

Ethnic Minority Development Plan

August 2018

VIE: Northern Mountain Provinces Transport Connectivity Project

Yen Bai 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

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

Executive Summary

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 32 in Lai Chau Province; National Highway 279 in Lao Cai Province; and Provincial Road 175 in Yen Bai Province. The project in Yen Bai Province will involve the upgrading of Provincial Highway 175 from intersection with NH 32 to the intersection with PR 151 over a total length of 51.375km. The project will follow the existing alignment.

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 31,817. There are a high proportion of ethnic minorities most of the project communes. There are five ethnic minority groups in the project areas: Thai, Dao, Hmong, Tay and Muong. Overall the most populous ethnic minority groups are Thai and Tay with 13% of the average project area population. However, some of the communes are comprised mainly of one or more of these groups, such as Dao in Suoi Quyen, Dai Son and Mo Vang communes where they comprise 62% to 99% of the population; or Thai comprising 78% of Son Luong commune. Hmong and Tay also make up significant proportions of An Luong and Mo Vang communes. 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 generally constrained by distance (most being in excess of 20km) and distance from the commune to the highway. Many of the villages of these communes are further constrained by distance to the commune centre and poor rural roads/tracks. Based on district records, the average poverty rate in the project areas is 33% with An Luong and Suoi Quyen having very high poverty rates of 66% and Son Luong at 57%. Focus group discussions reported underlying causes of poverty as being limited availability of suitable land for agriculture, adverse and unpredictable climatic conditions, low level of farming skills, poor market access and limited opportunities for non-farm employment.

4. **Consultation, Participation and Disclosure.** Meaningful consultation is an integral element of preparation and implementation for this project EMDP. 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. **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.

6. **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
(i) Land Acquisition and Resettlement Impact: (-)	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	Resettlement Plan. The RP is subject to updating following detailed design.
(ii) Road Safety Impact: (-/+)	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	Road Safety Plan
(iii) Risk of HIV/AIDS & Human Trafficking Impact: (-/+)	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. HIV/AIDS awareness and prevention measures to be included in the contractors' contracts. Livelihood restoration/ development to form a focal approach to trafficking mitigation along with awareness.	PMU will coordinate the development and implementation of the Program with the concerned Provincial authorities/departments. The PMU/Project Supervision Consultant will sub-contract a qualified service provider	Resourced Under HTAP Program	HIV/AIDS and Human Trafficking Awareness and Prevention Program
(iv) Disruptions to	Prioritize hire of local staff. Provide jobs	Contractor, PMU	Resourced	

IMPACTS ISSUES	ACTION	KEY RESPONSIBLE AGENCIES	RESOURCES	RELATED PLANS
Local Communities during Construction Impact: (-)	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		under works contracts	
(v) Communication/ Information Dissemination Impact: (+/-)	Communication, Participation and Consultation Plan to be implemented.	PMU, PSC, Contractor	VND 576 million (approx. USD 25,335) (other non-EMDP resources for communication described in Communication , Participation and Consultation Plan)	Communication, Participation and Consultation Plan
(vi) Improved Access and Mobility Impact : (+)	Design and construct bridge and access road	PMU, PSC, Contractor	VND 6,570 million (approx. USD 288,982)	
(vii) Opportunities for Improved Livelihoods	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	Resettlement Plan. The RP is

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.	

7. **Budget:** The EMDP specific actions are estimated to cost VND 8,575 million, including 20% contingency on **direct** costs for ethnic language interpreters and rural road access.

8. 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 safeguard 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.

9. This EMDP document is a draft and needs to be updated upon the completion of detail design and the **updated** EMDP will be prepared based on close consultation with affected communities and stakeholders and will be publicly disclosed to the affected communities.

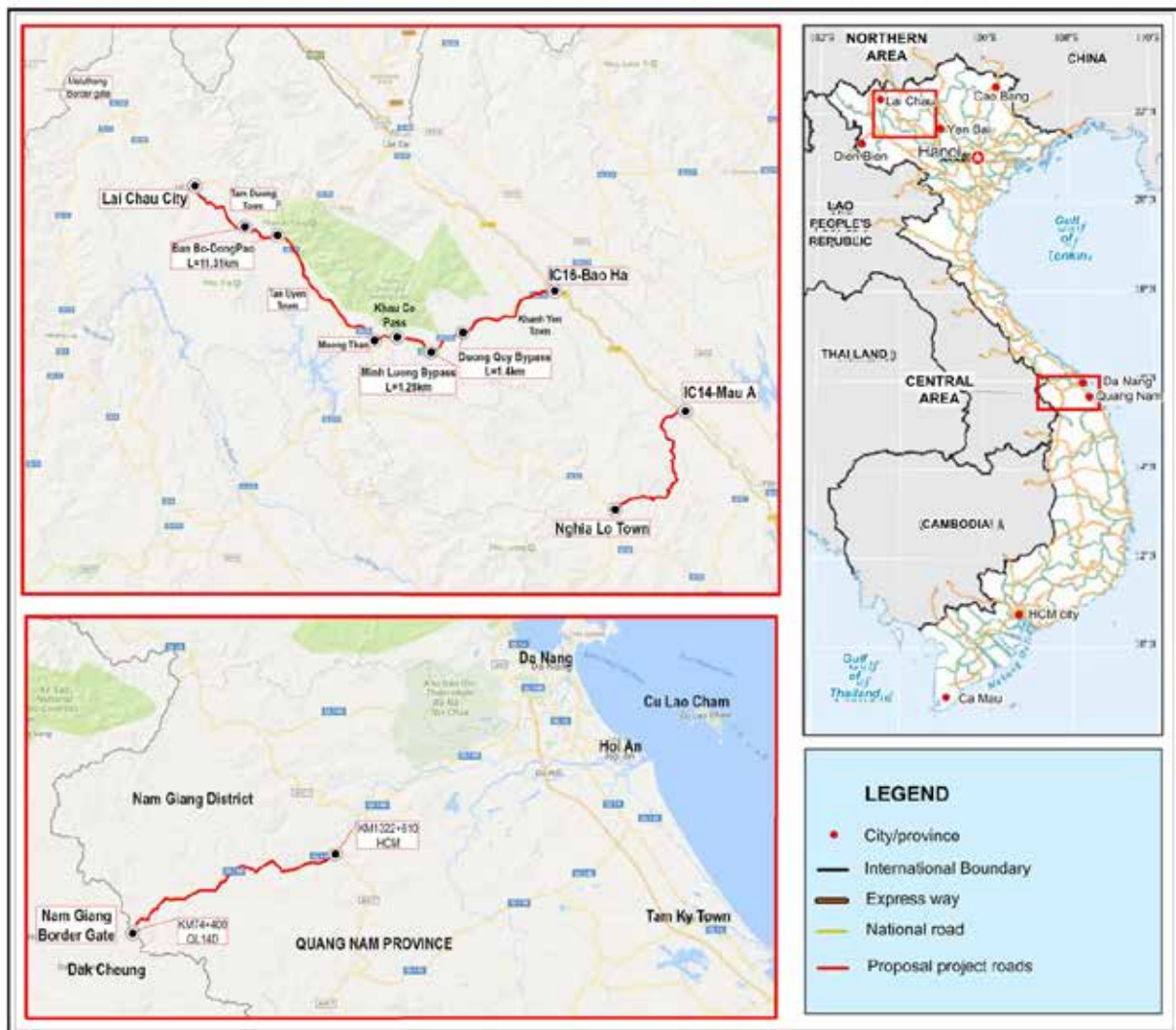
Chapter 1 - Description of the Project

1.1. The VIE: Northern Mountain Roads Connectivity Project

10. 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 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 Yen Bai Province

11. The project in Yen Bai Province will involve the upgrading of Provincial Highway 175 from intersection with NH 32 to the intersection with PR 151 over a total length of 51.375km. The project will follow the existing alignment.

Table 1-1: List of Main Project Works

Highway	Location	Description	Length (km)
PR 175	Yen Bai Province. From intersection with NH32 to intersection with PR 151.	Existing alignment	51.375

12. PR 175 **traverses** 2 districts, Van Chan and Van Yen, covering 8 communes and 1 district-level town.

Table 1-2: Locations Traversed by PR 175 Upgrade

Province	District	Commune/ Town
Yen Bai	Van Chan	An Lương Sơn Lương Sùng Đô Suối Quyền Liên Sơn Town
	Van Yen	An Thành Đại Phác Mậu Đông Mỏ Vàng

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

13. 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.

14. 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

15. 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 safeguard 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.

16. This EMDP document is a draft and needs to be updated upon the completion of detail design and the updated EMDP will be prepared based on close consultation with affected communities and stakeholders and will be publicly disclosed to the affected communities.

Chapter 2 - Social Impact Assessment

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) 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:
- (v) 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).

- (vi) 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.
- (vii) DECREE 05/2011/ND-CP issued 14th Jan 2011 on Ethnic Minority Mission, Regulations on 16 ethnic groups, need special assistance.
- (viii) 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

17. 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.

18. 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 the EMDP are the (i) Public Communications Policy (March 2005), and (ii) Accountability Mechanism (2003).

2.2 Socio-Economic and Cultural Description of the Project Area

19. 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 10 focus group discussions conducted November 2017 and August 2018. The survey results used here are based on 206 household survey results of ethnic minority households included in the survey. The focus groups consisted of 184 ethnic minority participants in seven communes. Details of the focus group discussions are set out in Appendix 3. Data sources for tables are indicated underneath the tables.

Table 2-1: Socio-Economic Survey Sample of Ethnic Minority Households

District/ Commune	Ethnic Minority Household Sample
Văn Yên	60
Đại Sơn	26
Mỏ Vàng	28
An Thịnh	6
Văn Chấn	146
TT Liên Sơn	6
Sơn Lương	14
An Lương	64
Suối Quyền	62
Total	206

20. The participation in the FGDs disaggregated by sex and ethnicity is set out in the following two tables.

Table 2-2: List of Focus Groups

Commune	Focus Groups	Male	Female	Total	Date
Mo Vang	2	13	35	48	Nov-17
An Luong	2	32	46	78	Nov-17
Dai Son	2	0	19	19	Aug-18
An Thinh	1	0	8	8	Aug-18
Lien Son Farm town	1	0	10	10	Aug-18
Son Luong	1	0	11	11	Aug-18
Suoi Quyen	1	1	9	10	Aug-18
TOTAL	10	46	138	184	

Table 2-3: Participation in Focus Groups by Ethnicity

Commune	Dao	Tày	Hmong	White Dao	Thái	Mường	Ethnic Minority*	Total
Mo Vang	10	2	7					19
An Luong							48	48
Dai Son				8				8
An Thinh					7	3		10
Lien Son Farm town					8	3		11
Son Luong	10							10
Suoi Quyen							78	78
TOTAL	20	2	7	8	15	6	126	184

* Note: Attendance for FGDs conducted in November 2017 in An Luong and Suoi Quyen only specified whether participants were ethnic minority or Kinh.

2.3 Demographic Characteristics of the Project Area

21. The population of the immediate project areas is 31,817 with an average household size of 4.2 persons per household. The areas with the largest populations are Lien Son Town (5,065) in Van Chan District and An Thinh Commune (9,510) in Van Yen District.

Table 2-4: Population and Average Household Size

No	District/ Commune	HHs	Persons	Ave Persons/ HH
1	Văn Yên	4,199	17,561	4.2
1.1	Đại Sơn	855	3,491	4.1
1.2	Mỏ Vàng	961	4,560	4.7
1.3	An Thinh	2,383	9,510	4.
2	Văn Chấn	3,305	14,256	4.3
2.1	TT Liên Sơn	1,325	5,065	3.8
2.2	Sơn Lương	836	3,483	4.2
2.3	An Lương	827	3,986	4.8
2.4	Suối Quyền	317	1,722	5.4
	Total	7,504	31,817	4.2

(Source: Commune records)

22. There is a high proportion of ethnic minorities most of the project communes. Communes with majority ethnic minority people are An Luong, Suoi Quyen (100% each), Mo Vang (98%), Son Luong (93%), Dai Son (88%). While Lien Son town and An Thinh have 36% and 24%, respectively.

Table 2-5: Ethnic Minority Population in the Immediate Project Areas

District/ Commune	Total HHs	EM HHs	% EM HHs
Văn Yên	4,199	2,265	54%
Đại Sơn	855	752	88%
Mỏ Vàng	961	943	98%
An Thinh	2,383	570	24%
Văn Chấn	3,305	2,397	73%
TT Liên Sơn	1,325	480	36%
Sơn Lương	836	774	93%
An Lương	827	827	100%
Suối Quyền	317	316	100%
Total	7,504	4,662	62%

(Source: Commune records)

23. There are five ethnic minority groups in the project areas: Thai, Dao, Hmong, Tay and Muong. Overall the most populous ethnic minority groups are Thai and Tay with 13% of the average project area population. However, some of the communes are comprised mainly of one or more of these groups, such as Dao in Suoi Quyen, Dai Son and Mo Vang communes where they comprise 62% to 99% of the population; or Thai comprising 78% of Son Luong commune. Hmong and Tay also make up significant proportions of An Luong and Mo Vang communes.

Table 2-6: Ethnic Minority Groups in the Immediate Project Areas by % Local Population

District/ Commune	Thai	Dao	Hmong	Tay	Muong
Van Yen District	0%	33%	7%	14%	0%
Dai Son	0%	75%	4%	9%	0%
Mo Vang	0%	62%	25%	11%	0%
An Thinh	0%	6%	0%	18%	0%
Van Chan District	29%	19%	7%	11%	7%
Lien Son Town	23%	4%	0%	0%	9%
Son Luong	78%	0%	3%	0%	12%
An Luong	0%	31%	26%	43%	0%
Suoi Quyen	0%	99%	1%	0%	0%
Total	13%	3%	7%	13%	3%

(Source: Commune records)

24. The table below presents the age-sex breakdown of the SES population. In the overall SES household population, females represent 51% of the population.

Table 2-7: Age-Sex Disaggregation of Survey Population

	Age Group												Total	
District/ Commune	<18		18-30		30-40		40-50		50-60		>60			
	M	F	M	F	M	F	M	F	M	F	M	F	M	F
Văn Yên	41	38	50	41	14	18	20	23	12	11	1	7	138	138
Đại Sơn	12	19	21	18	6	8	9	11	5	3	1	3	54	62
Mỏ Vàng	25	17	24	21	4	7	10	11	5	3		3	68	62
An Thịnh	4	2	5	2	4	3	1	1	2	5		1	16	14
Văn Chấn	111	110	74	72	61	77	34	36	21	19	16	26	317	340
TT Liên Sơn	2	1	3	1	3		1	1	1	4	1	2	11	9
Sơn Lương	7	16	6	9	6	11		1	3	3	2	2	24	42
An Lương	47	34	32	28	20	34	18	20	8	5	8	10	133	131
Suối Quyền	55	59	33	34	32	32	15	14	9	7	5	12	149	158
Total	152	148	124	113	75	95	54	59	33	30	17	33	455	478
F as % of Age Group		49 %		48 %		56 %		52 %		48 %		66 %		51 %

(SES survey)

2.4 Social and Cultural Characteristics of Main Ethnic Groups

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

2.4.1 Dao

26. 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.

27. 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).

28. 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 lying valley areas. Animal husbandry and fish production are also typical farming practices. Handicrafts tend to be sidelines undertaken during slack periods of the annual farming cycles.

29. 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.

30. 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.

31. 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 Hmong

32. 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.

33. 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.

34. 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, the alternatively plant various leguminous species such as green beans and peas. The principal fibre 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 jewellery; leather tanning; basketry; and carpentry.

35. 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.

2.4.3 Tay

36. 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.

37. 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.

38. 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.

39. 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 Confucius, Buddha and Kwan Yin (the Goddess of Compassion).

2.4.4 Thai

40. The Thai belong to the Tay-Ka Dai language group. They have a population of 1,040,000 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.

41. 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.

42. 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.

43. 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.

44. 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

45. Access to district-level services for the communes in the project area is generally constrained by distance (most being in excess of 20km) and distance from the commune to the highway. Many of the villages of these communes are further constrained by distance to the commune centre and poor rural roads/tracks.

2.5.1 Health

46. Access to health services is problematic for the ethnic minority people in these areas, mainly due to remoteness and poor travelling conditions, but also due to some aspects of marginalization. While the communes have health stations, access to hospitals for more complicated or serious health issues are difficult. The villages studied in Suoi Quyen and Dai Son Communes were 20km and 30km distant from the nearest hospitals. However, even for villages closer to medical centres such as Lien Son Commune poor road conditions make it very difficult to transport the very ill or pregnant women there. Both Dai Son discussion groups said that those with limited Vietnam language find it difficult to communicate with medical staff. There were also perceptions of discrimination against ethnic minority people by medical staff reported in the Dai Son and Son Luong Commune discussion groups with doctors being harsher with them compared to ethnic Kinh patients.

Table 2-8: 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
An Thịnh	5	7	6	8
Đại Sơn	12	12	11	12.5
Mỏ Vàng		26	26	26
An Lương	18	34	23	25
Suối Quyền	13	24	14	12
Liên Sơn Town	1	22	9	10
Sơn Lương	2	25	8	10

(Commune People's Committee)

2.5.2 Education

47. Participants in the focus discussion groups reported that schools tend to be far and often involve travelling on poor roads. Commonly children either take a long time to walk or be driven by motorbike by their parents and in some cases, such Dai Son and Son Luong Commune, they are boarded at the school. Despite this, school attendance at primary and lower secondary school is high. However, school attendance rapidly drops off at upper secondary school (from grade 9). The main reasons attributed to the high dropout rate after year 9 is difficulty travelling to school and lack of motivation due to poor job prospects. Children by then were reported to be engaged in farming work.

48. All communes have a kindergarten, primary school and lower secondary school. None of the communes have upper secondary high schools which are located at the district centres. As per access to health services mentioned above, access to schools at the commune centres for outlying villages tends to be difficult and access to district level schools constrained by long distances.

Table 2-9: Schools in the Project Areas

Commune	School	Number of rooms				
		Total	Temporary house	Semi-permanent, one-story brick house	Multi-storeyed house	Library
An Thịnh	Kindergarten	15	-	5	10	0
	Primary school	25	-	10	15	0
	Secondary school	16	-	-	16	1
	High school	-	-	-	0	0
Đại Sơn	Kindergarten	10	4	6	0	0
	Primary school	10	1	4	5	0

Commune	School	Number of rooms				
		Total	Temporary house	Semi-permanent, one-story brick house	Multi-storeyed house	Library
	Secondary school	9	-	-	9	0
	High school	-	-	-	0	0
Mỏ Vàng	Kindergarten	8	1	7	0	0
	Primary school	12	2	2	8	0
	Secondary school	8			8	0
	High school	-				
An Lương	Kindergarten	8	-	8	0	0
	Primary school	11	-	-	10	1
	Secondary school	9	-	-	8	1
	High school	-	-	-	0	0
Suối Quyền	Kindergarten	4	1	3	0	0
	Primary school	4	2	2	0	0
	Secondary school	4	2	2	0	0
	High school	-				
Liên Sơn Town	Kindergarten	9		8	1	
	Primary school	16	1	14	1	
	Secondary school	9		8	1	
	High school	-				
Sơn Lương	Kindergarten	8	1	7		
	Primary school	10		5	5	
	Secondary school	10		5	5	
	High school	-				

(Communes People's Committees)

49. The SES survey gathered information on the highest education attainment of household members. For most, the highest education attainment was primary and secondary school (26% and 35%, respectively) while 10% had completed high school. The average of those who

responded as being illiterate was 6%. The highest proportions of illiteracy were in Mo Vang (11%), Suoi Quyen (9%), followed by Lien Son Town and Son Luong (5% each).

Table 2-10: Education Attainment of Household Members

District/ Commune	Illiterate	Primary school	Secondary school	Not finish High school	High school	College	University and above	Under school age	Total
Van Yen District	5%	23%	38%	7%	12%	3%	4%	9%	100%
Dai Son	3%	27%	30%	11%	12%	3%	5%	8%	100%
Mo Vang	11%	23%	41%	3%	2%	2%	1%	16%	100%
An Thinh	2%	17%	43%	5%	19%	3%	5%	6%	100%
Van Chan District	6%	28%	34%	8%	9%	3%	3%	11%	100%
Lien Son Town	5%	22%	41%	3%	15%	2%	3%	8%	100%
Son Luong	5%	22%	37%	9%	10%	1%	7%	10%	100%
An Luong	3%	23%	34%	10%	7%	6%	3%	13%	100%
Suoi Quyen	9%	36%	31%	6%	9%	0%	1%	9%	100%
Total	6%	26%	35%	7%	10%	3%	3%	10%	100%

(SES survey)

2.6 Living Standards

2.6.1 Livelihood

50. The survey found that the most common main occupation of household members was agriculture (68%). Women were equally engaged in occupations as men, with the most common occupations in which women were represented being agriculture. Women were more likely than men to be represented in the occupation category of agriculture worker and men more likely to be working as hired labourer.

Table 2-11: Main Occupation of Household Members

	Sex	Agriculture	Livestock breeding	Business/S ervice	Restaurant	Worker	Public sector	Private sector	Housewife	Hired labor	Freelancer	Other	Total
Van Yen District	M	70	0	2	0	0	5	0	0	8	8	14	107
	F	85	0	2	0	1	3	1	1	1	2	13	109
Dai Son	M	28					4			6	2	3	40
	F	34		1		1	2	1		1		3	40
Mo Vang	M	35		2						1	5	9	43
	F	42							1		2	8	45
An Thinh	M	7					1			1	1	2	10

	Sex	Agriculture	Livestock breeding	Business/S service	Restaurant	Worker	Public sector	Private sector	Housewife	Hired labor	Freelancer	Other	Total
	F	9		1			1					2	11
Van Chan District	M	146	3	14	4	2	13	2	0	18	16	12	230
	F	170	2	9	3	3	8	2	7	4	11	29	248
Lien Son Town	M	3	1	1						2	1		8
	F	5								2	1	1	8
Son Luong	M	11				1	1	1		5	2	1	21
	F	14				2	3		1	2	4	4	26
An Luong	M	47	2	13	4	1	7	1		6	13		94
	F	61	1	9	3	1	5		5		6	6	91
Suoi Quyen	M	85					5			5		11	95
	F	90	1					2	1			18	94
Total	Sum	471	5	27	7	6	29	5	8	31	37	68	694
	As %	68%	1%	4%	1%	1%	4%	1%	1%	4%	5%	10%	100%
	M	216	3	16	4	2	18	2	0	26	24	26	337
	As %	64%	1%	5%	1%	1%	5%	1%	0%	8%	7%	8%	100%
	F	255	2	11	3	4	11	3	8	5	13	42	357
	As %	71%	1%	3%	1%	1%	3%	1%	2%	1%	4%	12%	100%

(SES survey)

2.6.2 Water, Energy Sources, Sanitation, Assets and Health

51. The majority of households source their drinking water from rivers and streams (76%). While 3% used dug wells and only 3% had piped water.

