

Indigenous Peoples Development Framework
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Viet Nam: Integrated Rural Development Project in Central Provinces

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ABBREVIATIONS

| | | |
|--------|---|---|
| ADB | = | Asian Development Bank |
| CF | = | Community Facilitator |
| CEM | | Committee of Ethnic Minorities |
| CPC | = | Commune People's Committee |
| CPMU | = | Central Project Management Unit (MARD) |
| CPO | = | Community Participation Officer (SST) |
| CSB | = | Community Supervision Board |
| CWU | = | Commune Women's Union |
| DCEM | | District Committee of Ethnic Minorities |
| EMDF | = | Ethnic Minority Development Framework |
| EMDP | = | Ethnic Minority Development Plan |
| EMSA | = | Ethnic Minority Specific Action |
| EO | = | Environment Officer (SST) |
| GOV | = | Government of Viet Nam |
| IRDPCP | = | Integrated Rural Development Project in Central Region |
| MARD | = | Ministry of Agriculture and Rural Development |
| NGO | = | Non – government organization |
| PCEM | = | Provincial Committee of Ethnic Minorities |
| PPC | = | Provincial People's Committee |
| PPMU | = | Provincial Project Management Unit |
| PSA | = | Poverty & Social Assessment |
| PSO | = | Provincial Safeguards Officer (PPMU) |
| RISLIP | = | Rural Infrastructure for Sustainable Livelihood Improvement Project |
| RO | = | Resettlement Officer (SST) |
| SA | = | Social Assessment |
| WU | = | Women's Union |

I. INTRODUCTION

1. The Integrated Rural Development Project in Central Provinces (IRDPCP) provides funds for small and medium-scale investments in rural and coastal infrastructure subprojects, such as roads, irrigation, water supply and sanitation, markets in 13 provinces in the Central Region. The Executing Agency (EA) for the IRDPCP is the Ministry of Agriculture and Rural Development (MARD), with responsibility delegated to the IRDPCP Central Project Management Unit (CPMU). The Implementing Agencies are the Provincial Project Management Units (PPMUs) established in each of the 13 provinces¹.

2. The population of the project area accounts for 19% of Viet Nam's population.² The activities of the Project may have impact on ethnic minority people, a strategy has been developed to ensure that (i) ethnic minority people are consulted and provided appropriate opportunities to participate in the Project, (ii) any adverse impacts on ethnic minority people are mitigated, and (iii) there are no constraints preventing ethnic minority from benefiting from the Project. Therefore, this Ethnic Minority Development Framework (EMDF) sets out the process for guiding the planning and implementation of subprojects in respect of ethnic minorities.

3. There are approximately 35 ethnic minority groups living in the communes and districts of the 13 provinces in the project area. However, subproject locations are not determined therefore it is unknown whether subprojects would be located in, or pass through, areas of indigenous peoples' settlement and/or use. The type of civil work is rehabilitation and upgrading of existing infrastructure mainly within the existing ROW, therefore, subprojects are not expected to have significant effects on their customary rights of use and access to land and natural resources and/or on their socioeconomic and cultural integrity. The Project does not propose to specifically target indigenous peoples in one or more of its main activities. The anticipated negative impact will be permanent loss of small areas of land adjacent to the works and minor damage to structures, crops and trees, and temporary loss or disruption of the use of land or other assets caused by construction works and the movement of construction plant and materials to and from work sites. The involuntary resettlement impacts are deemed not significant because any subproject with significant³ resettlement impacts will not be eligible for funding under the Project. The Project's components and anticipated impacts on ethnic minority population are summarized as follows.

Table 1: Anticipated Impacts on Ethnic Minority Populations

| Component | Possible Impacts |
|--|---|
| 1. Rural and Coastal Infrastructure Development | |
| Rural and Coastal Infrastructure Subprojects | Positive Impacts The improved infrastructure will not positively discriminate |

¹ Including 12 Central coastal provinces: Thanh Hoa, Nghe An, Ha Tinh, Quang Binh, Quang Tri, Thua Thien – Hue, Quang Nam, Quang Ngai, Binh Dinh, Phu Yen, Ninh Thuan, Binh Thuan; and 1 province is Kon Tum in Central Highlands area.

² IPSA surveys conducted between December 2005 and February 2006.

³ Per ADB policy, 'significant' resettlement means that 200 or more people (or approximately 40 households based on an average size of household) will experience: being physically displaced, or; losing 10% or more of their productive assets (income-generating). No subproject will be allowed to cut into slices to avoid 'A' categorization.

| | |
|--|---|
| <p>(i) Upgrading of approximately 50 rural roads (inter commune and inter districts) totaling about 1000 km in length</p> <p>(ii) Rehabilitation and upgrading of about 20 irrigation and drainage</p> <p>(iii) Rehabilitation and upgrading of rural and coastal infrastructure (water supply schemes, rural markets, upgrading of special infrastructure for salt processing, the prevention of salinity intrusion, sand dune stabilization)</p> | <p>ethnic minority households from Kinh households. Ethnic minority households will also benefit from improved infrastructure if a subproject was selected to be located in/by the ethnic minority settlement.</p> <ul style="list-style-type: none"> • <u>Decrease in transportation cost/time</u>: Ethnic minority households may benefit from lower prices due to decrease in transportation cost. • <u>Improved agriculture production</u>: Ethnic minority households tend to be engaged in subsistence agriculture and may not produce in a scale. But the local markets allow selling of local produce in a small quantity and it may lessen the dependency on middlemen. • <u>Improved service delivery and access to social services and markets</u>: In general, ethnic minority households disadvantageous in terms of access to infrastructure and services due to geographical locations. <p>Negative Impacts</p> <ul style="list-style-type: none"> • <u>Land acquisition and resettlement</u>: There is a potential that ethnic minority households are affected. The severity of impact is unknown, however, it will be assessed during preparation of resettlement plan and mitigation measures will be included in the resettlement plan. • <u>Migration</u>: Given the current condition of the roads, it is not anticipated that the Projects will lead to significant in or out-migration. |
| <p>Design Support Studies and Community Participation</p> | <p>Positive Impacts</p> <p>Social assessment in each province will be conducted and the areas of ethnic minority peoples' settlement and/or use of assistance will be mapped.</p> |
| <p>2. Capacity Building:</p> | <p>Positive Impacts</p> <p>Resettlement training as well as awareness raising regarding ethnic minority population will be provided to CPMU, PPMU, Commune Members, selected villagers and local consultants and contractors.</p> |
| <p>3. Project Management:</p> | <p>Positive Impacts</p> <ul style="list-style-type: none"> • Community Participation specialist (international 5 person months, national 15 person months) and Ethnic Minority Specialist (14 person-months) for inclusive participation of ethnic minorities during subproject identification, implementation and monitoring. • Resettlement Specialists (international 5 person-months, national 14 person-months) for effective subproject resettlement planning, implementation and monitoring. |
| <p>Technical Assistance Grant:</p> | <p>Positive Impacts</p> <p>Policy Compliance and Project Start-up Specialists (international 9 person months, and national 9 person months) will be mobilized.</p> |

