDP. Internal monitoring will be conducted on an ongoing basis by PMU with support of the PSC. External monitoring will be conducted by qualified external experts engaged by the project on an intermittent basis.
  - ü Review: The appropriateness and effectiveness of the LDP design and implementation will be reviewed at critical milestones that will be specified in the detailed LDP document. Proposed milestones include completion of model establishment, application of skills after initial rounds of training and other critical points that will be determined during detailed LDP preparation. Reviews of LDP design and effectiveness will enable adjustments as/if required to enhance the success of the program.
  - ü Evaluation: Baseline data of participating households' income sources and livelihood practices, income levels (which may include proxy indicators) will be

collected at the commencement of the LDP. At the completion of the LDP, evaluation against indicators set at the commencement of the LDP and against the baseline data will be conducted to assess the effectiveness of the LDP and produce lessons learned. The lessons learned are aimed at assisting the Province, PMU and other agencies in future similar programs.

### Preliminary Model Options

287. DOLISA and DARD Extension Centre have various options for models based local conditions and successful previous experience. Detailed assessment of model options will be conducted during the preparation of the detailed LDP.

### Sample Models and Associated Establishment Costs

Model	Approximate establishment cost (million VND)
Swine raising	300
Duck raising	400
Fruit tree model (2ha)	120
High yield rice cultivation	200
New horticulture techniques	100
Clean vegetable production. 'Clean vegetable' cultivation is production of vegetables with safe standards of chemicals and minimal biological risks. Production requires organization of participants in cooperative groups, purchase of equipment for packaging and adherence to certification standards. Certification is provided by DARD. There are existing models in the northwest region and a ready market for produce in metropolitan areas.	200

### Estimated LDP Budget

288. The estimated direct costs of the LDP is VND 6,972,000,000, including costs for model establishment, training, project material inputs. Contingency and administration costs are incorporated in the total estimated resettlement plan budget.

ITEM	UNIT	# UNITS	AVE COST	TOTAL (VND)
Model establishment*	model	15	300,000,000	4,500,000,000
Livelihood training*	person	206	10,000,000	2,060,000,000
Material inputs for trainees (project contribution)	person	206	2,000,000	412,000,000
Total Direct Costs				6,972,000,000

\* For planning purposes, an indicative number of models is estimated. The final locations and types will be determined during resettlement plan updating. Livelihood training, covers the costs for DARD/DOLISA to provide the training program.

## Appendix 3: Record of Public Consultations

289. The following section provides an outline of information presented in the first round of public consultation meetings.

### **CONSULTATION ON SOCIETY, THE ENVIRONMENT, COMPENSATION, SUPPORT AND RESETTLEMENT POLICIES FOR LAND-AFFECTED HOUSEHOLDS FOR THE PROJECT**

#### **CONTENTS**

1. Introduction to the Project
2. Introduction to compensation, support and resettlement policies/plans;
3. Introduction to environmental issues and mitigation measures of the project
4. Community consultation on:
  - § Community feedback about the project;
  - § Resettlement plan;
  - § Income restoration program.
  - § Environmental management plan and mitigation measures
  - § Complaints mechanism of the project related to socio-economic issues

#### **PURPOSE OF THE CONSULTATION**

- Introduce the project.
- Collect comments on compensation, support and resettlement policies , resettlement options, compensation and support policies, economic recovery policy, other issues as a basis for planning resettlement and income restoration after resettlement, environmental protection policy of the Government of Vietnam and the ADB.
- Collect comments on the environmental issues related to the project in phases and the proposed mitigation measures
- Introduce complaints mechanism and monitoring the implementation of compensation, support, resettlement and the environment

#### **The objective of the project**

- Connect the provinces with the NB-LC highway;
- Promote economic development;
- Provide climate resilience infrastructure;
- Ensure that people can access and use the route for all four seasons;

Information on project design features and alignment presented.

#### **POLICY FRAMEWORK**

Based on the principle of harmonization between the legal framework of the Vietnamese government, Lai Chau province and the ADB's policy;

##### **General principles to be applied :**

- There is a plan to minimize the impact of land acquisition.
- Compensation for affected land and assets at replacement cost, market price.
- Do not deduct assets that the affected households can re-use.
- Support for affected households to at least re-establish their lives as before their land is withdrawn or better.
- Arrange the resettlement site near the previous residence as possible.

Compensation, support and resettlement policy of the Government of Vietnam presented.

ADB policy requirements presented

## **POLICY FRAMEWORK OF THE REMDF**

The objective of the Policy Framework

- to avoid involuntary resettlement wherever possible;
- to minimize involuntary resettlement by exploring project and design alternatives;
- to enhance, or at least restore, the livelihoods of all displaced persons in real terms relative to the pre-project levels; and
- to improve the standards of living of the displaced poor and other vulnerable groups.

Ethnic Minority:

- To ensure full respect for identity, values, human rights, livelihood systems, and cultural uniqueness whereby minority people are identified when projects are designed and implemented, and
- Minority people would receive social and economic benefits that are appropriate to their culture, are not adversely affected by the project, and can actively participate in the project.

Principles of compensation, support and resettlement in policy framework presented

### **Grievance and grievance redress**

- The complainant submits a complaint. Formal or verbal
- The person who receives complaint must file the complaint, (if verbal complaints); and transfer them to appropriate authorities
- When complaints are received, individuals or authorities have to investigate and verify the facts about complaints and grievance.
- The complaint-settling agency shall reply in writing and publicly post the result of complaint settlement
- Complainants who are unhappy with the settlement results may continue to file a complaint to a higher level or bring their complaint to court (grievance).

### **Income Restoration**

- Economic recovery for severely affected households includes:
  - Severely affected households (loss of 10% of productive land or 10% of income from business establishments);
  - Poor households
- Forms:
  - Development of land-based livelihood models;
  - Development of non-agricultural livelihood activities
  - Participation in vocational training or technical support classes
  - Employment introduction
  - Access to loans support

Commune	Meeting place/Date	Participants	Number of participants			Opinion of the community	Feedback from the project consultant
			Total	Male	Female		
Lai Chau Province							
1. Ban Bo Commune	Commune People's Committee Feb 1, 2018	- Representatives of local authorities: Commune People's Committee chairpersons, commune cadastral official - Consultant Representative	25	17	8	- The commune fully support the implementation of the project.	Noted
						- The recoverable assets should be adequately compensated to the people at reasonable rates.	Compensation will be implemented as per the principles stated in the policy framework. The calculation of compensation value will be based on the magnitude of impacts of each household and compensation rates, as well as detailed measurement survey records. Compensation will be at replacement cost based on a replacement cost study to be undertaken when the RP is being updated. Land and non-land assets will be compensated at replacement costs.
						- During the construction process, the project should avoid affecting the environment and life of the people.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
2. Phuc Khoa Commune	Phuc Khoa Commune People's Committee Feb 2, 2018	Representatives of local authorities: Chairman of the People's Committee, Party Secretary, cadastral staff of the commune.  Consultant Representative	12	7	5	- Agree with the road construction.	Noted.
						- The project needs provide adequate compensation for the people	Compensation will be implemented as per the principles stated in the policy framework. The calculation of compensation value will be based on the magnitude of impacts of each household and compensation rates, as well as detailed measurement survey records. Compensation will be at replacement cost based on a replacement cost study to be undertaken when the RP is being

Commune	Meeting place/Date	Participants	Number of participants			Opinion of the community	Feedback from the project consultant
			Total	Male	Female		
							updated. Land and non-land assets will be compensated at replacement costs.
						- It is necessary to provide support to people living on roadside trading (disrupting and limiting trading).	Affected business households along the road, in addition to compensation for affected assets at replacement cost, market price, they will be provided with supports for disrupted/affected business.
						- During the implementation of the project, land and property measurement must be open and transparent to the people.	DMS of the affected assets will be carried out by the district land fund development center staff and commune officers, village leaders and representatives of the affected households. Copies of DMS records will be handed over to the affected households for checking and keeping. Affected households will participate in the detailed measurement survey.
						- The construction must ensure environmental safety, especially during rain to avoid subsidence and landslide.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
3. Tan Uyen town	People's Committee of Tan Uyen town Feb 3, 2018	Representatives of local authorities: Vice Chairman of Commune People's Committee, Chairman of Fatherland Front Committee, Land Administration-construction official.  Consultant Representative	21	12	9	- Agree with the construction plan of the project.	Noted
						- It is recommended to fully implement measures on environmental protection and compensation policies.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
						- The construction of a bypass should be considered to reduce traffic density through the town.	The construction of bypass through Tan Uyen town or upgrading based on existing road is being considered by the consulting unit.

Commune	Meeting place/Date	Participants	Number of participants			Opinion of the community	Feedback from the project consultant
			Total	Male	Female		
						- When the project goes into operation, large trucks passing through the town will cause traffic disruption and unsafety.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
						- Care must be taken when constructing pavement, drainage, and monitoring should be in place for all the phases.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
4. Na Tam Commune	Na Tam Commune People's Committee Jan. 31, 2018	- Representative of local authorities: Vice Chairman of Commune People's Committee, Vice Chairman of Commune Council. - Consultant Representative	21	21	0	- Agreed with the policy of building road.	Noted
						- The project goes through two large fields of the commune and it is necessary to ensure water supply for rice farmers.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
						- The construction should avoid a cemetery located at Km108 +500.	The basic design has been carried out avoiding this cemetery area.
						- The implementation project should ensure the communal security and safety of the area.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
						- Environmental mitigation measures must be fully implemented during construction.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
						- For households losing their land and houses, they need	Compensation will be implemented as per the principles stated in the policy

Commune	Meeting place/Date	Participants	Number of participants			Opinion of the community	Feedback from the project consultant
			Total	Male	Female		
						to be compensated adequately.	framework. The calculation of compensation value will be based on the magnitude of impacts of each household and compensation rates, as well as detailed measurement survey records. Compensation will be at replacement cost based on a replacement cost study to be undertaken when the RP is being updated. Land and non-land assets will be compensated at replacement costs.
5. Ban Hon Commune	Commune People's Committee January 30, 2018	<ul style="list-style-type: none"> <li>- Representatives of local authorities: Vice Chairman of Commune People's Committee, Chair of Fatherland Front Committee, Land Administration-construction official.</li> <li>- Consultant Representative</li> </ul>	40	29	11	- Livelihood support should focus on supporting trees (orange, macadamia), livestock (chicken, etc.) suitable with local conditions.	Livelihood restoration program will be designed with land-based activities, livestock husbandry and non-agricultural activities.
						-For the household losing the house area but still living by the road will be affected by noise and vibration during project operation. Attention should be given to relocation and life stabilization.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan. The EIA will have measures to keep noise and vibration within acceptable limits during construction.
						- When constructing, it is necessary to ensure proper environmental measures and drainage positions, avoiding the land for production of houses and fish ponds.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
6. Ban Giang Commune	Cultural House of La Bo Village January 30, 2018	<ul style="list-style-type: none"> <li>- Representative of local government: Secretary of Commune Party Committee, Commune Cadastral</li> </ul>	59	34	25	- A bypass should be considered to avoid densely populated area.	Comment noted. At this stage there is no plan to include a bypass at that particular location.
						- Perennial crops (tea) need more support e.g. more	Affected trees and crops will be compensated at their economic value

Commune	Meeting place/Date	Participants	Number of participants			Opinion of the community	Feedback from the project consultant
			Total	Male	Female		
		chief officer, - Consultant Representative				seedling.	brought by the trees.
						- Appropriate compensation is needed for the affected people.	Compensation will be implemented as per the principles stated in the policy framework. The calculation of compensation value will be based on the magnitude of impacts of each household and compensation rates, as well as detailed measurement survey records. Compensation will be at replacement cost based on a replacement cost study to be undertaken when the RP is being updated. Land and non-land assets will be compensated at replacement costs.
7. Pac Ta commune - Tan Uyen district	People's Committee of Pac Ta Commune - Tan Uyen District Feb 5, 2018	- Representative of local authorities :Commune People's Committee Chairman, Commune People's Committee Office - Consultant Representative	31	18	13	- Agree on the construction plan of the project.	Noted
						- Compensation unit price must be satisfactory, about 60 – 70% of the market price.	Compensation will be implemented as per the principles stated in the policy framework. The calculation of compensation value will be based on the magnitude of impacts of each household and compensation rates, as well as detailed measurement survey records. Compensation will be at replacement cost based on a replacement cost study to be undertaken when the RP is being updated. Land and non-land assets will be compensated at replacement costs.
						- Property structures should be compensated according to the value at the time of construction, to ensure the rights of affected people.	
						- It is necessary to take measures to manage waste rock so as not to affect the production land, gardens and houses.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
						- It is necessary to arrange	Regarding access paths to the

Commune	Meeting place/Date	Participants	Number of participants			Opinion of the community	Feedback from the project consultant
			Total	Male	Female		
						access paths to people's production areas to ensure agricultural production.	production areas, if they are affected by the project, they will be compensated at the principle of restoration. In case the construction of the road causes obstacles to the accessibility to the production areas, the project will have to construct a new access path to the production areas.
8. Trung Dong Commune	People's Committee of Trung Dong Commune Feb 5, 2018	<ul style="list-style-type: none"> <li>- Representative of local authorities: Commune Vice Chairman, Commune Land Officials</li> <li>- Consultant Representative</li> </ul>	13	11	2	- Agree with the road construction.	Noted
						<ul style="list-style-type: none"> <li>- Attention should be paid to ensuring publicity and transparency in the inventory of affected assets and land so that adequate compensation is provided to the people.</li> </ul>	<p>DMS of the affected assets will be carried out by the district land fund development center staff and commune officers, village leaders and representatives of the affected households. Copies of DMS records will be handed over to the affected households for checking and keeping.</p> <p>The calculation of compensation value will be based on the magnitude of impacts of each household and compensation rates, as well as detailed measurement survey records, rate application minutes will be disclosed publicly at the offices of the CPCs and village cultural houses. Affected households will participate in the detailed measurement survey. Compensation will be delivered directly to the affected households with the monitoring of the People's Committees at different levels. Compensation will be at replacement cost based on a replacement cost study</p>

Commune	Meeting place/Date	Participants	Number of participants			Opinion of the community	Feedback from the project consultant
			Total	Male	Female		
							to be undertaken when the RP is being updated. Land and non-land assets will be compensated at replacement costs.
						- Construction plans should not cause landslide, especially in the spring.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
						- Need support for life stabilization for affected households.	Stabilization assistance will be provided to APs losing 10% or more of productive land. APs whose businesses are affected will receive assistance equivalent to lost income during period of disruption.
9. Than Thuoc Commune - Tan Uyen District	People's Committee of Than Thuoc commune - Tan Uyen district Feb 3, 2018	- Representatives of local authorities: Commune People's Committee, Commune Cadastral official. - Consultant Representative	13	8	5	- Agreed with the policy of building this route.	Noted
						- During compensation and land clearance, it is necessary to measure and identify affected assets in a transparent manner and have the consent of the people.	DMS of the affected assets will be carried out by the district land fund development center staff and commune officers, village leaders and representatives of the affected households. Copies of DMS records will be handed over to the affected households for checking and keeping. Affected households will participate in the detailed measurement survey.
						- Compensation should be based on market value.	Compensation will be implemented as per the principles stated in the policy framework. The calculation of compensation value will be based on the magnitude of impacts of each household and compensation rates, as well as detailed measurement survey records. Compensation will be at replacement cost based on a replacement cost study

Commune	Meeting place/Date	Participants	Number of participants			Opinion of the community	Feedback from the project consultant
			Total	Male	Female		
							to be undertaken when the RP is being updated. Land and non-land assets will be compensated at replacement costs.
						- It is necessary to ensure environmental safety and construction safety during construction.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
10. Dong Phong Ward	Cultural House of Cluster 24 - Dong Phong Ward Jan. 29, 2018	- Representatives of local authorities: Chairman of Commune People's Committee, Land Administration to build commune. - Consultant Representative	10	6	4	- Solid houses and class 4 houses have been built on agricultural land (not yet converted) along the section through Cluster 24.	Houses built on agricultural land will also be compensated at 100% of the replacement cost without deducting depreciation and salvageable materials if the structures are built before the project cut-off date.
						- A drainage system should be built to ensure water drainage in the area.	The road design will include drainage for water runoff.
						- Agree with the compensation policies of the project.	Noted.
						- The project owner should have measures to minimize dust, pollution, vibration during construction.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
11. Phuc Than Commune, Than Uyen District	People's Committee of Phuc Than Commune, Than Uyen Feb 1, 2018	- Representatives of local authorities: Chairman of Commune People's Committee, Commune Land Administration, Office staff -Statisticians - Consultant Representative	23	11	12	- Agree with the road construction.	Noted
						- The project must take measures to minimize the environmental impacts during construction.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
						- Compensation plan should be made appropriate for affected people, assets and	Compensation will be at replacement cost based on a replacement cost study to be undertaken when the RP is being

Commune	Meeting place/Date	Participants	Number of participants			Opinion of the community	Feedback from the project consultant
			Total	Male	Female		
						property.	updated. Land and non-land assets will be compensated at replacement costs.
						- Inventory measurement work needs to ensure transparency and equity for APs.	DMS of the affected assets will be carried out by the district land fund development center staff and commune officers, village leaders and representatives of the affected households. Copies of DMS records will be handed over to the affected households for checking and keeping. .
						If the road will be built, many vehicles will go through, but the people (almost men) drink alcohol so much with potential for dangerous traffic accidents	The project will have a traffic management plan. Disruptions to local communities from the presence of construction workers noted for inclusion in the EMDP.
12. San Thang commune	San Thang Commune People's Committee Jan 29, 2018	- Representatives of local authorities: Chairman of Commune People's Committee, Commune Land Administration, Office staff -Statisticians - Consultant Representative	13	9	4	- Agree with road construction.	Noted
						- The project must take measures to minimize the environmental impacts.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
						- The construction should not affect the power pole newly constructed on the left side of the road.	The affected public structures will be compensated. The displacement of electric poles will be carried out by the specialized unit.
						- Compensation plan should be made appropriate for affected people, assets and property.	Compensation will be implemented as per the principles stated in the policy framework. The calculation of compensation value will be based on the magnitude of impacts of each household and compensation rates, as well as detailed measurement survey records, rate application minutes will be disclosed publicly at the offices of the CPCs and village cultural houses.

Commune	Meeting place/Date	Participants	Number of participants			Opinion of the community	Feedback from the project consultant
			Total	Male	Female		
							Affected households will participate in the detailed measurement survey. Compensation will be at replacement cost based on a replacement cost study to be undertaken when the RP is being updated. Land and non-land assets will be compensated at replacement costs.

## Photos of Public Consultation in Lai Chau Province



Public consultation in Ban Bo Commune



Public consultation in Ban Bo Commune



Public consultation in Ban Giang Commune



Public consultation in Ban Giang Commune



Public consultation in Na Tam Commune



Public consultation in Na Tam Commune



Public consultation in Than Uyen Town



Public consultation in Than Uyen Town



Public consultation in Ban Hon Commune



Public consultation in Ban Hon Commune



Public consultation in Pac Ta Commune



Public consultation in Pac Ta Commune

### CCEP - CONSULTATION LIST OF ETHNIC MINORITY PEOPLE- LAI CHAU

No.	Full name	Gender
Dong Phong Ward, Lai Chau City, Lai Chau province		
1	Dinh Cong Ha	Male
2	Hoang Duy Luyen	Male
3	Lo Thi Hoi	Female
4	Vui Van Co	Male
5	Bui Dang Doanh	Male
6	Dang Thi Loan	Female
7	Hoang Thi Thanh	Female
8	Hoang Thi Bien	Female
9	Hua Van Tho	Male
10	Vang A Dong	Male
Ban Giang commune, Tam Duong district, Lai Chau province		
11	Lenh Thi Dau	Female
12	Vang Thi Doan	Female
13	Leng Thi Cai	Female
14	Lo Thi Si	Female
15	Ly Thi Huong	Female
16	Leng Van Pay	Male
17	Se Van Lat	Male
18	Vang Van Soai	Male

No.	Full name	Gender
19	Vang Van Quy	Male
20	Lo Van Tinh	Male
21	Ly A Man	Male
22	Se Van Hon	Male
23	Vang Van Tet	Male
24	Vay Van Chu	Male
25	Vang Van Tan	Male
26	Se Van Pao	Male
27	Vay Van Tien	Male
28	Nong Van Duc	Male
29	Vay Van Canh	Male
30	Vay Van Quang	Male
31	Tao Thi Phong	Female
32	Leng Van Phinh	Male
33	Leng Van Cam	Male
34	Gi Van Ten	Male
35	Ly Van Mai	Male
36	Hoang Thi Nga	Female
37	Vang Thi Lai	Female
38	Lo Van Thuat	Male
39	Lo Thi Hoi	Female
40	Vay Thi Xui	Female
41	Di Thi Chuc	Female
42	Luong Thi Nhi	Female
43	Ha Thi Lay	Female
44	Lu Thi Chim	Female
45	Vang Thi Hao	Female
46	Lu Thi Chung	Female
47	Lo Thi Chim	Female
48	Se A Kin	Male
49	Dang Thi Hop	Female
50	Vua Thi Bau	Female
51	Vang Van Huong	Male
52	Vang Van Tam	Male
53	Vang Van Hinh	Male
54	Vang Van Kinh	Male
55	Vang Van Lu	Male
56	Lo Van Len	Male
57	Leng Thi Vay	Female
58	Vang Thi Do	Female
59	Vang Thi Lai	Female
60	Di Thi Chuc	Female
61	Ha Thi Lay	Female
62	Lo Thi Si	Female
63	Dau Van Cun	Male
64	Leng Van Su	Male
65	Vang Van Chuong	Male
66	Luong Van Nhuan	Male
67	Leng Van Pan	Male

No.	Full name	Gender
68	Vang A Lu	Male
69	Leng Van Sin	Male
Ban Hon commune, Tam Duong district, Lai Chau province		
70	Lo Van La	Male
71	Tao Thi En	Female
72	Lo Van Tinh	Male
73	Lo Thi Bun	Female
74	Tao Van Then	Male
75	Lo Van Ngan	Male
76	Lo Van En	Male
77	Tao Van Tao	Male
78	Tao Van Keo	Male
79	Tao Van Keo	Male
80	Tao Van Peng	Male
81	Lo Thi Chan	Female
82	Vang Thi Xeng	Female
83	Lo Thi Loi	Female
84	Trang Thi Tinh	Female
85	Tao Van Dun	Male
86	Lo Van Kham	Male
87	Tao Van Gioat	Male
88	Tao Van So	Male
89	Lo Van Bun	Male
90	Lo Van Sang	Male
91	Lo Van Tao	Male
92	Hoang Dinh Manh	Male
93	Lo Van La	Male
94	Lo Van Giot	Male
95	Lo Van Nam	Male
96	Tao Van Xanh	Male
97	Tao Van Si	Male
98	Lo Thi Ha	Female
99	Cung Thi Ninh	Female
100	Lo Thi Choi	Female
101	Tao Van Binh	Male
102	Vang Thi Nang	Female
103	Tao Thi On	Female
104	Lo Van Chum	Male
105	Lo Van Cum	Male
106	Lo Van So	Male
107	Vang Van Deng	Male
108	Tao Van On	Male
109	Lo Van Chom	Male
Na Tam commune, Tam Duong district, Lai Chau province		
110	Vang Van Keo	Male
111	Lo Van Kham	Male
112	Bang Van Chai	Male