Table 2-12: Sources of Water for Drinking

	Unit	Rainwater	Dug well water	Drilled well water	Tap water	Piped water	Pond, river, lake	Other	Total
Van Yen District	HH	1	1	0	0	2	54	2	60
	%	2%	2%	0%	0%	3%	90%	3%	100%
Dai Son	HH					1	23	2	26
	%	0%	0%	0%	0%	4%	88%	8%	100%
Mo Vang	HH	1					27		28

	Unit	Rainwater	Dug well water	Drilled well water	Tap water	Piped water	Pond, river, lake	Other	Total
	%	4%	0%	0%	0%	0%	96%	0%	100%
An Thinh	HH		1			1	4		6
	%	0%	17%	0%	0%	17%	67%	0%	100%
Van Chan District	HH	4	6	0	7	4	103	22	146
	%	3%	4%	0%	5%	3%	71%	15%	100%
Lien Son Town	HH		2		2		2		6
	%	0%	33%	0%	33%	0%	33%	0%	100%
Son Luong	HH		3		5	4	2		14
	%	0%	21%	0%	36%	29%	14%	0%	100%
An Luong	HH		1				41	22	64
	%	0%	2%	0%	0%	0%	64%	34%	100%
Suoi Quyen	HH	4					58		62
	%	6%	0%	0%	0%	0%	94%	0%	100%
Total	HH	5	7	0	7	6	157	24	206
	%	2%	3%	0%	3%	3%	76%	12%	100%

(SES survey)

52. Most reported the quality of their drinking water as acceptable (79%) or good (19%).

Table 2-13: Household Self-Assessment of Water Quality

		Good	Acceptable	Not good	Other	Total
Van Yen District	HH	32	28	0	0	60
	%	53%	47%	0%	0%	100%
Dai Son	HH	14	12			26
	%	54%	46%	0%	0%	100%
Mo Vang	HH	18	10			28
	%	64%	36%	0%	0%	100%
An Thinh	HH		6			6
	%	0%	100%	0%	0%	100%
Van Chan District	HH	7	135	0	4	146
	%	5%	92%	0%	3%	100%
Lien Son Town	HH	2	4			6
	%	33%	67%	0%	0%	100%
Son Luong	HH	1	13			14
	%	7%	93%	0%	0%	100%
An Luong	HH		60		4	64
	%	0%	94%	0%	6%	100%
Suoi Quyen	HH	4	58			62
	%	6%	94%	0%	0%	100%
Total	HH	39	163	0	4	206
	%	19%	79%	0%	2%	100%

(SES Survey)

53. The most common form of toilet used is tank toilet (51.5%) followed by public toilet (25.7%) and toilet in house outflowing to wastewater (17.5%).

Table 2-14: Household Sanitation

		Tank toilet	Toilets in house with septic tanks	No toilets	Public toilets	Toilets over fish pond	Toilets in house leading to water source	Toilets in house leading to wastewater source	Other	Total
Van Yen District	HH	28	0	1	25	1	0	5	0	60
	%	46.7%	0.0%	1.7%	41.7%	1.7%	0.0%	8.3%	0.0%	100.0%
Dai Son	HH	10			12			4		26
	%	38.5%	0.0%	0.0%	46.2%	0.0%	0.0%	15.4%	0.0%	100.0%
Mo Vang	HH	17		1	8	1		1		28
	%	60.7%	0.0%	3.6%	28.6%	3.6%	0.0%	3.6%	0.0%	100.0%
An Thinh	HH	1			5					6
	%	16.7%	0.0%	0.0%	83.3%	0.0%	0.0%	0.0%	0.0%	100.0%
Van Chan District	HH	78	2	0	28	1	1	31	5	146
	%	53.4%	1.4%	0.0%	19.2%	0.7%	0.7%	21.2%	3.4%	100.0%
Lien Son Town	HH	3	0		0		1	2		6
	%	50.0%	0.0%	0.0%	0.0%	0.0%	16.7%	33.3%	0.0%	100.0%
Son Luong	HH	9			5					14
	%	64.3%	0.0%	0.0%	35.7%	0.0%	0.0%	0.0%	0.0%	100.0%
An Luong	HH	20	2		18			19	5	64
	%	31.3%	3.1%	0.0%	28.1%	0.0%	0.0%	29.7%	7.8%	100.0%
Suoi Quyen	HH	46			5	1		10		62
	%	74.2%	0.0%	0.0%	8.1%	1.6%	0.0%	16.1%	0.0%	100.0%
Total	HH	106	2	1	53	2	1	36	5	206
	%	51.5%	1.0%	0.5%	25.7%	1.0%	0.5%	17.5%	2.4%	100.0%

(SES Survey)

54. For energy for lighting, the overwhelming majority (83%) of households have electricity from the national grid while the energy source for 17% is a private generator.

Table 2-15: Household Sources of Energy for Lighting

District/ Commune	Unit	National grid	Private grid	Private generator	Gas/petrol	Gas cylinder	Total
Van Yen District	HH	59	0	1	0	0	60
	%	98%	0%	2%	0%	0%	100%
Dai Son	HH	26					26
	%	100%	0%	0%	0%	0%	100%
Mo Vang	HH	27		1			28
	%	96%	0%	4%	0%	0%	100%
An Thinh	HH	6					6
	%	100%	0%	0%	0%	0%	100%
Van Chan District	HH	98	0	47	0	1	146
	%	67%	0%	32%	0%	1%	100%
Lien Son Town	HH	6					6
	%	100%	0%	0%	0%	0%	100%
Son Luong	HH	12		1		1	14
	%	86%	0%	7%	0%	7%	100%
An Luong	HH	63		1			64
	%	98%	0%	2%	0%	0%	100%
Suoi Quyen	HH	17		45			62
	%	27%	0%	73%	0%	0%	100%
Total	HH	157	0	48	0	1	206
	%	76%	0%	23%	0%	0%	100%

(SES Survey)

55. For cooking, most families use wood/straw (69%) with gas cylinder being used by around one-quarter.

Table 2-16: Household Sources of Energy for Cooking

District/ Commune	Unit	Electric	Gas/ petrol	Gas cylinder	Charcoal	Wood/ Straw	Other	Total
Van Yen District	HH	0	2	4	0	54	0	60
	%	0%	3%	7%	0%	90%	0%	100%
Dai Son	HH		2	2		22		26
	%	0%	8%	8%	0%	85%	0%	100%
Mo Vang	HH			2		26		28
	%	0%	0%	7%	0%	93%	0%	100%
An Thinh	HH					6		6
	%	0%	0%	0%	0%	100%	0%	100%
Van Chan	HH	3	9	21	2	108	3	146

District/ Commune	Unit	Electric	Gas/ petrol	Gas cylinder	Charcoal	Wood/ Straw	Other	Total
District	%	2%	6%	14%	1%	74%	2%	100%
Lien Son Town	HH	1	4	1				6
	%	17%	67%	17%	0%	0%	0%	100%
Son Luong	HH			5		9		14
	%	0%	0%	36%	0%	64%	0%	100%
An Luong	HH	2	5	13	2	42		64
	%	3%	8%	20%	3%	66%	0%	100%
Suoi Quyen	HH			2		57	3	62
	%	0%	0%	3%	0%	92%	5%	100%
Total	HH	3	11	25	2	162	3	206
	%	1%	5%	12%	1%	79%	1%	100%

(SES Survey)

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

Table 2-17: Household Assets

District/ Commune	Unit	Bicycle	Motor bike	Car	TV	Fridge	Washing machine	Air- conditioner	Gas/ Electric stove	Rice cooker	Computer	Mobile phone	Valuable wood furniture
Van Yen District	HH	13	57	2	57	44	25	2	44	55	5	57	27
	%	22%	95%	3%	95%	73%	42%	3%	73%	92%	8%	95%	45%
Dai Son	HH	2	25	1	25	22	15	1	22	23	3	25	13
	%	8%	96%	4%	96%	85%	58%	4%	85%	88%	12%	96%	50%
Mo Vang	HH	9	27	1	27	17	7		18	27	1	27	9
	%	32%	96%	4%	96%	61%	25%	0%	64%	96%	4%	96%	32%
An Thinh	HH	2	5		5	5	3	1	4	5	1	5	5
	%	33%	83%	0%	83%	83%	50%	17%	67%	83%	17%	83%	83%
Van Chan District	HH	42	136	3	112	51	30	10	58	83	19	129	84
	%	29%	93%	2%	77%	35%	21%	7%	40%	57%	13%	88%	58%
Lien Son Town	HH	4	6	1	6	6	2	2	6	5		6	5
	%	67%	100%	17%	100%	100%	33%	33%	100%	83%	0%	100%	83%
Son Luong	HH	8	14		14	9	6	2	12	14	2	12	12
	%	57%	100%	0%	100%	64%	43%	14%	86%	100%	14%	86%	86%
An Luong	HH	21	59		58	27	19	4	31	54	16	60	25
	%	33%	92%	0%	91%	42%	30%	6%	48%	84%	25%	94%	39%
Suoi Quyen	HH	9	57	2	34	9	3	2	9	10	1	51	42
	%	15%	92%	3%	55%	15%	5%	3%	15%	16%	2%	82%	68%
Total	HH	55	193	5	169	95	55	12	102	138	24	186	111
	%	27%	94%	2%	82%	46%	27%	6%	50%	67%	12%	90%	54%

(SES)

2.6.3 Income and Poverty

57. Being poor or near-poor is based on the Government-set national poverty line of an average monthly per capita 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).

58. Based on district records, the average poverty rate in the project areas is 33% with An Luong and Suoi Quyen having very high poverty rates of 66% and Son Luong at 57%.

Table 2-18: Poverty Rates in the Project Areas

District/ Commune	Households	Poor Households	Near Poor Households	% Poor	% Near Poor
Văn Yên	4,199	1,111	676	26%	16%
Đại Sơn	855	389	10	45%	1%
Mỏ Vàng	961	444	166	46%	17%
An Thịnh	2,383	278	500	12%	21%
Văn Chấn	3,305	1,355	399	41%	12%
TT Liên Sơn	1,325	124	87	9%	7%
Sơn Lương	836	479	238	57%	28%
An Lương	827	543	56	66%	7%
Suối Quyền	317	209	18	66%	6%
Total	7,504	2,466	1,075	33%	14%

(District records)

59. The poverty rate amongst the SES survey respondents was slightly different than the district average with 21% being poor and 28% being near poor.

Table 2-19: Grouping of Per Capita Household Income Ranges (as %)

District/ Commune	Households	<VND 700,000	VND 700,000 - VND 1,000,000	> VND 1,000,000
		Poor	Near poor	Not poor
Văn Yên	60	9	18	33

Đại Sơn	26	3	6	17
Mỏ Vàng	28	4	12	12
An Thịnh	6	2		4
Văn Chấn	146	34	39	73
TT Liên Sơn	6		1	5
Sơn Lương	14	6	3	5
An Lương	64	14	18	32
Suối Quyền	62	14	17	31
Total	206	43	57	106
	100%	21%	28%	51%

(SES)

60. Of those surveyed, half (51%) reported that their income was just enough to meet expenditure and 14% had incomes greater than expenditure. The remainder reported that they had difficulties meeting their needs with their income (35%), or did not earn enough to meet their expenditure needs (8%).

Table 2-20: Difference between Income and Expenditure

District/ Commune	HH Surveyed	Income greater than expenditure		Income meets expenditure		Difficulty meeting expenditure		Income insufficient for expenditure	
		HH	%	HH	%	HH	%	HH	%
Văn Yên	60	14	23%	37	62%	5	8%	4	7%
Đại Sơn	26	10	38%	14	54%	1	4%	1	4%
Mỏ Vàng	28	3	11%	20	71%	4	14%	1	4%
An Thịnh	6	1	17%	3	50%		0%	2	33%
Văn Chấn	146	15	10%	68	47%	51	35%	12	8%
TT Liên Sơn	6		0%	4	67%	1	17%	1	17%
Sơn Lương	14	2	14%	2	14%	7	50%	3	21%
An Lương	64	9	14%	26	41%	24	38%	5	8%
Suối Quyền	62	4	6%	36	58%	19	31%	3	5%
Total	206	29	14%	105	51%	56	27%	16	8%

(SES)

61. 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.

62. The focus groups discussions commonly pointed to the limited availability of quality agricultural land as a key underlying cause of poverty in their villages. As the area is mountainous, most of the agricultural land is hilly. Upland areas tend to be used for cinnamon, tea and timber (esp. acacia) production. There are relatively small areas of flat land available for rice and vegetable cultivation. Some vegetable and corn cultivation takes place on sloping land

but this is gradually being replaced by cinnamon or in some cases, such as La La Village Son Luong Commune, becoming eroded.

63. Flat land allocations to households in the studied areas tended to be in the range of 300-500m² per person in the early 1990s (Lien Son and Son Luong Communes). Four to five such plots would have been considered enough to adequately support a family. However, due to increasing population and dividing land for inheritance these areas have generally been reduced by up to around half. Some families only have upland to cultivate. These areas of these allocations are considerably larger, but generally less productive due to soil quality and lack of irrigation and are also under the same pressures of population increase.

64. The region is also subject to adverse weather conditions that are often unpredictable that can have destructive impacts on agriculture. Sudden rainfall causes flash flooding which can wash away entire crops, cause erosion or even landslides. Unusual cold snaps, unusually cold Winters or long dry seasons leading to draughts cause crop failure or loss of animal stock.

65. Outside human activities have also exacerbated these conditions. In Dai Son Commune, the hydropower project's release of water causes inundation of low lying areas several times per year causing crop loss or making areas impossible for cultivation. In Son Luong Commune, there are upland areas that had been used customarily without land use rights to grow pine trees, tea as well as buffalo and goat raising (amongst the pine trees). This land has been taken over by outsiders for rubber production displacing local farmers.

66. Opportunities to maximize the potential of the land that they do have are missed due to limited skill levels. People lack sufficient knowledge about necessary farming skills and need more agricultural extension support in the aspects they consider useful. Dai Son Commune discussion group said that farming is carried out by experience where farmers teach each other without any high level of skills. While there are 1-2 training courses per year, not everyone is invited and only one person from the village is trained. The Lien Son Commune group reported that every year, that tea planting training is provided, but that tea growing is already known by everyone as it has been being planted for so many years and the growers are experienced. Whereas husbandry training but just delivered once in a blue moon. When husbandry training is provided only some people are trained. After they come back from the training courses, they teach others, but training documents are not available. Group discussion participants in An Thinh, Son Luong and Lien Son Communes said that they commonly faced failures in farming due to lack of knowledge about pest and disease control for both crops and husbandry.

67. All discussion groups raised poor market access due to remoteness and poor conditions of local rural roads as contributing to poverty. Poor market access causes lower ex-farm prices for produce and higher costs of farming inputs because of the reliance on buyers and agents coming to the villages. Prices for tea sold in Lien Son Commune are 10% lower than if sold at the market. An Thinh Commune participants reported the local ex-farm prices to be as low as around half or less than the market price. However, some products in some locations are less sensitive to the market access issues such as cinnamon. Farming inputs and items purchased from outside such as gasoline were reported to be 10-15% higher in the villages than areas with good market access.

68. On top of poor incomes from farming, there is a dearth of non-farm job opportunities in the local areas. The most common waged work undertaken locally is casual labour for other farmers where workers can earn from VND 100,000 to as high as VND 150,000 per day. Some men and women go to other provinces, to Hanoi or some even to China for seasonal work or other waged work opportunities.

69. 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. 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. In Son Luong Commune group, it was reported that people often resort to reliance on credit for farming inputs (pesticide/fertilizer) or rice from suppliers in times of need, but with high rates.

70. Information from the group discussions on differences of poverty by ethnic group was mixed. The ethnic groups participating in the focus group discussions included Dao, Hmong, Muong, Tay and Thai. The more consistent information provided was that formal legal rights to land in these areas was predominantly with ethnic minority people rather than Kinh people given that the ethnic minority groups are the original inhabitants of these village areas. 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 and their children tended to complete higher levels of education. There was a perception that Hmong people were generally poorer than other groups, a view expressed in the groups with Hmong participants. The reasons given were less social interactions with others, not engaging in business and lower levels of Hmong women participating in remunerated work.

2.7 Gender

71. 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.

72. 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.

73. 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.

74. 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.)

Table 2-21: Household Distribution of Labour

Household Activity	Male/ Female	Total Van Yen District		Total Van Chan District	
		Hộ	%	Hộ	%
Going to Market	M	1	2%	2	1%
	F	49	82%	107	73%
	Both	10	17%	37	25%
Cooking	M	0	0%	1	1%
	F	40	67%	114	78%
	Both	20	33%	31	21%
Cleaning	M	0	0%	1	1%

Household Activity	Male/ Female	Total Van Yen District		Total Van Chan District	
		Hộ	%	Hộ	%
House	F	41	68%	103	71%
	Both	19	32%	42	29%
Washing Clothes	M	1	2%	1	1%
	F	50	83%	88	60%
	Both	9	15%	57	39%
Taking Care of Children and Elderly	M	0	0%	2	1%
	F	7	12%	47	32%
	Both	53	88%	97	66%
Taking Children to School	M	0	0%	4	3%
	F	6	10%	29	20%
	Both	54	90%	113	77%
Helping Children with Studies	M	0	0%	11	8%
	F	4	7%	12	8%
	Both	56	93%	123	84%
Earning an Income	M	2	3%	14	10%
	F	3	5%	7	5%
	Both	55	92%	125	86%
Fixing Things in the House	M	43	72%	86	59%
	F	4	7%	3	2%
	Both	13	22%	57	39%
Attending Public Meetings	M	4	7%	28	19%
	F	3	5%	17	12%
	Both	53	88%	101	69%
Making Important Decisions	M	12	20%	10	7%
	F	3	5%	14	10%
	Both	45	75%	122	84%
Attending Social Events	M	5	8%	3	2%
	F	3	5%	13	9%
	Both	52	87%	130	89%
Name on Land Certificate	M	15	25%	6	4%
	F	4	7%	19	13%
	Both	41	68%	121	83%
Attending Ceremonies	M	0	0%	3	2%
	F	3	5%	17	12%
	Both	57	95%	126	86%

Chapter 3 - Consultation, Participation and Information Disclosure

3.1 Information dissemination, consultation and participation requirements

75. 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.

76. 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

77. 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.

78. **Meeting with Committee for Ethnic Minority Affairs (CEMA).** A meeting was conducted with CEMA by the national social development consultant at the provincial level on 9 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.

79. **Focus Group Discussions:** Ten focus group discussions (FGD) were undertaken with a total of 198 participants of whom 184 were ethnic minority people: two each in Mo Vang and An Luong Communes November 2017 and, two in Dai Son and one each in An Thinh, Lien Son, Son Luong and Suoi Quyen Communes July to August 2018. Topics covered during the FGDs included living conditions and challenges, perceptions about the project, risks and concerns. Key feedback included difficulties in accessing markets affects living standards -many local farmers are in self-sufficiency mode rather than market-oriented, the ex-farm price of produce is low. Concerns over road safety during construction and after completion. The groups

recommend support inter-village roads, training in HIV/human trafficking, agricultural skills and vocational skills, build local markets, more information about compensation and assistance for land acquisition and mitigation of social issues during implementation due to the influx of outside workers. Details of the focus group discussions are set out in Appendix 3.

80. **Public consultation meetings.** Seven consultation meetings were held in all the affected communes 2-10 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, types of land acquisition and resettlement impacts as well as approach to mitigation and policy principles. A total of 212 ethnic minority people participated consisting of 113 men and 99 women (47% of total). Summaries of these consultation meetings along with issues raised are in presented below.