4. The EMDF has been prepared on the basis of the Government's policies and programs for ethnic minority groups and also complies with ADB's Policy on Indigenous People (1998) and the updated guidelines and requirements of the Operations Manual (2004). The EMDF set out the policy, principles, and implementation mechanisms to ensure participation of ethnic minority people and to address the negative and positive impacts of subprojects on ethnic minority communities during project implementation.

II. LEGAL AND POLICY FRAMEWORK

A. National Policies Covering Ethnic Minorities

5. The definition of ethnic minority in Viet Nam is based on the following four criteria: (i) a language different from the national language; (ii) long traditional residence on, or relationship with, land; and long traditional social institutional system; (iii) a self-provided production system; and (iv) a distinct cultural identity, and self-identification as a distinct cultural group that is accepted by neighbouring ethnic groups.⁴

6. Article 5 of the Constitution of Viet Nam (1992) acknowledges equality among ethnic groups which includes. General principles as identified in the present Constitution and basic laws are as follows:

- Viet Nam is a united nation of all ethnic groups living within the country.
- The State protects, strengthens, and consolidates the unity of all ethnic groups and prohibits any behaviour that looks down upon and sows division among them.
- All ethnic groups are in a position of equality.
- All persons of all ethnic groups should automatically be citizens of the Vietnamese State. They are equal in their rights and obligations.
- All ethnic groups have the right to use their own languages and writing systems, and to encourage their traditional customs and culture.
- The State should carry out plans to narrow the gap between ethnic groups in terms of their economic and cultural development.

7. Vietnamese population is officially classified into 54 ethnic groups, of which the Kinh, the majority, account for about 87%. While the ethnic minorities account for only 16 % of the national population, they also account for nearly a third (29%) of Viet Nam's poor, and in 12 of the 13 poorest provinces they account for nearly half of the poor.⁵ The main national targeted policy and programs are:

- Sedentarization Policy: government Resolution No.38/CP of 12 March 1968 officially launched a campaign for shifting cultivators to practice sedentarization and fixed cultivation. By 1990, after 20 years of implementation, 2.8 million people had been resettled in 26 mountainous areas. In 1998, activities within this program became parts of the national program 135 (below).
- Program 135: The Program for Socioeconomic Development in the Most Disadvantaged Communes (Program 135) was promulgated in 1998 and covered 1,715 communes in mountainous areas. The focal activities of Program 135 is building infrastructure (roads, small irrigation, clean water systems, schools, health canterers etc). The Government has prepared the second phase of Program 135, which will be implemented in around 1,644 of the country's poorest communes.⁶ The Program will be funded from a multi-donor facility⁷, of

⁴ Le Sy Giao; *Fundamentals of Ethnology*, The Education Publication House, Hanoi 1995

⁵ Poverty Task Force; *Promoting Ethnic Minorities Development* (2002)

⁶ Program 135 - Decree No 135/1998/ QD-TTg of the Prime Minister

which World Bank is contributing a US\$50 million and it was just approved by the Board on 21 March 2007.

- Land and Forest Policy: To deal with forest degradation, the State issues a policy of land and forest allocation to cooperatives and households in the 1980s. This policy was expanded particularly after promulgation of Land Code in 1993. A large area of land that previously belonged to state organizations is being transferred to the people to manage. In the Central Highlands, the land area managed by the State has been reduced by 26%. In the 2006–2010 Socioeconomic Development Plan (SEDP), the Government plans to continue to transfer forest land to local households.

8. There are two agencies that have been mandated to look after matters related to ethnic minorities:

- Ethnic People's Council of the National Assembly which is responsible for submitting proposals and plans for ethnic minority groups, and controlling and monitoring the implementation of national policies and development programs towards to ethnic minorities; and
- State Committee for Ethnic Minority Affairs (CEM) which is responsible mainly for the proposal of policies and supervision of development programs for ethnic minorities, including Program 135.

B. ADB's Policy on Indigenous People

9. ADB's *Policy on Indigenous People* (1998) defines such people as having

"a social or cultural identity distinct from the dominant or mainstream society, which makes them vulnerable to being disadvantaged in the process of development."

10. The chapter of the *Operational Manual* on indigenous people (2006) updates the guidelines of ADB and also clearly defines indigenous peoples

"as groups with social or cultural identities distinct from that of the dominant or mainstream society. 'Indigenous people' is a generic concept that includes cultural minorities, ethnic minorities, indigenous cultural communities, tribal people, natives, and aboriginals."

11. The policy lists several features for the identification of indigenous people and the assessment of their degree of vulnerability during project preparation. These include: (i) descent from groups present in specific areas prior to the establishment of modern states and relative borders; (ii) maintenance of distinct self/non-self ascribed identities; (iii) use of distinct languages; (iv) active maintenance of socio-cultural systems/institutions that differ from the socio-cultural system/institutional-political tradition of dominant societies; (v) pursuit of livelihoods at the margins of the market system; and (vi) unique ties/ attachments to natural resources and ancestral territories.

⁷ Cofinanced by Australia, Finland, Ireland, Sweden, the United Kingdom, and the International Fund for Agricultural Development.

12. These definitions apply directly to the populations classified in Viet Nam as ethnic minority because these groups: (i) have special attachment to ancestral territories; (ii) maintain specific cultural/social traits including language, belief, production patterns, and especially law and social institutions, which make them radically different from national mainstream culture; (iii) they are recognized by mainstream groups and government as having unique features; and finally (iv) because of their difference and isolation they may experience deprivation of rights, marginalisation, and discrimination.

13. Based on the basic comparability of the ADB notion of “indigenous people” with the Vietnamese notion of ‘ethnic minorities’ this latter term will be adopted in substitution for indigenous people for the Project.