No.	Full name	Gender
113	Lo Van Soi	Male
114	Lo van Phin	Male
115	Lo Van Soi	Male
116	Lo Van Bun	Male
117	Lo Van Phom	Male
118	Vang Van Ngan	Male
119	Vang Van Sau	Male
120	Lo Van Bun	Male
121	Lo Van Phim	Male
122	Vang Van Lien	Male
123	Lo Van Soi	Male
124	Lo Van Dieng	Male
125	Lo Van Keo	Male
126	Lo Van Hac	Male
127	Vang Van Ngan	Male
128	Lo Van Ngan	Male
129	Lo Van Keo	Male
130	Lo Van Soi	Male
Ban Bo commune, Tam Duong district, Lai Chau province		
131	Luong Van Cho	Male
132	Deo Van Tinh	Male
133	Lo Van Huong	Male
134	Nung Van Thanh	Male
135	Ha Thi Thao	Female
136	Vang Thi Tan	Female
137	Lo Van Thom	Male
138	Vang Van Ninh	Male
139	Nong Van Ang	Male
140	Lo Van Xuan	Male
141	Nung Van Sam	Male
142	Lo Thi Panh	Female
143	Lo Thi Cay	Female
144	Nong Van Khoi	Male
145	Nung Van Khanh	Male
146	Nung Thi Den	Female
147	Deo Van Nien	Male
148	Quang Van Phong	Male
149	Lo Van Hit	Male
150	Nung Van Dung	Male
151	Vang Thi Tuoi	Female
152	Vang Thi Moi	Female
153	Vang Van Son	Male
154	Nong Van Seo	Male
155	Lo Thi Hong	Female
Phuc Khoa commune, Tan Uyen district, Lai Chau province		
156	Ha Van Quan	Male
157	Luong Van Hung	Male

No.	Full name	Gender
158	Luong Thi Mai	Female
159	Cong Van Hoan	Male
160	Ta Thi Phuong	Female
161	Doan Van Tien	Male
162	Doan Hong Chinh	Male
163	Doan Thi Bao	Female
164	Vu Ngoc Tu	Male
165	Doan Van Thuat	Male
166	Kieu Thi Mao	Female
167	Doan Thi Bay	Female
Tan Uyen town, Tan Uyen district, Lai Chau province		
168	Ta Xuan Sac	Male
169	Mai Ngoc Luu	Male
170	Lai Thi Luu	Female
171	Ha Thi San	Female
172	Han Thi Tinh	Female
173	Vu Thi Thoa	Female
174	Chu Van Hung	Male
175	Dinh Thi My	Female
176	Doan Dinh Nhan	Male
177	Cu Thi Lanh	Female
178	Vu Thi La	Female
179	Vu Xuan Thanh	Male
180	Dam Thi Nhieu	Female
181	Dinh Cong Ninh	Male
182	Ho Quang Khua	Male
183	Ho Quang Thang	Male
184	Vu Thi Huan	Female
185	Bui Anh Trung	Male
186	Truong Van Tien	Male
187	Vu Duc Tuan	Male
188	Ho Manh Cuong	Male
Than Thuoc commune, Tan Uyen district, Lai Chau province		
189	Hoang Van Pha	Male
190	Lo Van Mia	Male
191	Trinh Thi Huong	Female
192	Vu Van Hung	Male
193	Lai Van Thanh	Male
194	Vu Thi Sen	Female
195	Hoang Thi Ta	Female
196	Vi Thi Buon	Female
197	Lo Van Sang	Male
198	Truong Xuan Quang	Male
199	Trang Thu Hang	Female
200	Phi Van Duong	Male
201	Hoang Van Hien	Male

No.	Full name	Gender
Trung Dong commune, Tan Uyen district, Lai Chau province		
202	Lo Van Soan	Male
203	Lo Van Thang	Male
204	Luong Van Cao	Male
205	Luong Van Dooc	Male
206	Luong Van Ngoan	Male
207	Lo Thi Tap	Female
208	Lo Van Hoa	Male
209	Luong Thi yen	Female
210	Hoang Van Phuc	Male
211	Ha Van Trai	Male
212	Ha Van Quan	Male
213	Tong A Ly	Male
214	Hoang Van Mia	Male
Pac Ta commune, Tan Uyen district, Lai Chau province		
215	Lo Thi Van	Female
216	Lu Van Thuong	Male
217	Luong Van Tem	Male
218	Lo Thi Thao	Female
219	Tong Van Quy	Male
220	Sa Thi Ngoc	Female
221	Ha Van De	Male
222	Hoang Van Binh	Male
223	Luong Thi Duong	Female
224	Hoang Van Panh	Male
225	Bui Thi Van	Female
226	To Thi Tam	Female
227	Hoang Thi Tinh	Female
228	Lo Van Duc	Male
229	Tong Van Lam	Male
230	Bui Thi Lien	Female
231	Dang Thi Mo	Female
232	Lam Tu Anh	Male
233	Lo Van Tinh	Male
234	Lo Van Pu	Male
235	Luong Van Thang	Male
236	Luong Thi Thu	Female
237	Lo Thi Nghe	Female
238	Vi Thi Quyen	Female
239	Ha Van Sinh	Male
240	Duong Van Cao	Male
241	Bui Van Than	Male
242	Lo Van Thuy	Male
243	Lo Thi Thao	Female
244	Dang Van Ngo	Male
245	Phung Van At	Male
Phuc Than commune, Than Uyen district, Lai Chau province		

No.	Full name	Gender
246	Ha Van Son	Male
247	Tong Van Thong	Male
248	Nga Van Ich	Male
249	Vang Thi Hoa	Female
250	Vang Thi Nghi	Female
251	Duong Thi Thai	Female
252	Toong Van Them	Male
253	Kieu Thi Cai	Female
254	Vang Thi Lai	Female
255	Lo Thi Thoa	Female
256	Tong Van Thong	Male
257	Ta Thi Lien	Female
258	Dieu Van Vien	Male
259	Tong Thu Thanh	Female
260	Hoang Thi Duc	Female
261	Hoang Thi Chung	Female
262	Hoang Thi Bon	Female
263	Lo Van ban	Male
264	Hoang Van Trien	Male
265	Lo Quang Hung	Male
266	Ho Thuy Loi	Male
267	To Van Cuong	Male
268	Vu Thi Tinh	Female
San Thang commune, Lai Chau City, Lai Chau province		
269	Hoang Chi Tinh	Male
270	Duong The Anh	Male
271	Lu May Sen	Male
272	Lo Van Nich	Male
273	Hoang Duy Luyen	Male
274	Vay Thi Tam	Female
275	Vang Van Binh	Male
276	Hoang Ngoc Ha	Female
277	Vui Van Co	Male
278	Duong Thi Lien	Female
279	Vang Van Cuong	Male
280	Nham Van Bien	Male
281	Lo Thi Hoi	Female

290. Twenty-one focus group discussions (FGD) were undertaken covering all 12 communes in the project area. The summary notes, detailed notes and attendance are set out below.

**Table 10-1 Summary of Points Raised During Focus Group Discussions November 2017**

Date	Location	Group Type	Attendance	Summary of Points Raised
3.11.2017	Tan Uyen Town, Tan Uyen District	Ethnic minority focus group	Village head, village party secretary, 23 villagers	<p>Tan Uyen Town previously had a state-run farm with many workers who were soldiers. Later they settled locally and so now the proportion of ethnic Kinh is quite large at 56%. Other ethnic groups include Thai, Kho Mu, Hmong, and other groups. The population growth of the town is 18%, and 8% are Christian.</p> <p>The town is 1/10 commune/towns in the district with especially difficult conditions. The poverty rate of the town is relatively high at 17.5%, almost all of these are ethnic minority people.</p> <p>With regards to infrastructure, the distance from the town to the administrative centre is about 60km; the town's only road traversing is national highway 4C; there is no bus service, only commercial car transport. The main forms of transportation are motorbike and bicycle. Many villages are far from the highway and only have dirt roads so getting around is very difficult.</p> <p>Around 40% of the households have piped water and the rest use dug or drilled wells.</p> <p>There is a fairly high rate of HIV infection – cumulative to 2016 is 89 people with 53 persons having died from AIDS.</p> <p>100% of those participating in the group discussion agree with the project. However, they want a lot of information about compensation, assistance and resettlement.</p> <p>Recommendations from people in the group discussion: (i) the youth should be trained about HIV prevention, road safety, use loud speakers or TV in combination with the district awareness programs because most houses have TVs; (ii) the project should create employment opportunities during and after construction to create additional sources of income; (iii) ethnic minority women recommend creating jobs locally so that their husbands, their children and themselves don't have to find work afar so as to avoid risks and negative influences on life and family happiness.</p>
3.11.2017	Tan Uyen Town, Tan Uyen District	Poor focus group	Village head, Village Women's Union, 25 poor villagers	
5.11.2017	Ban Bo Commune, Tam	Women discussion group	Village head, Head Village Women's Union, 25 women villagers.	<p>98% of the commune population are farmers. The main produce is tea. There are 9 main ethnic groups living together including Thai (29%), Kinh (26%), Lao (17%), Hmong (5%). The commune is one</p>

Date	Location	Group Type	Attendance	Summary of Points Raised
	Duong District			of 14 communes in the district with very difficult conditions. The living standards are generally high with 49% of households being well off or average. Average incomes are VND1.8 million/person/month. Many households do well from producing, processing and trading in tea or working in one of two tea processing factories. In addition, the commune has sufficient area of paddy fields for food security.
6.11.2017	Ban Bo Commune, Tam Duong District	Ethnic minority discussion group		<p>The main difficulties are: (i) market access for farm produce is difficult because there is no close market and transporting produce such as fruit (lemon, apricot) and animals to far markets is difficult. Acacia only fetches VND350,000/m3 because of the distance to transport it to market. Similar to other ethnic minority localities in mountainous areas, there are many poor households due to: (ii) lack of knowledge and experience in agricultural production techniques, especially tea; (iii) illness; (iv) some households with insufficient land.</p> <p>The inter-village roads are mostly dirt roads, the way to their farms is difficult so people mostly walk rather than use motorbike.</p> <p>Some of the ethnic minority people have difficulty accessing social services, especially middle-aged women and some youth in outlying villages because of illiteracy in Vietnamese and so they need to rely on other family members or relatives to assist them.</p> <p>Women under 40 years generally use motorbikes to go to work, to market for trading or visit relatives. Their knowledge of driving laws is poor. They are main ones trading and doing business. There are 40 women out of 176 households in Na Ly village working afar. This creates a distant relationship between husband and wife, parenting difficulties and many problems.</p> <p>100% of the group discussion participants support the project.</p> <p>Recommendations: (i) there should be training on HIV and road safety; (ii) support children to stay in school by by addressing economic problems and infrastructure problems of poorly equipped schools and difficult roads to schools.</p>

**Table 10-2 Summary of Points Raised During Focus Group Discussions August 2018**

No.	Time	Commune	Ethnic group	Number of participants	Summary of ideas
1.	01/08/2018	San Thang	Mixed group (Giay ethnic group)	07	<p><b>Causes of poverty</b></p> <ul style="list-style-type: none"> <li>- Limited land, mostly sloping mountainous hilly land.</li> <li>- Crowded households while small number of laborers.</li> <li>- Loan borrowing: Most loans from Social Policy Banks</li> <li>- Income: from agriculture, hired labor.</li> </ul> <p><b>Expressions of poverty</b></p> <ul style="list-style-type: none"> <li>- Shortage of rice</li> <li>- Most children have completed secondary school, having communal health centers.</li> </ul> <p><b>Recommendations</b></p> <ul style="list-style-type: none"> <li>- To ensure security and order when the project is implemented</li> <li>- To take advantage of local labor resources</li> <li>- To conduct communication and dissemination to people about traffic safety.</li> </ul>
2.	01/08/2018	Dong Phong	Women group (Thai, Giay ethnic group)	07	<p><b>Causes of poverty</b></p> <ul style="list-style-type: none"> <li>- Weak health, unable to do hard work. Female headed households. Main labor shortage in households.</li> <li>- No land for production, risks in production. High production costs.</li> <li>- Sale of agricultural products depends entirely on traders.</li> <li>- The area is in the planning, requested to keep intact. Not allowed to dig fish ponds or build houses.</li> </ul> <p><b>Expressions of poverty</b></p> <ul style="list-style-type: none"> <li>- Some households have to borrow money from banks to invest in production.</li> <li>- There are non-agricultural jobs but low income of 100,000 - 200,000 VND.</li> <li>- Women mainly do housework, there are some going to the city as hired labor to wash dishes.</li> <li>- No dropout cases.</li> </ul> <p><b>Vulnerability issues.</b></p> <ul style="list-style-type: none"> <li>- Access to good local services.</li> <li>- There is no cultural gap.</li> <li>- Good local security.</li> </ul> <p><b>Project impacts</b></p> <ul style="list-style-type: none"> <li>- When the project is implemented, subsidence occurs with roadside structures.</li> <li>- Security and order when carrying out construction must be ensured.</li> </ul>

No.	Time	Commune	Ethnic group	Number of participants	Summary of ideas
					<b>Recommendations</b> <ul style="list-style-type: none"> <li>- To manage traffic safety issues when constructing roads.</li> <li>- To use local labor resources.</li> <li>- To communicate and disseminate to people about traffic safety.</li> </ul>
3.	02/08/2018	Ban Giang	Women group (Giay ethnic group)	07	<b>Causes of poverty:</b> <ul style="list-style-type: none"> <li>- Crowded households, limited land area, unfavorable to cultivate.</li> <li>- Water shortage makes it unable to grow 2 crops per year</li> <li>- Most of people borrow from Social Policy Banks.</li> <li>- Low education level.</li> <li>- A number of healthy men work as hired labor, earning about 150,000-200,000 VND per day</li> </ul> <b>Expressions of poverty</b> <ul style="list-style-type: none"> <li>- No children drop out school. All children are finished grade 9.</li> <li>- There are some households lack of food, having to eat rice mixed with corn for example.</li> </ul> <b>Vulnerability issues</b> <ul style="list-style-type: none"> <li>- Rate of drug addiction, social evil involvement is mainly in young age (1/4 of male in the village)</li> <li>- There is no case of women, children working as hired labor cross-border.</li> <li>- There is no cultural gap.</li> </ul> <b>Recommendations</b> <ul style="list-style-type: none"> <li>- To organize vocational training classes, vocational training for people</li> <li>- To provide people with job opportunities</li> </ul>
4.	02/08/2018	Ban Giang	Mixed group (Giay ethnic group)	11	<b>Causes of poverty</b> <ul style="list-style-type: none"> <li>- Limited land, mostly sloping mountainous hilly land, no water in field.</li> <li>- Crowded households while small number of laborers.</li> <li>- Loan borrowing: Most loans from Social Policy Banks</li> <li>- Income: mainly from agriculture, hired labor.</li> </ul> <b>Expressions of poverty</b> <ul style="list-style-type: none"> <li>- Shortage of rice</li> <li>- Most children have completed secondary school, having communal health centers.</li> </ul> <b>Recommendations</b>

No.	Time	Commune	Ethnic group	Number of participants	Summary of ideas
					<ul style="list-style-type: none"> <li>- To ensure security and order when the project is implemented</li> <li>- To take advantage of local labor resources</li> <li>- To implement communication and dissemination to people about traffic safety</li> </ul>
5.	03/08/2018	Na Tam	Mix group (Laotian)	10	<p><b>Causes of poverty</b></p> <ul style="list-style-type: none"> <li>- No land for production.</li> <li>- Weak health, often suffer from risks in production.</li> <li>- Agricultural products are mainly for use in the family. Tea is sold directly at the factory.</li> <li>- The distance from home to market is far, roads have deteriorated.</li> <li>- Small-scale husbandry, no farm household developed.</li> <li>- Few non-agricultural employments.</li> </ul> <p><b>Expressions of poverty</b></p> <ul style="list-style-type: none"> <li>- There are 621 households in the commune borrowing money from women's union and policy bank.</li> <li>- There is no households with food shortage, only lack of money for spending.</li> <li>- At present, most of the children finish secondary school, number of high school students is low.</li> <li>- The reason for dropping out of school is due to difficult family conditions.</li> </ul> <p><b>Vulnerability issues</b></p> <ul style="list-style-type: none"> <li>- Access to services is difficult as people mainly visit Tam Duong hospital with deteriorated road conditions.</li> <li>- Internal traffic in commune is more convenient.</li> <li>- There is no cultural gap.</li> <li>- The commune has 15 drug records. Security situation is guaranteed.</li> </ul> <p><b>Recommendations.</b></p> <ul style="list-style-type: none"> <li>- Wish to be supported with breeding animals for livestock farming.</li> <li>- Wish to participate in construction when the project is implemented.</li> <li>- To provide training for people on production techniques.</li> </ul>

No.	Time	Commune	Ethnic group	Number of participants	Summary of ideas
6.	03/08/2018	Na Tam	Women group (Laotian group)	06	<p><b>Causes of poverty</b></p> <ul style="list-style-type: none"> <li>- Limited land fund, family with small children, cannot go to work far away.</li> <li>- Main income is from agriculture.</li> <li>- Difficult climatic conditions, vulnerable to disease.</li> <li>- Cannot get water into the field.</li> <li>- Price difference between selling at home and at market.</li> <li>- People do not have access to training courses on crops and livestock.</li> <li>- Nearly no non-agricultural production activity.</li> </ul> <p><b>Expressions of poverty</b></p> <ul style="list-style-type: none"> <li>- There are still some households with food shortage and receiving rice support from the State.</li> <li>- There are households borrowing bank loan for production, livestock and building houses.</li> </ul> <p><b>Vulnerability issues</b></p> <ul style="list-style-type: none"> <li>- Access to social services in the locality is quite difficult due to traffic degradation.</li> <li>- People living in harmony without cultural gaps. There are some special local ceremonies and customs that people from other places must pay attention to.</li> <li>- Good security in the commune.</li> </ul> <p><b>Recommendations</b></p> <ul style="list-style-type: none"> <li>- To create employment opportunities for local people when the project is implemented.</li> <li>- There must be practical support for families losing agricultural land.</li> </ul>
7.	04/08/2018	Ban Hon	Mixed group (Lu people)	12	<p><b>Causes of poverty:</b></p> <ul style="list-style-type: none"> <li>- Large family, lack of arable land, difficult to cultivate.</li> <li>- Water shortage so cannot grow 2 crops per year</li> <li>- Low education level.</li> </ul> <p><b>Expression of poverty:</b></p> <ul style="list-style-type: none"> <li>- Few men work as hodmen and porters.</li> <li>- No children drop out of school. All children finish grade 9.</li> <li>- Some families are lack of food; they have to work for others to earn money for buying rice.</li> <li>- Most people borrow from the policy bank.</li> </ul>

No.	Time	Commune	Ethnic group	Number of participants	Summary of ideas
					<b>Vulnerable issues:</b> <ul style="list-style-type: none"> <li>- There are no cases where women and children work overseas.</li> <li>- There is no cultural separation</li> </ul> <b>Recommendations:</b> <ul style="list-style-type: none"> <li>- To organize vocational training courses</li> <li>- To ensure traffic safety during implementation of the project.</li> </ul>
8.	04/08/2018	Ban Hon	Group of women (Lu people)	07	<b>Causes of poverty</b> <ul style="list-style-type: none"> <li>- Income depends entirely on agriculture.</li> <li>- Farming products are produced erratically.</li> <li>- The terrain of agricultural land is complicated and difficult for production.</li> <li>- Has been trained on cultivation and breeding.</li> <li>- Women mainly work in agriculture, not engaged in non-agricultural production.</li> </ul> <b>Expression of poverty.</b> <ul style="list-style-type: none"> <li>- Most households have to borrow from banks. Loans are of 8-30 million VND, mainly for buying buffaloes, pigs or building houses.</li> <li>- In general, there is no food shortage.</li> </ul> <b>Vulnerable issues.</b> <ul style="list-style-type: none"> <li>- Convenient access to social services.</li> <li>- There is no cultural conflict</li> </ul> <b>Recommendations</b> <ul style="list-style-type: none"> <li>- No recommendations yet. But concerns about workers for road construction.</li> </ul>
9.	05/08/2018	Phuc Khoa	Mixed group (Hmong people)	10	<b>Causes of poverty</b> <ul style="list-style-type: none"> <li>- Small area of productive land, lack of water for production, especially agricultural production.</li> <li>- Few labors, few skills</li> <li>- Have participated in training on planting but lack of money to apply what they learnt.</li> <li>- Snow causes loss of some plants such as cardamom.</li> </ul> <b>Expression of poverty</b> <ul style="list-style-type: none"> <li>- Most people borrow from the Bank of Social Policies.</li> <li>- Work as painters, hodmen, construction workers, and tea pickers to earn more income.</li> <li>- Lack of rice, have to eat corn.</li> </ul> <b>Vulnerable issues</b>

No.	Time	Commune	Ethnic group	Number of participants	Summary of ideas
					<ul style="list-style-type: none"> <li>- Convenient access to social services.</li> <li>- There is no cultural conflict</li> </ul> <b>Recommendations</b> <ul style="list-style-type: none"> <li>- Training for students on traffic safety.</li> </ul>
10.	05/08/2018	Ban Hon	Group of women (Kho Mu people)	11	<b>Causes of poverty</b> <ul style="list-style-type: none"> <li>- Small area of productive land, frequent risks</li> <li>- Don't know trading and doing business</li> <li>- Water for agriculture entirely depends on the weather</li> <li>- Remuneration rate of seasonal working is 20,000 to 100,000 VND/day</li> <li>- Women mainly take care of the family and do farming.</li> </ul> <b>Expression of poverty</b> <ul style="list-style-type: none"> <li>- Some families are lack of food; they have to work for others to earn money for buying rice.</li> <li>- Have to borrow from banks to build houses or invest in production.</li> <li>- Most children only finish grade 9.</li> </ul> <b>Vulnerable issues</b> <ul style="list-style-type: none"> <li>- Convenient access to social services.</li> <li>- No discrimination between minorities</li> <li>- Good security.</li> </ul> <b>Recommendations</b> <ul style="list-style-type: none"> <li>- Training courses on textile so people can produce themselves</li> </ul>
11.	06/08/2018	Than Thuoc	Group of women (Thai people)	06	<b>Causes of poverty</b> <ul style="list-style-type: none"> <li>- Severe weather, difficult for cultivation and livestock breeding.</li> <li>- Lack of water for irrigation.</li> <li>- Consumption of agricultural products depends entirely on traders.</li> <li>- Small area of land, not enough for production.</li> <li>- Big family while having few labors.</li> <li>- Main income is from agriculture and seasonal working for others.</li> </ul> <b>Expression of poverty</b> <ul style="list-style-type: none"> <li>-Most households borrow from Bank of Social Policies to invest in production.</li> <li>-No food shortage.</li> <li>-No children drop out.</li> </ul> <b>Vulnerable issues</b>