Table 3-1: List of Consultation Meetings Conducted with Affected Communities

Commune	Date	Participants	No. Attendendees		
			Total	M	F
Yen Bai Province					
1. Lien Son Town	Feb 2, 2018	- Potentially affected households - Representatives of local authorities: town vice-chairman, cadastral official. - Project consultant	6	2	4
2. Suoi Quyen Commune	Feb 3, 2018	- Potentially affected households - Representatives of local authorities : commune vice-chairman, cadastral cadastral officer, village chief, secretary of the cell. - Project consultant	62	34	28
3. An Luong Commune	Feb 5, 2018	- Potentially affected households Local government representatives: the commune office, youth union secretary, commune cadastral officials, village heads - Project consultant	65	36	29
4. Son Luong Commune	Feb 6, 2018	- Potentially affected households - Representatives of local government: commune chairman, land officer, Farmer's Union chairman, Women Union Chairperson, Youth Union Secretary of the commune - Project consultant	15	8	7
5. Mo Vang commune	Feb 07, 2018	- Potentially affected households - Representatives of local government: Commune Chairman, land officers, Farmer's Union chairman, Women Union Chairperson, Youth Union Secretary of the commune, commune office staff - Project consultant	28	15	13
6 . An Thinh commune	Feb 08, 2018	- Potentially affected households - Representatives of Local Government: Chairman of the commune, cadastral officer, Secretary of the Party Committee, office staff, Farmer's Union chairman, Women Union Chairperson, Youth Union Secretary of the commune.	5	1	4

Commune	Date	Participants	No. Attendees		
			Total	M	F
		- Project consultant			
7 . Dai Son commune	Feb 10, 2018	- Potentially affected households - Representatives of local authorities: Vice Chairman of the People's Committee, cadastral officer - Project consultant	31	17	14

81. 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 3-2: Summary of feedback from public consultation meetings

Issue Raised	Response/ How Addressed in the Project
Resettlement Related	
- The compensation and support must be clear and avoid to losses to the affected people. For households doing business along the road who lose their land, other roadside land should be compensated for them to start over. (Lien Son Commune)	Compensation and support will be provided based on the impact degree of each household and after the compensation plan is prepared, the plan will be posted at the CPC office and village cultural house for the affected person; For affected businesses along the road in addition to receiving compensation for lost assets, other assistance will be provided, including support for temporary or permanent suspension of business.
- Details of the house impacts and relocation plan should be provided. (Suoi Quyen Commune) - 100% of people want to receive cash compensation for the construction and repair of the house. (Lien Son Commune) - Decisions to relocate or stay depend on the more details of compensation plan (An Luong Commune)	When the project is implemented, detailed design and detailed plans on compensation, support and resettlement will be announced. Desires to receive compensation for affected houses and structures will be met by the project so that people can build or repair their own homes according to their needs; People will be consulted on the relocation options. In the case of remaining residential land has enough area in accordance with the regulations of the PPC on the minimum residential land area, people have the right to rebuild their house on the remaining land.
- The issue of compensation should be taken seriously and accurately. The current price specified by Yen Bai province is too low. (Son Luong Commune) - Compensation price must be agreed on negotiation, while according to the regulations of Yen Bai province, the current price is VND 27mil/ha. (Suoi Quyen Commune) - Strict and transparent measurement of loss	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 project. If the

Issue Raised	Response/ How Addressed in the Project
and fair compensation. (An Luong Commune)	remaining portion of land is unviable, the entire parcel of land will be acquired in accordance with Government regulations.
<ul style="list-style-type: none"> - Concerns on impacts and compensation on rice fields and unregistered land. (Suoi Quyen Commune) - Concerns on compensation for land with and without right title. (Mo Vang Commune) 	Compensation for land will be based on legal status of the land – whether it has or is eligible for LURC. Regardless, all affected people will receive compensation for non-land assets and assistance for relocation (if displaced) and assistance for livelihood restoration (if severely affected) and applicable transitional assistance.
<ul style="list-style-type: none"> - Vocational training for young people is needed. (Lien Son Commune) - Need to have job support for rice farmers who lose farming land. (Son Luong Commune) 	Livelihood restoration assistance will be aimed at supporting them to restore their livelihoods or seek new opportunities. The RP includes a livelihood development program that will be detailed during RP updating. The main focus of the program will be farming livelihoods as well as provide opportunities for other vocational training. As part of the program, counselling will be provided on use of compensation money as well as viable vocations for those who wish to undertake vocational training. The livelihood development program will promote the active participation of women. Women will be separately consulted on their needs and preferences.
Design Related	
<ul style="list-style-type: none"> - Plant trees along the road when operated. (Lien Son Commune) 	Tree planting along the both sides of the road will be decided by Department of Transport and District People's Committee
<ul style="list-style-type: none"> - 100% of households want to keep the existing road alignment which does not affect land for production. (An Luong Commune) 	In An Luong Commune, most routes will be upgraded on the old routes, only a section of road to the bridge will be constructed. The construction of bypass to the bridge to mitigate impacts on market area of the commune.
<ul style="list-style-type: none"> - The widening of the road should not take much land so the business people can the remaining land and receive cash for home repair. (Son Luong Commune) 	Households can keep the remaining area (residential land, business land). Compensation will be paid to households for lost assets so they can repair affected houses or structures.
General	
<ul style="list-style-type: none"> - 100% of people support the road project. (Lien Son Commune) - The implementation of the project is fully supported by local people. (Dai Son Commune) 	Project implementation plan is scheduled to start in 2020 and compensation, land acquisition can be conducted in 2019. The Project implementation plan will be

Issue Raised	Response/ How Addressed in the Project
<ul style="list-style-type: none">- The road expansion is quite convenient because of previous planning for road widening. (An Thinh Commune)	disclosed to authorities at all level, affected households and community after the Project is approved.
<ul style="list-style-type: none">- The situation of roads is very difficult and the road improvement is welcome. (Son Luong Commune)	
<ul style="list-style-type: none">- Questions about the project implementation period. (An Thinh Commune)	
Environment Related	
<ul style="list-style-type: none">- The project owner must ensure the environmental impacts minimized for the people and the interests of the business households, must have monitoring units to ensure the environmental compliance. (Mo Vang Commune)	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan.
<ul style="list-style-type: none">- Contractors should water the road regularly to avoid dust during construction. Should set up a community based supervision board. (An Thinh Commune)	
<ul style="list-style-type: none">- Should deal with all environmental issues, e.g. drainage ditches during construction. (An Thinh Commune)	
<ul style="list-style-type: none">- It is necessary to ensure the environmental impacts minimized. Do not heat asphalt by burning used tires (Dai Son Commune)	
Feedback from the Focus Group Discussions	
<p>Relocating graves: Normally, no one moves the grave, but if the road construction requires grave moving, there is no big deal about it since the procedure is simple. We need a ceremony to ask the soul to move to new grave. The cost to do this ceremony is not too much, with the following stuff: one small pig about 10 kg, and a chicken, and 200,000 VND to pay for the scholar who master the worship, total amount is about 500,000VND.</p> <p>The funeral of the Dao often have many rituals such as: commemorative ceremony, sticky rice-and-chicken and table setting ceremony; vegetarian food ritual, the enlightenment ceremony, the burying ceremony and the rice offerings. Dao people do not have redeeming the dead ceremony. If the dead person passed the mature ceremony, the soul is called to go home to worship regularly, but death ceremony is not organized. (Dai Son Commune)</p> <p>If grave is to be moved a ceremony involving a shaman (thầy Mo) is needed. The ceremony costs about VND 01 million, 200.000 for</p>	Provisions for support for ceremonies and customs required under cultural practices is included in the resettlement plan.

Issue Raised	Response/ How Addressed in the Project
<p>sharman, (pigs, chickens in the house), including pigs, chickens, less rice. (An Thinh Commune)</p> <p>If we [Dao] have to move the grave, we need to the consult fortune teller. The expense for the ceremony include one pig, one chicken, money for the fortune teller, is about 3 million VND. (Suoi Quyen Commune)</p>	
<p>Road Safety concerns: Good road may lead to busy traffic, and accident, children going to school is not safe anymore; (Dai Son Commune)</p>	<p>The project includes a community road safety awareness program.</p>
<p>Concerns about social problems during construction: Many people coming to construct the road may gamble, steal or addict to drug; (Dai Son Commune)</p> <p>In order to avoid the collision between workers from other places and local people, the project should hire local workers, so they will have jobs, have more income, but if the project hires workers from other places, it is easy to collide, then social evils are not avoided. (An Thinh Commune)</p>	<p>There are requirements for the Environment Management Plan to include contractors to manage and monitor of workers and liaise with community leaders.</p> <p>The project will actively promote the recruitment of local labour.</p>

3.3 Information Disclosure

82. 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

83. 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.

84. 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 Resettlement Plan Consultation, Communication and Disclosure Plan

3.4.1 Special considerations for communication and consultation

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

86. 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 which 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.

87. 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.

88. 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

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

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

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
EMDP Specific					
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 website.	ADB	Upon submission of periodic monitoring reports by PMU 2 (semi-annual)	NA
Construction and Environment Related					

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
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 implementation Comments and suggestions	Potentially affected households, ward PC representatives	Public satisfaction survey, CEMA	PSC, PMU2	Once at project completion report stage	Project supervision consultant time
Resettlement Related					
Disclosure of agreed RP	Affected households, communities in project areas;	Dissemination of RP to all DPCs/ CPCs in project areas and agencies involved in RP	PMU 2/ DONRE/ DPCs DPCs/ CPCs	Following formal approval and concurrence from Government and ADB	Project supervision consultant time Resettlement Plan

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
	Stakeholders.	implementation. Public posting of updated PIB in CPC notice boards			
	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. Distribution of the PIB to APs	CLDFs, CPC with support from PMU 2; CEMA, traditional leaders and mass organizations	Following DMS and replacement cost study	Resettlement Plan
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	CLDF		Resettlement Plan

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
		feedback on compensation plans to be collected and recorded at least 20 days following disclosure			
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	CLDF, PMU 2, CPCs	Ongoing prior to implementation and upon significant change in implementation schedule.	Resettlement Plan
Compensation disbursement schedule	Affected households	Notices to individual households	CLDF and local PCs	Minimum 1 week prior to disbursement	Resettlement Plan
Relocation arrangements	Households required to relocate	Group discussions and individual consultations as needed.	CLDF	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	NA

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
				(semi-annual)	
Other Social Issues					
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, Road Safety Service Provider	During construction phase and at commencement of operation phase.	Road Safety Awareness program
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

90. 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 well-being 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

91. The project is expected to affect an estimated 206 ethnic minority households comprised of 933 people. The most common impact is loss of residential land (186 households) followed by impacts on houses (119 households), loss of productive land (93 households) and impacts on businesses (36 households). None of the 119 households with affected houses are expected to require relocation. However, the resettlement plan anticipates that 65 households will have severe permanent impacts on their livelihoods.

92. A total of 93 households will lose some form of productive land. An estimated 14.9ha of productive land will be acquired. Productive land comprises paddy, annual cropping, perennial, other agricultural land, and forestry land. The largest losses are in An Luong Commune in Van Chan District and Dai Son Commune in Van Yen District). The categories of productive land with the greatest losses are perennial and forest.

93. Of the 93 households losing land, 65 households are severely affected by loss of 10% or more of productive land. Most of the severe losses are in Suoi Quyen and An Luong Communes in Van Chan District with a total of 45 severely affected households.

94. There is expected to be 119 households with partially affected houses. There are no fully affected house structures. The houses will be fit for continued residence after repairs are made.

95. 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

96. 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.

97. In the project provinces, Yen Bai has the highest number of incidents. However, in terms of death rate / traffic accident, the province has a relatively low death rate of 0.26 per accident. However, when observing the site, the PPTA consultant detected that low percentage of deaths per traffic accidents is likely attributable to PR 175 being in very bad state with many big potholes making vehicles unable to travel fast. Therefore, when PR 175 has been improved, the speed of vehicles will increase and the percentage of deaths over cases of traffic accidents may increase if the project does not have a program to enhance awareness of people as well as measures of prevention.

98. On PR 175 from 2015 to end of June 2017, there were 4 traffic accidents occurring on provincial road 175. It killed 1 person and injured 9 people. The rate of deaths / cases is 0.25 and the rate of injured people / cases is 2.2. Some typical cases in 2015 were,

- at An Thinh commune, one person was killed due to a truck having reversed back without seeing a person behind and at km21,
- there were 5 people injured in an accident due to poor road conditions (large potholes).
- a bus slipped of the road because slippery surface and big potholes. Most passengers in the vehicle were injured.

99. 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.

100. 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.

101. 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.

102. 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.

103. 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.

104. 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

105. 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.

106. 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.

107. 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 labour recruitment companies in the construction, fishing, agriculture, mining, logging, and manufacturing sectors. Some of these workers subsequently face conditions of forced labour. Vietnamese women and children subjected to sex trafficking throughout Asia are often misled by fraudulent labour opportunities and sold to brothels on the borders of Cambodia, China, and Laos, with some eventually sent to third countries.

108. 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

109. 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.

110. 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.

111. 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 Risk of Poor Communication/Information Dissemination

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.

112. 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.

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

114. 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 5 local interpreters for one week per month for 48 months is VND 576 million (approx. USD25,335).

4.2 Beneficial Measures

4.2.1 Economic Improvement

115. 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

116. 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.

117. The project will include the construction of a small-scale farm bridge and access road to replace a bamboo bridge at Mo Vang Commune, Van Yen 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 solid bridge. The bridge will serve an estimated 150 households located in Mo Vang Commune. The bridge

and access road will cost an estimated VND 6,570 million (approx. USD 288,982). Further summary details are set out below.

Table 4-1: Summary Information of Na Tam Farm Bridge and Access Road

Location	Prov	Yen Bai
	Dist.	Van Yen
	Communes	Mo Vang
	Chainage	Km32+800
	Section	ADB-CR2
Existing Condition	Distance from project road	320 - 3000
	Estimated numbers of households	120
	Existing Access	Bamboo bridge
Proposed Pedestrian/ Farm Bridge and Access Road Details	Bridge Location/ Coordination (WGS-84)	21.694008°, 104.635146°
	Bridge's length (m)	100
	Access/ approach Road (m)	280
	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

118. 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.

119. 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.

120. 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

121. 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.

122. 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.

123. 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

124. 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.

125. 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 4-2: Summary Matrix of Impact Issues, Associated Actions and Resources

IMPACTS ISSUES	ACTION	KEY RESPONSIBLE AGENCIES	RESOURCES	RELATED PLANS
<p>(i) Land Acquisition and Resettlement</p> <p>Impact: (-)</p>	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	Resettlement Plan. The RP is subject to updating following detailed design.
<p>(ii) Road Safety</p> <p>Impact: (-/+)</p>	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	Road Safety Plan
<p>(iii) Risk of HIV/AIDS & Human Trafficking</p> <p>Impact: (-/+)</p>	<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	HIV/AIDS and Human Trafficking Awareness and Prevention Program
<p>(iv) Disruptions to Local Communities</p>	Prioritize hire of local staff. Provide jobs requiring re-training for employees hired	Contractor, PMU	Resourced under works	

IMPACTS ISSUES	ACTION	KEY RESPONSIBLE AGENCIES	RESOURCES	RELATED PLANS
during Construction Impact: (-)	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		contracts	
(v) Communication/ Information Dissemination Impact: (+/-)	Communication, Participation and Consultation Plan to be implemented.	PMU, PSC, Contractor	VND 576 million (approx. USD 25,335) (other non-EMDP resources for communication described in Communication , Participation and Consultation Plan)	Communication, Participation and Consultation Plan
(vi) Improved Access and Mobility Impact : (+)	Design and construct bridge and access road	PMU, PSC, Contractor	VND 6,570 million (approx. USD 288,982)	
(vii) Opportunities for Improved Livelihoods Impact : (+)	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	Resourced under Resettlement Plan	Resettlement Plan. The RP is subject to

IMPACTS ISSUES	ACTION	KEY RESPONSIBLE AGENCIES	RESOURCES	RELATED PLANS
		Provincial authorities/departments. Implementation by DARD and DOLISA.		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.	

Chapter 5 - Grievance Redress

5.1 Project Grievances

126. 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.

127. 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

128. 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.

129. 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.

130. 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.

131. 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.

132. 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.

133. **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 (07) and provinces (03) on the implementation and result of the corrective action plans.

134. **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.

135. **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.

136. The GRM stages are presented below.

137. 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.

138. 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; (iv) 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.

139. 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.
140. Stage 4: Confirmation by AP, or First Appeal [max. 10 working days]
- a. The complainant confirms in writing consent with the proposed action plan to execute immediately the action plan.
 - b. 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.
141. Stage 5: Review, Eligibility Assessment and Confirmation of Appeal by GRC of respective Provinces [max. 5 working days]
- a. 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.
 - b. If the appeal is deemed ineligible, the complainant is informed of the decision and the reasons for ineligibility.
 - c. 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.
 - d. 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.
142. Stage 6: Assessment and Identification of Action by GRC [max 10 working days]
- a. 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.
 - b. 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.
 - c. The entity identified under Stage 5 (c), in consultation with PMU2 ESU, drafts a time-bound action plan including responsibilities for plan implementation.
 - d. 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.
143. Stage 7: Confirmation by AP, or Second Appeal [max 10 working days]
- a. The complainant confirms agreement in writing with the Decision and the proposed action plan.
 - b. 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.

- c. 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>¹.

144. 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.

145. 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.

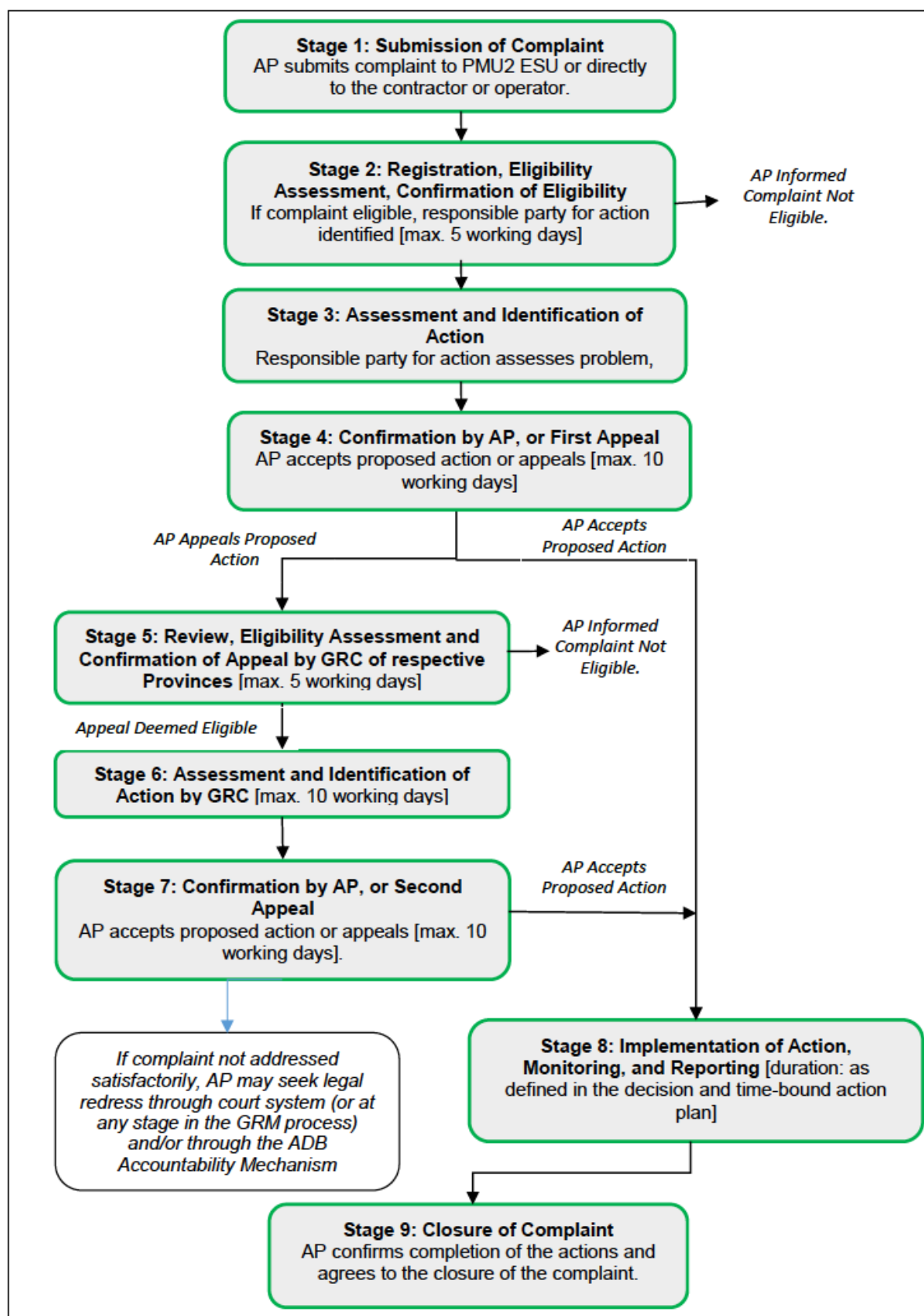
146. The AP will not have to pay any fee for his/her case (official or unofficial). APs will be encouraged to use the above GRM. However, the GRM does not impede access to the country's judicial or administrative remedies by APs, at any stage, if they so wish.

5.3 Role of Committee for Ethnic Minority Affairs in GRM

147. 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.

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

Figure 1. Project GRM



Chapter 6 - Monitoring, Reporting & Evaluation

148. 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

149. 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.

150. 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

151. 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;

152. 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 relocation²; 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.

² 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

Post-completion Evaluation

153. 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:

- 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

Schedule & Team Composition

154. 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.

155. 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.

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

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

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

	Examples of Indicators
	<ul style="list-style-type: none"> · Level of involvement by IP and representatives in the design and implementation of consultation and participation · Communication modes are accessible, effective and understandable.
Changes to Status of Women	<p>Process Indicators</p> <ul style="list-style-type: none"> · % participants in EMDP community-based programs are women · % unskilled labour in project construction are women · Equitable participation of women in livelihood development program <p>Outcome Indicators</p> <ul style="list-style-type: none"> · model farms developed under the livelihood development program are accessible to non-affected households within those communities. · Increased participation in remunerated work <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&E activities.)</p>
Procedures in Operation	<ul style="list-style-type: none"> · CEMA and Women's Union participate in GRM and program implementation of HTAP and Community Road Safety programs. · 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.

Chapter 7 - Institutional and Implementation Arrangements

159. 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)

160. 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)

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

162. 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 is 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)

163. 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)

164. 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.

165. 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.

166. 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)

167. 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

168. 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:

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

7.1.8 Department of Traffic Safety:

Coordinate the organization of activities of road safety awareness propaganda;

7.1.9 Department of Education and Training:

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)

169. 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

170. 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

171. 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 Women's Union will also be a member of the DCARB and GRM. 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)

172. 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.

173. 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 regard to these matters.

174. 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.

175. 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.

176. 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

177. The EMDP specific actions are estimated to cost VND 8,575 million, including 20% contingency on direct costs.

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

179. A summary is presented below.

Table 8-1: EMDP Budget Estimate

Mitigation/ Beneficial Measures	Cost (VND million)	Remarks
local interpreters of ethnic minority languages for consultation and information dissemination meetings	576	5 interpreters x 288 days x VND400,00/day
Replace bamboo bridge at Mo Vang Commune	6,570	Bridge's length (m): 100 Access/ approach Road (m): 280 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 ² ; Access road: 305,000 VND/m ²
Direct Costs	7,146	
Contingency (20%)	1,429	
Total	8,575	

180. 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.

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

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

181. 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.

182. 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.

183. 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.

184. 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.
-

HIV and Human Trafficking Situation

185. 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.

186. 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.

187. 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.

188. 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.

189. 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.

190. Target Groups for the HTAP

191. 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.

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

192. 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.

Target Group 2: Female Sex workers (FSW)

193. 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.

Target Group 3: Mobile Populations

194. 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.

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

195. 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.

Target Group 5: Construction workers

196. 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.

Program Objectives

197. 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:

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.

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.

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

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

Component 1: Capacity Strengthening of Institutional Stakeholders

199. 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.

200. 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.

201. 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:

202. 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)

203. 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.

204. 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).

205. 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.

206. 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).

207. 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

208. 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.

209. 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.

210. 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

211. 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

212. 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

213. 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.

214. 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

215. 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.

216. Implementing partners are responsible for the field level planning and implementation of IEC/BCC³ 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

217. 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.

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

219. 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.

³ 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.

Table 9-1 HTAP 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

Activity Area 1: Inception Workshop

220. **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.

Activity Area 2: Training Program for Implementing Partners

221. **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).

222. 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.

223. 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;

224. 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 HAP/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)

225. 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

226. 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 establishments⁴ 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.

227. 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

228. 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.

229. 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 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

⁴ 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.

integrated and functional interventions that is coordinated with initiatives implemented under this HTAP.

230. 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

231. 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.

232. **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

233. 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.

234. **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.

235. **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.

Activity Area 2: Community Campaigns

236. 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.

237. 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

238. 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

239. 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

240. 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.

241. 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.

242. 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

243. 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 Framework⁵ provides sample questions for key indicators of HIV knowledge and practice that will be integrated into the survey design.

244. 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

245. 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.

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

Activity Area 3: Final Evaluation

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

247. 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.

248. **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.

249. **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.

250. **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.