III. ETHNIC MINORITIES IN THE PROJECT AREA

14. A *Poverty and Social Assessment* (PSA) has been prepared for the Project. The PSA shows that in the 13 provinces in the project area, ethnic minorities account for some 12 % of the population on average, with 35 different ethnic groups being represented. Ethnic minority households are concentrated in the mountain areas therefore the total proportion of ethnic minority population differs in each province, ranging from less than one % in Ha Tinh to 54 % in Kon Tum.⁸

Table 2: Ethnic Minority in Project Provinces

| Province | Population (000) | Rural Population (%) | Total Ethnic Minority Pop (%) |
|-------------------|------------------|----------------------|-------------------------------|
| Thanh Hoa | 3,620.3 | 90.3 | 16.4 |
| Nghe An | 2,977.3 | 89.5 | 13.3 |
| Ha Tinh | 1,283.9 | 90.1 | 0.1 |
| Quang Binh | 818.3 | 87.1 | 1.8 |
| Quang Tri | 608.5 | 76.2 | 9.0 |
| Thua Thien Hue | 1,121.1 | 73.5 | 3.7 |
| Quang Nam | 1,438.8 | 84.8 | 6.7 |
| Quang Ngai | 1,250.3 | 85.7 | 11.5 |
| Kon Tum | 357.4 | 68.5 | 53.6 |
| Binh Dinh | 1,530.3 | 75.1 | 1.9 |
| Phu Yen | 836.7 | 80.0 | 5.1 |
| Ninh Thuan | 546.1 | 67.6 | 21.9 |
| Binh Thuan | 1,120.2 | 65.5 | 6.9 |
| Average | 17,509.2 | 80.0 | 11.6 |

15. The ethnic minorities’ culture and languages are different and diversified. In general, they speak one of four language groups; Viet-Muong (Muong group in Nghe An, Ha Tinh), Tay-Thai (Thai, Nung groups in Thanh Hoa, Nghe An and Ha Tinh); Mon-Khome (Bana, Xodang, Hre, Brau, Romam, Ta oi, Ka tu, Bru-Van Kieu and other smaller groups in Binh

⁸ PSA surveys conducted between December 2005 and February 2006.

Dinh, Phu Yen, Quang Nam, Quang Ngai, Thua Thien - Hue and Kon Tum provinces); and Malayo – Polynesian (Cham, Raglay, Chu ru groups in Ninh Thuan and Binh Thuan provinces). The ethnic minorities who traditionally live in the Central Highlands are Ba-Na, Co-Ho, E-De, Gie-Tieng, Hre, Ma, Ra Glai, and Xo-Dang. The Noethern Upland minorities are: Dao, Hmong, Muong, Nung, Tay, Thai, San Diu, Dan Chay and Tho.

Table 3: Types of Ethnic Minority Groups in Project Provinces

| Province | Names of Main Ethnic Minority Groups |
|----------------|--|
| Thanh Hoa | Thai, Muong, Hmong, Tho, Dao |
| Nghe An | Thai, Tho, Kho-mu, Hmong |
| Ha Tinh | None indigenous (through migration and inter-marriage) |
| Quang Binh | Bru Van Kieu |
| Quang Tri | Bru Van Kieu, Ta-oi |
| Thua Thien Hue | Ta-oi, Co-Tu, Bru Van Kieu |
| Quang Nam | Co-tu, Xo-dang, Mnong, Co, Gie Trieng |
| Quang Ngai | Hre, Co, Xo-dang |
| Kon Tum | Xo-dang, Ba-na, Gie Trieng, Gia rai, Brau, Ro Mam |
| Binh Dinh | Ba-na, Hre, Cham |
| Phu Yen | E de, Cham, Ba-na |
| Ninh Thuan | Cham, Ra-glai, Chu Ru |
| Binh Thuan | Cham, Ra-glai, Co ho, Tay |

16. It is true that poverty, particularly extreme poverty concentrated geographically and among ethnic minority groups. The PSA findings revealed that two-thirds of poor households surveyed were in fact ethnic minority households. The statistical data gathered during field work also indicated high levels of poverty among ethnic minority households. For example, in Kon Tum, poor ethnic minority households account for 88 % of the total poor households in the province (49% of total households are considered poor).⁹ In Ninh Thuan and Kon Tum the consultations also revealed very low and passive participation of ethnic minority people in design and decision-making for, and supervision of, subprojects¹⁰. Yet, in Vietnamese context, it is difficult to judge whether poverty is closely associated with geographical remoteness or lack of endowments (land, education, other physical and human capital) or political clout.

17. Using the data from the 1998 Viet Nam Living Standards Survey (VLSS), Kinh households have substantially higher living standards (as measured by per capita expenditure) than ethnic minority households in general. The gap is also reflected in lower school enrolment rates, higher fertility and poorer access to health services by minority households. The fertility rate for ethnic minority women is about 25% higher than for Kinh women. Just 47% of mothers in the 1998 VLSS sample sought prenatal care, compared with 70% for Kinh mothers, and only 30% of births were assisted by a health professional, compared with 88% for Kinh households. However, it is important not to overemphasize the

⁹ Kon Tum Provincial Committee of Ethnic Minorities (PCEM), *Annual Report of Ethnic Affairs* (2005).

¹⁰ The findings of EM specialist's field visits sub projects in Ninh Thuan and Kon Tum in September 2006.

contrasts because there are similarities between the socio-demographic characteristics, such as use of modern method of contraception, the mean consumption of calories, and the mean body mass index, of the Kinh and ethnic minority groups.

18. Not all ethnic minority groups are equally disadvantaged¹¹. The Khmer and Northern Upland Minorities (Dao, Hmong, Muong, Nung, Tay, Thai, San Diu, Dan Chay and Tho) experienced reasonable growth in per capita expenditures during the 1990s and now have expenditures distributions that are clustered at or just below the poverty line. In contrast, the poorest people are members of the Central highland Minorities (Ba-Na, Co-Ho, E-De, Gie-Tieng, Hre, Ma, Ra Glai, and Xo-Dang), whose average level of expenditure per capita has remained stagnant since 1993¹². For school enrolment rates, they are low for the Central Highland Minorities, and for some of the Northern Upland Minorities especially the Hmong. Tay and Nung, and to a lesser extent the Thai are the groups where school enrolments are the highest and appear to have assimilated the most with the Kinh due to their high-intermarriage rates.