No.	Time	Commune	Ethnic group	Number of participants	Summary of ideas
					<ul style="list-style-type: none"> <li>- Convenient access to local social services.</li> <li>- Continent traffic.</li> <li>- No cultural discrimination</li> <li>- Many drug-addicted people</li> <li>- 15 people including 7 women are working in China.</li> </ul> <b>Concerns about the project:</b> <ul style="list-style-type: none"> <li>- None.</li> </ul> <b>Recommendations</b> <ul style="list-style-type: none"> <li>- Provide chicken breeds, duck breeds and money to help people buy buffaloes and pigs.</li> </ul>
12.	06/08/2018	Trung Dong	Mixed group (Kho Mu people)	12	<b>Expression of poverty</b> <ul style="list-style-type: none"> <li>- Big family</li> <li>- Only 1 crop of rice per year (due to lack of water in the other crop)</li> <li>- Already had training courses on livestock breeding but not effective</li> <li>- Severe weather made buffalo die.</li> <li>- Main sources of income are agricultural production and working as construction workers or porters.</li> </ul> <b>Expression of poverty.</b> <ul style="list-style-type: none"> <li>- Lack of rice</li> <li>- Many households have to borrow from Bank of Social Policies.</li> </ul> <b>Vulnerable issues</b> <ul style="list-style-type: none"> <li>- No children and women working overseas.</li> </ul> <b>Recommendations.</b> <ul style="list-style-type: none"> <li>- Manage workers strictly to ensure security in the village and commune.</li> <li>- Raise awareness on traffic safety.</li> <li>- Create jobs for the locals.</li> </ul>
13.	06/08/2018	Trung Dong	Women's group (Thai people)	09	<b>Causes of poverty</b> <ul style="list-style-type: none"> <li>- Small area of land, affected frequently by floods, many risks in livestock.</li> <li>- Differences between prices at home and market.</li> <li>- The State supports seedlings and fertilizers, but the seedlings are not suitable.</li> <li>- Women do not dare to borrow money because they are afraid of not paying debts.</li> <li>- Women are mainly engaged in household and agricultural work.</li> </ul> <b>Expression of poverty</b>

No.	Time	Commune	Ethnic group	Number of participants	Summary of ideas
					<ul style="list-style-type: none"> <li>- Most of the households have enough to eat, after the disaster, some organizations support rice and money.</li> <li>- Out of the 09 participants, 1 household borrowed money from the bank.</li> <li>- When facing with difficulties, they will borrow money from relatives, they will pay when they have money.</li> <li>- No children dropping out of primary/secondary schools, but many children dropping out of high schools</li> </ul> <p><b>Vulnerability issues</b></p> <ul style="list-style-type: none"> <li>- Accessing social services is convenient, quality is better.</li> <li>- Ethnic groups live together in harmony. There are no social evils.</li> </ul> <p><b>Recommendations</b></p> <ul style="list-style-type: none"> <li>- Contractors need to manage their workers well, and pay fully wages for local workers.</li> <li>- They would like to have vocational training classes on: embroidery and weaving, animal husbandry, ..., capital support models, breeding models using local varieties to support people to stabilize and develop the economy. Amount of money when using local varieties is higher than that when using crossbreed.</li> </ul>
14.	07/08/2018	Pac Ta	Mixed group (Dao people)	09	<p><b>Causes of poverty</b></p> <ul style="list-style-type: none"> <li>- Resettlement area, people's life is not stable.</li> <li>- Land is divided at 350m2/person. Small land area.</li> <li>- Have sick people, women are head of household.</li> <li>- Only rice can be grown, maize cannot be grown, only one harvest a year because in the remaining crop, there is no water.</li> <li>- No training courses on animal husbandry, plant care.</li> <li>- Unusual climate, buffalo died</li> </ul> <p><b>Expression of poverty.</b></p> <ul style="list-style-type: none"> <li>- Lack of food in many months.</li> <li>- In addition to doing farming, going to work aims to earn money to buy rice.</li> <li>- Many students have to drop out of school due to difficult circumstances and transportation.</li> </ul> <p><b>Vulnerability issues</b></p> <ul style="list-style-type: none"> <li>- There is no cultural difference</li> </ul> <p><b>Recommendations</b></p> <ul style="list-style-type: none"> <li>- Open training courses on animals and plants in the village so that people can learn</li> </ul>

No.	Time	Commune	Ethnic group	Number of participants	Summary of ideas
					<p>more quickly and effectively.</p> <ul style="list-style-type: none"> <li>- Re-construct water pipeline for agricultural production to be more convenient.</li> <li>- Traffic safety education for children</li> </ul>
15.	07/08/2018	Pac Ta	Women's Group (Kho Mu)	10	<p><b>Causes of poverty</b></p> <ul style="list-style-type: none"> <li>-All households are resettlement households, unstable production.</li> <li>-The low education level, many women do not go to school.</li> <li>- Small land area, small-scale livestock.</li> <li>- Traveling is convenience, goods are sold easily, there is no difference in prices.</li> <li>-Rice is mainly grown, only one crop a year, due to lack of water.</li> <li>-The tea-growing area is away from home, it takes 3 hours for travelling.</li> <li>- No technical training.</li> <li>- In addition to agricultural work, they collect bamboo shoots to sell</li> </ul> <p><b>Expression of poverty</b></p> <ul style="list-style-type: none"> <li>-Food shortages, they have to go to work to earn money to buy rice.</li> <li>-People do not dare to borrow money because they cannot pay. They only borrow money from relatives, then will pay immediately.</li> <li>- Schools are far away, many students are dropping out of school</li> </ul> <p><b>Vulnerability issues</b></p> <ul style="list-style-type: none"> <li>-Accessing social services is convenient.</li> <li>- There is no cultural conflict.</li> <li>- Stable security. There are 5 people working in China.</li> </ul> <p><b>-Project's impact</b></p> <p><b>Recommendations</b></p> <ul style="list-style-type: none"> <li>- They do not have recommendations, they just feel nervous when the project is implemented</li> </ul>
16.	07/08/2018	Phuc Than	Mixed group (Thai people)	09	<p><b>Causes of poverty</b></p> <ul style="list-style-type: none"> <li>- Some households are resettlement households of hydropower, small land area, unstable life.</li> <li>- Income depends mainly on agricultural production. In addition to working as hired labor, some household are doing small business.</li> <li>-Household with many people, few workers.</li> <li>- No training courses on animal husbandry, plant care.</li> </ul>

No.	Time	Commune	Ethnic group	Number of participants	Summary of ideas
					<ul style="list-style-type: none"> <li>- Unusual climate, buffalo died</li> </ul> <b>Expression of poverty.</b> <ul style="list-style-type: none"> <li>- Borrow money from policy bank for production.</li> <li>- There is no cultural separation.</li> <li>- There are no female workers working across the border.</li> </ul> <b>Recommendations.</b> <ul style="list-style-type: none"> <li>- Open training courses on animals and plants because there are no training courses</li> <li>- Traffic safety education for children.</li> </ul>
17.	07/08/2018	Phuc Than	Women's group (Yao people)	7	<b>Causes of poverty</b> <ul style="list-style-type: none"> <li>- Mainly due to the lack of productive land, school fees, no secondary occupation.</li> <li>- Production is affected by floods, drought ... lack of water. Because of livestock disease and cold weather so it is not effective.</li> <li>- The road access to the production area is not convenient</li> </ul> <b>Expression of poverty.</b> <ul style="list-style-type: none"> <li>- There are many hungry households in the village, they have to borrow money from policy bank for production.</li> <li>- There is no cultural separation.</li> <li>- There are no female workers working across the border.</li> </ul> <b>Vulnerability issues</b> <ul style="list-style-type: none"> <li>- Yao people always make comparisons and are selfishness when the rights are not fair between households.</li> <li>- There is no conflict between Yao people and other ethnic groups in the area and neighboring villages.</li> <li>- Stable security. there are 5 or 6 people working in China but they do not know where these people are working.</li> </ul> <b>Recommendations.</b> <ul style="list-style-type: none"> <li>- Recommendations for handicraft development: weaving, knitting, and scarf production because women are knowledgeable and are producing.</li> <li>- If there is land for tea plantation, it will stabilize the life.</li> <li>- Training courses on livestock is also good, but there is no land left in the village for grazing.</li> </ul>

## MINUTES OF FOCUS GROUP DISCUSSION

**Location:** Chom Chang village, Than Thuoc Commune, Tan Uyen, Lai Chau

**Time:** 4<sup>th</sup> August 2018 from 08h to 9h30

**Total of participants in discussion:** 06

### A. Participants information

No.	Name	Sex	Age	Ethnic Group	Education	Group
1.	Tong Thị Hung	Male	21	Thai	9/12	Medium Household
2.	Hoang Thị Ta	Male	48	Thai	6/12	Medium Household
3.	Trang Thu Hang	Male	18	Thai	12/12	Medium Household
4.	Lo Thị Nui	Male	32	Thai	12/12	Medium Household
5.	La Thị Xương	Male	37	Thai	7/12	Medium Household
6.	Hoang Thị Xương	Male	30	Thai	9/12	Medium Household

### 1. Content of Discussion:

- The representatives of the consultant briefly introduced about the project and issues related to the resettlement, the ethnic minority development plan and gender issues, livelihood, social security and impacts of the project and women's participation in livelihood activities.

#### - Cause of poverty:

#### 1. *What are the main causes of poverty in the area?*

- The cause given by the women have a correlative comparison between area of tea planting and income level. Specifically, there are 186 households in whole village, but only 50 households have area of tea planting and they are hunger (hunger for food in 1-2 months). No households are now hunger.
- Cultivation and breeding always have the risks on climate. The flash floods cause damages to the property, such as fish ponds. The resident invests in building a pond, and fish with amount from 20-30 million, but unfortunately, the flood occurs, all fishes are run away. The family becomes poor. The State promised to build the embankment but the construction did not carry out.
- Consumption of tea products depends on the factory and the traders, sometimes it is easy to sell, and sometimes it cannot sell and import the tea products, so they must take back to home.

- Many participants commented that the cause is due to many children and customs and traditions of Thai People as well. They do not know the reasonable spending and economical way as Kinh people.

*2. Access to markets for input materials and agricultural products? (road conditions, market information, (types of goods, prices), distance to markets)? Differences between selling price of agricultural products at home/market/district market.*

- Because the facilities such as schools and clinics are located on the land of Chom Chu village, so the travel is convenient. They are located near the highway, only 3 km away from Tan Uyen town. Therefore, it is convenient to go to main market. Also, there are small markets in the village which are opened during 24h.
- The travel is convenient, so traders in Pac Ta go to the tea-planting places to buy tea, and the selling of tea is easy. The price does not have the difference and according to general price of market and depending on each time, price of fresh tea fluctuates at rate of 70-75 thousand VND / kg.

**3. *Agricultural land features (soil condition, slope, access to water sources); Cultivation methods and major crops;***

- Land for production consists of two types of field land and tea-planting land. The field land is used for two cropping seasons. There are watering ditches for fields which were built by the State. The resident can grow two cropping seasons if the fields near the water sources and one rice crop and one maize crop if the field is far from the water sources. Some households only have field and tea. They have 2000 square meters of tea planting. In village, only a household has two rice fields and others have three, four and five rice fields. The tea planting area is 2km far from the village, but it is difficult to go through the pass and the stream. The travel is difficult; therefore, the transportation of fertilizers is also very difficult. Planting tea in a year but the fertilizing must be done three times. Spraying pesticides, and increasing the production. Some households have tea-planting field near the concrete road, so the travel and care of tea tree are more convenient.

Production land is inherited from grandparents and now is divided to descendants. If there are lots of lands, they are only enough for production. If there are no lots of land, they must buy land and hire land. Some households have field but nobody do and for rent. as well for people to hire. In the village, many households have land for rent because their children go to school and go to work. Some households also have land for rent to get rice and they changed farming work into selling grocery.

**4. *Level of understanding of agricultural techniques (techniques for the existing production, skills for new production or agricultural diversification); Number of training and extension courses participated in last year; effectiveness of training;***

-The training course on growing and breeding is sometimes organized. For breeding, model of raising chickens as informed by the women's union, the provided chicken breed are rather good. But now, this model of raising chickens is no longer maintained because of ending the program and the breeding chicken do not also provide.

- Production experience combined with access to new technical method also contributes to the improvement of productivity. Mostly, the residents know the way of tea production by themselves. There are no any training courses on guiding of tea-planting and tea-caring

**5. Access to sources of capital; loan size, interest rate, loan period. Effectiveness?**

- Mostly, the residents borrow money from the Social Policy Bank. The borrowing by this method does not request a mortgage. The residents usually borrow about 50 million/ household for growing tea, buying tea plantation, borrowing within 6 years, with interest rates of 0.65%.
- Some other households borrow money to buy buffaloes.

**6. Non-agricultural livelihood opportunities (i) existing employment/employment opportunities that are not available due to education, funding, etc. or (ii) very limited off-farm opportunities in the area**

- The non-farm employment in locality is not so many, only work of tea picking.
- At present, there is one company located in Than Thuoc commune, specializing in making clothes for export, which has been operating since the beginning of April and attracted the participation of many women labors. However, wages is low and have no basic salary, only pay salary by product. Two- three months of salary have not been yet paid. The working time is 9 hours but the salary is only 900 thousand to 1 million. So, many people leave that job and come back to tea picking.
- A lady who worked at that garment company said: At first, she was trained 2 months at the district regular education center, then, she received two million after working in 2 months. Six- Seven months of salary did not receive. She works 9 hours per day. The full time to work in the company so she has no time to do other work. In the village, about 30 women worked at that company but most of them leave. At now, only 1 - 2 women work there.
- **How does poverty show?**

**7. Food security – poorest periods in one year (to the extend that villagers have to eat something instead of rice?)? How many months of food shortage? Support from the local authorities and organizations or communities for undernourished households**

- Food security is ensured. There are no hungry households. Because the current occupational structure of households of Thai people in the village is also diverse. They worked as farmer, workers, government officials and business man.

**8. Debts (Bank debt? From credit institution? From relatives? From food or agricultural material sellers?) Is there any “selling rice before harvesting” practice? Collateral for the debt?**

- Households borrow money from Policy Bank to invest in production but do not request mortgages.

**9. Educational level? Number of children dropping out of primary school, secondary school and the causes;**

- There is no number of children dropping out of primary school, secondary school due to facilities such as schools which are located at area of Chom Trang Village. This is center of Than Thuoc Commune.

**10. Are some ethnic minority (EM) groups more vulnerable and poorer than others? How to compare the poverty of EM with Kinh people in the region? If different, why?**

- Thai people are poorer than Kinh people, Kinh people know how to spend, calculate and save. Thai people do not know how to save money. Thai people do not save they do and eat all.

- **Vulnerability issues**

#### 11. *Access to and quality of local social services (health, education)*

The access to social services in the area is relatively convenient, villagers can take check up at the commune clinic, or at the one in Tan Uyen town. People are granted free health insurance cards.

- Having regular policy advocacy on radio.
- From 2015 onwards, investment in roads make travelling be more convenient. In the past, muddy roads were difficult to travel.

#### 12. *Experiences with occupancy and cultural differences*

- There is no cultural separation between different ethnic groups. Everyone in the village is in harmony with each other..

#### 13. *Culture dispute and conservation of traditional identity*

- The traditional customs cannot be abandoned, Thai people still speak Thai language, wearing costumes during festivals, New Year's Day, keeping Thai dance.
- Thai culture is now similar to the Kinh people, they organize wedding in the same style with Kinh people.

#### 14. *Are there cross-border female workers, child laborers*

- No thief or pickpocket, but drug addiction is quite a number, they are both Thai villagers and people from other villages.
- Number of villager working in China is 20, out of them 10 people returned, and the other 10 people stayed there, they went to China by illegal way and work there without permit, they must be facing with risks now. Female villagers working in China is about 6-7, they went there with husbands, while the children stay at home and their grandparents look after them.

- **Impacts of the project**

**The consultant briefly presented the impacts of the project and mitigation measures, policies and programs on livelihood restoration, community and ethnic minorities development.**

#### 15. *Feedback from people:*

- They support the project, since it make travel easier and their products are more marketizing. If the project is to make the local area better and richer, we fully support.
- They are not afraid of new workers residing in the area, the more of them, the more fun they might bring.

- **Suggestions:**

- Development policies should be in line with local realities and needs. Our wish is to have chicken and ducklings to raise alike another program financed by the Women's Union.

For buffalo raising, it is better to lend us money so that we go buy buffalo ourselves, the buffalo provided buy a previous program could not live long since the breeding supplier raised buffalo with animal feeds, so they did not get used of eating grass anymore. The same goes with seedlings and piglet provision program, the seedlings in the previous program were not suitable and the piglet were weak, they died of diarrhea.

- The suspended planning makes people feel reluctant to produce, if the land is to be recovered, the people do not have material production, because farmer cannot live without land people live with land.

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## MINUTES OF FOCUS GROUP DISCUSSION

**Location:** Group 24, Dong Phong Ward, Lai Chau City, Lai Chau Province

**Time:** 20h00 – 21h00, August 01, 2018

**Number of participants:** 07

### A. Participant information

No.	Name	Sex	Age	Race	Education	Household Classification
7.	Nguyễn Thị Vít	Female	65	Thai	2/12	Single, Poor
8.	Lò Thị Tội	Female	33	Thai	12/12	Average
9.	Chu Thị Hoa	Female	60	Thai	7/10	Poverty
10.	Lò Thị Hợi	Female	40	Thai	5/12	Average
11.	Vùi Văn Cò	Male	55	Giay	3/10	Average
12.	Lù Văn Phóng	Male	60	Giay	Illiterate	Average
13.	Vùi Văn Tiêu	Male	55	Giay	10/12	Average

### 2. Content of discussion

- Consultant representative present about the project, issues relating to TDC, DTTS development plan, gender issues, means of subsistence, social security, and effects of the project.

- **Cause of poverty:**

- *1-What is the main reason of the poverty in the commune?*

- Most of the poor families are those where householder is women, husband died, single old people, lack of manpower.

- Poverty mainly caused by hazardous climate in cultivation and husbandry, such as extremely cold weather, climate change...

- In addition, lack of cultivated land, land lots intended to develop for as fish pond could not be realized because of being in planning area and have to be kept as it is.

- *2- Approaching to market for exchanging the input materials and agricultural products (road condition, market information [type of product, price], distance)? Price differences of agricultural products at home/ at commune market/ province market?*

- Lack of cultivated land, no water for cultivation, only one crop cultivated in rainy season in May and June.

- Agricultural products are mainly for animal husbandry ( corn)

- Main crops are upland rice, tea and maize. Fields are plain, good for cultivation. The products are bought by merchant right at field, prices are stable and reasonable.

- Benefit is low, spending 5 million VND for cultivation, getting back about 6 -6,5 million VND only. Here, more phosphoric fertilizer is needed for maize cultivation. Though benefit is low, it has to be cultivated for family use.

- Big concern is selling of products, for example harvest of fresh tea leaves, it depends on trader, for unfair competition they usually allege that tea manufacturer is full so they could not buy more, and stop buying. The farmers have to cut down the tea because they have no machine for processing.

- Potential cultivation here is fish raising, productivity rather high.

- Cultivated land is rather few, cultivation cost high (fertilizer, seed and breed)

- Products mostly sold in flea market. Central market is not effective. Cost for renting kiosk is high so household could not afford.

- **1. Agricultural land features (soil condition, slope, access to water sources); Cultivation methods and major crops;**

- Slope of cultivated land is average. However, rice cultivation depends on water resources. Rain is important resource for cultivated area. Irrigation systems have a lot constrain. Upland becomes infertile, so more fertilizer is needed and fertilize more times in one crop.

- **2. Level of understanding of agricultural techniques (techniques for the existing production, skills for new production or agricultural diversification); Number of training and extension courses participated in last year; effectiveness of training;**

- Agricultural Expansion Encourage Organization conducted some training course on cultivation and animal husbandry for the people in the locality. And special courses for individual profession also conducted. Agricultural production is heavily depends on weather. In winter 2017, cold weather cause fish dead much. The households that borrowed from banks to raise fish lost all both principle and interest. Loss in this case is rather high.

- Recently, water for raising fish is contaminated, so fish could not grow up. Water is from the lake in city center. Fish feed is mainly from agricultural products produced by households. No large fish farm.

- Last year price of pork was very low, so sow, and breeding pigs were sold, now to resume pig husbandry is rather difficult. Pig husbandry is rather small, and separated, so application of modern technology could not be undertaken (waste (shit) treatment, industrial foodstuff). Expenditure for husbandry at household scale is high (breed and pig-foodstuff)

- This area is in development planning area (64 ha for stocks), current actual status has to be kept, therefore construction of permanent infrastructure (fish ponds, farms) for more productivity is not allowed.

- Agricultural Division of the ward also has sales promotion of fertilize, seed, breed for farmer

**16. Knowing the planting and caring types of trees?**

- Technology has also been transferred by Agricultural Expansion Encourage Organization to farmer. The farmers basically understand the fundamental technology of husbandry and cultivation, as well as prevention of disease. Households also have long term plan for cultivation and husbandry.

**17. Access to sources of capital; loan size, interest rate, loan period. Effectiveness?**

- The people afraid of borrowing money from banks to do business. Borrowing condition is not restrictive, and households can borrow easily. The farmers could borrow 30 million VND for husbandry under pledge-trust sponsorship of Women Union; however the investment was not efficient because of unfavorable weather condition in last year. (Low pork price, fish dead).

- The people concern about loan, but concern more in interest rate

- Loan source: Substantially from the ward, under sponsorship of the head of the ward. Maximum amount is 30 million VND, interest rate is 0.65%, period of 1-2 year. Advantage of this kind of lending is no pledge. Borrowing under sponsorship of Women Union is the same. Farmer prefer Social Policy Bank rather to Agricultural Bank (Agribank). Borrowing from Agribank needs pledge (Property Certificate (Red Book). Farmers afraid of being in debt because of uncertainty in doing business. .