Table 9-2 HTAP Participants and Beneficiaries

	KEY ACTIVITIES	BENEFICIARIES/PARTICIPANTS
1	Component One: Capacity	Strengthening of Institutional Stakeholders
1.1	Provincial HTAP Stakeholders	In each of Yen Bai, Lao Cai and Lai Chau Provinces: 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	In each of Yen Bai, Lao Cai and Lai Chau Provinces: 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	Tam Duong, Tan Uyen, Than Uyen Districts (Lai Chau Prov): [13 communes/towns] 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. Bao Yen, Van Ban Districts (Lao Cai Prov): [12 communes/towns] 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. Van Chan, Van Yen Districts (Yen Bai Prov): [9 communes/towns] 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.
2	Component Two: Advocacy	
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
3	Component Three: Information Education and Communication (IEC) and Behaviour Change Communication (BCC)	
3.1	Peer Education Program	Tam Duong, Tan Uyen, Than Uyen Districts (Lai Chau Prov) <ul style="list-style-type: none"> 39 peer educators from the Women's Union and Youth Union targeting women 18-40 and men 18-30 Bao Yen, Van Ban Districts (Lao Cai Prov): <ul style="list-style-type: none"> 36 peer educators from the Women's Union and Youth Union targeting women 18-40 and men 18-30 Van Chan, Van Yen Districts (Yen Bai Prov):

	KEY ACTIVITIES	BENEFICIARIES/PARTICIPANTS
		<ul style="list-style-type: none"> 27 peer educators from the Women's Union and Youth Union targeting women 18-40 and men 18-30 <p>* The precise number and allocation of the peer educators will be finalized during implementation based on risk assessment.</p>
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.
4	Component Four: Monitoring and Evaluation	
4.1	Baseline Survey	<ul style="list-style-type: none"> 500 respondents from the women 18-40 and men 18-30 target groups in sampled from the 34 affected communes/towns Construction workers across the construction packages Entertainment establishments in the vicinity of the 34 target communes and towns
4.2	Mid tern Review	<ul style="list-style-type: none"> Steering Committee members and program implementers from the district and commune levels.
4.3	Final Evaluation	<ul style="list-style-type: none"> 500 respondents from the women 18-40 and men 18-30 target groups in sampled from the 34 affected communes/towns Construction workers across the construction packages 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)

Summary Budget

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

Table 9-3 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	86,130	86,130	86,130	258,390
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	75,135	55,955	55,955	187,046
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	10,647	2,523	10,647	23,817
	TOTAL(I+II+III)	171,912	145,870	152,733	470,514
IV	Contingency (15%)	25,787	21,880	22,910	70,577
	GRAND TOTAL	197,699	167,750	175,643	541,092

(Refer to HTAP document for detailed budget estimates.

Appendix 2: Description of the Livelihood Development Program

252. 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.

253. 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.

254. 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.

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

Livelihood Development Program Approach

256. 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

257. 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.

258. 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 291 affected households, 06 are severely affected, 206 are ethnic minorities and 13 are estimated to be vulnerable. The number of household participation entitlements would therefore be 225. 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.

Table 9-4 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
Van Yen District	122	3	12	60	75
Dai Son	44	2	2	26	30
Mo Vang	29	1	0	28	29
An Thinh	49	0	10	6	16
Van Chan District	169	3	1	146	150
Lien Son Town	18	2	1	6	9
Son Luong	23	1	0	14	15
An Luong	65	0	0	64	64
Suoi Quyen	63	0	0	62	62
Total	291	6	13	206	225

Preparation of the Detailed LDP and Implementation Arrangements

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

Preparation of Detailed LDP

260. 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

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

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.

Table 9-5 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
Growing potato without soil. Potatoes are grown in straw instead of soil. The yield is higher than regular cultivation methods. The potatoes are less susceptible to disease and have a better appearance for markets. There are existing models in the northwest region.	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

261. The estimated direct costs of the LDP in Yen Bai is VND 6,420,000,000, including costs for model establishment, training, project material inputs. Contingency and administration costs are incorporated in the total estimated resettlement plan budget.

Table 9-6 Livelihood Development Program Budget

ITEM	UNIT	# UNITS	AVE COST	TOTAL (VND)
Model establishment*	model	5	300,000,000	1,500,000,000
Livelihood training*	person	225	10,000,000	2,250,000,000
Material inputs for trainees (project contribution)	person	225	2,000,000	450,000,000
Total Direct Costs				4,200,000,000

Appendix 3: Record of Public Consultations

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

SUMMARY OF PUBLIC CONSULTATION RESULTS							
Commune	Meeting place	Ingredient	Number of participants			Opinion of the people	Response/ How Addressed by Project
			total	male	Femal e		
Yen Bai Province							
1. Lien Son Farm Town	People's Committee Office of Lien Son Farm Town Feb 2, 2018	- Representatives of local authorities: town vice-chairman, cadastral official. - Project consultant	6	2	4	- 100% of people support the road project.	Noted
						- The compensation and support must be clear and avoid to losses to the affected people. For households doing business along the road who lose their land, other roadside land should be compensated for them to start over.	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. Affected households will participate in the detailed measurement survey. [The issue of livelihood restoration for roadside vendors is noted and incorporated in the livelihood restoration strategy.]
						- Plant trees along the road when operated.	Tree planting along the bothsides of the road will be decided by Department of Transport and District People's Committee
						- 100% of people want to receive cash compensation for the construction and repair of the house.	Noted. The entitlements for repair and construction of houses are based on cash compensation.
						- Vocational training for young people is needed.	Livelihood restoration assistance will be aimed at supporting them to restore their livelihoods or seek new opportunities. The RP includes a livelihood development program that will be detailed during RP updating. The main focus of the program will be

SUMMARY OF PUBLIC CONSULTATION RESULTS

Commune	Meeting place	Ingredient	Number of participants			Opinion of the people	Response/ How Addressed by Project
			total	male	Female		
							farming livelihoods as well as provide opportunities for other vocational training. As part of the program, counselling will be provided on use of compensation money as well as viable vocations for those who wish to undertake vocational training. The livelihood development program will promote the active participation of women. Women will be separately consulted on their needs and preferences.
2. Suoi Quyen Commune	Suoi Quyen Commune People's Committee Feb 3, 2018	<ul style="list-style-type: none"> - Representatives of local authorities : commune vice-chairman, cadastral officer, village chief, secretary of the cell. - Project consultant 	62	34	28	- More detailed of the house impacts and relocation plan should be provided.	When the project is implemented, detailed design and detailed plans on compensation, support and resettlement will be announced. Desires to receive compensation for affected houses and structures will be met by the project so that people can build or repair their own homes according to their needs; People will be consulted on the relocation options. In the case of remaining residential land has enough area in accordance with the regulations of the PPC on the minimum residential land area, people have the right to rebuild their house on the remaining land.
						- Compensation price must be agreed on negotiation, while according to the regulations of Yen Bai province, the current price is VND 27mil/ha.	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.

SUMMARY OF PUBLIC CONSULTATION RESULTS							
Commune	Meeting place	Ingredient	Number of participants			Opinion of the people	Response/ How Addressed by Project
			total	male	Female		
						- Concerns on impacts and compensation on rice fields and unregistered land.	Compensation for land will be based on legal status of the land – whether is has or is eligible for LURC. Regardless, all affected people will receive compensation for non-land assets and assistance for relocation (if displaced) and assistance for livelihood restoration (if severely affected) and applicable transitional assistance.
3. An Luong Commune	People's Committee of An Luong Commune Feb 5, 2018	Local government representatives: the commune office, youth union secretary, commune cadastral officials, village heads - Project consultant	65	36	29	- 100% of households want to keep the existing road alignment which does not affect land for production.	Noted. [The project plans to utilize existing alignment]
						- Strict and transparent measurement of loss and fair compensation.	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. 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 to be undertaken when the RP is being updated. Land and non-land assets will be compensated at replacement costs.
						- Decisions to relocate or stay depend on the more details of compensation plan	Noted. [Resettlement is not expected to be required for Yen Bai] When the project is implemented, detailed design and detailed plans on compensation, support and resettlement will be announced.

SUMMARY OF PUBLIC CONSULTATION RESULTS							
Commune	Meeting place	Ingredient	Number of participants			Opinion of the people	Response/ How Addressed by Project
			total	male	Female		
							Desires to receive compensation for affected houses and structures will be met by the project so that people can build or repair their own homes according to their needs; People will be consulted on the relocation options. In the case of remaining residential land has enough area in accordance with the regulations of the PPC on the minimum residential land area, people have the right to rebuild their house on the remaining land.
4. Son Luong Commune	People's Committee of Son Luong Commune Feb 6, 2018	- Representatives of local government: commune chairman, land officer, Farmer's Union chairman, Women Union Chairperson, Youth Union Secretary of the commune - Project consultant	15	8	7	- The situation of roads is very difficult and the road improvement is welcome.	Noted.
						- The issue of compensation should be taken seriously and accurately. The current price specified by Yen Bai province is too low.	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. 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 to be undertaken when the RP is being updated. Land and non-land assets will be compensated at replacement costs.
						- The widening of the road should not take much land so the business people can the remaining land and receive	Efforts are being made to minimize land acquisition requirements. It is expected that businesses can resume trading after construction.

SUMMARY OF PUBLIC CONSULTATION RESULTS

Commune	Meeting place	Ingredient	Number of participants			Opinion of the people	Response/ How Addressed by Project
			total	male	Female		
						cash for home repair.	
						- Need to have job support for rice farmers who lose farming land	Livelihood restoration assistance will be aimed at supporting them to restore their livelihoods or seek new opportunities. The RP includes a livelihood development program that will be detailed during RP updating. The main focus of the program will be farming livelihoods as well as provide opportunities for other vocational training. As part of the program, counselling will be provided on use of compensation money as well as viable vocations for those who wish to undertake vocational training. The livelihood development program will promote the active participation of women. Women will be separately consulted on their needs and preferences.
5. Mo Vang commune	People's Committee of Mo Vang Commune Feb 07, 2018	- Representatives of local government: Commune Chairman, land officers, Farmer's Union chairman, Women Union Chairperson, Youth Union Secretary of the commune, commune office staff - Project	28	15	13	- Concerns on compensation for land with and without right title.	Compensation for land will be based on legal status of the land – whether is has or is eligible for LURC. Regardless, all affected people will receive compensation for non-land assets and assistance for relocation (if displaced) and assistance for livelihood restoration (if severely affected) and applicable transitional assistance.
						- The project owner must ensure the environmental impacts minimized for the people and the interests of the business households, must have monitoring units to ensure the environmental compliance.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan

SUMMARY OF PUBLIC CONSULTATION RESULTS

Commune	Meeting place	Ingredient	Number of participants			Opinion of the people	Response/ How Addressed by Project
			total	male	Female		
		consultant					
6. An Thinh commune	An Thinh Commune People's Committee Feb 08, 2018	- Representatives of Local Government: Chairman of the commune, cadastral officer, Secretary of the Party Committee, office staff, Farmer's Union chairman, Women Union Chairperson, Youth Union Secretary of the commune. - Project consultant	5	1	4	- Questions about the project implementation period.	Project implementation plan is scheduled to start in 2020 and compensation, land acquisition can be conducted in 2019. The Project implementation plan will be disclosed to authorities at all level, affected households and community after the Project is approved.
						- Contractors should water the road regularly to avoid dust during construction. Should set up a community based supervision board.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
						- The road expansion is quite convenient because of previous planning for road widening.	Noted.
						- Should deal with all environmental issues, e.g. drainage ditches during construction.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
7 . Dai Son commune	Hamlet 2 Cultural House , Dai Son commune Feb 10,	- Representatives of local authorities: Vice Chairman of the People's	31	17	14	- The implementation of the project is fully supported by local people.	Noted.
						- It is necessary to ensure the environmental impacts	The comments were noted for inclusion in the Project's Environmental Impact Assessment and

SUMMARY OF PUBLIC CONSULTATION RESULTS							
Commune	Meeting place	Ingredient	Number of participants			Opinion of the people	Response/ How Addressed by Project
			total	male	Female		
	2018	Committee, cadastral officer - Project consultant				minimized. Do not heat asphalt by burning used tires	Environment Management Plan

Photos of Public Consultation in Yen Bai Province



Public consultation in Mo Vang Commune



Public consultation in Mo Vang Commune



Public consultation in Dai Son Commune



Public consultation in Dai Son Commune



Public consultation in Lien Son Town



Public consultation

Table 9-7 List of Ethnic Minority Public Consultation Participants

Full name	Address	Date	Male	Female
Phùng Thị Phương	Nong Truong Lien Son Town, Van Chan District, Yen Bai Province	2/02/2018		x
Hà Văn Thanh	Nong Truong Lien Son Town, Van Chan District, Yen Bai Province	2/02/2018	x	
Hà Văn Tính	Nong Truong Lien Son Town, Van Chan District, Yen Bai Province	2/02/2018	x	
Phùng Thị Quang	Nong Truong Lien Son Town, Van Chan District, Yen Bai Province	2/02/2018		x
Hà Thị Mai	Nong Truong Lien Son Town, Van Chan District, Yen Bai Province	2/02/2018		x
Hà Thị Hà	Nong Truong Lien Son Town, Van Chan District, Yen Bai Province	2/02/2018		x
			2	4
Lò Thị Quyết	Son Luong Commune, Van Chan District, Yen Bai Province	6/02/2018		x
Hoàng Thị Vân	Son Luong Commune, Van Chan District, Yen Bai Province	6/02/2018		x
Sa Văn Hòa	Son Luong Commune, Van Chan District, Yen Bai Province	6/02/2018	x	
Lương Văn Kheo	Son Luong Commune, Van Chan District, Yen Bai Province	6/02/2018	x	
Lương Thị Giang	Son Luong Commune, Van Chan District, Yen Bai Province	6/02/2018		x
Hà Thị Quyên	Son Luong Commune, Van Chan District, Yen Bai Province	6/02/2018		x
Lương Văn Hợp	Son Luong Commune, Van Chan District, Yen Bai Province	6/02/2018	x	
Hà Sơn Dọng	Son Luong Commune, Van Chan District, Yen Bai Province	6/02/2018	x	
Lương Thị Bính	Son Luong Commune, Van Chan District, Yen Bai Province	6/02/2018		x
Đoàn Thị Thuần	Son Luong Commune, Van Chan District, Yen Bai Province	6/02/2018		x
Hà Văn Bái	Son Luong Commune, Van Chan District, Yen Bai Province	6/02/2018	x	
Đặng Đức Quang	Son Luong Commune, Van Chan District, Yen Bai Province	6/02/2018	x	
Lý Thị Phượng	Son Luong Commune, Van Chan District, Yen Bai Province	6/02/2018		x
Lương Văn Tám	Son Luong Commune, Van Chan District, Yen Bai Province	6/02/2018	x	
Hà Văn Tuyển	Son Luong Commune, Van Chan District, Yen Bai Province	6/02/2018	x	
			8	7
Đặng Hữu Xuân	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Triệu Toàn Siết	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Đặng Kim Long	Suoi Quyen Commune, Van	3/02/2018	x	

Full name	Address	Date	Male	Female
	Chan District, Yen Bai Province			
Triệu Văn Lý	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Đặng Hữu Đính	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Đặng Kim Thắng	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Đặng Nghiêm Tiến	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Lý Tiến Quan	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Lý Thị Tám	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Đặng Thị Tơ	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Đặng Thị Liễu	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Đặng Thị Xây	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Đặng Nhân Tài	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Triệu Văn Kinh	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Triệu Thị Còi	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Lý Tiến Lâm	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Đặng Nho Bảo	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Đặng Thị Kim Hín	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Phùng Thị Se	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Đặng Hữu Tiến	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Triệu Thị Ngân	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Lý Thị Còi	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Đặng Nho Thọ	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Triệu Thị Thắng	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Triệu Thị Tặng	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Triệu Trung Tài	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Triệu Trung Quý	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Triệu Thị Sinh	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Lý Tiến Xuân	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Đặng Thị Liệu	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x

Full name	Address	Date	Male	Female
Lý Hữu Minh	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
La Phúc Thọ	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Lý Thị Liễu	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Đặng Tôn Liễu	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Đặng Thị Kim Thọ	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Đặng Hữu Thọ	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Lý Thị Liễu	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Đặng Thị Phế	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Triệu Văn Quý	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Lý Minh Kim	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Đặng Thị Sính	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Đặng Nho Thọ	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Lý Tiến Sinh	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Đặng Thị Thành	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Triệu Thị Phấy	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Lý Minh Chấn	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Đặng Hữu Thanh	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Lý My Kim	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Đặng Tôn Phạm	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Đặng Nho Tài	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Lý Thị Mùi	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Đường Hữu Tài	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Triệu Đức Chu	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Đặng Nhân Tài	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Triệu Thị Mụi	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Đặng Hữu Bảo	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Lý Thị Hoa	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Lý Thị Này	Suoi Quyen Commune, Van	3/02/2018		x

Full name	Address	Date	Male	Female
	Chan District, Yen Bai Province			
Lý Thị Tính	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Đường Nho Sơn	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
Lý Thị Tom	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018		x
Hoàng Văn Bun	Suoi Quyen Commune, Van Chan District, Yen Bai Province	3/02/2018	x	
			34	28
Hà Thị Hạt	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Nông Văn Hiến	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Nguyễn Văn Hùng	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Lò Thị Thục	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Hoàng Văn Yên	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Lương Thị Thiết	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Bàn Thị Lai	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Nông Đức Lợi	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Hà Đình Xương	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Hoàng Văn Von	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Hoàng Văn Hoán	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Hà Thị Duyên	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Lương Văn Hùng	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Hoàng Văn Bôn	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Hà Văn Lương	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Nông Đắc Lôi	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Lương Trung Ngọt	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Lương Văn Thân	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Hà Thị Don	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Lục Văn Ban	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Nông Văn Pào	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Hoàng Văn Đồi	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Sá Văn Tình	An Luong Commune, Van Chan	5/02/2018	x	

Full name	Address	Date	Male	Female
	District, Yen Bai Province			
Nông Văn An	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Nguyễn Văn Tân	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Định Tiến Thịnh	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Nông Văn Bình	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Hà Đình Tô	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Hoàng Văn Quyết	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Hà Tuần Lợi	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Hoàng Văn Hường	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Nguyễn Đức Thịnh	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Hà Đình Quang	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Nguyễn Thị Hằng	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Hoàng Thị Phương	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Nông Thị Lành	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Lương Thanh Hoa	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Nguyễn Thị Tâm	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Hà Thị Sẹo	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Nguyễn Văn Minh	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Lương Văn Tài	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Hoàng Thị Tình	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Hà Hồng Hạnh	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Nông Thị Thao	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Nông Thị Len	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Hà Công Thoán	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Hà Đình Đủ	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Lương Thị Hân	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Hoàng Thị Tá	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Nguyễn Thị Bồng	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x

Full name	Address	Date	Male	Female
Hà Văn Cát	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Bàn Thị Thêu	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Bàn Thị Thu	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Nông Thị Năm	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Hoàng Văn Lợi	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Nông Thị Ngoan	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Hoàng Đình Dao	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Nông Thị Thỉnh	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Nông Đức Trọng	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
Hà Thanh Loan	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Hoàng Thị Xuyên	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Lương Thị Chủng	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Hà Thị Lan	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Hà Thị Sâm	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018		x
Nguyễn Văn Hợp	An Luong Commune, Van Chan District, Yen Bai Province	5/02/2018	x	
			36	29
Trần Thị Thúy	An Thinh Commune, Van Yen District, Yen Bai Province	8/02/2018		x
Hà Văn Hòa	An Thinh Commune, Van Yen District, Yen Bai Province	8/02/2018	x	
Hoàng Thị Luyến	An Thinh Commune, Van Yen District, Yen Bai Province	8/02/2018		x
Hà Ngọc Thiên	An Thinh Commune, Van Yen District, Yen Bai Province	8/02/2018		x
Đinh Ngọc Hà	An Thinh Commune, Van Yen District, Yen Bai Province	8/02/2018		x
Đặng Nguyên Hương	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018		x
Đường Nho Quan	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018	x	
Đặng Nho Thọ	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018	x	
Đặng Nho Phin	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018	x	
Đặng Thị Thu	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018		x
Lường Văn Đậu	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018	x	
Phùng Thị Náy	Dai Son Commune, Van Yen	10/02/2018		x

Full name	Address	Date	Male	Female
	District, Yen Bai Province			
Đặng Xuân Tuyền	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018	x	
Bàn Tiến Thân	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018	x	
Đặng Thuê Thắng	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018	x	
Thào A Chùa	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018	x	
Lý Thị Hường	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018		x
Thào A Minh	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018	x	
Đặng Nho Vượng	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018	x	
Dương Văn Minh	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018	x	
Bàn Phúc Văn	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018	x	
Đặng Phúc Minh	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018		x
Lý Thị Mẫn	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018		x
Đặng Tôn Nhi	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018		x
Lý Thị Chinh	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018		x
Lý Thị Phúc Thanh	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018		x
Đặng Văn Diễn	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018	x	
Đặng Thị Thụy	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018		x
Đặng Nho Chu	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018	x	
Bàn Phúc Lan	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018		x
Bàn Phúc Thanh	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018	x	
Lý Thị Mùi	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018		x
Bàn Thị Chu	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018		x
Bàn Tiến Thành	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018	x	
Đặng Thị Lan	Dai Son Commune, Van Yen District, Yen Bai Province	10/02/2018		x
			17	14
Đặng Nho Quyền	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018	x	
Đặng Hữu Quyền	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018	x	
Đặng Nho Tài	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018	x	
Đặng Thị Vân	Mo Vang Commune, Van Yen	7/02/2018		x

Full name	Address	Date	Male	Female
	District, Yen Bai Province			
Lý Văn Định	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018	x	
Đặng Thị Chày	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018		x
Đặng Văn Dân	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018	x	
Đặng Thị Nga	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018		x
Đặng Văn Sinh	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018	x	
Đặng Thị Náy	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018		x
Hoàng Thị Kiều	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018		x
Đặng Thị Nga	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018		x
Đặng Thị Pháy	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018		x
Đặng Quý Phúc	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018	x	
Phùng Thừa Minh	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018	x	
Hoàng Văn Luân	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018	x	
Bàn Thị Sinh	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018		x
Triệu Thị Lưu	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018		x
Đặng Thị Nhị	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018		x
Hà Văn Hòa	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018	x	
Triệu Thị Tén	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018		x
Phùng Vinh Ngân	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018	x	
Đặng Nguyên Bảo	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018	x	
Đặng Thị Lê	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018		x
Phùng Văn On	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018	x	
Triệu Tiến Quan	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018	x	
Hoàng Văn Bảy	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018	x	
Nguyễn Thị Luyến	Mo Vang Commune, Van Yen District, Yen Bai Province	7/02/2018		x
			15	13

Focus Group Discussions

262. Ten focus group discussions (FGD) were undertaken covering each of the project communes. Of the total 198 participants, 184 were ethnic minority people. Details of attendance and issues discussed are set out below