19. The Project PSA was undertaken during project preparation and it covered 6 province and 6 districts in each province with 2 districts selected in each of the 3 agro-environmental zones- coastal, plains, and mountainous zones. There are 18 different ethnic minority groups in the communes surveyed¹³. In the Project's area, there is a high percentage (70%) of household heads without any education in mountainous communes (where ethnic minorities are mostly located) compared with 6% in coastal communes.¹⁴ Looking specifically at education levels of ethnic minority households, 16% of ethnic minority household heads compared with 2% of Kinh household heads have no education while nearly half of ethnic minority household heads compared with 22% of Kinh household heads have only completed primary school. Numbers completing higher education [secondary school and junior school] are fewer for ethnic minority household heads (6%) compared with Kinh (17%).

20. Further, the proficient level of Viet language is generally high, but varies among ethnic minorities in the project area. The groups of Thai, Cham, Muong, Bana reside in towns and along main transportation routes and are more fluent in the Viet language than groups living in isolated and remote areas, such as the Ta oi, Bru- Van Kieu, Raglay, Churu, and Sach. This is confirmed by the PSA which shows that 62 % of the heads of ethnic minority household are fluent in Kinh (Viet) and 17 % stated they considered their Kinh language to be of average fluency. Some 13 % stated they were barely intelligible in Kinh and another eight % stated they were not intelligible at all. This may lead to the different levels of participation in activities of the Project.¹⁵

¹¹ The VLSS survey did not sample enough ethnic minority households to allow for much disaggregation. 93 VLSS data only sampled 10 different ethnic groupings.

¹² Ethnic Minority development in Vietnam (Bob Baulch, 2001)

¹³ Thai is the ethnic minority with the largest presence in the surveyed areas with 41%, followed by Van Kieu (17%) and Muong (12%). Each of the 15 remaining groups (Dao, Thanh, Tho, Ma Kieng, Khua, Sach, May, Tay, Kor, Co Tu, Ta Rleng, Ve, San, Ba Ha, Ka Dong) accounts for less than 5% of the ethnic minority population in the survey.

¹⁴ PSA surveys conducted between December 2005 and February 2006. The greatest proportion of ethnic minority households is located in mountainous communes (56%) and the smallest proportion is located in coastal communes (2%).

¹⁵ The findings of EM specialist's field visits sub project components in Ninh Thuan and Kon Tum in September 2006.

21. The traditional social institutions of those ethnic minority groups are also different. While Thai, Bru-Van Kieu, Brau, Ro Mam, and Xo dang conform to a patrilineal system, the Cham, Rag lay, Chu ru groups conform to a matrilineal system. This has led to the differences in asset inheritance and land ownership among these groups, and distinct cultural aspects may emerge adverse impacts in the plan and implementation of resettlement and compensation if without adequate attention.

IV. STRATEGY FOR ETHNIC MINORITIES' PARTICIPATION

22. The Project's strategy for encouraging participation of ethnic minorities is based on recognition of ethnic minorities' particular social and cultural aspects that may require different mechanisms to that of Kinh, and that may limit or prevent ethnic minorities from participating and/or benefiting from the Project.

23. In view of this, implementation of the Project will be require the following:

- i. Increasing involvement, of ethnic minority beneficiaries as much as possible through identifying and determining their needs, concerns, and priorities and designing subprojects that take these into account;
- ii. Consulting with ethnic minorities, and if so required for a subproject, fully involve them in the process of preparing an Ethnic Minority Specific Action (EMSA) or Ethnic Minority Development Plan (EMDP); and
- iii. Ensuring that the negative impact on ethnic minority population, particularly land acquisition and resettlement will be minimized and mitigated.

24. Through preparation, implementation, and monitoring of subprojects, Community Participation Specialist (national) will be engaged to assist the Provincial Project Management Unit (PPMU) to consult with affected communities and beneficiary groups and facilitate their participation in the overall project. An international Community Participation Specialist and a national Ethnic Minority Specialist for inclusive participation of ethnic minorities during subproject identification, implementation and monitoring. Policy Compliance and Project Start-up Specialists (international 9 person months, and national 9 person months) and Resettlement Specialists (international 5 person-months, national 14 person-months) will also be engaged by the CPMUs to ensure that safeguards are fully complied with.

25. Beneficiaries and affected communities will be provided opportunities to participate at various stages through the rolling project process. This includes (i) subproject identification and selection - participation in workshops to discuss issues and problems and identify infrastructure priorities to address the most pressing problems or needs, and in screening for the subproject identification proposals (SIPs); (ii) subproject preparation - participation in meetings to refine the subproject (location, technical solutions, capturing local knowledge, agreement on fees or user charges, initial identification of impacts and mitigation measures), in preparation of safeguard documents as required, and in meetings to further fine-tune the design (during detailed design stage); and, (iii) subproject implementation – participation in construction activities and supervision (iv) subproject operation, maintenance and monitoring - contribution of ongoing operation and maintenance costs (say through user fees) and monitoring of subproject impacts (such as water quality monitoring).

V. STEPS FOR PREPARING AN ETHNIC MINORITY ACTION

26. During the start-up stage of the Project, CPMU will mobilize a consulting firm to conduct detailed provincial level poverty and social assessment. It will describe the types of ethnic minority group in the area, their livelihood, and their locations. The design of PSA will

be undertaken by international Community Participation Specialist. The process of implementation will be supervised by a national Community Participation Specialist and Ethnic Minority Specialist.

A. Preliminary Screening for Impacts on Ethnic Minority Communities

27. Commune People's Committee (CPC) will prepare a Subproject Investment Proposal (SIP). It is a prerequisite for preparing SIP that (i) subproject has linkage with other livelihood enhancement activities and /or other donor or government programs or project, particularly Program 135; and (ii) undertake comprehensive public consultation, not excluding ethnic minority groups, on the proposals and include their feedback from consultation in the SIR. The ethnic minority screening form and requirement for any further analysis or action will be a component of the SIP.

28. The PPMU and/or ethnic minority specialist will undertake a preliminary screening with the help of commune leaders, village heads and commune Women's Union (CWU). The screening will collect the following information:

- Names of ethnic groups in the commune by village;
- Total number of households/population by ethnic group by village; and proportion of each ethnic group population in the total of communal population.
- The approximate total number of households and number of ethnic minority households to be affected by, or benefit from, the subproject; and
- Initial and broad identification of types of impacts by ethnic group.

29. Based on the Subproject Investment Proposal (SIP) forwarded via PPMU, CPMU, assisted by consultants will screen subprojects impacts on ethnic minority population. The impacts of projects on ethnic minorities will be considered significant if they positively or negatively (i) affect their customary rights of use and access to land and natural resources; (ii) change their socioeconomic status; (iii) affect their cultural and communal integrity; (iv) affect their health, education, livelihood, and/or (v) alter or undermine the recognition of indigenous knowledge.