*18. Non- agricultural opportunities (i) existing employment opportunities that are not available due to education, funding , etc. or (ii) very limited off farm opportunities in the area.*

- There are non-agriculture activities in the locality, however income is low, about 100-200,000 VND (pick tea leaves 100 – 120,000 VND, manual works: 200,000 VND). Manual works (porter, bricklayer, etc.) mostly for men.

- Women, after harvest time go to urban to get job such as washing, looking after children or stay at home to do housework.

- In Group 24, young people are few, mostly are retired officials, and old farmers.

- **How does poverty show**

***19. Food security – poorest periods in one year (to the extend that villagers have to eat something instead of rice?)? How many months of food shortage? Support from the local authorities and organizations or communities for undernourished households***

- Basically, the households are not lacking in food, they just raised livestock to sell and buy rice..

- The average income of household has many kinds. If the contract is signed, the salary level is 2 million.

***20. Debts (Bank debt? From credit institution? From relatives? From food or agricultural material sellers?) Is there any “selling rice before harvesting” practice? Collateral for the debt?***

- Mostly, the households do not borrow money from the bank. They only help each other from brothers/ relative.

- When borrowing from the bank, the mortgage is requested but when borrowing from Woman Union, the mortgage does not request.

***21. Educational level? Number of children dropping out of primary school, secondary school and the causes;***

- In Group 24, there is no number of children dropping of primary school, secondary school. All children in Group completed studying in Primary School.

***22. Are some ethnic minority (EM) groups more vulnerable and poorer than others? How to compare the poverty of EM with Kinh people in the region? If different, why?***

- There is almost no difference in income and poverty in the ethnic communities in locality. Living standards of households are generally relatively balanced.

- **Vulnerability Issues**

***23. Access to quality of local social services ( Health, education)***

- Access to local social services is good, near schools and hospitals.

***24. Experiences with occupancy and cultural difference***

- There is no difference in cultural or distinctions of ethnic groups, and all ethnic groups in the group are sociable. The cultural exchanges have also been organized

during the construction of the Lai Chau Hydropower Project, but the security issue is still being assured and the resident considered that it is an advantage for agro-business at home.

*25. Culture conflict and the preservation of national cultural identity*

- The Resident here live harmoniously, without distinction of ethnic groups.
- The customs of the nation, the good points have been still maintained and gradually eliminated the customs which are not in accordance with current conditions.

*26. Issues on security and social evils*

- Police in ward are also regularly informed propagandize on human trafficking, social evils, human trafficking, propaganda on safe keeping and theft prevention.
- These activities are integrated into community meetings.
- Social Security here is very good; there is no theft phenomenon, the whole motorcycle park outside but do not worry the loss. The 100th anniversary of the re-establishment of Lai Chau province, there is no loss on car which are parked everywhere.

- **Impacts of the project**

**The representative of the consultant briefly presented the impacts of the project and mitigation measures, policies and programs on livelihood restoration, community development and ethnic minorities.**

*27. Feedbacks from the residents:*

- The residents of the 24 teams supported the implementation of the project which making travel of the residents is more easier and their products will be easier to sell and sell with higher price.
- The most difficult is that the construction of project shall make the phenomenon of settlement of two sides of the road (wall 10, shallow foundation ...).
- The problem of social security, security order when workers for the project, that problem is unavoidable. However, if the security issues are properly ensured, the propaganda and checking are organized regularly; this situation will be minimized.
- **Suggestion:**
  - Managing traffic safety issues during the construction process.
  - If the project is implemented, it should create conditions to take advantage of the local labor force to create jobs for them.
  - After completion of the road, it is necessary to propagate and popularize the awareness of cattle breeding, avoid the phenomenon of cattle dropping on the road to cause traffic accidents that are not worth.
  - It is necessary to determine the status of houses and structures to determine the causes and compensations (if any) occurring during the construction process.

## MINUTES OF FOCUS GROUP DISCUSSION

Location: Na Bo Cultural House, Tam Giang Commune, Tam Duong District, Lai Chau Province.

Time: 2<sup>nd</sup> August 2018

Number of participants: 11

### I. Identification

No.	Name	Year of Birth	Gender	Ethnic group	Education
1	Xe A Pao	1988	Male	Giay	9/12
2	Phan Van Le	1986	Male	Giay	12/12
3	Ly A Man	1995	Male	Giay	7/12
4	Vang A Tan	1992	Male	Giay	9/12
5	Lo Van Seo	1986	Male	Giay	9/12
6	Xe Van Lat	1988	Male	Giay	12/12
7	Ri Van Mao	1979	Male	Giay	9/12
8	Ri Van Hon	1978	Male	Giay	7/12
9	Vang A Lu	1984	Male	Giay	9/12
10	Leng Van Phinh	1960	Male	Giay	5/10
11	Lo Van Thuat	1980	Male	Giay	7/12

### II. Content of Discussion

- The representatives of the consultant introduced about the project and issues related to the resettlement, ethnic minority development plan and gender issues, livelihood as well as impact of the project.

#### *1. What are the main causes of poverty in your area?*

- The residents' livelihood is farming and they have no any secondary job. The area of agricultural land, of each household is small. For farming, the cost of fertilizer is nearly a half of the revenue, so the farmers have only enough to eat, not have money left.

- The land is barren and unfertilized, there is no irrigation, and therefore, only one crop season in one year because there is no water.

Productivity of rice field is low. The productivity of maize is medium. The maize is mainly used for feeding chicken and duck. Some households have fish farming area of 1000m<sup>2</sup>; they collected about 10 million VND per year. Chicken and duck are mainly used for food but not for sale.

#### *2. Access to markets for input materials and agricultural products? Differences between selling price of agricultural products at home/market/district market.*

A few fields grow both rice and maize and obtained about 50-60 bags. Some households planted tea trees and signed take-off contract with the factory. The factory supplied fertilizer to households first and then households sold the tea to them. Prices do not differ from the market, but households do not spend money on buying fertilizer. Therefore, the farmers will never break the contract.

The market is located very far from the resident area, which is more than 7 km, make the travelling difficult. To buy vegetables and food, the householders must go a long road.

### *3. Agricultural land features (soil condition, slope, access to water sources); Cultivation methods and major crops*

Unfertilized mountainous soil without nutrients for trees, therefore, a large amount of fertilize need to be provided for trees.

### *4. Climatic condition*

- The climate is not suitable for growing vegetables, so they have to buy more vegetables, the grown vegetables are not enough for family meals.

### **5. Access to sources of capital; loan size, interest rate, loan period. Effectiveness**

Many households want to borrow a loan of about 30-50 million VND. They borrow money from banks or credit institutions. They borrow money with low interest rates. They can mortgage or not and take long term period.

Many households borrow money from relatives to try to expand their production. According to comments made by the participants, the investment is not effective because they do not have profits from animal raising, which can only enough to cover the investment. The loan is on revolving basis, so it is very difficult for the borrowers.

### **6. Non-agricultural livelihood opportunities**

In addition to farming work, the residents also work as hired laborers in some other places or work for their relatives, their jobs are bricklayer or porter.

- Some households do businesses such as selling grocery and building materials

### *7. How does poverty show ?.*

*8. Food security – poorest periods in one year (to the extend that villagers have to eat something instead of rice?)? Support from the local authorities and organizations or communities for undernourished households*

*9. Educational level? Number of children dropping out of primary school, secondary school and the causes;*

No children dropping out

*10. Debts (Bank debt? From credit institution? From relatives? From food or agricultural material sellers?) Is there any “selling rice before harvesting” practice? Collateral for the debt?*

Many households have a debt from 30 to 50 million VND. there are 20% of household who borrow. Some households have no money to pay to the bank at the deadline, they must borrow loan shark with high interest rate 4% a month to repay the bank. When they liquidate the loan with bank, they continue borrowing to repay that high interests rate loan.

Some households must sell rice before harvesting. They sell to buy seedlings, fertilizers because the shops do not take credit.

- The mortgage is not requested when borrowing from policy bank.

*11. Are some ethnic minority (EM) groups more vulnerable and poorer than others?*

Giay people are the poorest ethnic group in commune.

*12. Vulnerability issues*

*13. Access to and quality of local social services (health, education)*

- There are school subsidiaries in the villages.
- There is a medical station in the commune. It is convenient for transportation.

*14. Experiences with occupancy and cultural differences*

- There is no cultural separation between different ethnic groups. Everyone in the village is in harmony with each other.

*15. Are there cross-border female workers, child laborers?*

There is no cross-border child labor. some women working cross-border, most of them work as hired laborers.

### ***Project impacts***

#### **1, What are the main concerns about the impacts/risks when the project is implemented and completed?**

- Traffic safety
- Vibration and shaking from goods transporting vehicles passing through these areas affect people's daily life and house.

#### **2. Mitigation measures which should be included in the project**

- Tightly manage the traffic safety issues during the implementation and completion of the project.
- Manage workers when implementing the project to avoid the loss of security and order

#### **3. Viewpoints on project impact mitigation activities [summary of HIV and human trafficking related activities, road safety, livelihoods development**

- Support the project, making travel to be easier

#### **4. Recommendations**

- The project should give priority to creating jobs for the residents in locality. Ensure traffic safety, support to rebuild house for the residents which were affected by the project.

## WOMEN GROUP DISCUSSION

Venue: Na Bo Cultural House, Ban Giang Commune, Tam Duong District, Lai Chau Province.

Time: 02/08/2018, from 9.15 am- 10.35 am

Number of participants: 07

### A: Identity of participants

No.	Full name	Year of birth	Ethnic group	Educational level
1	Leng Thi Huong	1995	Giay	9/12
2	Ha Thi Lan	1978	Giay	12/12
3	Leng Thi Van	1976	Giay	6/12
4	Vang Thi Ruong	1997	Giay	12/12
5	Leng Thi En	1975	Giay	9/12
6	Leng Thi Cai	1960	Giay	Not attend school
7	Vang Thi Doan	1976	Giay	Not attend school

### Contents

- Introduction about the project

What are main causes of local poverty?

There is no farming land and most households in the hamlet only have upland field. Upland rice doesn't have good yield and the production is only enough for family's consumption. Those growing maize have some surplus products for sales, livestock or wine brewery;

Extreme weather is also another cause. It has been colder and there have been more floods happening during the last 10 years.

Access to markets for trading, buying agriculture inputs and products? Difference between prices of agricultural products at home/markets and district market?

There is no market here. One is 7km far away (Tam Duong District) and another is Doan Ket Market which is about 9km far away. We often go to Tam Duong market to sell or buy stuffs.

Dealers who are assigned by investor come to buy tea. Price difference compared with other places is unknown.

Type of agriculture land (soil condition, sloppiness, water access), cultivation practices and main crops

Most of area is upland field which has high slope and requires much fertilizers.

Farming activities are mainly implemented manually with little help from ploughing machine. Ploughing machine is provided to poor households by the Government while others who are not ranked as poor shall buy or rent it at their own costs.

The commune provides assistance with orange and guava seedlings (full support) while people have to buy tea seedlings by themselves. Guava is planted in between with orange to prevent disease for the latter.

Land use right certificate guarantee

Residential land is granted with red book while upland field is granted with pink book.

#### Climate conditions

Flooding is not to be seen every year but the recent flood did sweep away all land of those having their fields near the stream. Those with higher field suffered less loss. Several years ago, there were also big flood and once every several year, flood comes when we haven't fully recovered from previous losses.

Credit access, loan size, interest rate, lending term, efficiency?

All people here get loans, ranging from VND 50-100 million. Bank loan requires mortgage of land while Policy Bank allows us to borrow with no mortgage. Households with children at school need money for lots of expenses and as they do not have much money, they have no choice but borrow. Such loans/borrowings for student support have low interest rate, long lending term and do not require immediate repayment.

#### Non-agricultural activities

Most people here are farmers. Some villagers work far from home such as construction workers or porters.

Women often go to collect crab, snails every day. With 3-4 kg of slams give us VND 30,000-40,000 which is enough to buy a packet of sweetener or detergent. In general, life is quite hard.

Proof of poverty. Food security, what are substitutes of rice during time of food scarcity? Support from local authority and community?

Many households suffer rice shortage and have to mix rice with other staples.

The Government only provides support to poor households with food, rice, tuition fee for students, medical insurance and each student receives allowance of VND 120,000 per month.

Education level, number of children dropping out of school and reasons?

Our hamlet see no student drop out of school. Some might stop schooling after finishing high school but not at secondary or primary school. There are only cases of disabled ones who cannot attend school.

Debt (debts to bank, credit institution), debt to relatives, agriculture material dealers. Is there any case of selling young rice plant? Is mortgage required for getting loan?

Some have to sell young rice or maize plants to get money for buying seedlings or fertilizers. Price for young rice plants is lower than normal, for example, if we harvest properly we could sell at VND 50 but young rice will only sell at 30-40. We do not have money to buy seedlings or fertilizers as the Government used to support us with fertilizers and we got it first and paid later. However the Program 135 has ended so we have to pay once we get such materials.

There are some households having debts but with some very poor households, the seller do not sell on credit. It is because agents are also afraid of bad debt so they give no credit.

Health, access to health care service, malnutrition.

There are children with poor nutrition and substandard physical indicators (weight, height) and a lot of malnourished children in the locality. The Government provides allowance for food while households contribute rice, which are the same for all hamlets here. For example, at kindergarten class, food allowance per day is VND 6,000/child while his or her parents contributed 4-5kg of rice/month.

Ethnic minority groups which are more vulnerable to poverty than others

The commune's population is mostly Giay people so we have no idea of how other ethnic minority groups are. However, some far remote areas such as Suoi Thau and Sin Chai

communes (examples are two communes of Sapa, Lao Cai province) are home to Meo people who are vulnerable to poverty.

Vulnerability issues. Access to and quality of local social services.

- Hamlet has school campus. There is also commune clinic which is quite near so local people often drop by for check-up. However, they still prefer to visit district's hospital in Tam Duong.

Ability to access information and conditions for supply of State services (education, health care, administrative assistance)

Information are updated and aired on the commune's loudspeaker and thus, are easily accessible for local people

Experience with cultural gap and acquisition

- There is no cultural gap among different ethnic groups. People living in the hamlet are quite friendly with each other given being the same ethnic group. Some households are Kinh people but we do not have any conflict so far.

Are there border-crossing women and children labors?

There are many people working across the borders but there is no children but only adults. They do not go for too long but visit home every year, normally during Lunar New Year

## **Impacts of the projects**

### **1. Main concerns about impacts, risks arising from project implementation and completion?**

There is concern as local people often have their houses along roads and their economic conditions are not good. If the Government build new roads, we do not know how much the compensation will be but definitely old house demolition and new house construction shall be costly. Land will be acquired from 25-30s long from the road side or some households see less acquisition of 20 m.

We are also concerned about traffic safety, especially for the children and the older. When we had some road sections of landslide fixed before, trucks ran all night and we couldn't sleep, suffering vibration from such traffic.

### **2. Mitigation measures to be included in the project**

- No measure is proposed

### **3. Opinions about the project's anticipated mitigation activities (HIV, human trafficking, road safety, livelihood development, employment opportunity)**

A quarter of males in the hamlet are addicted but we see no human trafficking. The commune hasn't introduced any measure to reduce the number of the addicts

We wish to learn handicrafts as those graduating from high school only work as waged labors or do farming work. It would be better if there are vocational training classes.

### **4. Recommendations**

- Good management of construction activity and safety for local people.
- Local labor should be employed.
- There should be supports for extremely poor households.

## MIXED GROUP DISCUSSION

**Location:** Ban Hon commune, Tam Duong district, Lai Chau province

**Time:** 03/08/2018

**Total of participants in discussion:** 12

### 1. Participants information

No.	Full name	Sex	Age	Ethnic Group	Education	Group
1	Quàng Thị Sơn	Female	1989	Thai	12/12	Average household
2	Lò Văn Năm	Male	1985	Lu	5/12	Average household
3	Vàng Văn Ôn	Male	1993	Lu	9/12	Poor household
4	Lò Văn Ẽn	Male	1993	Lu	9/12	Average household
5	Lò Văn Ngần	Male	1987	Lu	9/12	Average household
6	Vàng Văn Phèng	Male	1964	Lu	4/10	Poor household
7	Tao Văn Đăm	Male	1970	Lu	9/12	Average household
8	Vàng Văn Rẻng	Male	1981	Lu	9/12	Poor household
9	Lò Văn Chom	Male	1986	Lu	8/12	Average household
10	Tao Văn Chọi	Male	1988	Lu	9/12	Average household
11	Tao Văn Nọi	Male	1993	Lu	7/12	Average household
12	Tao Văn Chùm	Male	1987	Lu	9/12	Average household

### II, Content of Discussion

- Briefly introduced about the project and purposes of focus group discussion.

*1. Causes of Poverty: What are the main causes of the poverty here?*

*2. Agricultural land features (soil condition, slope, access to water sources); Cultivation methods and major crops?*

They are: Many dependents in families, natural diseases i.e. floods, failed livestock not successful due to disease, lack of land for production.

The land area of the household can only grow 1 crop of rice, enough for the family to eat. In addition, maize can be grown, for raising animal and distilling alcohol.

Some households grow tea but they cannot not sell much, usually the revenue from selling tea is about 2 - 2.5 million VND. Alcohol is distilled for selling and family gathering.

Many houses have no wet fields, only upland filed. These people also try to find other stuff to produce such as fish raising, which can get the revenue of 5 million VND per year.

Most of the animals raised are chickens and ducks but many of them died due to diseases, there are not many to sell. There are also buffalo, mainly used for plowing.

*3. Level of understanding of agricultural techniques; Number of training and extension courses participated in last year; effectiveness of training?*

- There are some trainings on raising fish, chickens and pigs, and they gave us training certificates but we could not do anything with that, and we do not have capital to invest.

*4. Climatic conditions*

Fish farmers are facing with water shortage during February-March, no water means no fish raising. The weather is not favorable, in recent years there are heavy rains and floods. Winter is too cold so it is difficult to raise animals.

*5. Access to sources of capital; loan size, interest rate, loan period. Effectiveness?*

We got loan with ultimate size of 50 million VND from Vietnam Bank for Social Policy to build new house and buy two buffaloes. The loan is 5 years, interest rates are low. This September we must start to repay the bank, if there is no money to pay, we are forced to sell the buffaloes. Interest is paid monthly. If any family have good income, they can repay the principle every month. The loan does not require a mortgage.

*6. Non-agricultural livelihood opportunities.*

Apart from farming time, we get waged job, 10 days in a month and bring back home 100-150,000 VND/day.

For working on construction site, for full month working, we can get more or less 5 million VND. Some villager went to the city to work a few days in a month, mostly we get job as mortar preparer.

*7. How does poverty show? Food security – poorest periods in one year? How many months of food shortage? Support from the local authorities?*

There is family who doesn't have enough food for 1-2 months, around February, March of the year. They borrow money from brothers and relatives. Poor households are supported by the state with 15kg/person/month, so they can barely stable. Poor households are also get local authorities supported in the form of seedlings. Growing rice is not quite enough over years. Villagers should go outside to get paid jobs, those who cannot work have to borrow their relatives.

*9. Debts from credit institution? From relatives? From agricultural material sellers? Is there any "selling rice before harvesting" practice?*

- The majority of households get bank loan of 30-50 million VND, and take credit at agricultural material stores. Households who grow tea can earn 5 quintals per year, if they buy fertilizer from the debt collectors, thereafter the tea growers have to sell tea for them in deduction of fertilizer at far lower price.

*Vulnerability issues. Access to and quality of local social services. Distances and quality of transport infrastructure.*

- Near the school and health clinics, people can easily access. Traffic is more convenient than before, the road is more beautiful.

*13. Are there cross-border female workers, child laborers? Frequency of crossing the border.*

Many men go to work crossing the border as porters, but they are not paid. No children or women go to work there.

*Project impacts.*

*14. What are the main concerns about the impacts/risks when the project is implemented and completed?*

- Most of the houses are close to the road, in the case that the new road need expansion, the houses are removed.
- traffic safety issues when constructing road and during operation.

## **2. Suggestions**

- We wish to have vocational training and some capital to start up.
- Communication on safe transportation for everyone, especially the students is to be promoted
- Commune police should manage the construction workers to keep the public security

## MINUTE OF GROUP DISCUSSION

**Venue:** Dong Pao 1 Hamlet, Ban Hou Commune, Tam Duong, Lai Chau

**Time:** 03/08/2018, from 9 am to 11.30 am

**Number of participants:** 07

### B. Identity of participants

No.	Full name	Sex	Age	Ethnic group	Education	Group
14.	Lo Thi Tim	Female	25	Thai	4/12	Poor household
15.	Tao Thi Kham	Female	27	Lu	9/12	Average household
16.	Tao Thi Keo	Female	28	Lu	4/12	Average household
17.	Tao Thi Bun	Female	27	Lu	5/12	Average household
18.	Tao Thi Khan	Female	34	Lu	K đi học	Average household
19.	Lo Thi Xeng	Female	26	Lu	9/12	Average household
20.	Lo Thi on	Female	23	Lu	12/12	Average household

Among 7 group discussion participants, 4 are from Dong Pao 1 Hamlet; 3 are from Chan Nuoi Hamlet. Regarding ethnicity, 6 are Lu and 1 is Thai.

### 3. Discussion content:

- Consultants briefed about the project, issues related to resettlement, EMDP, gender, livelihood, social welfare and Project's impacts and women participation in livelihood activities.

#### **Cause of poverty:**

##### *1. What are main causes of local poverty?*

- Households rely solely on agriculture production for their living. Lack of production land is considered by local people to be the cause of no income generation.
- Poor households in the hamlet often suffer food shortage for 2-3 months due to small farm area, no knowledge of how to earn more money and no job for additional income generation.
- There are households having no production land as they have newly split from their parents' household and still work on the same land area, which leads to limited income generation.

- Due to topography, some areas could afford 2 crops, while some other could only afford 1 crop give water shortage.
- Livestocks suffer risks such as diseases among buffaloes, unsalability of pigs or underpricing like last year.

*2. Access to markets for trading, buying agriculture inputs and products (road conditions, information about the market [goods, prices), distance to market)? Difference between prices of agricultural products at home/markets and district market?*

- Hamlet could be accessed via concrete road and national highway nearby is convenient to reach commune's center, market to buy maize seedlings, fertilizers or to sell products such as orange, chickens and ducks.

- Tea: San tea is a crop with long lasting history which generate incomes for households. In addition, households have also grown Kim Tuyen tea since 2006, which is also another income source for households. Dealers come to hamlet to collect tea at market price with little difference compared to other places. However, income from tea production is insignificant give small area.

- Apart from rice, maize, tea, orange trees have been grown since 2013 or 2014. They are mainly grown in stream bank area and sell at local market. Macadamia has been piloted by some households for 2 years.

- In general, agricultural products for sales are of small volume and on unfrequent basis.