Table 9-8 Summary of Focus Group Discussions November 2017

Date	Location	Form	Participants	Content
9.11.2017	Khe Ngoa Village, Mo Vang Commune, Van Yen District	Ethnic minority group	22 people (ethnic minority)	<p>The commune has 5 main ethnic groups, including Dao 63.5%; Mongolia 26.1%; Tay 8.5%; Kinh 14% and other ethnic groups 0.4%; The commune has 931 households with 4,124 people.</p> <p>Mo Vang is one of the poorest communes and is 2/27 communes with special difficulties in the district. The poverty rate of the commune is 645 households, accounting for 69.2%, of which ethnic minority households account for the majority of poor households (643 households with 99.7%).</p> <p>Due to the steep terrain, many rivers and streams make transportation very difficult. Previously many cars passing through but it is hard to go on this road so they do not go again. Provincial road 175 was invested from 2003-2004 and was not maintained, so it was seriously degraded. The transportation takes a long time (about 40 minutes for 1 km). The village is 9 km from the commune center with very difficult road. The rainy season from May to September is the hardest time of the year. There are 11 villages in Mo Vang but none of them have concrete but only soil road. 5/11 villages have grid electricity accounting for 33.4% of population, the rest are small irrigation power and self-provided electricity. Some hamlets close to the bridge have to travel by floating bamboo bridges, which are closed monthly during the flood season, so children can not go to school, no trading, only rely on self-sufficient economy to meet many difficulties.</p> <p>The market economy is slow to develop. People are self-provided with food. Exchange with traders is very popular. People are buying high-priced products from traders because they are not close to markets and the road transportation is not convenient.</p>
9.11.2017	Mo Vang Commune, Van Yen District	Women focus group	Village leader, head of commune women's union, 26 women (ethnic minority)	

Date	Location	Form	Participants	Content
				<p>The main income of the residents is cinnamon. There are about 30 households who produce and buy cinnamon for sale to traders but price are often forced down because of difficult transportation. Price of cinnamon difference compared that in Mau A is 6-8 thousand VND / kg, for example 10kg cinnamon branches is sold at 13,000 VND while another place sold at 20,000 VND, similarly, cinnamon 34,000 VND here but 40,000 VND in other areas.</p> <p>People want more jobs because their incomes are not enough for their livelihoods, while the employment of cinnamon is less and more suitable for men than for women.</p> <p>Young and middle aged women know how to use a motorbike to travel, but they do not know / do not care about traffic laws. Many people who have suffered minor injuries while riding a motorbike and violate traffic laws are unaware of this. Some women know too sketchy or even wrong about the mechanism of HIV transmission.</p> <p>There is still a phenomenon of child marriage: On November 9, 1977 in Mo Vang commune, the survey team witnessed a case of Giàng Thị Xu, 13 years old, daughter of Giàng A Chu, the Mong ethnic group in Khe Long village 3 Commune boarding school in the commune has automatically dropped out of school going the home of Vien A Cu, 15 years old, Suoi Giang commune for 9 months. The commune authorities explained to the two families about the case of child marriage but they felt helpless, did not prevent their children from doing this.</p> <p>People already know about the project. Approximately 95% of participants in the meeting support the project, while the few remaining have no idea as to how much compensation will be given; Others fear that the compensation price will be lower than the market price as a new small hydropower project in the commune will cost them. All participants wished to know more about the scope, scale of</p>

Date	Location	Form	Participants	Content
				<p>the project, want to know the design of the project, regulations on compensation and assistance for affected property.</p> <p>People's suggestions: (i) support for upgrading inter-village roads should be especially selected for investment in ethnic minority villages that are separated by remote terrain and are often isolated by rain and flood; (ii) build bridges through Thia, (iii) build irrigation canals to irrigate 25 wet rice paddies to ensure food for communes, and (iv) cooperate with authorities at all levels and people having reputation in the village for propaganda on life security and safety, providing knowledge on HIV prevention, human trafficking and abolishing backward customs, building civilized life for people in general and ethnic minorities in particular (97% of participants); (v) Project to support the construction of commune / inter-commune markets so that ethnic minority people can sell their products directly to consumers and learn how to put market economy and production of goods into life to develop family economy and develop cinnamon plantation area (100% of participants).</p>
10.11.2017	Mam 1 Village, An Luong Commune, Van Chan District	General villagers (affected and non-affected)	Commune authority, party representative, Village Women's Union, 56 villagers 65 participants including 55 ethnic minority	<p>An Luong commune has 7 main ethnic groups including Tay (43%); Dao 26%, Mong 25% and Kinh 21%; The commune has 807 households with 3,958 people. The rate of population growth is high with 14% per year. Main occupation of the people is cinnamon cultivation, forest product exploitation and wet rice cultivation. Income of people is low at about 1.16 million per month.</p> <p>This is one of 17 communes with special difficulties of the district. The poverty rate is currently 75.58%, with more than 70% of them being ethnic minorities;</p>
10.11.2017	Mam 1 Village, An Luong Commune, Van Chan District	Women's Group.	27 women, including 23 ethnic minority women	<p>Infrastructure of the commune is inadequate: the road to the provincial center is 120 km, to the district center is 45 km, with poor road transportation as it relies mainly on provincial road 175 but has been deteriorated severely. Beside the road is 01 market and 03 schools but no signs or with signs but no useful. The rate of inter-</p>

Date	Location	Form	Participants	Content
				<p>village road is concreted as 01 km / 50 km (2%). Most of the inter-village roads are bad roads, difficult for transportation; Commune officials going to the most distant village for meeting usually take 1 day; There is a small market in the commune to buy and sell essential goods, but it takes 23 km going on the bad road to the big market. 97.5% of households use stream water, rivers, ponds. to the severe degrading of road, commodity prices are very high. Daily commodities as well as commodity prices are very high at buying and very low when people sell. The fact that traders regulate prices influences people's incomes and plans to expand their production.</p> <p>The poverty rate of Mu 1 village is quite high (94%) (47%); Each year, eight households exit poverty but similar is the number re-poor households; The number of poor households that can not escape poverty is 20, of which there are 09 single- women family households with dependents.</p> <p>Most of the people attending the meeting (100%) expect to have a road upgrading project for easy travel, thereby facilitating the transportation of goods, developing trade and services.</p> <p>Seven men and four women asked about the compensation policy for land and property loss if the project be implemented. They also asked to know about the project scope, Right of Way, commencement date for construction and project design.</p> <p>Some people fear that the upgraded road will be convenient to travel, making traffic accident easy to happen. They recommended that construction quality be monitored and that signals should be put in the market / school area to prevent accidents.</p> <p>Proposals of the people: (i) All participants in the meeting agreed that there must be convenient traffic to develop the economy and improve</p>

Date	Location	Form	Participants	Content
				<p>the living standards of the people. (ii) want the project to start as soon as possible. (ii) be able to comment on the detailed design of the road upgrading; (iii) In the dissemination of information, the project should seek opinions and cooperate closely with the elders, village elders in the ethnic communities; (iv) It is recommended that the project supports construction of market and cooperates with other stakeholders such as agriculture and industry and develops plans for regional economic development; (v) The project in coordination with local authorities to open vocational training for young people (rice cultivation, electricity, motorbike repair). (vi) Women wished to be trained on topics as HIV / AIDS prevention, awareness of traffic safety and awareness of human trafficking.</p>

Table 9-9 Summary of Focus Group Discussions July and August 2018

Date	Commune	Ethnic group	Number of participants	Summary of ideas
Afternoon 31/7	Dai Son (1)	Dao ethnic minority group	10	<ul style="list-style-type: none"> - Cause of poverty: inadequate land for farming; jobless; lack of capital for production - Going to the market in An Thinh commune; people sell agricultural products, forest products and livestock products right at the village, selling price of agricultural products is 10-15% lower than market price; - Participated in agricultural technical training courses but people still produce based on traditional experiences. - Many households borrow money from policy banks, Agribank to do livestock and cinnamon growing business. - Livelihoods: agriculture, livestock, cinnamon production, waged working in Vietnam and China. There is no language barrier in finding a job. - The lack of rice is common - No children in primary school dropout, lower secondary school has some drop out cases but only a few, and the reason is mostly due to the school is too far from home - Access to education and health services is difficult due to difficult travel, ethnic women afraid to contact with outsiders. - The economy of Kinh households is better than that of other ethnic groups. - Traditional custom practices in home construction and grave relocation are maintained - People support the implementation of the project and wish to have a job during the construction project (unskilled workers)
Morning 1/8	Dai Son (2)	Tay and Hmong women group	9	<ul style="list-style-type: none"> - Cause of poverty: inadequate land for farming, difficult access roads, inundation - Livelihoods: agriculture, forestry, livestock, working away from home - Poor households are supported, subsidized - Many households borrow bank loans to raise animals and plant trees - Access to education and health services is difficult due to difficult travel, distance from home to school is far. No children in primary school or lower secondary school dropout.

Date	Commune	Ethnic group	Number of participants	Summary of ideas
				<ul style="list-style-type: none"> - People support the implementation of the project and wish to be relocated due to frequent flooding - People fear that their life will be affected by the road construction such as more difficult travel and social evils.
Afternoon 1/8	An Thinh	Dao EM group	8	<ul style="list-style-type: none"> - Cause of poverty: Not being educated, lacking arable land, not having much trade and business; traveling roads are difficult - Dao people are poorer than other ethnic minorities due to less land for farming - Livelihoods: agriculture, waged works - There is training in livestock techniques but women are less likely to go due to illiteracy - Agricultural production is difficult due to small land area and frequent flooding - Surplus agricultural products are often sold to traders with lower prices, the market is about 3km away from the village. - Households usually run out of self-produced rice about 6 months/year - Access to health and education services is difficult mostly due to bad roads. - Many households borrow money from the bank for social policy (policy bank and commercial banks to raise animals and cultivate cinnamon. - Traditional custom practices in home construction and grave relocation are maintained - People want the State to make roads quickly - Project impacts during construction: the travel of people may be difficult, social evils may arise. How to minimize: Hiring more local labors during road construction

Date	Commune	Ethnic group	Number of participants	Summary of ideas
Morning 2/8	Lien Son Farm Town	Thai and Muong group	10	<ul style="list-style-type: none"> - Cause of poverty: inadequate land area, difficult transportation, low education level, weather, diseases. - Kinh people know how to do business better than other ethnic groups - Agricultural commodities are often sold at home, at prices lower than the market - Little land, no grazing land, difficult to develop livestock - Annually, there are training courses on tea cultivation - 95% of households get bank loans for livestock, poor households do not borrow due to too poor and worry about not being able to repay the loan. - Livelihoods: agriculture, waged works. Language is a barrier to accessing women's employment opportunities - The households run out of their own rice produced about 7-8 months in the year - The majority of children have finished school. Lower secondary children drop out of school due to no money, road to school too far. - Access to healthcare: no difficulty - There is no concern about the project is carried out except for grave relocation
Morning 3/8	Son Luong	Muong, Thai group	11	<ul style="list-style-type: none"> - Production land affected by floods, livestock is difficult because of many diseases; People work elsewhere because of limited local employment. - Agricultural products sold in villages are often forced down prices, roads are broken - Technical training of production is carried out annually. - Borrowing capital: currently they do not know borrow to do what kind of business since the arable land is slide, no grazing yard - Access to education and health services is difficult due to traveling and finance. - There are some cases of secondary school dropouts to find paid jobs - People support the road construction because the existing road is too bad.
Morning 4/8	Suoi Quyen	Dao	10	<ul style="list-style-type: none"> - Causes of poverty: education, difficult travel, land are often eroded - Agricultural products are sold at farmer's houses with the prices usually one to two thousand VND/unit lower than market prices - Inadequate land, and the land is steep, weather is rough. - Technical training is carried out annually - Households are borrowing from the policy bank for livestock and afforestation

Date	Commune	Ethnic group	Number of participants	Summary of ideas
				<p>business</p> <ul style="list-style-type: none"> - Access to education and health services is difficult due to traveling and finance. No dropout in primary and lower secondary schools. - Traditional custom practices in home construction and grave relocation are maintained - People support the implementation of the project

GROUP DISCUSSION NOTES

Location: Hamlet 2 - Dai Son Commune - Van Yen Dist. - Yen Bai.

Time: 31/07/2018 (1st group, afternoon)

Participants:

No	Full name	Age	Ethnicity	Education
1	Lý Thị Lưu		Dao	
2	Lý Thị Sỹ	52	Dao	2/10
3	Bàn Thị Nhị	39	Dao	2/12
4	Bàn Thị Nga	48	Dao	7/10
5	Triệu Thị Hà	36	Dao	
6	Bàn Thị Lai	59	Dao	10/10
7	Đặng Thị Sinh	30	Dao	9/12
8	Lý Thị Mẫn	35	Dao	
9	Lý Thị Thủy	39	Dao	12/12
10	Triệu Thị Liễu	30	Dao	9/12

PART 2. CONTENT:

Introduction: Project overview and focus group discussion (FGD) purposes

Causes of Poverty: What are the main causes of poverty in your area? Evaluate how the underlying causes may apply?

Main economic activities of the villagers are agriculture i.e. growing rice, cash crops, cinnamon, and hired laboring. Of which agriculture is mainly rice, but the land size is not large.

Livestock is also difficult because the forest and land are shared among the households who cultivate cinnamon. Therefore, there is no room for grazing and cattle lack food, moreover, diseases are prevalent so livestock is not effective.

In addition to agricultural work, the people also work as hired laborers, must say that mostly their livelihood are heavily relied on the wages. The main job is to assist cinnamon growers and processors i.e. trimming the leaves, taking cinnamon bark, weeding.

In general, the living conditions of the villagers are poor compared to others.

Here, it is also possible to do business, but without capital, business cannot develop;

Cause of poverty:

Cultivated land is not enough (for later arrivals, or due to new families separated from bigger)

Jobless

Lack of capital for production

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

The road to An Thinh market is far, about 23-24 km, and can go by motorcycle. Almost every family has motorbike. They do not often go to the market because the need to buy and sell is not much. Traders come to the village.

People in An Thinh Commune (mainly Kinh people) sell fertilizers to villagers. Cinnamon seedlings are provided by many villagers. I do not know where they get the seedlings, but we can buy them right from the cinnamon seedlings sellers living in the commune.

Dao people have more cinnamon trees than Kinh people because of more cinnamon growing soil because they are aboriginal people in An Thinh commune. Many people from Mau A town coming here to invest in growing cinnamon by villagers then sell back to them;

Selling cinnamon does not require traveling far, there are dealers bringing trucks to buy in the places and there are motorcycled people buy and then resell. There are also many traders from different communes, but most of them are from Mau A town.

It is not known how much different of prices of cinnamon between places but the cinnamon growers cannot bring the products outside to sell because they do not have vehicles, so the buyers will calculate a buying price which is profitable to them;

Rice, foodstuff are also brought into the village. Rice is 1,000 VND/kg more expensive and pork is 2-3 thousand VND/kg more expensive than they are in the commune market but the quality is not as good as buying in the market; Gasoline is also 1,000 VND per liter more expensive, but sometimes the seller cheats on the quantity;

For other kinds of agricultural products or agricultural materials, the difference is about 10 - 15% depending on each item.

People often buy, and sell small things in the village, if one family needs more food, they will go to the market where all goods are easy to get.

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;

Production is carried out by experience where farmers teach each other without any high technique. Every year there are 1-2 training courses, but not everyone is invited. Only one person is trained in this village.

Red books for residential land were issued for all families, no one in the village is without resident land.

There are only a few farming land parcels, even though the land size is not adequate (not enough 360m² for one parcel), there are also people with 13 parcels of field land, those households with many fields (4-5 parcels with 360m² each) do not have to work for others to have money for buying rice;

Water for farming is available, so it is convenient. People only grow rice, two crops in a year; The hills are for vegetables for household consumption and corn for selling, but are not much, cinnamon are getting more popular now.

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

Borrowing capital:

There are now many loans issued by The Bank for Social Policy (policy bank) through Farmers' Association, Invalid Association.

Loan of policy bank is as follows: interest rate is 0.75%/month, maximum loan size is 40 million VND and maximum period is 3 years, loan of Agribank is as follows: interest rate: 0.95%/month, maximum period is 5 years

Often, people borrow to grow cinnamon, and to raise livestock. After 3 years, if they have money, they can pay, if they do not have money, they need to get prefer funding.

Now it's easy to borrow from the policy bank.

Also we can borrow from relatives a bit, but to spend for immediate needs;

Cinnamon traders also sometimes give credits for seedling and fertilizers so that the farmers should sell the cinnamon to them;

No one borrows money to trade, or do business because the business needs large capital. If the creditor does not give big sized debt with long term, people can not do it;

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)

Going to China to work are mainly women (men return after 2-3 days); they go on their own since they may hear that there are jobs at some places, no one comes to the village to recruit people.

Employments in the village or in other villages are mostly to remove the weeds, wage: 150,000 VND/day. But the job is only from time to time.

There are 2 women coming to China, one get married to Chinese (voluntary) and 5 women go outside to work. I do not know which city they go to;

Reason for no jobs:

- No opportunity in the place, young people should go outside to seek for jobs. The nearest garment company is in Co Phuc town (40km away from here). It is difficult to go to work due to far and over night shift.
- We want to do business but we do not have capital;

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

Land is not enough, so we do not have enough rice to eat, usually we harvest only about 4 quintals of rice per ha. All families have to spend money on buying rice. The houses here have to buy rice to eat for 8 to 10 months. In the village, only poor households have rice from hunger relief program (1-2 households/village) who are recognized by the villagers.

Dropout

There is no dropout at primary education, lower secondary education has some but very few. Dropout rate is recorded as high in upper secondary schools due to economical reasons (i.e. no money for gasoline, lunch), they find it difficult to get a job after graduated from upper secondary schooling, so people do not want to go to school. The distance to school is about 7km. The rainy season has landslide; rain and wind, and social evils are concerned by the villagers. Boys and girls are taken to school equally. Some families give motorcycles to their daughters to go to school everyday.

Healthcare:

Dao ethnic minority (EM) people have many ways to cure illness by medicinal herbs. If one feels sick because of flue, they can use the medicinal herbs to treat at home. Sometimes they go to commune clinics to buy medicine but they go to Van Yen hospital more often. The road to the hospital is also far and damaged so it is harder for them. Coming to commune clinics is now convenient because the staff are more enthusiastic than before, however their skill is limited. There are good doctors in the hospital, but it's a bit of reluctance since EM people in remote areas are limited in language (i.e. illiterate, do not know the Kinh language), when they ask the health staff, the reactions are always harsh. If the doctor wants to know how the patient feel, he may not know the language to answer.

In recent years, most patients are referrals, especially pregnant women in laboring. Previously, women gave birth at home, and the mother-in-law might assist, but now they go to the hospital. Only women who feel they can give birth easily go to commune health center. Village health services are available but the staff have no delivery assistance skills;

In the commune: Dao people compared with Hmong, Tay, and Kinh people.

The economy of the Dao is higher than that of Hmong people, but similar to the Tay people. Hmong people have poorer economic conditions due to fewer cultural interaction, and social contact with outside.

Hmong men are the main people who buy and sell goods in the market (women only do housework), since men are to take social obligations. Hmong people are very different from Dao people. They also have more detailed worship practices.

Major impacts and risks during project implementation and completion

Cons:

Good road may lead to busy traffic, and accident, children going to school is not safe anymore; The road construction period may affect the business.

Many people coming to construct the road may gamble, steal or addict to drug;

Pros:

- Better road, traveling is more convenient.

It is also desirable that the villagers can get job from construction of the road. But if the wage is too low, nobody wants to do it;

Procedures when moving graves, rehousing:

In general, Dao people are more easy-going than Kinh people. Normally, no one moves the grave, but if the road construction requires grave moving, there is no big deal about it since the procedure is simple. We can make another grave without moving, just to do a ceremony to ask the soul to move to new grave. The cost to do this ceremony is not too much, with the following stuff: one small pig about 10 kg, and a chicken, and 200,000 VND to pay for the scholar who master the worship, total amount is about 500,000VND.

New house ceremony is also very simply. The funeral of the Dao often have many rituals such as: commemorative ceremony, sticky rice-and-chicken and table setting ceremony; vegetarian food ritual, the enlightenment ceremony, the burying ceremony and the rice offerings. Dao people do not have redeeming the dead ceremony. If the dead person passed the mature ceremony, the soul is called to go home to worship regularly, but death ceremony is not organized.

Location: Hamlet 6 – Dai Son commune – Van Yen District – Yen Bai

Time: 01/08/2018 (2nd group, morning)

Participant:

No	Full name	Age	Ethnicity	Education
1	Trần Thị Biên	30	Tay	illiterate
2	Phạm Thị Bắc	32	Tay	7/12
3	Giàng Thị Tang	36	Hmong	illiterate
4	Cư Thị Mẩy	34	Hmong	illiterate
5	Vàng Thị Dung		Hmong	
6	Ly Thị Dĩnh		Hmong	
7	Giàng Thị Dĩnh		Hmong	
8	Giàng Thị Xinh		Hmong	
9	Cư Thị Tấu			

SECTION 2: CONTENT

Introduction: Overview about the project and purpose of Focus Group Discussion (FGD)

Causes of poverty: What are main causes of local poverty?

In the pasts, the main causes of poverty were lack of production land and poor conditions of roads. At the moment, impacts from hydropower plant has worsen the situation. The implementation of hydropower project has resulted in regular inundation to farm land of some households, even up to 3-4 times per year. Though inundation often occurs in August – September due to flood discharge from hydropower reservoir in every other year, it comes earlier this year. And it is more serious. Flooding makes it impossible for cultivation. Farm land here mainly belongs to Mong and Tay people while Kinh people own none of such. Young households often have little land area, especially those who are from cinnamon planting farm.

Having no farm land means having to work as hired labor with the pay of around VND 150,000/day (8 hours) (weeding, peeling cinnamon, pruning). The annual income from such work is about VND 3-4 million. Households with hilly land (forestry land) will have cinnamon to grow for sales, earning from which is to buy rice.

Livestock here also brings a good earning. Some households could get VND 15-20 million/year from selling pigs and chickens.

Prices of cinnamon, pigs or chickens here is relatively equal to that in An Tinh with minor difference as it is now accessible for trucks. It used to be a significant difference.

No one in the village works in other places.

Where can poverty be seen?

There are 28 out of 60 households here are considered poor with frequent shortage of rice and they have to work as hired labors for living. Rice shortage happens right a few months

after harvesting time. What we get from cultivated rice crop can only afford us in 6 – 8 months. Then we have to work, sell cinnamon, pigs and chickens to make up for food in the remaining time.

The commune also offers assistance to poor households but only to few extremely poor ones. We got aids in form of instant noodle when there are rains or storms or floods like recently, but it only lasted a few days.