30. CPMU will screen out subprojects if negative (\neq positive) impacts on ethnic minority people are considered as significant and/or consultation with ethnic minority groups have not been undertaken. If the results of the screening show that an ethnic minority community is likely to be significantly affected, a social assessment will be prepared.¹⁶ ADB has prepared a screening checklist for identifying initial impacts on ethnic minorities and what course of action will be required (i.e. no further analysis or action, an EMSA or an EMDP). The form has been attached as Attachment 2.

VI. ETHNIC MINORITY SPECIFIC ACTION

31. An EMSA is required when the impacts on the ethnic minority community are limited. The objective of the EMSA will be to (i) incorporate and include ethnic minorities, who might

¹⁶ Significant impact is defined in ADB's policy as when a subproject "...either positively or negatively will (i) affect their customary rights of use and access to land and natural resources; (ii) change their socioeconomic status; (iii) affect their cultural and communal integrity; (iv) affect their health, education, livelihood, and/or social security status; and/or (v) alter or undermine the recognition of indigenous knowledge."

be excluded from the subproject, into the subproject beneficiary groups; (ii) incorporate the specific needs of ethnic minorities, that might otherwise not be addressed, into the overall subproject plan; and (iii) address the needs of communities where ethnic minorities and non-ethnic minorities live in the same subproject location, through a common community action plan.

32. To ensure that the ethnic minority APs receive full benefit of resettlement activities related to land acquisition and compensation the following specific activities will be integral to the RP.

- (i) In villages with ethnic minorities, one man and one woman representative from each ethnic minority group will be included in each of the resettlement committee (District and Village level).
- (ii) During the final DMS both men and women, and female-headed ethnic minority households will participate in the DMS, and will be accompanied by a DRC or VRC member who will provide translation as needed to ensure APs understand and are in agreement with the DMS results.
- (iii) Compensation will be given to both men and women from ethnic minority households.
- (iv) Where ethnic minority households are required to rebuild or relocate, rehabilitation options and sites will be acceptable to the household and ensure they are able to continue their existing livelihood and lifestyle, and remain within their community (if they so choose).
- (v) Where land is allocated or use rights assigned, registration will be in the name of husband or wife if the affected land was acquired prior to marriage and joint registration in the names of both husband and wife for ethnic minority APs if the land was acquired by both husband and wife.
- (vi) All public information and consultation meetings in ethnic minority villages will include local translation in minority languages so that information and exchange of views is facilitated for all men and women APs. Village meetings will be held to raise AP awareness and understanding of resettlement related issues such as project timing, entitlements, compensation determination and payments, grievance process, support for relocation/ rebuilding etc., and specific women focus groups will also be held to cover the same issues.
- (vii) Rehabilitation measures for businesses will ensure that ethnic minority households and/or female headed households as well as other APs are treated equitably in terms of assistance to find and/or allocation of replacement land, and in the provision of allowances (including business income loss, transition and vulnerable allowances).
- (viii) Where ethnic minority households live within villages of another ethnicity, DRCs will pay special attention to their compensation and transition. External monitoring will also review these cases.
- (ix) Rehabilitation measures for relocating APs will ensure that ethnic minority households receive equitable treatment with regard to: i) assistance to self-relocate (find land, etc.), ii) allocation of housing and/or commercial sites (e.g., in resettlement sites); iii) village support in moving, and contractor support to improve lands; and iv) provision of allowances (including business income loss, transition and vulnerability allowances).
- (x) Monitoring of RP updating, consultation and awareness, implementation, and AP rehabilitation and satisfaction will all be undertaken using gender and ethnicity disaggregated data.
- (xi) Internal monitoring will ensure consultation incorporates translation to ethnic minority languages in minority villages and for minorities living in villages of other ethnicity.

- (xii) Both male and female ethnic minority members will be able to participate in the jobs that are created during road upgrading and post-construction in the Project area. In the surveys and stakeholder meetings held, all ethnic minority groups expressed interest in the job opportunities as well as increasing their incomes from agriculture and other activities.

VII. ETHNIC MINORITY DEVELOPMENT PLAN

33. An EMDP will be prepared for each subproject that will have a significant impact on the; (i) customary rights of use or access to land and resources; (ii) socioeconomic status; (iii) cultural or communal integrity; (iv) health, education, livelihood or security status; or (iv) recognition of indigenous knowledge of ethnic minority groups.

34. An EMDP will be also prepared for subproject where the ethnic minority population exceeds 20% of all the affected persons of resettlement. The EMDP will be incorporated into a resettlement plan for a subproject and it will be titled as 'Land Acquisition and Resettlement, and Ethnic Minority Development Plan'.

35. The EMDP will include the subproject activities that require mitigation measures, and development assistance. The affected community will be consulted in their native language on activities of the subproject in order to ensure that they can fully participate in decision-making, implementation, and supervision. The EMDP will demonstrate:

- (i) The ways in which the subproject will significantly impact ethnic minorities;
- (ii) How the subproject will aim to achieve the greatest possible reduction of poverty among the affected ethnic minorities;
- (iii) How unavoidable negative impacts will be minimized as much as possible, and identify appropriate measures that will be taken to mitigate the adverse impacts; and
- (iv) The measures required to enhance the subproject's benefits to ethnic minorities.

36. The EMDP will include the following:

- Legal framework - description of the main points of Government and ADB policies on ethnic minorities;
- The process and mechanisms used to involve the ethnic minority community in, and consult with them fully about the subproject. The procedures for, and timing of, disclosure of the EMDP for review and approval;
- Social assessment – a summary of the SA and purpose of the EMDP, in which need to be paid significant attentions to: cultural beliefs, ancestral territory, and resource use patterns among the affected indigenous peoples;
- Mitigation and enhancement measures - defining crucial activities to minimize the possible negative impacts of subproject on ethnic minority communities in respect of their distinctive culture and customs, and identifying any complimentary activities to enhance the benefits of the subproject that will be reaped by ethnic minority communities;
- Institutional arrangements – establishing the roles and responsibilities of institutions for the implementation, monitoring, and supervising of all of the activities or measures included in the EMDP; and the possibilities of involving

local organizations and nongovernment organizations with expertise in ethnic minority issues;

- Implementation schedule - the detailed and time-bound plan for implementation of EMDP activities;
- Monitoring and evaluation - who will conduct the monitoring, how often it will be conducted and indicators or parameters to be evaluated; and
- Budget - a clearly defined cost estimate for activities of the implementation of EMDP including the monitoring.