*3. Type of agriculture land (soil condition, sloppiness, water access), cultivation practices and main crops;*

- Agriculture land has complicated topography, causing difficulties in production activities. Water access is available to some areas and is not to others. Upland areas are subject to rock, sloppiness, risks of erosion and exhaustion. It was said by Ms. Xeng that growing any crop now requires lot of manure and fertilizers.

- Despite such land and soil conditions, local people still manage to adopt their local knowledge in combination with advances into crop production.

- Local people always select diverse crops to pilot and see which ones are suitable with the local climate, soil and topographical conditions. We could grown different rice varieties in the same year following experience and sharing among households. For example, if orange is seen to generate more income, all will grow orange or seeing macadamia may bring about economic profit, some households have started to grow it for 2 years.

*4. Knowledge of agricultural techniques (current technical practices, skills for new production or agriculture diversification); Number of extension, training classes participated in the past year; efficiency of such training;*

- In addition to self-study, information dissemination of hamlet leader on crop production, some projects such as poverty reduction project also organized training classes to provide guidance on how to raise pigs, grow orange etc with participation of people in the village.

- Training on orange offered guidance on how to dig holes, growing techniques, fertilizing, branch cutting and disease prevention for the crop. At the moment, orange crop is still growing well.

- Households have economic development strategy by applying and selecting new varieties, seedlings for pilot and then decide which crops are suitable.

- Loans are taken to buy buffaloes, on the one hand for ploughing power, on the other hand as a saving.

*5. Credit access, loan size, interest rate, lending term, efficiency??*

- Given concern of not being able to repay, loss from ineffective investment into production, women have only borrowed small amounts of money, ranging from VND 8-30 million from Policy Bank due to support on low interest rate. They are often reluctant to borrow from other sources such as Agibank since it requires mortgage and has high interest rate,

- Loans are mainly spent on buying animals such as buffaloes, pigs or for house construction etc.

*6. Non-agriculture livelihood opportunities (i) employment opportunities/self-generated employment which couldn't be performed due to education, capital etc or (ii) limited non-agriculture opportunities in the region*

- Women rarely pay attention to non-agriculture activities. They are not confident to seek manual work and still give first priority to family, house chores and they do not want to go far from families. They are also shy for poor education level as well as family ties.

- During off-season time, women often knit, sew to make clothes for themselves or for family.

- There are few non-agriculture activities in the locality. Some are for men's participation only.

- **Proof of poverty**

*7. Food security – Time of food shortage during the year (what are substitutes for rice)? How many months of food shortage? Support from authorities and organizations or community for suffering households?*

- In general, food shortage is no longer a serious problem when most households have farm land and their production could afford themselves or they could sell other agriculture products in exchange for rice. They only short of money for domestic expenditures.

- Some cases facing difficulties also receive support and sharing from other members in Women's Union such as provision of 15 kg rice for disadvantaged household on the occasion of Lunar New Year.

*8. Debt (debts to bank, credit institution), debt to relatives, agriculture material dealers. Is there any case of selling young rice plant? Is mortgage required for getting loan?*

- Households apply for loans from Policy Bank for livestock investment or house construction.

- Relatives or family members only help with labors, not finance as all households are similar in term of financial capacity with no saving.

9. *Education level? Number of children dropping out at primary and secondary school and reasons.*

- At present, there are no children dropping out of primary or secondary school. Most of them finish grade 9.

- In 2017, the commune organized a class for illiterate people.

10. *Are some EM groups more vulnerable to poverty than others? How to compare poverty of EM people and Kinh people in the region? If there is difference, why?*

- It was said by women that Kinh people know how to do business, earn money from trading, they get jobs, income or receive support from parents.

- **Vulnerability issues**

11. *Ability to access information and conditions for supply of State services (education, health care)*

- Access to health care service at the local clinic is very convenient with health insurance card. Electricity, road, school, station, communication are all available so there is linkages for trading. People have known how to promote economic activities and have increasing demands.

12. *Experience with cultural gap and acquisition / Cultural conflict and preservation of ethnic culture*

- Local knowledge, production experience are shared among Lu people, between Lu people and nearby Thai people as well as affected by cultures of Kinh people. Thus, no culture gap is to be seen.

- Ethnic groups are quite friendly with each other and rate of marriage among groups also increase. Wedding and funeral customs and traditions are still well upheld.

13. *Social security and evil issues*

- The security is well maintained with no social evils to be seen.

- **Project's impacts**

**The consultant made a quick presentation about the project's impacts and mitigation measures, policies and programs for livelihood restoration, community and ethnic minority development.**

14. *Responses from local people:*

- Firstly, it was supposed by women that the first priority is about lack of production land;

- Secondly, if there are vocational training classes, they should be about weaving, knitting, embroidery as Lu people have already had such skills. Given on their current background, new knowledge shall help them be more confident and creative and take advantages of such work.

- **Recommendations:**

- The women had no recommendation or concerns when the consultant mentioned some potential issues regarding material gathering in the locality, immigration of new construction workers during project implementation.

## MIXED FOCUS GROUP DISCUSSION

**Location:** At the house of Na Ke Village's Secretary, Pac Ta commune, Tan Uyen sub-urban District, Lai Chau Province

**Date:** 05/08/2018

**Number of Participants:** 09

### I. Participants' Information

No.	Full Name	Gender	Year of Birth	Ethnic Group	Classification
1	Lý Văn Sinh	Male	1985	Dao	Average group
2	Phàn Văn Cầu	Male	1955	Dao	Average group
3	Phàn Văn San	Male	1984	Dao	Average group
4	Tần Văn Lai	Male	1960	Dao	Average group
5	Trảo Thi Lý	Female	1963	Dao	Average group
6	Tần Văn Cầu	Male	1981	Dao	Average group
7	Phàn Thị Phan	Female	1980	Dao	Average group
8	Lò Thị Nhìn	Female	1987	Dao	Average group
9	Lý Thị Phan	Female	1979	Dao	Average group

### II. Descriptions

- Introduction: Project overview and targets of the centralised groups discussions.

#### *1. Causes of Poverty: What are the main causes of the poverty here?*

- Impacted by the hydro power project resulting required resettlement and difficulties in life;
- Limited land, only 350m<sup>2</sup> of field land for each person resulting in less rice cultivation and insufficient foods; and also no land for farming and no forest land for production activities.

There are three poor and near-poor households in this village, who have sick and limited working ability people or they may not have buffalo for production activities. The women are householders.

#### *2. Agricultural land features (soil condition, slope, access to water sources); Cultivation methods and major crops*

- Hilly and mountainous land and small allocated area; rice as main crop and corn planting is not possible; only one crop each year because there is no water in other crop period. In 2014, the local people were given land for tea planting (7kms from current place). However, the area used to be cultivated by people from other village and had been reclaimed (people from Na San village, Thai people); yet, the reclamation was not completed agreed by the people. The planted areas have been destroyed by cows and buffalo from the other village and working tools have been stolen. The water sources to the planting area have been blocked at the upstream resulting in serious lack of water. In 2019 the land will be given again to the people for production.

*3. Level of understanding of agricultural techniques (techniques for the existing production, skills for new production or agricultural diversification); Number of training and extension courses participated in last year; effectiveness of training*

In 2017, there were training courses on breeding in the village but only the village staff joined and then gave trainings thereafter to the local people. It was not effective because only parts of the knowledge were handed over to the people while the rest was forgotten.

- In 2012: there were trainers giving trainings on breeding methods.

*4. Climatic conditions (flash flood, drought)*

- Unstable climate causes difficulties for production. Many households borrow money to buy buffalo but the, the buffalo die and the people do not know how to pay the debts.

*5. Access to sources of capital; loan size, interest rate, loan period. Effectiveness?*

- The Bank of Agriculture and Rural Development (AgriBank) give them loans with low interest rate with amount from 30 to 50 million VND for agricultural production.

Many households do not dare to take the loans because they are afraid that they cannot pay the interest and loans.

*6. Non-agricultural livelihood opportunities (i) existing employment/employment opportunities that are not available due to education, funding, etc. or (ii) very limited off-farm opportunities in the area)*

Apart from agricultural works, a number of men may work as assistants for building workers, or as porters to have more money for buying rice. They would earn 100 to 200 thousand VND for one working day. The women would knit the hats as part time jobs. The buyers comes and buy the knitted hats and it takes one week to make on hat, which costs 100,000 VND, in which they pays 50,000 VND for the materials.

*7. Education, language*

Many people are illiterate.

- Common language is used in communication with other ethnic minorities while Dao language is used among their families and in the village

*8. How does poverty show? Food security – poorest periods in one year (to the extent that villagers have to eat something instead of rice?)? How many months of food shortage? Support from the local authorities and organizations or communities for undernourished households?*

- Many households do not have enough food and they have to provide hired labour for money for rice. On Tet's festivals, each person in the poor households are given rice and 100,000 VND by the village authority.

The poor households are given cow and buffaloes for production while the rest households are supported with 50% of the nursery plants.

*9. Educational level? Number of children dropping out of primary school, secondary school and the causes?*

Most the children drops out of schools after secondary education, and there are 3 to 4 pupils stops while studying at primary and secondary education. The reason for the situation is that they are too poor and would not afford. The school is 6 to 7kms away from the village and the roads are too sloppy. Therefore, they cannot go by bike but walk.

- The local authority gives them support by class fund and reduced school fee of 50-70% (Class fund at 350-400 thousand VND for floor brooms, chalk, etc.)

*10. Debts (Bank debt? From credit institution? From relatives? From food or agricultural material sellers?) Is there any "selling rice before harvesting" practice? Collateral for the debt*

*In the village, three households borrow loans from the Bank for buffalo but the buffalo of the two households are dead.*

- The fertilizers are given in advance then they would sell rice or provide hired labour for payment. The cost for fertilizer comprise principal and part of the interest.

*11. Vulnerability issues. Access to and quality of local social services (health, education)*

- The primary school is located at the village, with the distance of 500-700m. The secondary school is located at the centre of the commune, 7kms from the village resulting in difficulties in going to school.

- The services and administrative procedures is good and fast the medical centre. All he people have health insurance.

*12. Experiences with occupancy and cultural differences*

- The cultural features differ from this ethnic minority to other minority but there is not cultural difference. There are disagreements between production activities but the people of Na Ke village often stay calm and wait for settlement from the local authority.

*13. Are there cross-border female workers, child laborers? Frequency of crossing the border?*

- No cross-border worker.

## **Project Impacts**

*1, What are the main concerns about the impacts/risks when the project is implemented and completed?*

### **Major concerns about project impacts during implementation and after completion**

- During construction period, the site may block the students' schooling route;
- After completion: there are concerns about traffic safety.

## **2. Suggestions**

- Providing trainings on cultivation and breeding at the village which can facilitate the understanding and bring more efficiency;
- Reformulating the water streams to the village for more convenient cultivation activities;
- Giving education on traffic safety to the children.

## MINUTES OF FOCUS GROUP DISCUSSION

**Location:** Sai Luong Village, Pac Ta commune, Tan Uyen, Lai Chau

**Date/Time:** 05.08.2018, 8h30-11h30

**Number of Participants:** 10

### C. Participants' Information

No.	Full Name	Gender	Age	Ethnic Group	Education	Classification
21.	Lò Thị Chít	Female	Unknown	Kho mu	Uneducated	Average group
22.	Lò Thị Giáo	Female	Unknown	Kho mu	Uneducated	Average group
23.	Lò Thị Sinh	Female	Unknown	Kho mu	Uneducated	Average group
24.	Lò Thị Bun	Female	Unknown	Kho mu	Uneducated	Average group
25.	Lò Thị Mai	Female	Unknown	Kho mu	Uneducated	Average group
26.	Lò Thị Eng	Female	Unknown	Kho mu	Uneducated	Average group
27.	Hoàng Thị Lôi	Female	Unknown	Kho mu	Uneducated	Average group
28.	Hoàng Thị Sỗn	Female	34	Kho mu	Uneducated	Average group
29.	Lò Thị Đung	Female	28	Kho mu	Uneducated	Average group
30.	Lò Thị En	Female	20	Kho mu	9/12	Average group

All 10 participants are from Kho mu ethnic minority group, who have resettled to the village. They all from average household category.

### 4. Discussions

- The Consultant's representative introduced the project, and informed about issues related to resettlement, ethnic minority development plan, gender issues, livelihoods, social security and impacts of the project and the women's participation in livelihood activities.

#### • Causes of Poverty:

#### 1. What are the main causes of the poverty here?

- Low education level and many people do not go to school;
- Households in this village are resettlers/displaced people. They were entitled land-for-land compensation in this area, however, the land area is small and is not enough for growing rice to eat.
- Land area of the resettlement village is too small for livestock activities, farmers cannot develop livestock and poultry. And sometimes they are easy to catch diseases. Fortunately, each family has a small pond to raise some fish which is an advantage as compared to the old place.
- Villagers mostly raise pigs, mostly from 2 to 3 pigs/household, for self-consumption. They used to raise buffalo in their old village, but after they moved to this place, there is no place for grazing here.

2. Access to markets for input materials and agricultural products (road conditions, market information [types of goods, prices], distance to markets)? Differences between selling price of agricultural products at home/market/district market?

- This resettlement area has concrete road, it situates near the highway and thus is easy to access to the center of the commune, and to buy rice/maize seed and fertilizer in the market. They can either go to Tan Uyen market or Pac Ta market, but both of them are quite far from hear, so it is difficult to travel. Women in the village normally do not know how to drive motorbike and thus it is hard to them to go out with such distance.
- Farmers grow tea trees and sell tea leaves for the factory in Trung Dong, and the price is stable.
- In general, there are not many agricultural products to sell on the market and it is also not frequent.

### *3. Agricultural land features (soil condition, slope, access to water sources); Cultivation methods and major crops*

- Rice is the major crop, only one crop per year, and water for cultivation is very limited. Sticky rice is more favored to grow because it is easier. Normal rice is susceptible to diseases and at risk of low productivity. Plow and threshing machines are adopted in rice growing and harvesting, in-field ditches and canals were concretized, so water is available for the rice field, but since our area has high altitude, shortage of water sometimes happens at the rice fields.
  - Rice seeds are usually provided by the State (e.g. some varieties such as P6, Sen Cu, etc.) and they have to buy seed for sticky rice on their own.
  - Agricultural production is only one crop per year, largely depending on water source, mainly in rainy season (August – September).
  - The area for tea growing is far from the living residence. And it normally takes about 3 hours by motorbike, so they usually stay for 3-4 days before coming home. Motorbikes are left near the road or kept by local households. The normal area for tea growing is 3-4 times 360m<sup>2</sup> and tea seeds are provided by the factory so we don't know the varieties.
- Some households buying land for tea plantation (4 times 360m<sup>2</sup> - 25 million VND), from Thai people in Pac Ta and now tea is being harvested. Currently, some households are experimenting to grow cinnamon trees in the old village.

### *4. Level of understanding of agricultural techniques (techniques for the existing production, skills for new production or agricultural diversification); Number of training and extension courses participated in last year; effectiveness of training*

- There are very few skill training courses, however, in some courses, the trainees are not the right people (the participants are not tea growers).
- Farmers rely heavily on their own experience and the knowledge provided by the factory staff. If the plants suffer diseases, farmers will buy chemicals to treat without knowing clearly whether it is right or not.

### *5. Access to sources of capital; loan size, interest rate, loan period. Effectiveness?*

- All households know that they can borrow through the Women's Union and the Policy Bank, but they have not borrowed loans may be because some emotional problems.
- The money can be used to buy livestock such as buffalo for plowing, etc.

### *6. Non-agricultural livelihood opportunities (i) existing employment/employment opportunities that are not available due to education, funding, etc. or (ii) very limited off-farm opportunities in the area)*

- There are no tea pickers here, villagers go back to old village to pick bamboo shoots most of the time. In this area, wives stay at home to take care of children and houses, while her husbands go to the old village to work and come back by the year

end. They pick bamboo shoots and then dry them, with that they can sell at about 70,000 VND per kg; some days, they can get 50kg of fresh bamboo shoots, which can be sold at 7,000VND/kg, but now not much left.

- They want to raise livestock but they do not have space for grazing, raising only enough for self-consumption. There is not enough grass for buffaloes, so if households want to raise buffaloes, they have to go back to the old village.

- **How does poverty show**

*7. Food security – poorest periods in one year (to the extent that villagers have to eat something instead of rice)? How many months of food shortage? Support from the local authorities and organizations or communities for undernourished households*

- In the village, there is still a shortage of food, due to difficult farming conditions, mainly from February to May, they can have rice when rice is harvested.
- During this time, they usually go to work as hired laborers, collect money to buy rice or sell livestock (pig, chicken, etc.) to buy rice.

*8. Debts (Bank debt? From credit institution? From relatives? From food or agricultural material sellers?) Is there any “selling rice before harvesting” practice? Collateral for the debt?*

- Due to psychological reason, households normally do not dare to make loans, because they think if they cannot repay debts, they shall be put into prison.
- Mainly loans from their relatives, and they do not have to pay interest for bank debts.

*9. Educational level? Number of children dropping out of primary school, secondary school and the causes*

- Children usually go to school at Pac Ta where is about 4km away. Children often drop out of school while they are in Grade 1, Grade 2 because the school is so far and they have to walk under hot weather.
- Some classes for eradicating illiteracy are also available, but many do not attend because they cannot afford the time in the classes (they go back to the old village for farming) and classes are organized in the evening. They expect that they will be paid for spending time in the class, otherwise they would rather stay at home for other stuffs.

*10. Are some ethnic minority (EM) groups more vulnerable and poorer than others? How to compare the poverty of EM with Kinh people in the region? If different, why?*

- Other neighboring ethnic households have more land to cultivate cassava and maize, so they are more better-off.

- **Vulnerability issues**

**Access to and quality of local social services (health, education)**

*11. Access to and quality of local social services (health, education)*

- Access to medical services at the clinic is very convenient (to Tan Uyen or Pac Ta) and all households have health insurance cards. As a resettlement area, this village is accessible to electricity, roads, schools, and communications.

*12. Experiences with occupancy and cultural differences*

- Local people distill alcohol to treat their brothers and relatives when they gather together. Ethnic groups are living in harmony, openness, and mixed marriage is increasing. The custom of marriage and funeral is still kept by the local people.

*13. Security issues, social evils*

- Security situation is good, no problems of theft, no social evils.
- In the commune, there are 5-6 people working in China, no children working there. Some people have gone back to work in Sa Pa.

- ***Project impacts***

- **The consultant briefly presented the project impacts and mitigation measures, policies and programs for livelihood restoration, community development, and ethnic minorities.**

#### *14. Responses of participants*

- The most concern is the lack of land for production;
- If breeds are provided, they also want to get more chickens, pigs ... But they express concern about places for grazing or raising animals, or if these poultry/animals have to go far, they may be lost/stolen.

- **Suggestions**

There are no suggestions as well as concerns for some situations presented by the consultant when the project is implemented and the mitigation measures are applied.

## MIXED GROUP DISCUSSION

**Location:** Ho Bon Cultural House, Phúc Khoa commune, Tân Uyên district

**Time:** 03/08/2018

**Participants:** 10

### I. GENERAL INFORMATION

No	Full name	Gender	Date of Birth	Ethnicity	Education	Group
1	Sùng A Rình	Male	1997	Hmong	9/12	average household
2	Sùng A Cang	Male	1992	Hmong	9/12	average household
3	Vừa A Sinh	Male	1992	Hmong	Illiterate	poor household
4	Sồng A Lầu	Male	1977	Hmong	Illiterate	poor household
5	Pào A Thắng	Male	1996	Hmong	12/12	near poor household
6	Giàng A Thào	Male	1979	Hmong	Illiterate	average household
7	Sùng Thị Sung	Female	1982	Hmong	Illiterate	poor household
8	Sùng A Dững	Male	1992	Hmong	9/12	near poor household
9	Sùng A Kỷ	Male	1984	Hmong	9/12	average household
10	Sùng A Lử	Male	1990	Hmong	9/12	average household

### II. CONTENT

**- Introduction:** Project overview and focus group discussion (FGD) purposes

*1. Causes of Poverty: What are the main causes of poverty in your area? Evaluate how the underlying causes may apply?*

Lack of land, having many children, extreme weather, crop yields are not high.

The households have less fields, ranging from 1 sào to 2.5 sào (1 sào = 360m<sup>2</sup>)

There are about 1 ha hilly land for tea plantation;

There is forest land, some households grow Thảo quả (amomum tsaoko), some households do not grow.

*2. Access to markets for input materials and agricultural products? Differences between selling price of agricultural products at home/market/district market.*

- There are two small markets in Bon village, and the center of the commune. The market is about 5 km, every month people go shopping 3-4 times to buy things for the family, if they have money, they will buy food

*3. Agricultural land features (soil condition, slope, access to water sources); Cultivation methods and major crops.*

Lack of land (about 300m<sup>2</sup>) / household, only one crop a year.

Hilly land has a moderate slope of about 20 to 30 degrees (people guess) and is used to grow tea and maize. The average area is over 1,000 m<sup>2</sup>/household;

Forest land is abundant, because forest area is divided for people to protect and there are also about 2 ha of forest land (production forest)/household that are often used for Thảo quả (amomum tsaoko) growing;

A small number of households have fish ponds, small ponds and are dug by themselves, bringing water from the mountains down to feed fish and serve family activities.

*4. Level of understanding of agricultural techniques (techniques for the existing production, skills for new production or agricultural diversification); Number of training and extension courses participated in last year; effectiveness of training;*

We participated many training sessions but the training should support the people, because only the training, it is easy for people to forget it. I was trained on repairing motorcycles but the house has no condition so I forget all.

*5. Climatic conditions (flash flood, drought)*

- Thảo quả (amomum tsaoko) growing, but it was snowed, it was not harvested.

*6. Access to sources of capital; loan size, interest rate, loan period. Effectiveness?*

Families get a bank loan of 30 million - 50 million, pay monthly interest. The purpose is to buy buffaloes and grow tea for 5 years. Some families do not borrow, because they do not dare to borrow, they are poor households.

*7. Non-agricultural livelihood opportunities (i) existing employment/employment opportunities that are not available due to education, funding, etc. or (ii) very limited off-farm opportunities in the area)*

Men go painting, they earn VND 5-6 million. Few people go painting, because it is hard. Some household, both wife and husband work as hired laborers, picking tea or cutting grass to earn money. They earn VND 150 thousand.

Besides they work as carpenter assistants, they earn VND 150 thousand per day, there are 20 working days

*8. How does poverty show?*

*Food security – poorest periods in one year (to the extend that villagers have to eat something instead of rice)? How many months of food shortage? Support from the authorities and organizations or communities for undernourished households*

When Mong people do not have enough rice, they will eat corn (Mèn mén).