Our daily activities are also messed up. We can only use phone for communication, but not for searching information. Food is also a problem. We may have chickens but if an epidemic happens and they all die, we have nothing left. If we want to have meat in our meal, some butchers also sell here occasionally. Hunting is impossible nowadays.

Credit access:

Many households in the village have got loans from the Policy Bank. We could borrow from VND 30 – 50 million at interest rate of 0.65% and interest paid monthly.

About 70-80% of borrowers use loan to buy cinnamon or buffaloes. Some people who know they could not pay back don't want to borrow, though.

Schooling

High school is 14 km far from the village so our children stay in rented houses there and cannot visit home regularly. Secondary and primary schools are 7 km far away and offer boarding mechanism. Kindergarten kids could be picked up and dropped to school every day.

Medicine:

If we have health problem, we will have to visit medical station in the district, which is 30 km far away. Road conditions are very poor. Despite bad weather, we are forced to go but the roads are quite rough. When visiting hospitals, it is also a challenge to talk to doctors as local people don't know how to make clear their situation, some just answer when being asked. If it is not serious, we could visit clinic and buy medicine, and sometimes, it's no need to visit clinic, we could buy medicine and treat ourselves.

In the past, Thanh Binh Company (mining company) occasionally improved the local roads. But for the past 4 years, Thanh Binh Company stopped doing so, which makes it more difficult to travel.

Culture: Ethnic cultural traditions are still maintained. We place graves in our own land area, not in the commune's or village's cemetery. We refrain from moving graves.

If it is compulsory to move graves, we have to invite necromancer (with fee). On average, it costs VND 5-6 million per such relocation. We have to buy pigs and chickens for such 1-day ritual. There is also nothing that should be noted on that day. A funeral normally costs VND 13-14 million and lasts 2 days. We still feed the deceased from the morning until lunch time before placing him/her to the coffin. We used to use gunshot to tell other about death in our families. No mobile phone takes over that roles.

A funeral normally costs VND 13-15 million (or more if the family gets more buffaloes)

- Are some EM groups more vulnerable to poverty than others? How to compare between poverty of EM people and that of Kinh people in the region? If it is different, what are the reasons?

Mong people here are poorer than other groups as they only have little upland field and farm land. Lack of water for irrigation results in poor yield. In addition, very few Mong people do something with business and they are mainly engaged to agriculture. No one works far from home but only in the village and work for cinnamon farming households.

Project's impacts

- People want to improve the road conditions to save travel time for their kids to school and to visit medical stations.

- They hope to be relocated as their residential areas are often flooded due to weather and discharge from Van Chan Hydropower Plant.

- Concerns about impacts/risks caused by project implementation?

- Local life could be affected and if road improvement lasts too long, there are more difficulties;

- More social evils

- Concerns about impacts/risks upon project completion?

Improved roads might enable people to drive fast and cause accidents, but it will facilitate our business and children's travel to school.

People really look forward to better road conditions.

Location: Khe Cat Village – An Thinh commune – Van Yen District – Yen Bai

Time: 01/08/2018 (Afternoon)

Participant:

No	Full name	Age	Ethnicity	Education
1	Trương Thị Quý	63	Dao with white trousers	2/10
2	Triệu Thị Tâm	42	Dao with white trousers	illiterate
3	Trương Thị Mầu	47	Dao with white trousers	illiterate
4	Đặng Thị Trầu	47	Dao with white trousers	illiterate
5	Bàn Thị Đặt		Dao with white trousers	Grade 2
6	Lý Thị Hương	36	Dao with white trousers	2/12
7	Trương Thị Năm	54	Dao with white trousers	
8	Đặng Thị Nhíp	53	Dao with white trousers	5/10

CONTENTS

Introduction: Overview about the project and purpose of Focus Group Discussion (FGD)

Causes of poverty: What are main causes of local poverty?

Main production activities are agriculture, cultivation of rice, cinnamon, raising pigs, chickens, etc and working as hired laborers.

Causes of poverty: Illiterate, lack of land, not many people are doing business. Trade is limited because of transportation, it has affected the local economy.

Another reason is that because of the limited land so there is no rice for sale, now there is not much forest products. Growing vegetables is also just to eat.

Livestock is not much, only raising buffaloes. Each house only has 1-2 buffaloes so that when they need money, they will sell them.

Comparing with other ethnic groups and villages in terms of economic, are there any differences?

Dao people are poorer than other ethnic minorities because they have less land, they have to work and live around their area such as weeding, removing the cinnamon, etc labor cost is around VND 130,000 days or will be paid for harvested products such as cost for removing the cinnamon: 180-200,000/quintal. Some young people have to work in remote provinces, mainly the general labor. For example, they work in Hanoi with their monthly salary of more than 4 million.

Difficulties in development of production and husbandry:

- About 4-5 years, there is a training course on livestock and farming. People still expect that there are more training courses, especially for women who are afraid of going to school because they are illiterate.

- Animal husbandry is difficult due to disease, grazing and market prices.
- Agricultural production is difficult due to annual floods. Rice is the staple food.
- Selling agricultural products is still forced to lower prices by the local traders, selling 3k/kg outside but now selling only 1.2k/kg. Cinnamon is bought by local traders at home but the price is lower than that in the market about 3-4 prices.
- Regarding land ownership, most households have been issued with books, some households have not been issued books because they are new households.
- About 2-3 years, there is no land dispute in the village.

Food Security:

On average, rice produced by the family can be used for 6 months and in next 6 months, they have to buy rice. Money for buying rice is from hired labors or borrow money from others.

Access to health services:

Accessing health services is difficult because of transportation.

- Ethnic women are often shy and timid so they are afraid to go to doctors. In the village there is a core group on reproductive health to learn from each other. In about 10 years, women have gone to the health station to give birth, there are no cases of giving birth at home.

Access to education:

- Roads are difficult to access. Many children have to leave school due to storms.
- Many people in the village are illiterate, in 2013 there was a class for eliminating the illiteracy, but people are difficult to write and calculate.

Infrastructure:

- Roads for daily life and production face many difficulties.
- No local loudspeaker system makes it difficult for people to receive information. Some places in the area don't have radio signal, so the information is too hard to exchange, people will come to the meeting when village heads arrive their houses to invite, but are afraid if it rains.
- It is about 3 kilometers from the village to the market (An Thinh Market).

Credit access:

Many households in the village have got loans from the Policy Bank, total loans are about VND 1.2 billion. There is only the policy bank because of no mortgage, 2-3 households borrow money from commercial banks. There is no overdue case.

The maximum loan amount in the policy bank is VND 40 million for 5 years, interest rates fluctuate from 0.65-0.75%.

Loan purpose: mainly for livestock development and cinnamon plantation.

Project's impacts

Shaman (thầy Mo):

In the village, there is no case of moving the grave because Dao people never move the grave after buried.

If they want to move the grave, they find shaman (thầy Mo) in another place. 01 worshipping costs about VND 01 million, 200,000 for shaman, (pigs, chickens in the house), including pigs, chickens, less rice.

Recommendations to Minimize the impact from the road:

Hope that the State should build quickly the road. Construction of road also has little impact on the village, but in the process of road construction, travel (selling agricultural products, going to school) will be difficult.

Impacts on land and livelihoods may not be significant.

Currently, there are no social evils in the village, but this phenomenon can occur in the village. In order to avoid the collision between workers from other places and local people, the project should hire local workers, so they will have jobs, have more income, but if the project hires workers from other places, it is easy to collide, then social evils are not avoided.

- Concerns about impacts/risks upon project completion?

It is good to construct the road, people have the road, children do not worry about the cold weather, rain storms, trade is easier, not forced to lower prices prices.

Location: Group 6 (Bon village) - Lien Son Farm Town

Time: 02/08/2018 (morning)

Attendants:

No	Full name	Age	Ethnicity	Education
1	Hoàng Thị Loan	55	Thai	7/10
2	Hoàng Thị Sức	60	Muong	7/10
3	Hà Thị Sang	48	Thai	5/10
4	Lò Thị Liên	49	Thai	7/10
5	Pha Thị Lợi	48	Thai	4/10
6	Phùng Thị Huyền	45	Muong	5/10
7	Đinh Thị Thoa	41	Muong	5/10
8	Pha Thị Chắp	52	Thai	4/10
9	Pha Thị	54	Thai	7/10
10	Pha Thị Hưng	40	Thai	5/10

CONTENTS

Introduction: Project overview and focus group discussion (FGD) purposes

Causes of Poverty: What are the main causes of poverty in your area? Evaluate how the underlying causes may apply?

Cause of poverty:

The agricultural land area per household is small, there is family which has only one hectare of hilly land, there is household which has no paddy field. Since people give many births. Many young married couples when they separate from their parents' residence, there is no agricultural land for them while land for housing is available.

Unfavorable roads, poor trade. Goods from outside the town so they are more expensive. There is no place to sell products, so if someone wants to sell, they can only sell to some traders who come to the village on motorcycles, so the price is lower than normal trading.

Our children are not educated much because they have to go too far, work up too hard, and they have no job after graduated. Many children finished grade 12, they can only come back home to get married, work as hired labor, do farming. No other jobs to do;

Weather and the climate are not favorable with adverse impacts i.e. rainfall, floods, epidemics affect production and livestock production, so the local economy is underdeveloped.

Thai-Kinh group differences?

The Kinh people know how to do business better, their children are more educated, they have capital and they know their way in life better. The ethnic women do not understand business unlike the Kinh since they have little chance doing business, no funds for doing things, even with funds, they don't know what to do with it;

- 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

People who want to buy foods need to go to the market, the distance from the village to the market about 10km

Planting products such as tea can be sold to traders who come to our houses to buy. Tea's selling price at home is lower than at market about 3-5,000VND/unit price. For instance: tea price at the market price is 40,000VND/kg while traders agree to buy at only 36,000VND/kg.

Buying pesticides or other supplies when we go to the market, because no one in the village sells;

The prices of livestock and poultry are similar to the market prices.

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

Good quality rice fields which close to the spring can grow 2 - 3 rice crops per year while the field in the upstream has low fertility and sometimes has a lack of water. Only the families who resided in the village before 1994 have adequate allocation of agricultural land of 350m²/ person. One 360m² land lot can yield 100kg of rice during Autumn-Winter season. People who come later may buy land from other people. There are those who have no land; Hilly land area is larger and tea trees are the main crop. Occasionally, there are households who also cultivate rice on the hills but they can not harvest because the land is too steep. A few years ago, there was a program of planting rubber trees in the commune, at that time people were cutting tea trees to plant rubber trees without compensation. Now rubber trees have very little latex with low quality if not at all, there are those who get rubber latex can not sell.

Previously, there were many pine trees on hills, which could be used to graze the cattle. Currently, the local government removes all pine trees to grow rubber trees, so the cattle herd has no place. It cause difficulties in developing livestock.

- 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;

Every year, people come to tea planting training course. But tea growing is known by everyone, because tea trees have been being planted for so many years, the growers are experienced. There is also a husbandry training but just once in a blue moon.

Only some people are trained. After they come back from the training courses, they teach us, but training documents are not available;

- Securing land ownership:

Land ownership of the villagers is not documented as land use right certificates as the land is inherited from the old days;

- Climatic conditions (flash flood, drought):

In recent years, floods have seriously affected the production activities. In the rainy season, there are many floods while it is drought during dry season. Big flash flood this years is not so many, only one since 2008;

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

- 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)

Borrowing capital:

In the village, many households borrowed money, 95% villagers get loans from Vietnam Bank for Agriculture and Rural Development (Agribank) and Social Policy Bank. Loan procedures: Agribank requires collateral (mainly red book), Social Policy Bank borrowed by trust.

Interest rates for AgriBank: 0.9% per annum for a maximum of 5 years. Sometimes it is 0.83% per year. The maximum loan size of policy bank is 50 million VND. However, poor households find it difficult to access to loans from the policy bank and they do not dare to borrow because they are afraid that they can not repay their loans.

Their main purpose is to raise pigs and grow tea.

Non-agricultural livelihood opportunities:

In addition to agricultural activities, many are employed. Older people usually work as hired laborers during the day, they do not work away from home. Labor wages are usually between 100,000 VND and 120,000 VND per day.

The level of education and language also makes it difficult for many people to access non-agricultural employment opportunities as they do not know how to express their opinions to others .

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

7-8 months in a year where food is not enough in the households. During the time, the men go outside to work as hired labors. The women cannot do such heavy works like brick layers, instead, they get jobs such as house cleaners in Hanoi.

Most of the elderly here do not have any income, also do not have anything to eat, they live relying on their children;

- Educational level? Number of children dropping out of primary school, secondary schools and the causes;

Most children will finish primary school (Grade 5). Drop-out rate of secondary school is high mainly due to lack of money paid to the teachers, so they may feel embarrassed; the distance from home to school far (walking distance 4km but on hard road, round trip is 12km, traveling time takes more than 1h) Many families do not have vehicle so children walk, they are bored and eventually drop out.

The village now has only 4 children going to upper secondary school in Nghia Lo town.

Ethnic minority students are less educated than the Kinh because they are less receptive and lazy. They are now speak Kinh language since early age, so the elderly are worrying about the fading of Thai ethnic language.

- 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?

- Healthcare, access to medical treatment, malnutrition

Sick patients do not have difficulty with the medical staff when going to the medical station or the provincial hospital for medical examination and treatment. Fifteen years ago, women were no longer giving birth at home. In here, either going to the clinic or going to the provincial hospital takes the same distance, about 7km.

However, it is difficult to go to hospitals and clinics because of bad condition of roads. Sometimes it is frightened that pregnant women may labor on the road since it is too bumpy;

- 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 economic condition difference between one ethnic group and another .

Vulnerability issues

- Access to and quality of local social services (health, education)

There is loudspeaker in the village, but due to the village is wide, people live from far distance cannot get the information from it.

Pest and disease control:

There is no village veterinarian, the medicine sellers should give the instruction and/or application. The sellers disagrees selling on credit, so when plants and livestock are infected, the people without money cannot get the medicine. Pets get sick go the diseases can easily spread. Sometimes the whole village does not have any chickens left since they died all;

There are cases where the sellers agree to let the farmers take debts, but many of them are afraid of cannot repay, since the seller charge some extra money for credit, i.e. if the dose is 10,000 VND, the later payment on credit will be 15,000 VND/dose;

- Distances and quality of transport infrastructure (especially rural roads) - The impact of this aspect on poverty and vulnerability

People using hill land area do not have land ownership certificates, yet they have planted on it for dozens of years, outsiders come and cut the tea trees to plant rubber trees but the farmers did not get compensation for it. The land used to be grown tea trees and pine trees but they destroy all them to plant rubber trees. At the protest of villagers, the outsiders (rubber growers) said the land is State owned, anyone act against this will be arrested by the police. When they planted rubber trees, they hired some local labors: some of us (EM) worked for them at the same wages alike other labors from elsewhere.

- Experience with occupancy and cultural differences

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

No one goes to work in China;

Project impacts

The people thanked the government for making roads, had no comments and all they want is to have convenient transportation, but are also concern about having to contribute money to make the road.

If building a road requires moving the grave, we must do the worship with the following things: fruit, candy, clothes, etc. with the cost of 1-2 million VND/ceremony. My family (Ms. Lien's) has a grave destructed by a buffalo, her family members are sick and they should go to fortune teller. But moving graves is costly expensive and mentally fearful.

Housing, rehousing need worship for smooth process.

Road construction is far from the village so it is not likely to have much impact during construction;

After the road is completed, there might be many traffic accidents, will children go to school outside to Nghia Lo town too dangerous?

Location: La La village - Son Luong commune - Van Yen district

Time: 03/08/2018 (morning)

Attendants:

No	Full name	Age	Ethnicity	Education
1	Đinh Thị Mùi	52	Muong	7/10
2	Đoàn Thị Thuật	35	Muong	12/12
3	Hà Thị Duyên	37	Thai	
4	Lò Thị Thu	29	Thai	9/12
5	Hà Thị Phượng	42	Thai	
6	Sa Thị Thơm	31	Thai	8/12
7	Hà Thị Thao	27	Muong	9/12
8	Lường Thị Toàn	36	Thai	12/12
9	Hà Thị Kim Thân	37	Thai	12/12
10	Sa Thị Thương	36	Thai	8/12
11	Sa Thị Hồng	35	Thai	7/12

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Introduction: Project overview and focus group discussion (FGD) purposes

Causes of Poverty: What are the main causes of poverty in your area? Evaluate how the underlying causes may apply?

In Son Luong, people's livelihood is mainly growing wet rice, 2 crops per year. But now the field is becoming stream, upland fields are eroded. Before the flood, the field land brings enough rice to eat;

Previously, each person was allocated with 500m² of land, now, one person get only on the average 200-300m². Such land area is inadequate, so there are married men and a few women go to Hanoi to get waged jobs.

Most of them prepare mortars and other materials for construction sites.

Livestock here is difficult, because the products and prices are uncertain. Not to mention the diseases. One mature buffalo can only sell at 20 million VND.

Working in the commune is common among villager, but there are not many work to do.

Average wage is 120,000 VND/day. The tea leaves picker are not wanted much since machine tea pickers are now getting in place, only men are hired to carry the tea leaves.

- 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

The road is broken, and is difficult to travel, it is 20 km travelling to the market in Nghia Lo Town; So all commodities are sold and purchased by traders. The prices are forced by the

traders. Tea product in the market can be sold at 54,000 VND/kg but only 50-52,000 VND/kg here. It will be harder this year because of the flood sweeping off the road.

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

Most of the land area here is hilly with steep slopes, there are also mountains. Acacia and maize are grown on hilly land, but now the hills are eroded;

The hilly land has no irrigation, mostly relying on rainwater;

- 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;

Every year, there are some training courses, when the rice is suffered from diseases, the agricultural extension staff will take 1-2 visits per year to the field; When there are pests, local people do have money to buy pesticides; sometimes they have to borrow, but there is no other way to get rice treated. This year, the pesticide price increases 1-2,000 VND/bottle; No training course is given regarding how to use pesticides, local people have to go to the town to buy.

Villagers have not been granted the land use right certificates for hilly land, although land is customary, and they are growing tea, pine trees on it for decades, but someone have the heart to bring in workers to destroy the trees to grow rubber trees. The pine tree growing once was encouraged by the State, now they destroy to plant rubber trees;

- Climatic conditions (flash flood, drought)

Climate conditions are also harsh, but such a big flood in this year is not being witnessed for long time, the houses and fields are washed away since the houses are near the stream;

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

There were many borrowers from the policy bank, but it was before. Now banks are lending up to 40-50 million VND, but people do not dare to borrow because they do not know how to invest. In the past, they got loans to buy buffalos, now they will not buy buffalos in fear of no grazing yard, while the pine forests are destroyed, if buffalos/goats get in the rubber garden, the owners are fined 500,000 VND/time and goat owner will be fined 5,000 VND/time.

If farmers want to buy plant seeds or pesticides and fertilizers, they will ask for credit. When they buy, the creditors will charge the interest. Cash at buying will be for example 400,000 VN/quintal of rice, if credit, the buyer should pay 500,000 VND/quintal. That is buying at the shop, otherwise, the buyer should pay additional 100,000 VND/quintal for delivery charge. If the payment is to be made in rice with husk, while the unit price in the market is 60,000 VND/quintal, the creditor will account at 50,000 VND/quintal.

- **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)**

Most of the husbands go to work far away, wives can not go because there must be people at home;

There is nothing that can be done because we can only be employed to make a living;

- **Education, language?**

Not much difference

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;**

Not much information

- **Educational level? Number of children dropping out of primary school, secondary schools and the cause;**

Children are taken to school every day by their parents. Difficulties: pick up hours, primary school & lower secondary school have different distances and pick up hours. 7h30 in the morning only then schools start to receive children but no parents with job can afford the time due to their required working hours.

Lower secondary school children: They have to study at a forestry farm, they can go to school themselves or with the help of parents.

Upper secondary school: the school is in Nghia Lo town, the poor are allowed putting their children to boarding.

Families with school children have financial difficulties to pay for food expense, and many of the students dropout. Very few students in primary and lower secondary schools dropout for jobs, most of them try to finish their grades.

- **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?**

- **Healthcare, access to medical treatment, malnutrition**

Rains and floods have just finished and the children's eye disease epidemic outbreaks. The children will be taken to commune clinic. For common diseases, local people go to buy medicine for self treatment. Pregnant women go to commune clinic for delivery, even the clinic is far away from the village.

Some children are stunt because the family has nothing to feed;

No training on nutrition for children;

- 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?

Ethnic people get along with each other well. Compared with other villages, this village is economically poorer because there was a place for buffalo grazing before, but now the land is occupied by the rubber company without compensation.

Vulnerability issues

- Access to and quality of local social services (health, education)

There are times when doctors are difficult, we have to deposit money “under the table”, they are not enthusiastic with the ethnic people unlike Kinh people although they are in the same room, sometimes we feel pity when realizing it. Knowing it, we still have to stay for treatment. We have health insurance but still have to go to buy medicine outside.

- Distances and quality of transport infrastructure (especially rural roads) – The impact of this aspect on poverty and vulnerability

- Experience with occupancy and cultural differences

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

No one goes to work in China but many young women go to work in Hanoi, they leave their husbands because they are sure to go out to make their lives easier.

Project impacts

- What are the main concerns about the type of impact/risk when the project is implemented?

During construction of road, what impacts are likely?:

Houses have to be relocated, production land is lost, but road construction is good because the existing one is too broken.

- Viewpoints on project impact mitigation activities [summary of HIV and human trafficking related activities, road safety, livelihoods development (mainly agriculture extension), some opportunities for unskilled labor in the construction process]

There are two drug users and one HIV contracted person living in the commune;

If graves are to be relocated, worship ceremony should be held and fortune teller invited. Graves should be moved to the commune planned cemetery.

Location: Tham Co village - Suoi Quyen commune - Van Chan district - Yen Bai

Time: 04/08/2018 (morning)

Attendants:

No	Full name	Age	Ethnicity	Education
1	Lý Thị Lưu		Dao	
2	Lý Thị Náy		Dao	
3	Đặng Thị Náy		Dao	
4	Đặng Thị Liễu		Dao	
5	Lý Thị Sính		Dao	
6	Triệu Thị Ghén		Dao	
7	Triệu Thị Phế		Dao	
8	Đặng Thị Say		Dao	
9	Đặng Nho Thành		Dao	
10	Đặng Thị Pham		Dao	

CONTENTS

Introduction: Project overview and focus group discussion (FGD) purposes

Causes of Poverty: What are the main causes of poverty in your area?

- Poverty is due to difficult roads, people do not know what to do other than farming. There are no villager traders, 100% of villagers are doing farming and waged works.

There are people who want to do other things but have no capital. If he wants to grow more tea, or do anything he must have money.