37. In respect of the mitigation and enhancement measures, the EMDP will clearly set out the ways in which: (i) the negative impacts on ethnic minority people will be avoided or mitigated; (ii) any capacity building and training or support to be provided will ensure that ethnic minority communities can fully capture the subproject benefits and how the subproject combined with EMDP activities will improve their living conditions, income and livelihood; (iii) their cultural identities will be preserved; and (iv) in the case of land acquisition, ethnic minority's traditional land rights will be fully respected, and even the absence of land titles will not prevent them from being entitled to compensation and/or rehabilitation measures. The entitlements of people affected by land acquisition, including ethnic minority households, are specified in the Resettlement Framework for the Project.¹⁷

38. The resources allocated for the mitigation and enhancement measures will be from the budget line item included in the overall subproject cost estimate. Refer to Chapter X.

39. An EMDP prepared for a recent subproject similar to those anticipated under IRDPCP¹⁸ is provided in Attachment 3 as an example or template to follow in the preparation of EMDPs under the Project. The example EMDP meets ADB's policy requirements, has been approved by ADB and is available on ADB's website. It contains multiple measures including livelihood improvement support (through commune development funds), small-scale infrastructure development, and capacity development.

VIII. INSTITUTIONAL RESPONSIBILITIES

40. The overall roles and responsibilities of the various agencies involved in the Project are provided in Attachment 4.

A. National Level

41. The Ministry of Agriculture and Rural Development (MARD) is the executing agency for the Project and is the highest administrative agent for overall coordination, provision of guidelines and support for the implementation of the IRDPCP in the selected provinces.

42. MARD and CPMU will be assisted by an international Community Participation Specialist and a national Ethnic Minority Specialist. Policy Compliance and Project Start-up Specialists (international 9 person-months, and national 9 person-months) and Resettlement Specialists (international 5 person-months, national 14 person-months) will also be engaged by the CPMUs to ensure that safeguards are fully complied with. MARD's CPMU will be

¹⁷ This includes income and livelihood restoration for any people that will be severely affected by the subproject.

¹⁸ The project for which an EMDP has been selected is the *Forests for Livelihood Improvement in the Central Highlands Project*.

responsible for recruiting an independent monitoring organization (a consultant or NGO) to carry out annual assessments of the community participation, resettlement, ethnic minority development and gender aspects of the Project and preparing an evaluation on the above issues at the end of the Project particularly with regard to resettlement.

B. Provincial Level

43. The PPMUs will be responsible for implementation of the subprojects, and will undertake the day-to-day management and activities required for their successful implementation. With respect to ethnic minority aspects, this will include:

- Consultation with the affected community through provincial office of State Committee for Ethnic Minority Affairs (CEM) to complete initial screening and categorization of subprojects to determine the appropriate actions (as defined in this EMDF) to address any ethnic minority issues associated with the subproject.
- Recruitment of various experienced local consultants as required to assist with SA and preparation of relevant documentation (including SIPs, SIRs, EMSAs or EMDPs, etc.).
- Implementation, monitoring and supervision of EMSAs or EMDPs.

44. The Provincial Committee of Ethnic Minorities (PCEM) will be responsible for consulting PPC and PPMU in the identification of districts and communes that require medium scale infrastructure investment, assisting PPMU in preparation of SAs, EMSAs or EMDPs where necessary, and appointing the Head of Policy Division to assist PPMU in the planning and preparing of EMSAs or EMDPs.

C. District Level

45. At the district level, in case that EMDP is required, the Project will form a Subproject Support Team (SST), which will provide support to the PPMU for each subproject. The SST will include; Vice Chairman of DPC as Head; Vice Chair of district Women's Union (WU) as Deputy Head and who will also be the CPO; technical personnel from the district line agencies as required, an environment officer (EO) (DPC's environment officer seconded to the Project on a part-time basis); resettlement officer (RO). Other members will depend on the nature of subprojects, as required, to ensure the adequate preparation and implementation of a subproject.

46. The CPO, RO, EO and PSO will regularly supervise and monitor the implementation of the EMSAs or EMDPs along other safeguards requirements for each subproject.

47. As appropriate, representative(s) District Committee of Ethnic Minorities (DCEM) will also participate as external member(s) of SSTs in assisting preparation of SAs, EMSAs or EMDPs as well as monitoring and supervision of their implementation within a district. They will report directly to PCEM.

D. Commune Level

48. The CPC, CWU and Fatherland Front, with support from other social organizations, will effect the inputs at commune level.

49. In areas where there are affected ethnic communities, they will be responsible for working with the PPMU and SST to facilitate participation of ethnic minority groups in all stages of subproject selection, design, planning and implementation. This will be done through public meetings, dissemination of project information, facilitating feedback from the

ethnic minority groups to the SST and PPMU, and providing inputs to the screening, SA, and EMSAs or EMDPs as required.

50. Representatives of Fatherland Front, as the commune level arm of PCEM/DCEM, CWU, villages heads, and village elders (gia lang), will supervise the day to day activities of EMDPs during the preparation and implementation process.

51. The responsibilities of the affected ethnic minority communities will be to engage in the consultation and participation in all stages of subproject screening, designing, planning, and implementation, specific inputs to EMDP, being members of the Community Supervision Board (CSB) as required, and generally supporting the subproject implementation.

52. If the ethnic minority groups (or households therein) have any grievances or complaints, they will be handled as per the grievance redress mechanism established in the RF. Ethnic minority people may also send their complaints directly to PCEM or PPC in urgent cases.

IX. MONITORING AND EVALUATION

53. The overall project as well as individual subprojects will be monitored for achievement of benefits, compliance with overall project procedures (including safeguards and community participation), timeliness of implementation (adherence to schedules), and execution within budgets. The monitoring will be undertaken by PPMUs and CPMU (internal monitoring and progress reporting) and by an independent monitoring organization (external monitoring).

54. The implementation and results of EMDPs will be monitored regularly, internal monitoring will be conducted by PPMU and external monitoring will be conducted by PCEM and an independent monitoring organization. The findings and recommendations related to ethnic minorities will be integrated into the periodic reports of PPMU to PPC and CPMU. The CPMU will incorporate the findings of the PPMUs into MARD's reporting to ADB and AFD.

55. A set of monitoring indicators will be developed during project implementation by the Project Start-up Consultant and Capacity Building consultant. A suitably qualified consultant or NGO will be appointed by CPMU to undertake the external monitoring and evaluation of the overall project and the safeguard components in particular.