Poor households are supported rice, rice is granted in 3 months, 10 kg per month for one person

*10. Debts (Bank debt? From credit institution? From relatives? From food or agricultural material sellers?) Is there any "selling rice before harvesting" practice? Collateral for the debt?*

- Bank loans for agricultural investment. Buy buffalo, tea tree seed, buy fertilizer.

Cannot borrow money from relatives.

No interest;

Buy on credit from fertilizer salesman.

*11. Are some ethnic minority (EM) groups more vulnerable and poorer than others? How to compare the poverty of EM with Kinh people in the region? If different, why?*

- There is no difference because of 99% H'mong people, only 1% Kinh people.

#### *12. Vulnerability issues*

##### *Access to and quality of local social services (health, education)*

- Commune health station transferred from the clinic.
- There are campuses in the village and the central school.

#### *13. Experience with occupancy and cultural differences*

- There is no cultural difference.

### **Project Impacts**

#### **1. Major impacts and risks during project implementation and completion**

- Traffic Safety.

#### **2. What mitigation measures should be included in the project?**

Should have training sessions on traffic safety for the people especially students.

#### **3. Recommendation.**

-No .

## GROUP DISCUSSION

**Location:** Na Lai Village, Phuc Khoa Commune, Tan Uyen, Lai Chau

**Date/Time:** 03/08/2018, 14h -15h30

**Number of Participants:** 11

### D. Participants' Information

No.	Full Name	Gender	Age	Ethnic Group	Education	Classification
1.	Lò Thị Giản	Female	32	Kho mu	1/12	Average group
2.	Lường Thị Nhọt	Female	34	Kho mu	Uneducated	Average group
3.	Lò Thị Keo	Female	46	Kho mu	Uneducated	Average group
4.	Lường Thị Lự	Female	35	Kho mu	3/12	Average group
5.	Lò Thị Dạ	Female	25	Kho mu	Uneducated	Average group
6.	Lò Thị Bin	Female	48	Kho mu	Uneducated	Average group
7.	Lò Thị Châm	Female	39	Kho mu	Uneducated	Average group
8.	Lò Thị Mây	Female	44	Kho mu	Uneducated	Average group
9.	Lò Thị Xanh	Female	No idea	Kho mu	Uneducated	Average group
10.	Sừn Thị Phùng	Female	52	Kho mu	Uneducated	Average group
11.	Lò Thị Xương	Female	39	Kho mu	Uneducated	Average group

### 1. Discussions

- The Consultant's representative introduced the project, and informed about issues related to resettlement, ethnic minority development plan, gender issues, livelihoods, social security and impacts of the project and the women's participation in livelihood activities

#### • Causes of Poverty

#### 1. What area the main causes of the poverty here?

- Mainly due to inadequate land area for production, parents have no land for their children, no land to grow rice or tea to escape poverty. In 1988, floods swept away, floods sweeping the house, so it was more difficult. I had no land then, and I married a landless man, so we moved here.
- Due to risks in livestock and agriculture production such as natural disasters (acute cold spells, bad weather), due to climate change.
- Not have trading skills, or do not know how to weave clothes. They should buy many stuffs, which make them devastated.

#### 2. Access to markets for input materials and agricultural products (road conditions, market information [types of goods, prices], distance to markets)? Differences between selling price of agricultural products at home/market/district market?

- Here, the travel is very convenient, it is fast to go to the market. There are mainly food and consumer goods at the market. Some households near the road can open a small shops to sell their products.

- There is no difference between local prices and markets, for example: tea can be sold to pre-processors in the village without having to bring the company.

### *3. Agricultural land features (soil condition, slope, access to water sources); Cultivation methods and major crops*

- Farming depends on water sources. The rain water is an important source for cultivation. Now the production must also use more pesticides, herbicides, medicines to treat yellow leaf disease. Use of herbicides also help to reduce weeding works, we use machine sprayers (there are 3 machines in this village);

The Government has some subsidy if farmers buy certain seeds but they are not quite suitable for the soil condition, farmers have to buy seeds outside (they would still receive the support from the Government if they buy the seeds). Who have more money would buy expensive varieties with better quality. Instructions are given every crop season such as required time for rice seed soaking, rice seedling planting which must be done in early morning, etc. The other techniques are being shared experience among local people.

Farming now is different from the past. Before, farmers planted and sat to wait for harvesting, but now we have to treat the pests and fertilize the plants. Before, rice planting is only 1 crop a year, now it is 2 crops a year and it takes only 3 months until the harvesting. The rice varieties are Dai Duong, PC6, Nhi Uu, etc. Also many kinds of rice and many varieties are planted in fear of crop failure.

Currently, the variety that is favored of and has good yield is Dien Bien sticky rice, which are grown for local families to eat during new year festival.

### *4. Level of understanding of agricultural techniques (techniques for the existing production, skills for new production or agricultural diversification); Number of training and extension courses participated in last year; effectiveness of training*

- They all said that they have basic knowledge about cultivation and livestock by acquiring knowledge from the staff and sharing among villagers.

- The households wish to be trained on livestock, veterinary medicine and disease prevention skills.

### *5. Do they know how to plant and take care of plants?*

- The households take care of plants basing on their production experience, which is passed from one generation to the next, they only learn new technique how to apply additional fertilizer.

### *6. Access to sources of capital; loan size, interest rate, loan period. Effectiveness?*

- All households are eligible for loans of Agribank through the trustee associations such as Women's Union, Farmers Association, etc.

### *7. Non-agricultural livelihood opportunities (i) existing employment/employment opportunities that are not available due to education, funding, etc. or (ii) very limited off-farm opportunities in the area)*

- The main job here is picking tea, the income ranges from VND 20,000-100,000/day, and income is just enough for spending;

- Other works (manual labor, working away from home, etc.) are mainly for men, while women should take care of their children, so they cannot go event they want to make some money also.

- **How does poverty show?**

8. *Food security – poorest periods in one year (to the extent that villagers have to eat something instead of rice)? How many months of food shortage? Support from the local authorities and organizations or communities for undernourished households;*

- Due to limited land area, farmers cannot grow much rice, they also have a shortage of food every year so they need to take paid jobs to buy food. The poor households get some support of the State (support rice for hunger relief, new year's gifts, school fee exemption, etc.).

- The people here are ranked as average, near-poor and poor according to poverty standard line.

9. *Debts (Bank debt? From credit institution? From relatives? From food or agricultural material sellers?) Is there any "selling rice before harvesting" practice? Collateral for the debt?*

- When borrowing from a policy bank, they must put in mortgage. Getting loans from other associations such as Women's Union and Youth Association does not require mortgage;

- It is unable to borrow from relatives.

10. *Educational level? Number of children dropping out of primary school, secondary school and the causes?*

- Villagers are willing to support their children's schooling. However, after finish grade 9, they drop out because of: (i) having no money; (ii) no travel vehicles yet the distance between their house and the school is long (6-7km), it is very difficult.

- Women were used to be taught in illiteracy eradication classes, but since they are much older, with trembling hands, they cannot write, they can only write their names.

- Many women from remote areas (formerly in Muong Te commune), or when they were young, they had to take care of buffaloes and had to stay at home to look after their brothers/sisters so they could not go to school.

11. *Are some ethnic minority (EM) groups more vulnerable and poorer than others? How to compare the poverty of EM with Kinh people in the region? If different, why?*

- Kinh people have more stable jobs (i.e. the wife is working as teacher, the husband stays at home and open a shop, and so on), they know how to do business, they make a lot of money from business and livestock, and then they have more land, more money to do business. For local people, if they did not inherit land from their parents, they will be very poor;

- **Vulnerability issues**

12. *Access to and quality of local social services (health, education)*

- The access to social services in the area is relatively favorable as the transportation on the roads from the commune to Tan Uyen Town is very convenient.

- The health services are very easy to access, now there are concrete roads to the villages, even Hmong EM village.

13. *Experiences with occupancy and cultural differences*

- There are no cultural or ethnic distinctions, and all ethnic groups in the village are getting along well. There are many people living here.

14. *Cultural conflict and conservation of ethnic minority identity*

- The people here live in harmony, and without discrimination and stigmatization.

- Some local customs in dancing and wedding are maintained. There is no difference in culture and ceremony that outsiders should keep watched close of.

#### *15. Security issues and social evils*

- All participants said that the local security situation in Na Lai village is very good. Hopefully during the construction process, there is no disturbance and problems related to security issues.

- **Project impacts**

**Consultant's representative briefly presented the impacts of the project and mitigation measures, policies and programs on livelihood restoration, community development and ethnic minorities.**

#### *16. Responses from villagers*

- Na Lui villagers are very supportive of the project implementation, making it easier for people to travel and their products will be easier to sell and better prices

- **Suggestions**

- If possible, training courses on textile and garment are provided for local people so that people can produce their own.

- During road construction, local labors should be hired.

- **Consultant's Responses**

- The Consultants noted down all comments and ideas from the households and comments on livelihoods (livestock development, training courses etc.), the support will be provided under the livelihoods and life stabilization programs of the Project.

## MINUTE OF GROUP DISCUSSION

**Venue:** People's Committee of Na Tam Commune, Tam Duong District, Lai Chau.

**Time:** 02/08/2018

**Total number of participants:** 10

### **E. Identity of participants**

No.	Full name	Sex	Age	Ethnicity	Education	Group
1.	Lo Thi On	Female	28	Lao	2/12	Average household
2.	Lo Thi Pom	Female	33	Lao	9/12	Average household
3.	Lo Thi Yen	Female	19	Lao	7/10	Average household
4.	Lo Van Bun	Male	49	Lao	9/12	Average household
5.	Lo Van Soi	Male	52	Lao	5/10	Average household
6.	Lo Van Hac	Male	53	Lao	5/12	Average household
7.	Lo Thi Bun	Female	25	Lao	9/12	Average household
8.	Lo Van Phom	Male	61	Lao	5/12	Average household
9.	Lo Van Chai	Male	39	Lao	5/12	Average household
10.	Lo Van Son	Male	52	Lao	9/12	Average household

### **1. Discussion content:**

- Consultants briefed about the project, issues related to resettlement, EMDP, gender, livelihood, social welfare and Project's impacts.

#### **• Cause of poverty:**

#### **1. What are main causes of local poverty?**

- Main causes of poverty are (1) having no land for production. To stabilize life here, each person needs about 1000m<sup>2</sup> (the current area is only 300-400m<sup>2</sup>/person). There is no land left to allocate for those born later. (2) People here are often committed with diseases, which resulted in low productivity and much costs on treatment. (3) Poverty causes people to intensify production or find out how to diversify land use for better yield. When people are irresponsible, they spend all what they earn from their waged work.
- Poverty is also caused by risks in cultivation and livestock activities such as natural disaster (extreme cold weather) or climate change. Flash-flood often occurs in May-June every year.

#### **2. Access to markets for trading, buying agriculture inputs and products (road conditions, information about the market [goods, prices), distance to market)? Difference between prices of agricultural products at home/markets and district market?**

- Agriculture products are mainly for family's domestic consumption. Only for tea, local people bring tea to manufacturing factory for sales.

- The distance from the commune to markets for trading goods/products (to Ban Hon: 5km, to market in Tam Duong District: 10km), roads are now deteriorated.
- Prices among markets do not see significant difference.

### *3. Type of agriculture land (soil condition, sloppiness, water access), cultivation practices and main crops;*

Agricultural land is moderately slope and there is pretty large area for rice cultivation. For maize land, the yield is about 20 sacks/1000m<sup>2</sup> but maize land in mountain gorge are subject to frequent erosion and exhaustion. The average tea growing area per household is about 0.5-1ha (leasing land from other communes is required for additional cultivation, if any). Some households have borrowed land from Ban Bo commune for expansion of tea growing land.

Local key crops are rice, maize (333), tea (now NK66 variety is being piloted). In general, crop varieties are quite diverse.

### *4. Knowledge of agricultural techniques (current technical practices, skills for new production or agriculture diversification); Number of extension, training classes participated in the past year; efficiency of such training;*

- Local people also know how to use fertilizers to improve yield during their cultivation.
- Agriculture extension division has organized some classes on cultivation and livestock for local people. Participants in those classes are quite diverse and depending on training topics and targets, local people have attended such courses and thus, acquired caring and growing techniques following cropping calendars, how to use appropriate varieties to the local topographical and soil conditions. For key crop such as tea, some nearby companies such as manufacturing factory in Ban Bo commune and Tam Duong Tea Company have supported farmers with seedlings, fertilizers, manures, pesticides for maintenance and extension of cultivation area. Those companies also commit to consuming tea products for households.
- Livestock has only developed at individual household level and there hasn't been any household applying farm model, mainly due to lack of funding and land. Livestock products are for family's consumption, special occasions and for sales for additional income if there is no epidemic.
- The State also provides subsidy for seedlings of rice, maize at different rates, which depend on each variety and cropping calendar, of 70%, 50% and 30%, as well as provide support with fertilizers for members of Farmers' Union.

### *5. Know how to grow and tender crops?*

- Households are provided by extension staff with technology transfer. They have basically learned key production techniques for crops and how to prevent epidemic and diseases for animals. There are households developing cultivation and livestock strategies.

### *6. Credit access, loan size, interest rate, lending term, efficiency?*

- Loans are spent on investing in raising buffaloes, pigs and chickens
- Some households applied for loans to buy buffaloes. They borrowed VND 30 million, in which VND 20 million was spent on buying a buffalo that is for ploughing power for production activities. At present, we also herd buffaloes but they are vulnerable to diseases and herding area is quite far and being narrowed down.
- Most loans are considered to be ineffective.
- According to statistics of the commune, there are total 621 households with loans (with total amount of VND 600 million), including loans from Women's Union (177 households), Farmers' Union (180 households), Association of Veterans (106 households)

and Youth's Union (158 households). Interest rates range from 0.65% - for poor households to 0.65%-0.7% for business households and lending terms vary among credit institutions.

*7. Non-agriculture livelihood opportunities (i) employment opportunities/self-generated employment which couldn't be performed due to education, capital etc or (ii) limited non-agriculture opportunities in the region*

- There are not many local non-agriculture activities. Such activities are mainly involved in working in Ban Bo communes with work like tea picking, weeding with poor wage, ranging from VND 100,000 – 200,000/day (tea picking: VND 100,000 – 120,000 and manual work: VND 200,000)

- During off-peak season, local people also join tea picking for wage of about VND 3,000 – 5,000/kg, which enables them to improve their life. Women are mainly responsible for house chores, raising chickens, pigs etc or weaving dress, which, however, takes about 2-3months to complete one dress (valued VND 500,000) and only for family use or for sales to people in the commune.

- **Proof of poverty**

*8. Food security – Time of food shortage during the year (what are substitutes for rice)? How many months of food shortage? Support from authorities and organizations or community for suffering households?*

- In general, there is no household suffering food shortage. They only short of money for domestic expenditures.
- Land is suffering increasing exhaustion and there is less and less production land, especially young couples who have been split from their parents do not have land for production.
- Income from forest is lower than before as with contracted protection, we are not allowed to exploit but only receive annual PFES (payment for forest environmental service) which is such a small amount.

*9. Debts (debts to bank, credit institution), debt to relatives, agriculture material dealers. Is there any case of selling young rice plant? Is mortgage required for getting loan?*

- Households are not required to pledge mortgage for a VND 30-million –loan from Social Policy Bank at interest rate of 0.65%, for buying buffaloes for power, which is assumed as an asset that could be sold in emergency cases such as getting ill, disease or big events or to buy valuable assets. Relatives only help with labor days, not finance as they also have no savings for such purpose.

- Mortgage is required for loan from Agribank.

*10. Education level? Number of children dropping out at primary and secondary school and reasons.*

- Before 2000, there was a large number of children dropping out from school, due to distance and poor facilities at school. At present, all hamlets have primary and secondary school campuses at Commune Center. Most children finish secondary school but few complete high school. Most girls just finish secondary school and then get married or their families couldn't afford their further education.

- There are many households couldn't afford their children's further education.

*11. Are some EM groups more vulnerable to poverty than others? How to compare poverty of EM people and Kinh people in the region? If there is difference, why?*

- There are differences in living standards among ethnic groups in Na Tam and Ban Bo commune, which mainly come from lack of production land that results in lower income.

- **Vulnerability issues**

12. *Access and quality of local social services (health care, education)*

- Deteriorated road to the commune makes it quite challenging to access the services.
- Health check-up: mainly undertaken in clinic and hospital with full coverage by Health Insurance. Hospital in Tam Duong is 10 km far away.
- Regarding the commune internal roads: it is now more convenient given concrete roads connecting to hamlets. It is also convenient to reach the district via road.

13. *Experience with cultural gap and acquisition*

- There has been no case of many new immigrants who come to live and work here before so we have no experience regarding this.

14. *Cultural conflict and preservation of ethnic culture*

- A special feature of Na Tam commune is the population percentage of Lao people up to 99.7% with two family names of Lo and Va. Thus, there is no cultural difference. Relationships among people in the commune are very good when they always support each other in production activities, mainly with labor days. They have no surplus financial resource to support, though. Ethnic cultural gaps are also shared among local people.

15. *Public security and social delinquency*

- Social delinquency: There are about 15 cases of drug addicts in the commune. Human trafficking is nowhere to be seen. Public security is also guaranteed.

- **Project's impacts**

**The Consultant made a quick presentation about the project's impacts and mitigation measures, policies and programs for livelihood restoration, ethnic minority and community development.**

16. *Local people's responses and comments:*

- People in Na Tam commune all support project implementation, which helps their travel easier and increase saleability of products.
- They expect to be supported with credit access for their economic development, breeders for livestock activities.
- Regarding social delinquency and public security upon appearance of new construction workers, disorder is unavoidable. At the moment, no comments on pressure caused on local infrastructure (water, electricity) could be made.

- **Recommendations:**

- Local people do support the plan of giving priority to using local labors and also want to participate in the project's construction activities.
- There should be assistance regime for affected households so that they could stabilize their life.
- Training: regarding crop production, additional training on how to use fertilizers, tender crops should be provided. Regarding livestock, the project is expected to provide support to local chickens and ducks raising given their resistance to disease. Big animals such as buffaloes and cows are not recommended given their feed scarcity. Training on agriculture product storage following each product's characteristics and climate conditions are also expected

- **Some comments of Consultant**

- The Consultant recognized comments and opinions of households regarding livelihood (livestock development, training), assistances shall be integrated into the Project's livelihood restoration and life stabilization programs.

## MINUTE OF GROUP DISCUSSION

**Venue:** Na Hieng Hamlet, Na Tam Commune, Tam Duong, Lai Chau

**Time:** 02/08/2018, from 2 pm to 3.30 pm.

**Total number of participants:** 06

### F. Identity of participants

No.	Full name	Sex	Age	Ethnicity	Education	Group
1.	Lo Thi Sam	Female	23	Lao	9/12	Poor household
2.	Lo Thi Sanh	Female	39	Lao	Not attend school	Average household
3.	Lo Thi Dieu	Female	36	Lao	Not attend school	Average household
4.	Lo Thi En	Female	18	Lao	9/12	Poor household
5.	Lo Thi Ban	Female	37	Lao	Not attend school	Poor household
6.	Lo Thi Nang	Female	24	Lao	Not attend school	Average household

### 2. Discussion content:

- Consultants briefed about the project, issues related to resettlement, EMDP, gender, livelihood, social welfare and Project's impacts and women participation in livelihood activities

#### **Cause of poverty:**

##### 1. *What are main causes of local poverty?*

- Households become poor mainly due to shortage of local land fund. With no production land and impossibility to work far from because of having small kids, they only rely on agriculture production and livestock activities for living.
- There are little land for rice cultivation while livestock is threatened by diseases, and land for ponds is not available for fish farming.
- Poverty is also caused by risks in cultivation and livestock activities such as natural disaster (extreme cold weather) or climate change.

##### 2. *Access to markets for trading, buying agriculture inputs and products (road conditions, information about the market [goods, prices), distance to market)? Difference between prices of agricultural products at home/markets and district market?*

- Production land area is small and field area sees water shortage. Land here could afford 2 rice crops per year but given small area, it's not enough to have rice for the whole year, but only 3-4 months/year.
- It is over 2 km from the hamlet to the market in Ban Bo commune and the price of agricultural products also see difference. However, roads to the market is quite rough and of poor quality (for example, profit from selling chicken is about VND 20,000/one).
- Tea is often transported to the factory in Ban Bo for sales to the factory.

- Potential livestock here is mainly involved in raising chickens and pigs.
- Agricultural production is still for family's self-consumption with no surplus for sales.

*3. Type of agriculture land (soil condition, sloppiness, water access), cultivation practices and main crops;*

- Agriculture land see moderate sloppiness. However, farming work depends much on water availability. Rain water plays such important role in guaranteeing production. Irrigation system still see many limitations. Upland soil is subject to increasing exhaustion and a large volume of manure, fertilizers are required for 1 crop.

- Land area per household on average is still limited, which means scattered production.

*4. Knowledge of agricultural techniques (current technical practices, skills for new production or agriculture diversification); Number of extension, training classes participated in the past year; efficiency of such training;*

- Local people haven't been able to access training courses on cultivation and livestock techniques and skills.

- Households would like to be provided with training on livestock, veterinary, how to prevent diseases for animals.

*5. Know how to grow and tender crops?*

- Households are tendering their crops following traditional practices passed down from previous generation and have only learned to use fertilizers.

*6. Credit access, loan size, interest rate, lending term, efficiency?*

- The local people are reluctant to take loans for production. Applications for loan are often submitted to Policy bank as Agriculture Bank requires mortgage of land use right certificate, farm etc for loan while borrowers are worried about ineffective loan use and their capacity to repay.

*7. Non-agriculture livelihood opportunities (i) employment opportunities/self-generated employment which couldn't be performed due to education, capital etc or (ii) limited non-agriculture opportunities in the region*

- There is almost no non-agriculture activities in the locality. Households in Na Hieng hamlet often go to Ban Bo to attend activities such as tea picking or weeding at quite low wage of about VND 100,000-200,000 /day.

- Women are mainly involved with house chores, raising chickens, pigs etc during off-peak season. During this time, they often weave and knit for their own clothing demand.

- Other work (manual work etc) are mainly covered by men working far from home. Women have to take care of children so even they want to, they couldn't go to work far from home.

**• Proof of poverty**

*8. Food security – Time of food shortage during the year (what are substitutes for rice)? How many months of food shortage? Support from authorities and organizations or community for suffering households?*

- Given limited area of production land and limited livestock, most local households suffer food shortage. Poor households receive support from the Government (rice, presents during Lunar New Year, tuition exemption for their children at school etc)

- Local households only have medium or poor living standards.