In addition, people are more affected by natural disasters, i.e. floods. Every flood takes away all crops, including rice in the field. Landslide is usual due to rains. The animals like pig and buffalo also died. The previous years were too cold, so raised animals died in series.

There is no electricity in the village while the more remote located villages have.

Roads are too difficult so children do not want to go to school. The people are poorly educated so they do not know what to do other than farming;

- 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

Farmers are selling cassava, rice and maize in the village, the price in the village is one or two thousand VND per unit less than the price in the town. Cinnamon is also sold in the village, the price of cinnamon here is more expensive than the town because the amount of cinnamon oil is higher.

In the past, the road was not eroded so the selling was more easier. The road is bad now so the price is lower than before because of difficult travelling.

Sellers accept credits at higher charges. Credit charge from the time of purchasing to harvest is one or two thousand VND per unit.

People in the village buy food in the market in Heo village, where is 2km away from here.

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

The land here is inadequate, yet is steep, the climate is very extreme, flash floods in the rainy season and dry drought in the dry season, the people here are suffering. People lack land for farming, if we have no land, we can not do anything. The rain downpour buried all our houses, gardens, and trees, everything is lost.

People cultivate cassava, maize, cinnamon on upland fields. They raise pigs, chickens and cattle. No villagers go outside to get job. This year, the crops are failed because of heavy rains, cinnamons in this year are damaged. Last year things were normal, rice was enough to eat. In the lack of food, people took some cinnamon bark to sell for buying rice and MG.

- 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 the village, there are also 1-2 training courses for people on cultivation and livestock.

- Securing land ownership

Land is allocated by the State, the people have residential land, and production land.

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

- 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)

Most loans are provided from the Bank for Social Policies (policy bank). Maximum loan size is 50 million VND.

The total loan amount (provided by the State for the whole village) is about 500-600 million VND. The loan period is 5 years, interest rate is 0.6% /month. Purpose of the loan: Economic development such as cattle and forest business.

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

Ban Co village is poorest, it has been poor from the old days. In the village there are 36 households, including 22 poor households. Many households do not have rice to eat not to mention going to the hospital, they only cure illness at home.

- Educational level? Number of children dropping out of primary school, secondary schools grade and the cause;

School attendance of children is difficult due to far distance between home and school. Children commuting to kindergarten needs 30 minutes travelling by motorcycle.

Children going to primary school have to go to boarding and visit home once in 1-2 weeks, their parents need to go and come to pick them up.

Secondary students need to take 2 hour travelling to go to school in poor road condition.

There is no dropout at primary and lower secondary schools. Most of the children finish grade 9 and then stay at home to do jobs because they do not have money and the upper secondary school is too far, in Nghia Lo district. Also after finish schooling, they can neither get job nor enrolling in university, so they should come back home to do farming, as a result, they quit after finishing grade 9;

Vulnerability issues

- Access to and quality of local social services (health, education)

Nghia Lo hospital is about 20km far from here. The most difficulty is the distance, sometimes, patients are carried there by motorbike, sometimes on foot. Yesterday, two hydropower workers were carried out to the hospital for emergency treatment. When it come to hospital access, the most difficulty is that insurance is not available. Those who do not have insurance are not accepted even just for one day or one night, hospitalizing needs a lot of money (dozens of million VND)

Currently, most women deliver in the hospital, only women who think they can give birth easily deliver at home. When giving birth at home, husband and mother-in-law will assist the delivery.

Now, when being sick, people still worship and also go to hospital.

- Distance and quality of transport infrastructure (especially rural roads) - the impact of this aspect on poverty and vulnerability

The village is starting to get the electricity (wiring), the road is hard to travel. Here, running errands is very hard for local people due to distance, they need to walk 3 hours, have to travel many times if they do not meet the officers. So many a time, they do not get updated information. All information is updated by chief of village.

- Experience with occupancy and cultural differences

Most ethnic groups are Dao and Hmong. People do not have any conflict and live well together. They take it easy, Dao people also can speak Hmong language and vice versa. There are people from two groups getting married.

People still keep their traditional customs and habits if they have to relocate houses or graves. When doing the house, an inauguration ceremony is thrown to report to the ghost of the house, and when moving in the new house, also a ceremony is to be held to report to the ghost to ask for "peace and tolerance". If graves are to be relocated, we afraid that the ghosts do not go and will return to the old graves. Where in good location, the grave will not be relocated (get buried in the area where the Dao think that the burial is good for the current life of the descendants). If we have to move the grave, we need to the consult fortune teller. The expense for the ceremony include one pig, one chicken, money for the fortune teller, is about 3 million VND.

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

Children, after school time, will do farming or look after cattle. These are not hard work. In addition to farming, women also take care of their children. There are also waged workers working for people in other communes but few people want to hire women to do so;

Young female people are now working in the companies, but we do not know what company they are working for, it seems that garment companies in Lao Cai province, others work in the South.

Some women go to China, work for about half a year before return. There are times when they do not receive money as being promised. They tell us like that, and we do not know if anyone came to ask them to go there?

Project impacts

- What are the main concerns about the type of impact/risk when the project is implemented?

- What are the main concerns about the type of impact/risk when the project is completed?

- What mitigation measures should be included in the project?

- Viewpoints on project impact mitigation activities [summary of HIV and human trafficking related activities, road safety, livelihoods development (mainly agriculture extension), some opportunities for unskilled labor in the construction process]

There are two villages affected by the road construction. We do not know to what extent the road will be constructed but it is good if local people can get jobs from the project construction activities. Better road makes it easy to walk, sell products, we are thankful for that.

Table 9-10 List of Focus Group Discussion Participants

No	Name	Age	Ethnicity	Education	Gender
Dai Son commune, Van Yen district, Yen Bai					
1	Lý Thị Lưu		Dao		Female
2	Lý Thị Sỹ	52	Dao	2/10	Female
3	Bàn Thị Nhị	39	Dao	2/12	Female
4	Bàn Thị Nga	48	Dao	7/10	Female
5	Triệu Thị Hà	36	Dao		Female
6	Bàn Thị Lai	59	Dao	10/10	Female
7	Đặng Thị Sính	30	Dao	9/12	Female
8	Lý Thị Mẫn	35	Dao		Female
9	Lý Thị Thủy	39	Dao	12/12	Female
10	Triệu Thị Liễu	30	Dao	9/12	Female
	Group 2				
11	Trần Thị Biên	30	Tay	illiterate	Female
12	Phạm Thị Bắc	32	Tay	7/12	Female
13	Giàng Thị Tang	36	Hmong	illiterate	Female
14	Cư Thị Mây	34	Hmong	illiterate	Female
15	Vàng Thị Dung		Hmong		Female
16	Ly Thị Dĩnh		Hmong		Female
17	Giàng Thị Dĩnh		Hmong		Female
18	Giàng Thị Xinh		Hmong		Female
19	Cư Thị Tấu		Hmong		Female
20					
An Thịnh commune, Van Yen district, Yen Bai					
1	Trương Thị Quý	63	Dao with white trousers	2/10	Female
2	Triệu Thị Tâm	42	Dao with white trousers	illiterate	Female
3	Trương Thị Mầu	47	Dao with white trousers	illiterate	Female
4	Đặng Thị Trầu	47	Dao with white trousers	illiterate	Female
5	Bàn Thị Đặt		Dao with white trousers	2	Female
6	Lý Thị Hương	36	Dao with white trousers	2/12	Female
7	Trương Thị Năm	54	Dao with white trousers		Female
8	Đặng Thị Nhíp	53	Dao with white	5/10	Female

No	Name	Age	Ethnicity	Education	Gender
			trousers		
9					
10					
Lien Son Farm town, Van Chan district, Yen Bai					
1	Hoàng Thị Loan	55	Thai	7/10	Female
2	Hoàng Thị Sức	60	Muong	7/10	Female
3	Hà Thị Sang	48	Thai	5/10	Female
4	Lò Thị Liên	49	Thai	7/10	Female
5	Pha Thị Lợi	48	Thai	4/10	Female
6	Phùng Thị Huyền	45	Muong	5/10	Female
7	Đinh Thị Thoa	41	Muong	5/10	Female
8	Pha Thị Chắp	52	Thai	4/10	Female
9	Pha Thị	54	Thai	7/10	Female
10	Pha Thị Hưng	40	Thai	5/10	Female
11					
12					
13					
Son Luong commune, Van Chan district, Yen Bai					
1	Đinh Thị Mùi	52	Muong	7/10	Female
2	Đoàn Thị Thuật	35	Muong	12/12	Female
3	Hà Thị Duyên	37	Thai		Female
4	Lò Thị Thu	29	Thai	9/12	Female
5	Hà Thị Phượng	42	Thai		Female
6	Sa Thị Thơm	31	Thai	8/12	Female
7	Hà Thị Thao	27	Muong	9/12	Female
8	Lường Thị Toan	36	Thai	12/12	Female
9	Hà Thị Kim Thân	37	Thai	12/12	Female
10	Sa Thị Thưởng	36	Thai	8/12	Female
11	Sa Thị Hồng	35	Thai	7/12	Female
12					
Suoi Quyen commune, Van Chan district, Yen Bai					
1	Lý Thị Lưu		Dao		Female
2	Lý Thị Náy		Dao		Female
3	Đặng Thị Náy		Dao		Female
4	Đặng Thị Liễu		Dao		Female
5	Lý Thị Sinh		Dao		Female
6	Triệu Thị Ghén		Dao		Female
7	Triệu Thị Phế		Dao		Female
8	Đặng Thị Say		Dao		Female
9	Đặng Nho Thành		Dao		Male
10	Đặng Thị Pham		Dao		Female
Mo Vang commune, Van Yen district, Yen Bai					

No	Name	Age	Ethnicity	Education	Gender
Group 1: Khe Ngõa village					
1	Hoàng Thị Náy	46	Ethnic minority		Female
2	Triệu Thị Pham	50	Ethnic minority		Female
3	Triệu Thị Tư	44	Ethnic minority		Female
4	Phùng Văn Náy	35	Ethnic minority		Male
5	Đặng Thị Ton	36	Ethnic minority		Female
6	Hoàng Thị Thoa	32	Ethnic minority		Female
7	Bàn Thị Nhâm	44	Ethnic minority		Female
8	Hà Thị Ninh	39	Ethnic minority		Female
9	Phùng Vinh Tiến	35	Ethnic minority		Male
10	Phùng Văn Sang	40	Ethnic minority		Male
11	Đặng Văn Bốn	38	Ethnic minority		Male
12	Đặng Kim Hà	35	Ethnic minority		Male
13	Bàn Bá Hồ	33	Ethnic minority		Male
14	Bàn Thị Tâm	42	Ethnic minority		Female
15	Hà Văn Thẩm	34	Ethnic minority		Male
16	Đặng văn Sáu	45	Ethnic minority		Male
17	Hoàng Thị Quê	41	Ethnic minority		Female
18	Triệu Văn Đạt	26	Ethnic minority		Male
19	Triệu Văn Long	29	Ethnic minority		Male
20	Bàn Văn Đoàn	35	Ethnic minority		Male
21	Đặng Văn Ngân	31	Ethnic minority		Male
22	Đặng Văn Hóa	26	Ethnic minority		Male
Group 2: Mỏ Vàng commune					
23	Đặng Thị Tôn	36	Ethnic minority		Female
24	Triệu Thị Tư	40	Ethnic minority		Female

No	Name	Age	Ethnicity	Education	Gender
25	Đặng Thị Sinh	38	Ethnic minority		Female
26	Triệu Thị Sông	27	Ethnic minority		Female
27	Đặng Thị Hà	32	Ethnic minority		Female
28	Phùng Thị Kiệm	34	Ethnic minority		Female
29	Phùng Thị Náy	32	Ethnic minority		Female
30	Triệu Thị Lăng	25	Ethnic minority		Female
31	Đặng Thị Nhàn	22	Ethnic minority		Female
32	Bàn Thị Hiệp	32	Ethnic minority		Female
33	Hà Thị Hồng	45	Ethnic minority		Female
34	Bàn Thị Lương	21	Ethnic minority		Female
35	Nông Thị Minh	32	Ethnic minority		Female
36	Lò Thị Song	45	Ethnic minority		Female
37	Bàn Thị Hân	20	Ethnic minority		Female
38	Triệu Thị Phan	33	Ethnic minority		Female
39	Đặng Thị Vân	22	Ethnic minority		Female
40	Đặng Thị Năm	41	Ethnic minority		Female
41	Bàn Thị La	34	Ethnic minority		Female
42	Bàn Thị Lai	33	Ethnic minority		Female
43	Hoàng Thị Hiền	28	Ethnic minority		Female
44	Triệu Thị Hiền	34	Ethnic minority		Female
45	Triệu Thị Mai	42	Ethnic minority		Female
46	Đặng Thị Tén	29	Ethnic minority		Female
47	Triệu Thị Sinh	30	Ethnic minority		Female
48	Hoàng Thị Diệp	22	Ethnic minority		Female
An Luong commune, Van Chan district, Yen Bai					
Group 1: Mâm 1 village					
1	Lộc Hồng Quân	48	Ethnic		Male

No	Name	Age	Ethnicity	Education	Gender
			minority		
2	Lục Văn Hậu	41	Ethnic minority		Male
3	Sa Thị Riêng	29	Ethnic minority		Female
4	Lò Thị Mùa	27	Ethnic minority		Female
5	Hà Thị Trinh	32	Ethnic minority		Female
6	Lộc Văn Tình	45	Ethnic minority		Male
7	Lộc Văn Hán	29	Ethnic minority		Male
8	Lò Văn Nang	31	Ethnic minority		Male
9	Sa Thị Hương	40	Ethnic minority		Male
10	Nguyễn Văn Kiên	29	Ethnic minority		Male
11	Lưu Bá Cảnh	31	Ethnic minority		Male
12	Hà Văn Lưu	29	Ethnic minority		Male
13	Hà Văn Công	25	Ethnic minority		Male
14	Hoàng Thị Túy	45	Ethnic minority		Female
15	Đặng Văn Biên	32	Ethnic minority		Male
16	Đặng Văn Tá	42	Ethnic minority		Male
17	Đặng Thị Nhân	29	Ethnic minority		Female
18	Triệu Nhất	52	Ethnic minority		Male
19	Trần Văn Tùng	45	Ethnic minority		Male
20	Nguyễn văn Thích	38	Ethnic minority		Male
21	Nguyễn Văn Thanh	33	Ethnic minority		Male
22	Đặng Văn Sơn	28	Ethnic minority		Male
23	Nông Thị Liên	25	Ethnic minority		Female
24	Đặng Văn Xanh	49	Ethnic minority		Male
25	Đặng Thị Hoan	39	Ethnic minority		Female
26	Đặng Văn Nhi	48	Ethnic minority		Male
27	Nguyễn văn Ngọ	27	Ethnic minority		Male

No	Name	Age	Ethnicity	Education	Gender
28	Hoàng Văn Quang	32	Ethnic minority		Male
29	Hoàng văn Thứ	45	Ethnic minority		Male
30	Nông Đức Trà	36	Ethnic minority		Male
31	Hà Đình Thư	33	Ethnic minority		Male
32	Hà Đình Ngạch	26	Ethnic minority		Male
33	Hoàng Văn Chi	48	Ethnic minority		Male
34	Hà Đình Tẹ	37	Ethnic minority		Male
35	Nông Đức Triệu	25	Ethnic minority		Male
36	Hà Đình Tội	22	Ethnic minority		Male
37	Nông Văn Minh	32	Ethnic minority		Male
38	Nông văn Nhậm	45	Ethnic minority		Male
39	Nông Đức Chính	21	Ethnic minority		Male
40	Hà Thị Sỏi	32	Ethnic minority		Female
41	Lường Thị Chung	45	Ethnic minority		Female
42	Sa Thị kết	20	Ethnic minority		Female
43	Sa Thị Hương	33	Ethnic minority		Female
44	Hà Thị Hoa	22	Ethnic minority		Female
45	Hoàng Thị Trang	29	Ethnic minority		Female
46	Hoàng Thị Ba	22	Ethnic minority		Female
47	Lục Thị Hoan	37	Ethnic minority		Female
48	Nguyễn Thị Ái	45	Ethnic minority		Female
49	Lường Thị Ợt	49	Ethnic minority		Female
50	Nông Thị Bảo	32	Ethnic minority		Female
51	Phùng Thị Mỹ	48	Ethnic minority		Female
52	Phùng Thị Tăng	20	Ethnic minority		Female
53	Nông Thị Thắng	39	Ethnic minority		Female
54	Hà Thị Dương	22	Ethnic		Female

No	Name	Age	Ethnicity	Education	Gender
			minority		
55	Hà Thị Bùng	38	Ethnic minority		Female
56	Nguyễn Thị Hiền	27	Ethnic minority		Female
57	Hoàng Thị Nhất	31	Ethnic minority		Female
58	Nguyễn Thị Tâm	37	Ethnic minority		Female
59	Lộc Thị Hòa	32	Ethnic minority		Female
60	Lộc Thị Hồng	25	Ethnic minority		Female
61	Nguyễn Thị Yến	22	Ethnic minority		Female
62	Nông Thị Bánh	42	Ethnic minority		Female
63	Hà Thị Sao	45	Ethnic minority		Female
64	Hà Thị Mừng	25	Ethnic minority		Female
65	Hà Thị Kế	32	Ethnic minority		Female
Group 2: Mâm 1 village					
66	Hà Thị Sỏi	39	Ethnic minority		Female
67	Lường Thị Chung	29	Ethnic minority		Female
68	Sa Thị kết	31	Ethnic minority		Female
69	Sa Thị Hương	34	Ethnic minority		Female
70	Hà Thị Hoa	32	Ethnic minority		Female
71	Hoàng Thị Trang	29	Ethnic minority		Female
72	Hoàng Thị Ba	22	Ethnic minority		Female
73	Lục Thị Hoan	37	Ethnic minority		Female
74	Nguyễn Thị Ái	45	Ethnic minority		Female
75	Lường Thị Ơt	49	Ethnic minority		Female
76	Nông Thị Bảo	32	Ethnic minority		Female
77	Phùng Thị Mỹ	48	Ethnic minority		Female
78	Phùng Thị Tăng	20	Ethnic minority		Female
79	Nông Thị Thắng	39	Ethnic		Female

No	Name	Age	Ethnicity	Education	Gender
			minority		
80	Hà Thị Dương	22	Ethnic minority		Female
81	Hà Thị Bùng	38	Ethnic minority		Female
82	Nguyễn Thị Hiền	27	Ethnic minority		Female
83	Hoàng Thị Nhất	31	Ethnic minority		Female
84	Nguyễn Thị Tâm	37	Ethnic minority		Female
85	Lộc Thị Hòa	32	Ethnic minority		Female
86	Lộc Thị Hồng	25	Ethnic minority		Female
87	Nguyễn Thị Yến	22	Ethnic minority		Female
88	Nông Thị Bánh	42	Ethnic minority		Female
89	Hà Thị Sao	45	Ethnic minority		Female
90	Hà Thị Mừng	25	Ethnic minority		Female
91	Hà Thị Kế	32	Ethnic minority		Female
92	Nông Thị Nhâm	45	Ethnic minority		Female

Name	Age	Male	Female	Kinh	Ethnic	Ocupation	Category of HH
Ethnic Minority group in Mo Vang commune, Van Yen District, Yen Bai province							
Hoàng Thị Náy	46		Female		Ethnic	Growing rice	AP
Triệu Thị Pham	50		Female		Ethnic	Growing rice	AP
Triệu Thị Tư	44		Female		Ethnic	Growing rice and Planting cinnamon	AP
Phùng Văn Náy	35	Male			Ethnic	Growing rice and Planting cinnamon	AP
Đặng Thị Ton	36		Female		Ethnic	Growing rice and Planting cinnamon	AP

Name	Age	Male	Female	Kinh	Ethnic	Occupation	Category of HH
Hoàng Thị Thoa	32		Female		Ethnic	Growing rice	Non AP
Bàn Thị Nhâm	44		Female		Ethnic	Growing rice	Non AP
Hà Thị Ninh	39		Female		Ethnic	Growing rice	AP
Phùng Vinh Tiến	35	Male			Ethnic	Growing rice	Non AP
Phùng Văn Sang	40	Male			Ethnic	Growing rice	Non AP
Đặng Văn Bốn	38	Male			Ethnic	Growing rice	AP
Đặng Kim Hà	35	Male			Ethnic	Growing rice and Planting cinnamon	AP
Bàn Bá Hồ	33	Male			Ethnic	Growing rice	AP
Bàn Thị Tâm	42		Female		Ethnic	Growing rice and Planting cinnamon	Non AP
Hà Văn Thẩm	34	Male			Ethnic	Growing rice and Planting cinnamon	AP
Đặng Văn Sáu	45	Male			Ethnic	Growing rice and Planting cinnamon	Non AP
Hoàng Thị Quê	41		Female		Ethnic	Growing rice and Planting cinnamon	AP
Triệu Văn Đạt	26	Male			Ethnic	Growing rice and Planting cinnamon	Non AP
Triệu Văn Long	29	Male			Ethnic	Growing rice and Planting cinnamon	Non AP
Bàn Văn Đoàn	35	Male			Ethnic	Growing rice and Planting cinnamon	Non AP
Đặng Văn Ngân	31	Male			Ethnic	Growing rice and Planting cinnamon	Non AP

Name	Age	Male	Female	Kinh	Ethnic	Occupation	Category of HH
Đặng Văn Hóa	26	Male			Ethnic	Growing rice and Planting cinnamon	Non AP
Sub total	22	13	9		22		

Woman group in Mo Vang commune Van Yen District, Yen Bai province

Đặng Thị Tôn	36		Female		Ethnic	Growing rice	Non AP
Triệu Thị Tư	40		Female		Ethnic	Growing rice	Non AP
Đặng Thị Sinh	38		Female		Ethnic	Growing rice and Planting cinnamon	AP
Triệu Thị Sông	27		Female		Ethnic	Growing rice	AP
Đặng Thị Hà	32		Female		Ethnic	Growing rice	Non AP
Phùng Thị Kiệm	34		Female		Ethnic	Growing rice	Non AP
Phùng Thị Náy	32		Female		Ethnic	Growing rice and Planting cinnamon	AP
Triệu Thị Lăng	25		Female		Ethnic	Growing rice and Planting cinnamon	Non AP
Đặng Thị Nhàn	22		Female		Ethnic	Growing rice	Non AP
Bàn Thị Hiệp	32		Female		Ethnic	Growing rice	AP
Hà Thị Hồng	45		Female		Ethnic	Growing rice and Planting cinnamon	Non AP
Bàn Thị Lương	21		Female		Ethnic	Growing rice and Planting cinnamon	Non AP
Nông Thị Minh	32		Female		Ethnic	Service and Growing rice	AP
Lò Thị Song	45		Female		Ethnic	Growing rice	Non AP