56. In terms of monitoring the effectiveness of the EMDF and any actions prepared thereunder, monitoring will cover (i) process and implementation of activities (delivery of information, consultation, participation, and mitigation and enhancement measures) according to the overall plan and schedule; (ii) disbursement and budget issues; (iii) whether the intended results have been achieved and the impact of the action and subproject on ethnic minority households in terms of improvement of their livelihoods, and (iv) lessons learnt.

X. BUDGET

57. The likely number of subprojects requiring actions, derived from the estimated number of subprojects multiplied by the average ethnic minority population, is shown in Table 1.

Table 1: Likely Distribution of EM Actions Under EMDF

| Province | Total Ethnic Minority Pop. (%) | Estimated No. of Subprojects ¹⁹ | Potential No. of Subprojects Requiring EM Actions |
|----------------|--------------------------------|--|---|
| Thanh Hoa | 16.4 | 14 | 5 |
| Nghe An | 13.3 | 12 | 5 |
| Ha Tinh | 0.1 | 9 | 0 |
| Quang Binh | 1.8 | 8 | 1 |
| Quang Tri | 9.0 | 8 | 1 |
| Thua-Thien Hue | 3.7 | 7 | 2 |
| Quang Nam | 6.7 | 12 | 3 |
| Quang Ngai | 11.5 | 7 | 3 |
| Kon Tum | 53.6 | 5 | 3 |
| Binh Dinh | 1.9 | 8 | 1 |
| Phu Yen | 5.1 | 7 | 2 |
| Ninh Thuan | 21.9 | 6 | 1 |
| Binh Thuan | 6.9 | 7 | 1 |
| Project Area | 11.7 | 110 | 30 |

58. Based on the EMDF cost estimate developed for the Central Region Transport Network Project which covered similar provinces included in IRDPCP, a budget of US\$500,000 will be allocated from the overall project cost to provide funds for the preparation of EMSAs or EMDPs where they are required by specific subprojects.

59. The budget line item allocated for EMSA or EMDP included in the overall project cost estimate will be tagged so that any unused funds will be used for development of other subprojects in ethnic minority communities.

60. The activities or measures to be included in an EMSA or EMDP to address the requirements and/or concerns of a specific ethnic minority community in respect of an individual subproject will be identified or agreed by the ethnic minority community themselves, through the participatory process set out in this EMDF.

61. The types of measures or activities to be included within the scope of an EMSA or EMDP can include, but not be limited to, the following; (i) capacity building and training or support to ensure that ethnic minority communities can fully capture the benefits of a subproject such as agricultural extension, vocational training, farmer field schools²⁰, adult literacy programs, development of marketing associations, small business development, development of various income generation opportunities based on natural resources such as

¹⁹ Based on the estimated funding per province.

²⁰ Under Viet Nam's integrated pest management program (IPM) the farmer field schools provide a community-driven and sustainable approach to community empowerment and increasing agricultural production. The IPM program is well-established in the provinces in the project area and has a proven track record.

community forestry in mountainous communes and aqua-culture in coastal communes, and health and hygiene education and awareness programs linked with water supply and sanitation projects; or (ii) construction of smaller scale infrastructure (on-farm or tertiary) than is the focus of the main project component, this could include small irrigation structures, development of markets (including water and sanitation facilities) and other commercial support structures, and small tracks or footpaths.

62. An action could also include combinations of both capacity building and small scale infrastructure development that will enhance the benefits from the subproject.

63. The design and implementation of EMSAs and EMDPs will be covered in the Terms of Reference for the consultant and local consultants engaged by the PPMUs.

64. Each EMSA or EMDP will include a detailed budget that will cover the cost required to implement the planned activities and measures, associated administrative charges, and monitoring. The budget of EMSA or EMDP will be prepared by SST and PPMU with assistance from the local community participation consultant. The EMSA budget will be part of the overall cost estimate/budget for the subproject. The EMDP will be a part of the overall resettlement budget for the subproject.

ATTACHMENT 1: ETHNIC MINORITIES IN THE PROJECT AREA

Table A.1-1: Ethnic Minority Population in Project Provinces

| Province | Population (000) | Rural Population (%) | Total Ethnic Minority Pop (%) |
|---------------------|---------------------|----------------------------|-------------------------------------|
| Thanh Hoa | 3,620.3 | 90.3 | 16.4 |
| Nghe An | 2,977.3 | 89.5 | 13.3 |
| Ha Tinh | 1,283.9 | 90.1 | 0.1 |
| Quang Binh | 818.3 | 87.1 | 1.8 |
| Quang Tri | 608.5 | 76.2 | 9.0 |
| Thua Thien Hue | 1,121.1 | 73.5 | 3.7 |
| Quang Nam | 1,438.8 | 84.8 | 6.7 |
| Quang Ngai | 1,250.3 | 85.7 | 11.5 |
| Kon Tum | 357.4 | 68.5 | 53.6 |
| Binh Dinh | 1,530.3 | 75.1 | 1.9 |
| Phu Yen | 836.7 | 80.0 | 5.1 |
| Ninh Thuan | 546.1 | 67.6 | 21.9 |
| Binh Thuan | 1,120.2 | 65.5 | 6.9 |
| Project Area | 17,509.2 | 80.0 | 11.6 |

Source: Socioeconomic Statistical Data of 64 Provinces & Cities (Statistical Publishing House; 2005)

Table A.1-2: Main Ethnic Minority Groups in Project Provinces

| Province | Total No. Ethnic Groups | Names of Main Ethnic Minority Groups |
|----------------|----------------------------|--|
| Thanh Hoa | 35 | Thai, Muong, Hmong, Tho, Dao |
| Nghe An | 35 | Thai, Tho, Kho mu, Hmong |
| Ha Tinh | - | None indigenous (through migration and inter-marriage) |
| Quang Binh | 26 | Bru Van Kieu |
| Quang Tri | 29 | Bru Van Kieu, Ta oi |
| Thua Thien Hue | 22 | Ta oi, Co Tu, Bru – Van Kieu |
| Quang Nam | 35 | Co tu, Xo dang, Mnong, Co, Gie Trieng |
| Quang Ngai | 27 | Hre, Co, Xo dang |
| Kon Tum | 35 | Xo dang, Ba na, Gie Trieng, Gia rai, Brau, Ro Mam |
| Binh Dinh | 32 | Ba na, Hre, Cham |
| Phu Yen | 31 | E de, Cham, Bana |
| Ninh Thuan | 27 | Cham, Ra glai, Chu Ru |
| Binh Thuan | 34 | Cham, Ra glia, Co ho, Tay |