*9. Debts (debts to bank, credit institution), debt to relatives, agriculture material dealers. Is there any case of selling young rice plant? Is mortgage required for getting loan?*

- Households borrow money from banks for livestock, house repair and construction.
- Mortgage is required for loans from bank. On the other hand, it is not required for loan from Women's Union. *(Statistics are presented in the Minute of General Group Discussion in the Commune).*
- *Education level? Number of children dropping out at primary and secondary school and reasons.*
- Na Hieng hamlet see high rate of drop-out from school (>50%) for reasons of:
  - + Family couldn't afford tuition
  - + Their family's disadvantaged conditions make them drop out and work to support their families (children at the age of 10-12 have to work already).

*10. Are some EM groups more vulnerable to poverty than others? How to compare poverty of EM people and Kinh people in the region? If there is difference, why?*

- There are differences between living standard of people in Na Hieng commune in particular and Na Tam in general and that of nearby communes, due to lack of land fund for agricultural production and livestock.

- **Vulnerability issues**

*11. Access and quality of local social services (health care, education)*

- It is relatively difficult to access local social services due to deteriorated roads from the commune to Tam Duong or to Ban Bo.

*12. Experience with cultural gap and acquisition*

- There is no cultural gap or difference among ethnic groups in the hamlet. All groups are friendly with each other.

*13. Cultural conflict and preservation of ethnic culture*

- Local people are very friendly and raise no discrimination among ethnic groups.
- There is no difference in culture and traditions which might be noted for people who are new to the locality.

*14. Public security and social delinquency*

- Nang Hien's public security is very good. It is expected that the project construction shall cause no social disorder or public security issue.

- **Project's impacts**

**The Consultant made a quick presentation about the project's impacts and mitigation measures, policies and programs for livelihood restoration, ethnic minority and community development.**

*15. Local people's responses and comments:*

- Na Hieng hamlet people strongly support the project implementation, which shall help to ease their travel and increase salability of their products.
- The biggest challenge is about acquisition of production land, which inherently is of small area. The local people will face more difficulties.
- There are concerns about noise during project operation (Ms. Sam)
- Some people in the hamlet at the age of >30 are not fluent with Vietnamese language as they did not attend school, which could be barrier for them in communicating with other and prevent them from being confident and active to take opportunities to create stable livelihoods.

- **Recommendations:**

- The project should give priority to using local labors to create employment opportunities for local people, as presented by the Consultant.
- As rice production land is acquired, the project should provide assistance to local people so that they could stabilize their life (said Ms. Sam)

- **Some comments of Consultant**

- The Consultant recognized comments and opinions of households regarding livelihood (livestock development, training), such assistances shall be integrated into the Project's livelihood restoration and life stabilization programs.

## MIXED GROUP DISCUSSION

**Location:** Trung Đồng CPC, Tân Uyên district, Lai Châu province.

**Time:** 04/08/2018

**Participant:** 12

### I. GENERAL INFORMATION

No	Full name	Gender	Date of Birth	Ethnicity	Education	Group
1	Đường Văn Diên	Male	1994	Kho Mu	9/12	average household
2	Lò Văn Hùng	Male	1982	Kho Mu	9/12	average household
3	Đường Văn Ôn	Male	1994	Kho Mu	5/12	average household
4	Hoàng Thị Đốt	Female	1995	Kho Mu	2/12	average household
5	Tòng Thị Lải	Female	1994	Kho Mu	9/12	average household
6	Tòng Thị Phan	Female	1995	Kho Mu	Illiterate	average household
7	Lò Thị Thanh	Female	1972	Kho Mu	Illiterate	average household
8	Lò Thị Mặc	Female	1976	Kho Mu	Illiterate	average household
9	Lường Văn Hiệu	Male	1977	Kho Mu	Illiterate	average household
10	Hoàng Văn Đón	Male	1987	Hmong	8/12	average household
11	Mùa A Vàng	Male	1989	Hmong	5/12	average household
12	Giàng A Nỉ	Male	1995	Hmong	5/12	average household

### II. CONTENT

**- Introduction:** Project overview and focus group discussion (FGD) purposes

*1. Causes of Poverty: What are the main causes of poverty in your area?*

- Causes of poverty: lack of land for rice cultivation, no occupation, so they have no money and often have to borrow money to buy food.

*2. Access to markets for input materials and agricultural products (road conditions, market information [types of goods, prices], distance to markets)? Differences between selling price of agricultural products at home/market/district market.*

Near the market, many kinds of goods, prices at the local market are also not different from the district market. People often go to the market to buy vegetables, food, sometimes bring excess products to sell.

*3. Agricultural land features (soil condition, slope, access to water sources); Cultivation methods and major crops.*

One rice crop each year,

Hilly land, tea growing a year is 4-6 tons, fertilizer accounts for about one-third of the sale of tea. Hilly land is also not very steep, water is taken from the mountain by plastic pipes.

In addition, some households also grow maize to raise, eat and cook wine, if they harvest a lot of corn, they will sell them.

Raising buffalo and poultry. Buffalo is for sale when the house has tasks. Poultry is mainly for the family to eat on the occasion of the festival or also sold, if there are no diseases, the sale will be favourable.

*4. Level of understanding of agricultural techniques (techniques for the existing production, skills for new production or agricultural diversification); Number of training and extension courses participated in last year; effectiveness of training.*

- They are trained in animal husbandry and plant breeding. Some women learned about how to sew but it was not effective.

*5. Climatic conditions (flash flood, drought)*

- Unusual climate causes difficulties for production. Many households borrow money to buy buffaloes, but buffaloes die, they do not know how to repay.

*6. Access to sources of capital; loan size, interest rate, loan period. Effectiveness?*

- The policy bank gives people loans at low interest rates from 30 to 50 million for agricultural production.

- Most people borrow money for building houses, buying buffaloes or investing in tea plantation.

*7. Non-agricultural livelihood opportunities (i) existing employment/employment opportunities that are not available due to education, funding, etc. or (ii) very limited off-farm opportunities in the area)*

Picking tea or going to construct. They earn more than VND 100 thousand but work is little and unstable.

There are people working as mason around the district. They earn VND 200 thousand per day.

*8. How does poverty show? Food security – poorest periods in one year (to the extent that villagers have to eat something instead of rice?); How many months of food shortage? Support from the authorities and organizations or communities for undernourished households*

Rice shortage in 3-4 months, they have to buy 3-4 quintal rice. Poor households are supported, although many households lack food for 1-3 months, but not all households are supported because they are not poor households. They do not know why they are not poor households.

*10. Debts (Bank debt? From credit institution? From relatives? From food or agricultural material sellers?). Is there any “selling rice before harvesting” practice? Collateral for the debt?*

- Many families have to borrow money from the policy bank. Besides borrowing money to grow tea and buy buffaloes, they also borrow money to build houses.

Regarding Tea plantation, they often buy fertilizer from the factory. Signing contract with tea factory, selling tea to factory then deducting fertilizer (fertilizers are provided by the factory)

*10. Vulnerability issues. Access to and quality of local social services (health, education).*

- Access to the health station and school. The quality of medical and educational services is better than before. Roads to the health station and the school are also easy. Children who are sick, fever go to the health station to take medicines, women also come to the health station, take medicines and give birth. Some people go to district hospital to give birth.

*11. Distance and quality of transport infrastructure (especially rural roads) - the impact of this aspect on poverty and vulnerability.*

- Roads have been gradually constructed, travelling is not difficult.

*12. Experience with occupancy and cultural differences.*

- In the commune there are different ethnic groups but people live together in harmony.

*15. Are there female workers, cross-border child laborers? Frequency of crossing the border?*

- There are no female workers and children working on the other side of the border. There are some men working on the other side of the border

## **Project Impacts**

### **1. Major impacts and risks during project implementation and completion?**

- Loss of security and order when workers come to construct the road.
- Traffic safety issues.

### **2. Recommendation**

Strict management of workers, not to disturb the security and disorder in the commune.  
Public communication on the traffic safety.

Create jobs for local people.

## MINUTES OF FOCUS GROUP DISCUSSION

**Location:** Trung Dong CPC, Tan Uyen, Lai Chau

**Date /Time:** 04/08/2018, 9h - 11h30

**Number of Participants:** 09

### G. Participants' Information

No.	Full Name	Gender	Age	Ethnic Group	Education	Classification
1.	Hoàng Thị Toàn	Female	28	Thai	12/12	Poor
2.	La Thị Lon	Female	33	Thai	Un-educated	Average
3.	Lò Thị Lui	Female	36	Thai	Un-educated	Average
4.	Tòng Thị Dao	Female	38	Thai	1/12	Average
5.	Tòng Thị Piêng	Female	35	Thai	5/12	Average
6.	Lò Thị Hường	Female	42	Thai	9/12	Average
7.	Tòng Thị Liên	Female	32	Thai	9/12	Average
8.	Tòng Thị Pồm	Female	35	Thai	Un-educated	Average
9.	Lò Thị Thức	Female	1984	Thai	4/12	Average

All 9 participants in the discussion groups are Thai ethnic people in But Duoi 1 village.

### 3. Discussions:

- The Consultant's representative introduced the project, on issues related to resettlement, ethnic minority development plan, gender issues, livelihoods, social security and impacts of the project and the women's participation in livelihood activities.

#### • Causes of Poverty

##### 1. What are the main causes of the poverty here

- The area of rice cultivation, tea plantation of the local people is very small, so there is no land for cultivation. Land for agricultural production is complex in terms of topography, making it difficult to cultivate (water issues, sloping/rocky fields).
- Previously, such land area is enough to feed, but new flood washed away, then there is no field. Some households with abundant land is more stable.
- Livestock productions have potential risks such as buffaloes' disease, epidemic or lower prices.
- Commune is also susceptible to natural disasters and floods, so the production conditions are very difficult.

##### 2. Access to markets for input materials and agricultural products (road conditions, market information [types of goods, prices], distance to markets)? Differences between selling price of agricultural products at home/market/district market?

- There are concrete roads to the village, nearby the highway and easy accessible to the center of the commune, and to the market for buying rice, maize, fertilizer as well

as to bring products such as orange, chicken and ducks to sell in Tan Uyen market or along Highway 32.

- For households with livestock production, some people come to buy, but the price is not high as at the market.

### *3. Agricultural land features (soil condition, slope, access to water sources); Cultivation methods and major crops*

- Main living activity of the local people is agricultural production. Depending on the each household, there is one or two crops per year. Corn cultivation is mainly selected for the 2<sup>nd</sup> crop. Seed/variety: State sponsored or bought by themselves, and it is needed to register with the village head if they want.

- Rice planting is done by using different varieties of rice, dependent on each household. If they like, they buy seeds and it may change year by year.
- Agricultural extension staff also make some demonstration models, however, rice varieties are not suitable, thus productivity is not high. There are also few effective production models, and people follow such instructions.

### *4. Level of understanding of agricultural techniques (techniques for the existing production, skills for new production or agricultural diversification); Number of training and extension courses participated in last year; effectiveness of training*

- Local people were also trained in such models, but also forgotten (trained from 2016). Instructed by the agriculture extension staff on fertilizing (mixing nitrophosphate and potassium, etc.)
- There was veterinary training class, but three or four years ago. There were also classes for making towels and weaving fabrics. But sometimes women have too much work so they cannot go, only men attended.
- Sometimes, they knew but there are too much works e.g. breeding, feeding chickens, ducks. Thus they could not participate. After participation in the trainings, some money was given, so they liked to participate.

### *5. Access to sources of capital; loan size, interest rate, loan period. Effectiveness?*

- Due to the fear of unsecured loans and repayment ability, most women say they only dare to borrow small amounts, from 5 million to 50 million VND from the Vietnam Bank for Social Policy because of lower interest rates (about 6.5%). Loans from other sources such as agricultural banks require mortgages and higher interest rates.
- People use loans to buy buffaloes, and some have loans to take care of tea planting, or building houses, etc.
- Sometimes, they also borrow from parents and normally they use and keep money to spend for the family.

### *6. Non-agricultural livelihood opportunities (i) existing employment/employment opportunities that are not available due to education, funding, etc. or (ii) very limited off-farm opportunities in the area)*

- Women are less likely to be involved as well as interested in non-agricultural activities. Due to family work, caring for children, it is impossible to work far from home.
- There were also construction works in Trung Dong, but the Contractor escaped and did not pay wages. Some sold trees to them that it was not yet paid.
- For livestock products, if not brought to the market, people come to buy, but the price is not high as sold at the market. Fish farming is available, but not many.

- At leisure time, women often do embroidering and weaving for the needs of themselves and their families.
- Not many non-agricultural works. Some works only man can participate i.e. in working in construction sites

- **How does poverty show?**

*7. Food security – poorest periods in one year (to the extent that villagers have to eat something instead of rice?)? How many months of food shortage? Support from the local authorities and organizations or communities for undernourished households;*

- In general, hunger is no longer a serious problem, most of the households have rice fields and produce enough food.
- In case of natural disasters (floods, flash floods), there are normally aid organizations (from Hanoi, Lai Chau, etc.) to give support. Usually, the list of affected households is prepared by the commune staff.

*8. Debts (Bank debt? From credit institution? From relatives? From food or agricultural material sellers?) Is there any “selling rice before harvesting” practice? Collateral for the debt?*

- Households borrow loans from the Vietnam Bank for Social Policy for raising livestock and building houses. Of the 9 women participating in the group discussion, only one person has borrowed loan from the bank.
- In case of difficulties, they tend to borrow from brothers and relatives, so the repayment of debt is under less pressure.

*9. Educational level? Number of children dropping out of primary school, secondary school and the causes?*

- All children go to school. Level 1 students have fewer dropouts, Level 2 is more, but dropout rates are very high for Level 3.
- Main reason for dropouts: economic conditions, students' laziness, and some like to work instead of learning.

*10. Are some ethnic minority (EM) groups more vulnerable and poorer than others? How to compare the poverty of EM with Kinh people in the region? If different, why?*

- Sisters said that Kinh people know how to do business, better income, and they are rich by their families, their parent's support.

- **Vulnerability issues**

*11. Access to and quality of local social services (health, education)*

- From the houses to the clinic, it only takes 5-7', access to health care services is very convenient. There are health insurance cards, electricity, roads, schools, communication services. As result, there is better connection for purchase and sale of goods, and enable economic development, and higher consumption demand.
- Childbirth now at hospital in Tan Uyen town.

*12. Experiences with occupancy and cultural differences*

- Communication is rather easy, they can communicate different languages, and the majority of young sisters, young people can communicate better. Only a part of the old people do not know the Kinh language, some people can understand but cannot speak.
- Ethnic groups are living in harmony, openness and mixed marriage tends to increase. Traditional customs such as hair weaving, wedding, funerals are still kept.

### *13. Security issues and social evils*

- Good security and social evils are not available. At village meetings, the villagers will be informed about the situation of village security and sanitation ...
- **Project impacts**

**The Consultant's representative briefly presented the impacts of the project and mitigation measures, policies and programs on livelihood restoration, community development and ethnic minorities.**

### *14. Responses from villagers:*

- First, concerns about the use of local labor, there have been some cases where the contractor did not pay local workers (secondary school construction project in the commune).
- Second, the sisters said that people participated in vocational training classes should work in connection with weaving, embroidery, sewing. Therefore, such kind of works should be promoted in this area.
- **Suggestions:**
  - Contractors need to properly manage their workers, and pay full compensation to local workers.
  - They expect to have vocational training classes for weaving, breeding ..., capital support models, breeding models using local seeds/varieties in order to support stabilizing lives and developing the local economy. It was also said that local seeds are more expensive for sale and they should be promoted.

## MIXED GROUP DISCUSSION

**Location:** Phúc Than CPC, Than Uyên District, Lai Châu province.

**Time:** 05/08/2018

**Participant:** 09

### I. GENERAL INFORMATION

No	Full name	Gender	Date of Birth	Ethnicity	Education	Group
1	Bàng Văn Chiến	Male	1973	Thai	4/12	average household
2	Bàng Văn Mai	Male	1976	Thai	Illiterate	average household
3	Lò Văn Hiều	Male	1996	Thai	12/12	average household
4	Phan Trung Thành	Male	1978	Thai	6/12	average household
5	Lò Thị Thơm	Female	1986	Thai	9/12	average household
6	Vàng Thị Thả	Female	1970	Thai	Illiterate	average household
7	Nguyễn Thị Út	Female	1989	Kinh	12/12	average household
8	Lò Thị Vượng	Female	1984	Thai	5/12	average household
9	Lò Văn Gương	Male	1975	Thai	6/12	average household

### II. CONTENT

- **Introduction:** Project overview and focus group discussion (FGD) purposes

*1. Causes of Poverty: What are the main causes of poverty in your area?*

Livestock disease; price is uncertain;

Some houses have been affected due to hydropower, life of resettlement households in the commune is still not stable

*2. Agricultural land features (soil condition, slope, access to water sources); Cultivation methods and major crops.*

Dry fields, no water, only one crop a year.

Hilly land, growing maize, not growing vegetables because of land;

Some houses have small garden area next to the house, they grow vegetables for family to eat;

*3. Level of understanding of agricultural techniques (techniques for the existing production, skills for new production or agricultural diversification); Number of training and extension courses participated in last year; effectiveness of training.*

- People have not been trained. Only one commune veterinarian will guide the vaccination.

*4. Climatic conditions (flash flood, drought)*

- Unusual climate causes difficulties for production. Many households borrow money to buy buffalo, but buffalo died, they do not know how to repay.

*5. Access to sources of capital; loan size, interest rate, loan period. Effectiveness?*

- The policy bank provides loans at low interest rates, from 30 to 50 million for agricultural production.

*6. Non-agricultural livelihood opportunities (i) existing employment/employment opportunities that are not available due to education, funding, etc. or (ii) very limited off-farm opportunities in the area)*

- Producing and trading brocade. buy some of the people then sell in Hanoi.

Men, protect the power station, go to construct; make a rice milling machine.

This is because of self-employment. Only one person works at power station, recruited by district electricity.

*7. Education, language?*

- In the village, people still speak Thai language. If going out, they will speak Vietnamese.

Many people are illiterate.

*8. How does poverty show? Food security – poorest periods in one year (to the extent that villagers have to eat something instead of rice?)? How many months of food shortage? Support from the authorities and organizations or communities for undernourished households?*

- Many households lack food, have to work to buy rice.

*10. Educational level? Number of children dropping out of primary school, secondary schools and the causes?*

- No children drop out of school.

*11. Debts (Bank debt? From credit institution? From relatives? From food or agricultural material sellers?)*

- People mainly borrow money from the bank policy. The purpose is raising chickens and manufacturing rice milling machines. Some households borrow money to invest in building chicken farms

*12. Vulnerability issues. Access to and quality of local social services (health, education).*

- 100% of households receive social services such as schools and health station. Quality of service is improved

*14. Experience with occupancy and cultural differences.*

- There is no cultural difference.

*15. Are there female workers, cross-border child laborers? Frequency of crossing the border?*

- No cross-border workers.

## **Project Impacts**

### **1. Major impacts and risks during project implementation and completion.**

- When the construction project affects the travel of students.

- The project completion will affect traffic safety.

### **2. Recommendation**

- Open training courses on plant and animal species because there is no training course

- Traffic safety for children.

## GROUP DISCUSSION

**Location:** Phuc Than Commune People's Committee, Than Uyen, Lai Chau

**Date/Time:** 05/08/2018, 14h-15h30

**Number of Participants:** 06

### H. Participant's Information

No.	Full Name	Gender	Age	Ethnic Group	Education	Classification
1.	Vàng Thị Chơn	Female	35	Dao	5/12	Average group
2.	Đặng Thị Diên	Female	27	Dao	9/12	Average group
3.	Triệu Thị Phạm	Female	27	Thái	9/12	Average group
4.	Triệu Thị Mùi	Female	30	Dao	5/12	Average group
5.	Chảo Thị Mấy	Female	31	Dao	Un-educated	Near-poor group
6.	Đặng Thị Phấy	Female	33	Dao	Un-educated	Average group

### 4. Discussions

- The Consultant's representative introduced the project, on issues related to resettlement, ethnic minority development plan, gender issues, livelihoods, social security and impacts of the project and the Women's participation in livelihood activities

#### - Causes of Poverty

##### 1. *What are the main causes of the poverty here?*

- Lack of productive land, some have enough land while others do not have enough land. There are households who do not have enough food because of having less field area, and the children cannot go to schools because of lack of food;
- Due to the disasters, crops are destroyed by the disasters such as this year. In general, they lack of many things;
- It is not convenient to go to the fields due to bad roads. Many people also give up due to bad ways. It is about 5-6 kms from their home to the kaingins, and they even have to walk there because vehicles are not possible.

##### 2. *Access to markets for input materials and agricultural products (road conditions, market information [types of goods, prices], distance to markets)? Differences between selling price of agricultural products at home/market/district market?*

- Tea is sold to Hong Duc Tea Company, at Pac Ta, Hoang Ha village of Pac Ta commune. There is a preliminary processing plant there, the picked tea is sold there. The road from their houses to the tea field is very rough, can travel only by walking. Mrs. Chon said that they need to walk 3 kilometers from the tea plantations to the highway, not possible by vehicles, only soil paths and transporting fertilizer is hard, only with manual works. The tea plantation is not slope, but the road is too difficult, there is no concrete road to get water to irrigate the tea plantations, about 1 kilometer by walking and maybe 1 or 2 kms or 100 meters, 200 meters also from other households. It is easy travelling on the highway. The price of tea is same as the market price;

- Going to the market, mainly down to the Group 9 Market, maybe 2 or 5 kms, some are too far away, then only to the Group 9 Market. The market in Tan Uyen is too far and there is no mean of transport;
- There is a slight difference in the price between the K 9 Market and the district market, but if travelling cost is included, they get no profit.

*3. Agricultural land features (soil condition, slope, access to water sources); Cultivation methods and major crops*

- Land for production consists of two types, i.e, cultivating land and tea planting land, cultivating land with two crops, and there are ditches leading to fields invested by the Government but they are now degraded due to floods;

Land for tea planting: some people who want to increase their income would buy more land, and some receive from their previous generations. The land for tea planting is generally flat and not very steep. The tea plants and fertilizers are provided by the Government.

*4. Level of understanding of agricultural techniques (techniques for the existing production, skills for new production or agricultural diversification); Number of training and extension courses participated in last year; effectiveness of training*

- Training courses on livestock and cultivation are not available; and there are no trainings on care of cattle and buffaloes also, only information from the Head of the village during the village meetings;
- They have been propagated about disease prevention and vaccination for cattle;
- Farmers use rain water, water from the streams and when there is sunshine throughout, there is no water from the streams and they need to wait for the rain. Now there are many ditches than before, but many ditches are now broken, The recent floods are so serious. And they have 2 crops here but there is no water in other places;
- Before 2015, and since 2015, there is a new program of tea planting, and the recent income is better but still not satisfactory;
- Combining production experience with access to new technical means.