Name	Age	Male	Female	Kinh	Ethnic	Ocupation	Category of HH
Bàn Thị Hân	20		Female		Ethnic	Growing rice and Planting cinnamon	Non AP
Triệu Thị Phan	33		Female		Ethnic	Growing rice	Non AP
Đặng Thị Vân	22		Female		Ethnic	Growing rice	Non AP
Đặng Thị Năm	41		Female		Ethnic	Growing rice	AP
Bàn Thị La	34		Female		Ethnic	Growing rice	AP
Bàn Thị Lai	33		Female		Ethnic	Growing rice	Non AP
Hoàng Thị Hiền	28		Female		Ethnic	Restaurant and Growing rice	AP
Triệu Thị Hiền	34		Female		Ethnic	Growing rice	AP
Triệu Thị Mai	42		Female		Ethnic	Growing rice	Non AP
Đặng Thị Tén	29		Female		Ethnic	Growing rice	AP
Triệu Thị Sinh	30		Female		Ethnic	Growing rice	Non AP
Hoàng Thị Diệp	22		Female		Ethnic	Growing rice	Non AP
Sub total	26		26		26		

APs and Non APs in An Luong commune, Van Chan District Yen Bai province

Lộc Hồng Quân	48	Male			Ethnic	Growing rice	AP
Lục Văn Hậu	41	Male			Ethnic	Growing rice	Non AP
Sa Thị Riêng	29		Female		Ethnic	Growing rice	AP
Lò Thị Mùa	27		Female		Ethnic	Growing rice	Non AP
Hà Thị Trinh	32		Female		Ethnic	Growing rice	AP

Name	Age	Male	Female	Kinh	Ethnic	Ocupation	Category of HH
Lộc Văn Tình	45	Male			Ethnic	Vendor	Non AP
Lộc Văn Hán	29	Male			Ethnic	Small business	AP
Lò Văn Nang	31	Male			Ethnic	Small business	Non AP
Sa Thị Hương	40	Male			Ethnic	Growing rice	Non AP
Nguyễn Văn Kiên	29	Male		Kinh		Growing rice	Non AP
Lưu Bá Cảnh	31	Male		Kinh		Growing rice	Non AP
Hà Văn Lưu	29	Male			Ethnic	Growing rice	Non AP
Hà Văn Công	25	Male			Ethnic	Growing rice	AP
Hoàng Thị Túy	45		Female		Ethnic	Growing rice	Non AP
Đặng Văn Biên	32	Male			Ethnic	Growing rice	AP
Đặng Văn Tá	42	Male			Ethnic	Growing rice	Non AP
Đặng Thị Nhân	29		Female		Ethnic	Growing rice	Non AP
Triệu Nhất	52	Male			Ethnic	Growing rice	Non AP
Trần Văn Tùng	45	Male		Kinh		Growing rice	Non AP
Nguyễn văn Thích	38	Male		Kinh		Growing rice	AP
Nguyễn Văn Thanh	33	Male		Kinh		Growing rice	AP
Đặng Văn Sơn	28	Male			Ethnic	Growing rice	Non AP
Nông Thị Liên	25		Female		Ethnic	Growing rice	Non AP
Đặng Văn Xanh	49	Male			Ethnic	Growing rice	Non AP
Đặng Thị Hoan	39		Female		Ethnic	Growing rice	Non AP

Name	Age	Male	Female	Kinh	Ethnic	Ocupation	Category of HH
Đặng Văn Nhi	48	Male			Ethnic	Growing rice	AP
Nguyễn văn Ngo	27	Male		Kinh		Growing rice	Non AP
Hoàng Văn Quang	32	Male			Ethnic	Growing rice	Non AP
Hoàng văn Thứ	45	Male			Ethnic	Growing rice	Non AP
Nông Đức Trà	36	Male			Ethnic	Growing rice	Non AP
Hà Đình Thư	33	Male			Ethnic	Growing rice	Non AP
Hà Đình Ngạch	26	Male			Ethnic	Growing rice	Non AP
Hoàng Văn Chi	48	Male			Ethnic	Growing rice	Non AP
Hà Đình Tẹ	37	Male			Ethnic	Growing rice	Non AP
Nông Đức Triệu	25	Male			Ethnic	Growing rice	Non AP
Hà Đình Tội	22	Male			Ethnic	Growing rice	Non AP
Nông Văn Minh	32	Male			Ethnic	Growing rice	Non AP
Nông văn Nhậm	45	Male			Ethnic	Growing rice	Non AP
Nông Đức Chính	21	Male			Ethnic	Growing rice	Non AP
Hà Thị Sỏi	32		Female		Ethnic	Growing rice	Non AP
Lường Thị Chưng	45		Female		Ethnic	Growing rice	Non AP
Sa Thị kết	20		Female		Ethnic	Growing rice	AP
Sa Thị Hương	33		Female		Ethnic	Growing rice	AP
Hà Thị Hoa	22		Female		Ethnic	Growing rice	Non AP
Hoàng Thị Trang	29		Female		Ethnic	Growing rice	AP

Name	Age	Male	Female	Kinh	Ethnic	Ocupation	Category of HH
Hoàng Thị Ba	22		Female		Ethnic	Growing rice	Non AP
Lục Thị Hoan	37		Female		Ethnic	Growing rice	AP
Nguyễn Thị Ái	45		Female	Kinh		Growing rice	AP
Lường Thị Ớt	49		Female		Ethnic	Growing rice	Non AP
Nông Thị Bảo	32		Female		Ethnic	Growing rice	Non AP
Phùng Thị Mỹ	48		Female		Ethnic	Growing rice	Non AP
Phùng Thị Tăng	20		Female		Ethnic	Growing rice	AP
Nông Thị Thắng	39		Female		Ethnic	Growing rice	Non AP
Hà Thị Dương	22		Female		Ethnic	Growing rice	Non AP
Hà Thị Bùng	38		Female		Ethnic	Growing rice	Non AP
Nguyễn Thị Hiền	27		Female	Kinh		Growing rice	Non AP
Hoàng Thị Nhất	31		Female		Ethnic	Growing rice	Non AP
Nguyễn Thị Tâm	37		Female	Kinh		Growing rice	Non AP
Lộc Thị Hòa	32		Female		Ethnic	Growing rice	Non AP
Lộc Thị Hồng	25		Female		Ethnic	Growing rice	Non AP
Nguyễn Thị Yến	22		Female	Kinh		Growing rice	Non AP
Nông Thị Bánh	42		Female		Ethnic	Growing rice	Non AP
Hà Thị Sao	45		Female		Ethnic	Growing rice	Non AP
Hà Thị Mừng	25		Female		Ethnic	Growing rice	Non AP
Hà Thị Kế	32		Female		Ethnic	Growing rice	Non AP

Name	Age	Male	Female	Kinh	Ethnic	Occupation	Category of HH
Sub total	65	32	33	10	55		
Woman group in An Luong commune Van Chan Distric Yen Bai province							
Hà Thị Sỏi	39		Female		Ethnic	Growing rice	AP
Lường Thị Chung	29		Female		Ethnic	Growing rice	Non AP
Sa Thị kết	31		Female		Ethnic	Growing rice	AP
Sa Thị Hương	34		Female		Ethnic	Growing rice	AP
Hà Thị Hoa	32		Female		Ethnic	Growing rice	Non AP
Hoàng Thị Trang	29		Female		Ethnic	Growing rice	AP
Hoàng Thị Ba	22		Female		Ethnic	Growing rice	Non AP
Lục Thị Hoan	37		Female		Ethnic	Growing rice	AP
Nguyễn Thị Ái	45		Female	Kinh		Growing rice	Non AP
Lường Thị Ớt	49		Female		Ethnic	Growing rice	AP
Nông Thị Bảo	32		Female		Ethnic	Growing rice	Non AP
Phùng Thị Mỹ	48		Female		Ethnic	Growing rice	Non AP
Phùng Thị Tăng	20		Female		Ethnic	Growing rice	AP
Nông Thị Thắng	39		Female		Ethnic	Growing rice	Non AP
Hà Thị Dương	22		Female		Ethnic	Growing rice	Non AP
Hà Thị Bùng	38		Female		Ethnic	Growing rice	Non AP
Nguyễn Thị Hiền	27		Female	Kinh		Growing rice	Non AP
Hoàng Thị Nhất	31		Female		Ethnic	Growing rice	Non AP

Name	Age	Male	Female	Kinh	Ethnic	Ocupation	Category of HH
Nguyễn Thị Tâm	37		Female	Kinh		Growing rice	Non AP
Lộc Thị Hòa	32		Female		Ethnic	Growing rice	Non AP
Lộc Thị Hồng	25		Female		Ethnic	Growing rice	Non AP
Nguyễn Thị Yến	22		Female	Kinh		Growing rice	Non AP
Nông Thị Bánh	42		Female		Ethnic	Growing rice	Non AP
Hà Thị Sao	45		Female		Ethnic	Growing rice	Non AP
Hà Thị Mừng	25		Female		Ethnic	Growing rice	Non AP
Hà Thị Kế	32		Female		Ethnic	Growing rice	Non AP
Nông Thị Nhâm	45		Female		Ethnic	Growing rice	Non AP
Sub total	27		27	4	23		
Total	140	45	85	14	126		

Appendix 4: Communication, Participation and Consultation Plan

Communication, Participation and Consultation Plan

1. Purpose of the Communication and Participation Plan

263. The purpose of the CPC is to ensure that project stakeholders as well as people living in the affected communities are appropriately consulted and informed of the various project activities along with potential impacts. The CPC also aims to ensure that stakeholders have the opportunity to participate and provide input in to the design of project features and activities related to them. Ultimately, analysis and consultation improves the quality of decisions, minimizes disruption during implementation, and by involving citizens in decisions that affect their lives makes a key contribution to good governance.

2. Objectives and Principles of the Communication and Participation Plan

264. The ADB Safeguards Policy Statement requires that projects having impacts related to environment, involuntary resettlement or ethnic minorities undertake meaningful consultation. 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. ADB requires borrowers/clients to engage with communities, groups, or people affected by proposed projects, and with civil society through information disclosure, consultation, and informed participation in a manner commensurate with the risks to and impacts on affected communities.

265. Consistent with these efforts, the objectives of the consultation, participation and communication plan and related stakeholder communication strategy are to:

- fully disclose information on the proposed project, its components, and its activities with the beneficiary communities and stakeholders;
- obtain information about the opinions, needs and priorities of beneficiary communities and stakeholders;
- solicit input and feedback on beneficial and mitigation measures;
- encourage the participation of beneficiary communities and stakeholders in project activities that affect or could benefit them such as civil works construction, road safety awareness, awareness raising activities, and monitoring;
- obtain the cooperation of beneficiary communities and stakeholders for activities required to be undertaken for project planning and implementation;
- establish a clear, easily accessible and effective grievance redress mechanism; and
- ensure transparency in all project activities.

3. Means of Communication

266. Various means of communication can be applied depending of the communication objectives as well as constraints in time or resources. The following participation techniques can be used:

- **Information Dissemination and Information Sharing Using Media:** this technique can be used to inform the stakeholders on project status, action taken, results of activities and similar. This technique can use either written (information brochures, fact sheets, newsletter, newspaper, radio, and website). Public notice boards, such as at district and commune offices can be used to publically post written information.

Public information, education and communication printed material, should incorporate posters and brochures which drawings and diagrams.

- **Consultation and Discussion Meetings:** These involve face-to-face meetings with stakeholders. Public or small group meetings targeting the community should be held in convenient locations and times to promote participation. Community level meetings have the advantage of overcoming gaps in literacy capabilities and enable the use of local ethnic languages.
- **Information Gathering:** quantitative and qualitative information about projects, needs, best practices, etc., can be gathered either in written form (i.e. questionnaire surveys) or in face to face interactions (meetings, focus group discussions). When dealing with information elicited from community representatives, use culturally appropriate techniques such as focus group discussions; women's gatherings etc., in local language; and ensure that information is collected separately from different segments of community (elders, youth, women etc.);
- **Two-way knowledge and information exchange:** should be applied throughout the project with all key stakeholder representatives and potentially affected or involved communities.

267. Communication needs to recognize the language needs of different audiences. There are 18 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 which drawings and diagrams.

268. Promote gender balance across all project communications. Women's participation should be actively promoted. Invitation notices to such meetings should indicate the names of both spouses. The level of women's participation in meetings should monitored and consideration given to conducting dedicated meetings for women if participation levels are low.

4. Description of Project Stakeholders

269. A stakeholder is an individual, group, or institution that has a defined and recognized interest, or stake, in the project. Stakeholders may be defined by whether they will be affected by a decision or have some influence on its outcome. The most important stakeholder in the project is its people and more specifically those that are either directly or indirectly affected, including road users as well as those marginalized groups who are affected but have no voice or may be invisible, both positively or negatively.

270. Stakeholder participation and communication is essential in both the preparation of the project and its implementation. If stakeholders are not included in the preparation phase, it is likely that the project will be developed in an unsuitable manner and not sensitive to the needs of the people using the roads and those in the project areas. Stakeholder participation will allow the project to draw on the experiences of a range of stakeholders and involve their diverse knowledge.

271. Directly affected people are generally both individuals and groups of people at the local level who are affected by development activities both positively and negatively. Ethnic minorities, poor people and women are also included in these groups because they tend to be most vulnerable in that they have the least power to inform and access planning and decision-making processes. Indirectly affected people are people that live nearby and/or use the roads in the project areas.

272. Government bodies, departments and agencies in the project areas have mandates directly related to various aspects of project design and implementation. They have vested interests in the outcomes of these features and activities. The main Government bodies are the People's Committees at the provincial, district and commune levels. The higher-level people's committees are responsible for key aspects of approval, coordination and mobilization of human and financial resources in the project areas.

273. Community based organizations are primarily represented by mass organizations in Vietnam. These include organizations such as the Fatherland Front, Women's Union, Farmers Union, and Youth Union. They are represented from the national down to the local community level. They are simultaneously responsible for promoting adoption of Government policies related to their areas of representation as well as representing and advocating for the interests of those covered under their mandated areas of concern. Other local institutions, such as schools may also be project stakeholders with an interest in project outcomes and have a role to play.

274. Main project stakeholders along with their interest and anticipated role in the project are summarized in the matrix in the table below.

Table 9-11 Stakeholder Analysis

STAKEHOLDER	INTERESTS IN THE PROJECT	ROLE IN PROJECT
Provincial People's Committee, District People's Committees, Commune People's Committees.	<ul style="list-style-type: none"> Successful project implementation General economic and social development Ensuring application of appropriate Government regulations and policies. 	<p>Province and District Levels</p> <ul style="list-style-type: none"> Consultation on project design and project activities. Approval of implementation arrangements in the local areas. Mobilization and coordination of relevant departments and community based organizations. Ensuring establishment and operation of effective grievance redress. Implementation of resettlement and ethnic minority development plans. <p>Commune Level:</p> <ul style="list-style-type: none"> Participation in implementation of resettlement activities Mobilization of local people to participate in consultation and mitigation programs Participate in monitoring project implementation.
<p>Local Government Departments</p> <ul style="list-style-type: none"> - Committee for Ethnic Minority Affairs - Dept of Agriculture and Rural Development - Dept of Health/Provincial AIDS Centre - Department of Labour, War Invalids and Social Affairs - Dept of Natural Resources and Environment - Department of Transport 	<ul style="list-style-type: none"> Improvement in infrastructure, living standards and poverty reduction of people in the respective provinces and project areas. Rural development and enhancement of farm-market access Ensuring ethnic minority interests are identified and incorporated in project design and implementation. Mitigation of risks and impacts attributable to the project such as HIV transmission, human trafficking, land acquisition, environmental impacts, road safety. 	<p>Committee for Ethnic Minority Affairs:</p> <ul style="list-style-type: none"> Consultation on benefits, impacts and participation of ethnic minorities. <p>Dept of Agriculture and Rural Development:</p> <ul style="list-style-type: none"> Consultation on development and of farming-based livelihood restoration activities of the resettlement plans. Potential collaboration on implementation of livelihood restoration. <p>Dept of Health/Provincial AIDS Centre:</p> <ul style="list-style-type: none"> Consultation on risk of HIV/STI transmission. Collaboration on implementation of HIV/STI awareness and prevention program. <p>Department of Labour, War Invalids and Social Affairs:</p> <ul style="list-style-type: none"> Information sharing on social impacts and mitigation measures. Partnership/Collaboration on livelihood restoration activities. Monitoring conditions of contractor workers during construction phase. <p>Dept of Natural Resources and Environment:</p> <ul style="list-style-type: none"> Consultation on preparation of resettlement plan policies and entitlements. Consultation on Environmental Impact Assessment and Environment

STAKEHOLDER	INTERESTS IN THE PROJECT	ROLE IN PROJECT
		<p>Management Plan.</p> <p>Department of Transport:</p> <ul style="list-style-type: none"> • Consultation on project design and road safety
People in the immediate project areas	<p>People at risk of being negatively affected by the project:</p> <ul style="list-style-type: none"> • by land acquisition • by disruptions during construction. • by environmental impacts and risks during construction and operation. • at heightened risk of HIV/STI transmission and human trafficking • at risk of traffic accidents 	<ul style="list-style-type: none"> • Consultation on nature of impacts and design of mitigation measures. • Informed of implementation arrangements and schedules in timely manner. • Participate in mitigation measures and monitoring. • Be provided with contact points to obtain information and access to grievance redress. • Have safeguards documents and related monitoring reports disclosed to them.
	<p>People benefiting from the project</p> <ul style="list-style-type: none"> • Road users • Locally hired workers 	<ul style="list-style-type: none"> • Have opportunity to provide input in to design of project features affecting them. • Be provided opportunities to participate in local labour hire opportunities and be provided information about this in a transparent manner.
<p>Mass Organizations (Fatherland Front, Women's Union, Youth Union, Farmers Union)</p> <p>Local schools</p> <p>Village leaders and traditional community leaders.</p>	<ul style="list-style-type: none"> • Promoting interests and benefits of their members (e.g. Women's Union promote women's rights and gender equality). • Many of the government's social programs are conducted through mass organizations, including those related to poverty reduction. 	<ul style="list-style-type: none"> • Consultation on design and implementation of project activities in local areas. • Collaboration in project social mitigation activities and road safety campaigns • Participate in monitoring and evaluation of project activities. • Transmitting information in the communities •

5. Outline of Communication, Participation and Consultation Plan

a. Consultation During Project Design

275. Information was gathered from (i) the different government organizations that will be involved in project implementation, (ii) community based organizations, and (iii) community members living near the project sites.

276. During project design members of the project preparatory technical assistance team conducted consultations to solicit stakeholder input on the design of the project using the following methods:

- meetings, with relevant Government departments, such as Departments of Transport; Health; Committee for Ethnic Minority Affairs; Labour, War Invalids and Social Affairs; Environment and Natural Resources
- key informant interviews with district, commune and village officials to determine project needs, socio-economic information of the localities, and assess risks, impacts and opportunities for the communities.
- discussions with the Women's Union, Youth Union and Committee for Ethnic Minority Affairs to set priorities and ensure that the project equitably benefits women and ethnic groups;
- surveys and focus group discussions with men and women living near the project sites.

277. The information and recommendations gathered from the various stakeholder consultations has been incorporated into the design of the project to ensure that the investments align with local priorities and development plans, and that they will deliver equitable socio-economic benefits to the intended project beneficiaries.

The results of the pre-implementation consultations are also to be reflected in the social action plan, gender action plan, resettlement and ethnic minority development plans, and environmental assessments.

b. Consultation During Project Implementation

278. Inclusive and meaningful consultation will continue throughout the project implementation cycle, building on the initial consultations held with various stakeholder groups during project preparation. The various stakeholders, mechanisms for participation, entities responsible, indicative schedules and resources are set out in the Consultation and Participation Plan presented below.

Table 9-12: Consultation, Participation and Communication Plan

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
Construction and Environment Related					
Presentation of planned activities and schedule; anticipated impacts and mitigation measures (including restricted access, disruptions, hazards, road safety); GRM	Potentially affected households, ward PC representatives	Public meetings	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, ward PC representatives	Public meetings & site visits and informal interviews	PMU2, PSC	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	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	PSC	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	PMU2, PSC	Once in the first year of operation	Project supervision consultant time
Public satisfaction with EMP implementation Comments and suggestions	Potentially affected households, ward PC representatives	Public satisfaction survey	PSC, PMU2	Once at project completion report stage	Project supervision consultant time
Resettlement Related					
Information dissemination and consultation on project impacts, mitigation measures and entitlement principles.	Affected households, local authorities	Public consultation meetings. Interviews with households during surveys.	PMU 2, PSC, DPC, CPC	During RP preparation	Project supervision consultant time

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
Consultation on detailed entitlements, mitigation measures and implementation arrangements.	PPC, DONRE, DOLISA, DARD, CEMA, DPCs, CPCs	Meetings and workshops	PMU 2, PSC	During RP preparation	Project supervision consultant time
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	Group and individual discussions with relocating AHs on options details and assistance entitlements.	DCARB, CPC	Following DMS	Resettlement Plan
Livelihood development	AHs eligible for LDP	LDP strategy, including proposed options. Needs and preference assessment. (Feedback informs final design of LDP.)	LDPSC, LDPMB, DCARB	Following DMS	Resettlement Plan
Entitlements, eligibility and compensation rates	AHs	Public consultation meetings. Distribution of the PIB to APs	DCARBs, CPC with support from PMU 2	Following DMS and replacement cost study	Resettlement Plan
Disclosure of draft updated RP and entitlements	Affected households	Posting the compensation and	DCARB		Resettlement Plan

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
		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			
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 schedule	Affected households	Notices to individual households	DCARB and local PCs	Minimum 1 week prior to disbursement	Resettlement Plan
Relocation arrangements	Households required to relocate	Group discussions and individual consultations as needed.	DCARB	Commencing upon final approval of updated RP until resettlement satisfactorily completed.	Resettlement Plan
Disclosure of periodic External Resettlement Monitoring Reports	Public, local authorities, mass	Uploaded on ADB website.	ADB PMU, DPCs	Upon submission of periodic monitoring	NA

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
	organizations	Translated versions made available at District PC offices for public access upon request.		reports (semi-annual)	
Disclosure of periodic Internal Monitoring Reports	Public	Uploaded on ADB website.	ADB	Upon submission of periodic monitoring reports by PMU 2 (semi-annual)	NA
Other Social Issues					
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, Road Safety Service Provider	During construction phase and at commencement of operation phase.	Road Safety Awareness program
Opportunities for project work	Adults in the project area	Public notices	Contractor	Ong going during construction phase	Works contracts

Note: CPC = Commune People's Committee; DCARB = District Compensation, Assistance and Resettlement Board; 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.