Source: Population in Remote Areas in Viet Nam (1996)

ATTACHMENT 2: SCREENING & CATEGORIZATION FORM

| ETHNIC MINORITY IMPACT CATEGORIZATION | | | | |
|--|-----|----|-----------|---|
| A. Project Data | | | | |
| Project Title: | | | | |
| Date: | | | | |
| Subproject Name: | | | | |
| Location/Province: | | | | |
| Location/District: | | | | |
| Location/Communes: | | | | |
| Brief Description of Subproject: | | | | |
| B. Identification of Indigenous Peoples in Subproject Area | | | | |
| Impact on Ethnic Minorities (EMs) | Yes | No | Not Known | Remarks or Identified Problems (if any) |
| Are there EM groups present within the subproject location? | | | | |
| Do they maintain distinctive customs or economic activities that make them vulnerable to hardship? | | | | |
| Will the subproject restrict their economic and social activity and make them particularly vulnerable in the context of the subproject? | | | | |
| Will the subproject change their socioeconomic and cultural integrity? | | | | |
| Will the subproject disrupt community life? | | | | |
| Will the subproject positively affect their health, education, lifestyle or social security status? | | | | |
| Will the subproject negatively affect their health, education, lifestyle or social security status? | | | | |
| Will the subproject alter or undermine the recognition of their knowledge, preclude customary behaviour or undermine customary institutions? | | | | |
| In case of no disruption of indigenous community life as a whole, will there be loss of housing, strip of land, crops, trees and other fixed assets owned or controlled by individual indigenous households? | | | | |

| C. Anticipated Subproject Impacts on Indigenous Peoples | | |
|---|------------------------------|------------------------------|
| Subproject Activity & Output | Anticipated Positive Outcome | Anticipated Negative Outcome |
| | | |
| | | |
| | | |
| | | |
| | | |

| D. Decision on Categorization | |
|---|--|
| After reviewing the information above, the PPMU (Provincial Safeguards Officer) and SST conclude that the subproject: | |
| <input type="checkbox"/> | Should be categorized as an 'A subproject', an Ethnic Minority Development Plan (EMDP) is required. |
| <input type="checkbox"/> | Should be categorized as a 'B subproject', a specific action (EMSA) favourable to EMs is required and addressed through specific provisions in the Resettlement Plan, or a general Community Participation Plan. |
| <input type="checkbox"/> | Should be categorized as a 'C subproject', no EMDP or specific action is required. |
| Project Team Comments: | |
| Proposed by: _____ | |
| | Date: _____ |
| PPMU - Provincial Safeguards Officer | |
| _____ | |
| | Date: _____ |
| Project Team Leader | |
| Checked by: _____ | |
| | Date: _____ |
| MARD-CPMU - Safeguards Officer | |
| Endorsed by: _____ | |
| | Date: _____ |
| MARD-CPMU – Project Director | |
| Approved by: _____ | |
| | Date: _____ |
| ADB-VRM – Social Development Specialist | |

Integrated Rural Development Project in Central Provinces

ATTACHMENT 4: EMDF INSTITUTIONAL RESPONSIBILITIES MATRIX

| Activities | MARD - CPMU | PPC / DPC / CPC | PPMU / SST | PCEM / DCEM | Community Groups, Beneficiaries incl. Ethnic Minority People |
|--|--|--|---|--|--|
| Start-up activities and project orientation | Appoint CPMU safeguards team; Disclose safeguard frameworks including EMDF | PPC: Establish PPMU | Appoint Provincial Safeguards Officer (PSO) to implement safeguard policies and prepare relevant documents (incl. EMSAs and EMDPs) | Representatives to attend community workshops and meetings and provide input | Representatives to attend community workshops and meetings and provide input |
| Subproject identification and prioritisation | | PPCs: Identify and prioritise potential subprojects eligible for funding under IRDPCP | Assist PPC to identify potential subprojects eligible for funding under IRDPCP; Identifying EM communities and ability to participate / benefit; Facilitate ethnic community awareness | Assist PPMU to identify EM communities and facilitate EM community awareness | Representatives to attend community workshops and meetings and provide input |
| Preliminary Screening of Ethnic Minority Aspects | Review screening and categorization forms and provide "no objection" | PPC: Approve screening and categorization forms | Complete EM screening and categorization forms; Identify subprojects requiring SA, and potentially EMSA or EMDP | Head of Policy Division to assist PPMU in screening and categorisation | Representatives to attend community workshops and meetings and provide input |
| Social Assessment | | | Undertake the SA; Recruit local social consultant as necessary; Organise separate group discussions with affected ethnic people to collect information for SA; Develop process for the preparation of EMSA or EMDP if SA concludes one is necessary | Head of Policy Division to assist PPMU & SSTs in SA | Representatives to attend community workshops and meetings and provide inputs to the SA |
| Preparation of EMSA or EMDP | Review EMSA or EMDP and provide "no objection"; Forward to ADB/AFD for "no objection" | PPC: Approve EMSA or EMDP including budget and implementation schedule | Engage local consultant to prepare EMSA or EMDP, including undertaking relevant community meetings, etc.; Assist the consultant to prepare EMSA or EMDP | Head of policy division to assist PPMU & SST on policies, decrees, available data, and information on EMs in communes / districts; Assist PPMU, SST and consultant to prepare EMSA or EMDP | Representatives to attend community workshops and meetings and provide inputs to the EMSA or EMDP – particularly identify activities to ensure EMs share fully in subproject benefits and potential negative impacts are mitigated |
| Implementation of EMSA or EMDP | | | Implement EMSA or EMDP | Assist PPMU to implement the EMSA or EMDP | Participating in planned activities of EMSA or EMDP |
| Monitoring and Evaluation (M&E) | Engage independent monitoring organisation to monitor safeguards including implementation of the EMDF and EM aspects of individual subproject (such as preparation and implementation of EMSAs and EMDPs); Report to ADB / AFD | Resolve grievances and complaints | In conjunction with the local consultant, develop monitor indicators for EMSA or EMDP; Monitor and supervise the implementation of EMSA or EMDP (annual assessment) | Provide external monitoring and supervision role; Facilitate meetings with PPMU to update EMSA or EMDP activities as required | CSB: Regularly supervise implementation of EMSA or EMDP; EMs: contribute to supervision; Submit comments or complaints as necessary through CSB, and CPC leaders, or directly to PCEM and PPC (in urgent cases) |