*5. Access to sources of capital; loan size, interest rate, loan period. Effectiveness?*

- The majority of the villagers also borrow the Policy Bank. Mrs Chon borrows 1 loan granted to poor households. Before 2016, her family was poor household, and the loan was 50 million VND (interest of 320,000 VND, and the saving is 350,000 VND and saving of 50,000 VND/month, the preferential interest rate for poor household is 0.65%). It is also effective to buy buffaloes for raising, because buffalo raising is good, less disease and the animals have enough grass to eat if each family has 1 or 2 buffaloes.

*6. Non-agricultural livelihood opportunities (i) existing employment/employment opportunities that are not available due to education, funding, etc. or (ii) very limited off-farm opportunities in the area)*

- They occasionally pick up tea leaves but there are not many tea plants here, only a few people picking tea in Tan Uyen and not many stay in the village. Now, life is better but not really good;
- People also work as a workers, assistant construction workers, mainly men, while women do the field works and the harvest is the only done by the women; They also works as workers or assistant construction workers during breaks of their crops in 1 or months. Not many women go to work far from home, they take care of their

children. If their grandparents may help or they have big children, they can go for works. If not, they provide hired labour earning about 100,000 VND/day.

- For handicrafts, they may have sewing, embroidering for sale, selling to Westerners. They may sew towels, clothes for themselves, selling to Westerners, or taking to Sa Pa for selling. In fact, it is not profitable. For example, for a towel of 100,000 VND, the fabric and thread costs 30,000 VND while they do not have much time and can only do at leisure time and sometimes it takes the whole month. For example, they can only do during break time at work. Some do after dinner before bed time. The buyers will sell to the foreigners. We only sell our products after half or 1 year. The earnings is about 1 or 2 million VND, still including input materials;
- They can only have labour cost from towel and clothes embroidery. They learn the method from their family, and the products are sold to the Dao Dao people who sell to the foreigners. In Sa Pa, there are collectors, who latter sell to tourists. I only sell 100, 000 VND per each to them and they sell to customers with the prices that we do not know but the price of 100,000 VND is low.

• **How does poverty show?**

*7. Food security – poorest periods in one year (to the extent that villagers have to eat something instead of rice)? How many months of food shortage? Support from the local authorities and organizations or communities for undernourished households*

- There are hungry households in the village in the period of 2 or in 2-3 months. There are 70 households in the village and there are 15 households in hunger and shortage in 1 to 2 months.
- To overcome the periods, they borrow loans, take loans from relatives, or borrow rice from relatives and returned in the next crops;
- Not many households borrow money to rice. Each family has at least 2000 meters of land and they have enough to eat, but those who have only 1000 meters of land, then they may not have enough and need to borrow and return in the next crop. So it is getting more and more difficult for them.

*8. Debts (Bank debt? From credit institution? From relatives? From food or agricultural material sellers?) Is there any “selling rice before harvesting” practice? Collateral for the debt?*

- Bank loans are fore buying buffaloes, generally they need to buy buffaloes for farm works but have difficulties in paying monthly interest because of the need for food and children study. The interest payment can be by, for example, this month I raise the chickens and sell the chickens to pay the interest and if the next month without chicken, then they go to work as hired labor for payment of interest;
- If ones cannot pay the interest (because the poultry die) then they have to borrow money to pay the interest. There are less disease for buffaloes, only the chicken or ducks. The buffaloes in general are vaccinated and they only die when it is too cold and the number of dead ones is 1 or 2 buffaloes;
- In addition, the loans may come from other associations in the village as well as other people, and lenders. Loan interest rate is about 3% or more if borrowing from other lenders (30,000 VND of interest for every 1 million VND). There are cases borrowing from Women's Association with the interest rate of 3 %.
- The interest rate from other sources would be 5%. A creditor named Tu Lien provides loans with the interest rate of 5%. The interest rate of 3% only comes from the loans of the Women's Association or village fund. Mr. Tu Lien (Hong Hai Co-operative) can register loans for fertilizers plus interest. If ones have money, they can pay the fertilizers , if not debt plus interest would be possible.

*9. Educational level? Number of children dropping out of primary school, secondary school and the causes?*

- There are no children dropping from primary and secondary schools. Children go to school at the distance of about 5 km. Going to school is also tiring.

*10. Are some ethnic minority (EM) groups more vulnerable and poorer than others? How to compare the poverty of EM with Kinh people in the region? If different, why?*

- In the Group 9, most people are from Kinh group, living near the center, knowing how to speak, know the trade, the road is more convenient, the terrain is lower so it is easy to get water for farming and living, no water shortage.

- **Vulnerability issues**

*11. Access to and quality of local social services (health, education)*

- The most vulnerable issue for Dao people is that they usually have comparison and they are easily vulnerable when the rights are not fair between households. Recently, the floods washed away 3 perches of rice fields and many people in the commune went to get support but 3 families did not receive any package of noodles, oil bottles. Although the support is small, but would help the families surviving in 1-2 days;

- The access to social services in the locality is relatively favorable, medical examination and treatment at the clinic, free health insurance card;

- The medical examination and treatment at the medical center, in general, is the same as in the Dao people village. In general, it is difficult to go from the village, but more convenient in the commune;

- Quality of service is generally good, we are only questioning about the attitude of a male physician named Cuong who often scolds at the patients. Many women said that with that attitude, this guy should have been sacked long time ago.

- Children vaccination are generally sufficient, but people do not like to see the difficult doctors in fear of being scolded.

- Currently, the women give birth at the medical center.

*12. Experiences with occupancy and cultural differences*

- There are no cultural or ethnic distinctions for ethnic groups, and all ethnic groups in the village are getting along well with each other.

- Language: Dao language is spoken in the village meetings because there are only Dao people. Communication with Kinh people is in Kinh language. Most young people speak Kinh's language.

*13. Cultural conflict and the preservation of national cultural identity*

- Traditional customs of the Dao people here are still kept, the weddings and funerals are still organized according to traditional customs;

- There is no cultural conflict, Dao people, Tay people, Kinh people live in harmony.

• *14. Issues of security, social evils and across border female workers and children*

- Robbering does not occur, drug addiction is unknown, and we do not know about this issues and about the quantity;

- Cross-border child labor does not exist; not many women go to work in general, around 5, 6, 7 people only. We do not know where they go. People say they go to work in China but we do not know about what they do and where they stay.

- **Project impacts**

**The Consultant's representative briefly presented the impacts of the project and mitigation measures, policies and programs on livelihood restoration, community development and ethnic minorities.**

#### *14. Responses from villagers*

- It is good if there are jobs for local people in the project. Now there is no other job so people can only work in the field for their families;
- Young people here may have conflicts with people from other places, because young people here often throw stones to cars at night. Therefore, it is necessary to strengthen police officers for protection.
- They are also worried that more people will lack of water for domestic use. On the water source, it is 200 meters from Dao people village to the center of Phuc Than commune. But if there is little water from the upstream, and after 2 or 3 sunny days, there is no water in the village. Water shortage is serious in this area;
- Water for domestic use is from the same pipe, however, only when in the other area (Group 9, lower place) water is not used, then, the Dao people have water. According to the Dao sisters, because the Kinh are clever that the water flows all down to Group 9.

#### **• Proposals and Recommendations**

- If there are tea plantations, they may have higher income. Regardless of rice fields, the situation may be better if households have tea plantations. The tea tree is the great wish of the local people. Livestock is more or less profitable. Buffalo raising is fine but need huge investment. Buffalo raising required buffaloes, and, secondly, the pasture is no longer available. Because the land of the house is nowhere, there is no grazing area, but most of the lands are zoned by households. There are no public grazing area in the village and the household plant grass for their buffaloes, therefore, with large number of buffaloes, land is not available for grass planting. Planted grass can be sufficient for only 1 or 2 buffaloes. All the areas are for tea planting. It is not possible for grazing;
- The craft and embroidery is not developed, it takes 10 days to make 1 new product. Mrs. Chon said, for example, now it is the harvest time and they have to concentrate on the crops. After the crop season, when there is nothing to do in August and September, there is no field work, they would do some part time jobs then to earn some incomes. Yet, after finishing the products, if no one buy them, it is nonsense. Now, one embroidered scarf can be sold at the price of 100,000 VND and people do not want to do.

## MIXED GROUP DISCUSSION

**Time:** 01/08/2018

**Location:** San Thàng commune, Lai Châu city

**Participant:** 07

No	Full name	Gender	Date of Birth	Ethnicity	Group
1	Phan Thị Kền	Male	1985	Kinh	average household
2	Trần Thị Phiến	Male	1983	Kinh	average household
3	Vàng Văn Bốn	Female	1993	Giay	average household
4	Trần Văn Tịnh	Female	1993	Kinh	average household
5	Lò Văn Ních	Female	1954	Giay	average household
6	Trần Văn Hà	Female	2001	Kinh	poor household
7	Vàng Văn Khương	Female	1987	Giay	average household

### I. INTRODUCTION

- **Introduction:** Project overview and focus group discussion (FGD) purposes

### II. CONTENT

*1. Causes of Poverty: What are the main causes of poverty in your area?*

- No land or lack of productive land or small land area and difficult cultivation so there is not enough food.
- Some households have no land;
- Have sick people;

*2. Access to markets for input materials and agricultural products.*

San Thang commune has the advantage of being near the city's market, traveling more conveniently (only 3km). Buying vegetables, food is also regular. Many families bring vegetables to market to earn more money.

It is also easy to buy agricultural supplies;

*3. Agricultural land features (soil condition, slope, access to water sources); Cultivation methods and major crops.*

Rice fields are also cultivated with one crop, some rice fields are also cultivated with one crop with two crops;

Hilly land is used to grow maize, used to make wine and raise fish;

Almost households have ponds for fish raising. Some households have ponds but they do not have productive land or hilly land

They buy food and vegetables.

*4. Level of understanding of agricultural techniques (techniques for the existing production, skills for new production or agricultural diversification); Number of training and extension courses participated in last year; effectiveness of training;*

- There are no training courses on cultivation or livestock production skills, only agricultural extension workers guide or the households have to find out information.

*5. Climatic conditions (flash flood, drought)*

- Each year only one crop is cultivated because the remaining crop has no water for cultivation.

*6. Access to sources of capital; loan size, interest rate, loan period. Effectiveness?*

- The policy bank provides loans at low interest rates from 30 to 50 million for agricultural production.
- Some households borrow money to dig ponds, raise fish.

*7. Non-agricultural livelihood opportunities (i) existing employment/employment opportunities that are not available due to education, funding, etc. or (ii) very limited off-farm opportunities in the area)*

Men go to work as masons; repairing motorbikes;

Women go to work less; some people have stalls in the market to sell vegetables.

Money is enough to buy rice for the family. They have to find a job without recruitment;

*8. Food security – poorest periods in one year (to the extent that villagers have to eat something instead of rice?)? How many months of food shortage? Support from the authorities and organizations or communities for undernourished households*

- Some households still do not have enough food to eat, they have to work as hired laborers to buy rice.
- No support from local authorities

*10. Educational level? Number of children dropping out of primary school, secondary schools and the causes?*

- In the village, there are no children dropping out of school, and the children in the village have the right to go to school

*11. Debts (Bank debt? From credit institution? From relatives? From food or agricultural material sellers?)*

- Households in the village mainly borrow money from banks to invest in agricultural production.

*13. Access to and quality of local social services (health, education).*

- Accessing social services is easy, convenient transportation, better quality.

*14. Experience with occupancy and cultural differences*

- There is no cultural conflict between the ethnic groups in the village and other neighbouring communes.

*15. Are there female workers, cross-border child laborers? Frequency of crossing the border?*

- No cross-border workers.

## **Project Impacts**

### **1. Major impacts and risks during project implementation and completion**

- When the project is completed, the most concern is the traffic safety issue, traffic accident will happen on the way to school.

### **2. Recommendation**

- Ensure traffic safety during construction of the project.

Date	Location	Attendance	Points Raised
3 Nov 2017	Tan Uyen Town, Tan Uyen District	Ethnic minority focus group  Village head, village party secretary, 23 villagers	Tan Uyen Town previously had a state-run farm with many workers who were soldiers. Later they settled locally and so now the proportion of ethnic Kinh is quite large at 56%. Other ethnic groups include Thai, Kho Mu, Hmong, and other groups. The population growth of the town is 18%, and 8% are Christian. The town is 1/10 commune/towns in the district with especially difficult conditions. The poverty rate of the town is relatively high at 17.5%, almost all of these are ethnic minority people.
3 Nov 2017	Tan Uyen Town, Tan Uyen District	Poor focus group  Village head, Village Women's Union, 25 poor villagers	With regards to infrastructure, the distance from the town to the administrative centre is about 60km; the town's only road traversing is national highway 4C; there is no bus service, only commercial car transport. The main forms of transportation are motorbike and bicycle. Many villages are far from the highway and only have dirt roads so getting around is very difficult. Around 40% of the households have piped water and the rest use dug or drilled wells. The is a fairly high rate of HIV infection – cumulative to 2016 is 89 people with 53 persons having died from AIDS. 100% of those participating in the group discussion agree with the project. However, they want a lot of information about compensation, assistance and resettlement. Recommendations from people in the group discussion: (i) the youth should be trained about HIV prevention, road safety, use loud speakers or TV in combination with the district awareness programs because most houses have TVs; (ii) the project should create employment opportunities during and after construction to create additional sources of income; (iii) ethnic minority women recommend creating jobs locally so that their husbands, their children and themselves don't have to find work afar so as to avoid risks and negative influences on life and family happiness.
5 Nov 2017	Ban Bo Commune, Tam Duong District	Women discussion group  Village head, Head Village Women's Union, 25 women villagers.	98% of the commune population are farmers. The main produce is tea. There are 9 main ethnic groups living together including Thai (29%), Kinh (26%), Lao (17%), Hmong (5%). The commune is one of 14 communes in the district with very difficult conditions. The living standards are generally high with 49% of households being well off or average. Average incomes are VND1.8 million/person/month. Many households do well from producing, processing and trading in tea or working in one of two tea processing factories. In addition, the commune has sufficient area of paddy fields for food security.

Date	Location	Attendance	Points Raised
6 Nov 2017	Ban Bo Commune, Tam Duong District	Ethnic minority discussion group	<p>The main difficulties are: (i) market access for farm produce is difficult because there is no close market and transporting produce such as fruit (lemon, apricot) and animals to far markets is difficult. Acacia only fetches VND350,000/m3 because of the distance to transport it to market. Similar to other ethnic minority localities in mountainous areas, there are many poor households due to: (ii) lack of knowledge and experience in agricultural production techniques, especially tea; (iii) illness; (iv) some households with insufficient land.</p> <p>The inter-village roads are mostly dirt roads, the way to their farms is difficult so people mostly walk rather than use motorbike.</p> <p>Some of the ethnic minority people have difficulty accessing social services, especially middle-aged women and some youth in outlying villages because of illiteracy in Vietnamese and so they need to rely on other family members or relatives to assist them.</p> <p>Women under 40 years generally use motorbikes to go to work, to market for trading or visit relatives. Their knowledge of driving laws is poor. They are main ones trading and doing business. There are 40 women out of 176 households in Na Ly village working afar. This creates a distant relationship between husband and wife, parenting difficulties and many problems.</p> <p>100% of the group discussion participants support the project.</p> <p>Recommendations: (i) there should be training on HIV and road safety; (ii) support children to stay in school by by addressing economic problems and infrastructure problems of poorly equipped schools and difficult roads to schools.</p>

Below is the attendance list for the FGDs conducted in November 2017. The attendance lists for the FGDs conducted in August 2018 are contained in the respective FGD meeting notes (see above).

**Table 16-3 List of Participants in Focus Group Discussions November 2017**

Name	Age	Male	Female	Kinh	Ethnic Minority	Occupation	AP/Non-AP
Ethnic group in Tan Uyen town, Tan Uyen district, Lai Chau Province							
Lù Văn Luân	30	Male			Ethnic Minority	Small business and Farmer	AP
Lù văn Đăm	41	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Tòng Văn Ánh	28	Male			Ethnic Minority	Farmer	Non AP
Lò Văn Sinh	43	Male			Ethnic Minority	Farmer	Non AP
Lù Văn Thủy	27	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Lù văn Món	25	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Tòng Thị Liên	19		Female		Ethnic Minority	Farmer	Non AP
Lù Văn Tuấn	50	Male			Ethnic Minority	Farmer	Non AP
Lò Văn Phó	32	Male			Ethnic Minority	Farmer	Non AP
Lù Thị Mừng	50		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Lò Thị Xương	35		Female		Ethnic Minority	Farmer, planting tea tree	Non AP

Name	Age	Male	Female	Kinh	Ethnic Minority	Occupation	AP/Non-AP
Lù Thị Hiền	45		Female		Ethnic Minority	Farmer	Non AP
Lù Thị Thương	30		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Đù Thị Ré	39		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Lò Thị Phái	53		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Lò Thị Nhân	37		Female		Ethnic Minority	Farmer	Non AP
Lò Văn Hêu	40	Male			Ethnic Minority	Farmer	Non AP
Lò văn Hưởng	51	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Tòng Thị Phan	44		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Tòng Văn Hang	36	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Lù Văn Định	34	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Lù Văn Hỷ	55	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Tòng văn Phiên	43	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Sub total	23	14	9		23		
Poor HH group in Tan Uyen town, Tan Uyen district, Lai Chau Province							

Name	Age	Male	Female	Kinh	Ethnic Minority	Occupation	AP/Non-AP
Tòng Văn Ôn	45	Male			Ethnic Minority	Farmer	Non AP
Tòng Thị Ninh	34		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Liêu Thị Chủ	40		Female		Ethnic Minority	Farmer	Non AP
Tòng Thị Hưởng	42		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Hà Thị Nơi	37		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Bì Thị Đây	41		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Lường Thị Sâm	24		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Lò Thị Pồm	37		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Đường Văn Ôn	40	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Lò văn Thủy	25	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Lù Văn Luân	30	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Tòng Văn Liên	31	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Tòng Văn Ánh	29	Male			Ethnic Minority	Farmer, planting tea tree	Non AP

Name	Age	Male	Female	Kinh	Ethnic Minority	Occupation	AP/Non-AP
Lù Văn Đăm	45	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Lò văn Sinh	43	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Lù Văn Mon	49	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Lù Văn Tuấn	42	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Lò Văn Phó	36	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Lò Thị Xương	47		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Lù Thị Mừng	51		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Lò Văn Hách	46	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Lù Thị Năm	24		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Lù Thị Hoa	26		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Lò Thị Đang	36		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Lù Văn Nhình	34	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Sub total	25	13	12		25		
Woman group in Ban Bo commune, Tam Duong District, Lai Chau Province							

Name	Age	Male	Female	Kinh	Ethnic Minority	Occupation	AP/Non-AP
Lường Thị Nền	25		Female		Ethnic Minority	Farmer and Hired labor	AP
Lê Thị On	24		Female	Kinh		Farmer and Hired labor	AP
Lù Thị Đón	68		Female		Ethnic Minority	Farmer and Hired labor	AP
Lèo Thị Năng	48		Female		Ethnic Minority	Farmer	AP
Tòng Thị Pòm	23		Female		Ethnic Minority	Farmer	Non AP
Lò Thị Lâm	32		Female		Ethnic Minority	Farmer and Hired labor	Non AP
Phan Thị Điền	37		Female	Kinh		Farmer and Hired labor	AP
Hà Thị Duyên	39		Female		Ethnic Minority	Farmer and Hired labor	AP
Tò Thị Lả	57		Female		Ethnic Minority	Farmer	AP
Nùng Thị Chung	34		Female		Ethnic Minority	Farmer and Hired labor	AP
Lò Thị Hát	51		Female		Ethnic Minority	Farmer	AP
Tòng Thị Oanh	47		Female		Ethnic Minority	Farmer	Non AP
Văn Thị Hường	41		Female	Kinh		Farmer	Non AP
Lò Thị Mai	32		Female		Ethnic Minority	Farmer	AP
Văn Thị Vàng	24		Female	Kinh		Farmer and Hired labor	Non AP

Name	Age	Male	Female	Kinh	Ethnic Minority	Occupation	AP/Non-AP
Văn Thị Cần	42		Female	Kinh		Farmer and Hired labor	Non AP
Lò thị Hoa	37		Female		Ethnic Minority	Farmer and Hired labor	AP
Tòng Thị Hương	23		Female		Ethnic Minority	Farmer	AP
Nùng Thị Mây	25		Female		Ethnic Minority	Farmer and Hired labor	Non AP
Tòng Thị Chắt	35		Female		Ethnic Minority	Farmer and Hired labor	Non AP
Nùng Thị Hân	43		Female		Ethnic Minority	Farmer and Hired labor	Non AP
Nông Thị Nam	47		Female		Ethnic Minority	Farmer	Non AP
Lò Thị Ban	19		Female		Ethnic Minority	Farmer	Non AP
Sub total	23		23	5	18		
Poor HH and EM group in Ban Bo commune, Tam Duong District, Lai Chau Province							
Lù văn Ảng	32	Male			Ethnic Minority	Farmer, planting tea tree	AP
Sầm văn Mỡ	37	Male			Ethnic Minority	Farmer, planting tea tree	AP
Lù Văn Hịa	39	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Đường Văn Sơn	57	Male			Ethnic Minority	Farmer	AP

Name	Age	Male	Female	Kinh	Ethnic Minority	Occupation	AP/Non-AP
Lò Thị Hói	34		Female		Ethnic Minority	Farmer, planting tea tree	AP
Lùng Thị Thinh	43		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Lùng Văn Ôn	49	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Lò Thị Minh	42		Female		Ethnic Minority	Farmer, planting tea tree	AP
Lù Văn Hoa	36	Male			Ethnic Minority	Farmer, planting tea tree	AP
Lường Thị Dành	47		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Lùng Văn Muôn	34	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Lù văn Ảnh	27	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Lường Văn Minh	40	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Dù Thị Nả	34		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Vàng Thị Yên	32		Female		Ethnic Minority	Farmer, planting tea tree	AP
Sầm Thị Bình	25		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Là Văn Lún	32	Male			Ethnic Minority	Farmer, planting tea tree	Non AP

Name	Age	Male	Female	Kinh	Ethnic Minority	Occupation	AP/Non-AP
Lường Thị Bình	52		Female		Ethnic Minority	Farmer	Non AP
Là Văn Sinh	45	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
La Văn Định	45	Male			Ethnic Minority	Farmer, planting tea tree	AP
Lù Văn Liên	34	Male			Ethnic Minority	Farmer, planting tea tree	AP
Tòng Thị Anh	23		Female		Ethnic Minority	Farmer, planting tea tree	AP
Lù Thị Hiền	31		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Lù Thị Thương	51		Female		Ethnic Minority	Farmer, planting tea tree	Non AP
Lường Văn Huy	37	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Lường Văn Quốc	45	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Lù Văn Long	34	Male			Ethnic Minority	Farmer, planting tea tree	Non AP
Sub total	27	16	11		27		