

Resettlement Plan

April 2012

MFF 0054-VIE: Water Sector Investment Program – Tranche 2

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Hung Dao Water Supply System and Water Treatment Plant Sub-Project

RESETTLEMENT PLAN

Document Stage: PPTA Final Report
Project Number: 41425
April 2012

CURRENCY EQUIVALENTS

(as of March 2011)

| | | |
|---------------|---|-----------------------|
| Currency Unit | – | Vietnamese Dong (VND) |
| \$1.00 | – | VND 19,500 |

ACRONYMS AND ABBREVIATIONS

| | | |
|--------|---|--|
| ADB | - | Asian Development Bank |
| C&P | - | consultation and participation |
| CPC | - | Commune People's Committee |
| DMS | - | detailed measurement survey |
| DPC | - | District People's Committee |
| DP | - | displaced person |
| DRC | - | District Resettlement Committee |
| EA | - | executing agency |
| EMA | - | external monitoring agency |
| HPWSCo | - | Haiphong Water Supply One Member Limited Company |
| IA | - | implementing agency |
| IOL | - | inventory of losses |
| LAR | - | land acquisition and resettlement |
| LURC | - | land use rights certificate |
| PMU | - | project management unit |
| PPC | - | Provincial People's Committee ¹ |
| RP | - | resettlement plan |
| SES | - | socio-economic survey |
| VND | - | Vietnamese dong |
| VWU | - | Viet Nam Women's Union |
| WTP | - | water treatment plant |

¹ In the case of Hai Phong City, "PPC" refers to the Hai Phong City People's Committee. Hai Phong City is the administrative equivalent of a province, with the city people's committee serving the same role and function as the typical PPC.

GLOSSARY

| | |
|-----------------------------|---|
| Detailed Measurement Survey | - With the aid of the approved detailed engineering design, this activity involves updating the inventory of losses, including details on the severity of impacts. The final cost of all land acquisition, agreed-upon compensation measures and resettlement can and should be determined after the detailed measurement survey is completed. |
| Displaced person | - Any person, household, firm or private institution, who—on account of changes resulting from the project or any of its phases or sub-projects—will have its (i) standard of living adversely affected; (ii) right, title or interest in any house, land (including residential, commercial, agricultural, forest, mining and/or pasture), water resources or any other moveable or fixed assets acquired, possessed, restricted or otherwise adversely affected, in full or in part, permanently or temporarily; and/or (iii) business, occupation, place of work or residence or habitat adversely affected, with or without displacement. |
| Cut-off date | - An advertised calendar date that indicates the official start of the legal process to acquire, occupy, or use land as part of the project area, thereby making those residents/users of the same land eligible to be categorized as DPs. Any new users or occupiers of the same land after the cut-off date are not eligible to be categorized as DPs. |
| Entitlement | - Refers to a range of measures comprising compensation, income restoration support, transfer assistance, income substitution, relocation support, etc., which are due to the DPs, depending on the type and severity of their losses in order to restore their economic and social base. |
| Host community | - The community already in residence at a proposed resettlement or relocation site. |
| Income restoration | - The re-establishment of sources of income and livelihood of the displaced people. |
| Income restoration program | - A program designed with various activities that aims to support displaced persons to recover their income/livelihood to pre-project levels but preferably better. The program is designed to address the specific needs of the displaced persons based on their needs and preferences that are communicated during the socio-economic survey and consultations. |
| Inventory of losses | - The process and census document whereby all fixed assets (i.e., lands used for residence, commerce, agriculture, including ponds; dwelling units; stalls and shops; secondary structures, such as fences, tombs, wells; trees with commercial value; etc.) and sources of income and livelihood inside the project right-of-way (project area) are identified, measured, their owners identified, their exact location identified, and their replacement costs calculated. Additionally, the severity of impact to the affected assets and on the |

livelihood and productive capacity of DPs will be determined.

| | |
|---------------------------|--|
| Land acquisition | - The process whereby an individual, household, firm or private institution is compelled by a public agency to alienate all or part of the land it owns or possesses to the ownership and possession of that agency for public purposes in return for compensation at market-based replacement cost rates. |
| Rehabilitation | - Additional support provided to DPs losing productive assets, incomes, employment or sources of living, to supplement payment of compensation for acquired assets, in order to achieve full restoration of or improved living standards and quality of life. |
| Relocation | - The physical relocation of a DP from her/his pre-project place of residence and/or business. |
| Replacement cost | - The amount needed to replace an affected asset net of transaction costs, such as administrative charges, taxes, registration and titling costs. |
| Replacement cost study | - The process of determining replacement costs of affected assets based on empirical data. |
| Resettlement | - All measures taken to mitigate any and all adverse impacts of a project on DP property and/or livelihoods, including compensation, relocation (where relevant), and rehabilitation as needed. |
| Resettlement plan | - A time-bound action plan with indicative budget for compensation and resettlement strategies, objectives, entitlement, actions, responsibilities, monitoring and evaluation. |
| Severely displaced people | - Displaced people who will (i) lose 10% or more of their total productive land and/or assets; (ii) have to relocate; and/or (iii) will lose 10% or more of their total income sources due to the project. |
| Vulnerable groups | - Distinct groups of people who might suffer disproportionately or face the risk of being further marginalized by the effects of resettlement, which specifically include: (i) female-headed households with dependents, (ii) disabled household heads, (iii) households falling under the generally accepted indicator for poverty, (iv) children and the elderly, (v) households who are landless and with no other means of support, and (vi) indigenous people or ethnic minorities. |

TABLE OF CONTENTS

| | |
|---|-----|
| CURRENCY EQUIVALENTS | I |
| ACRONYMS AND ABBREVIATIONS | II |
| TABLE OF CONTENTS | III |
| 1 EXECUTIVE SUMMARY | 1 |
| General | 1 |
| Scope of Sub-Project | 1 |
| 2 SUB-PROJECT DESCRIPTION | 2 |
| 2.1 Sub-Project | 3 |
| 2.2 Justification and Alternatives to Land Acquisition and Resettlement | 4 |
| 2.3 Preparation of the Resettlement Plan for Hung Dao Water Supply System and Construction of Water Treatment Plant | 5 |
| 3 SCOPE OF LAND ACQUISITION AND RESETTLEMENT | 5 |
| 4 SOCIO-ECONOMIC INFORMATION AND PROFILE | 10 |
| 4.1 Objectives | 10 |
| 4.2 Source of Information | 10 |
| 4.3 Operations of the SES | 11 |
| 4.4 Approach in Creating Socio-Economic Profiles | 11 |
| 4.5 Socio-Economic Profiles | 11 |
| 4.6 Additional General Findings and Conclusions from Social Analysis of DPs | 15 |
| 5 INFORMATION DISCLOSURE, CONSULTATION, AND PARTICIPATION | 16 |
| 5.1 Project Stakeholders | 16 |
| 5.2 Consultation and Participation for Preparing Resettlement Plan | 17 |
| 5.3 Communication and Participation Plan | 18 |
| 5.4 Gender Strategy | 20 |
| 5.5 Ethnic Minority Development Strategy | 21 |
| 5.6 Disclosure Plan | 21 |
| 6 GRIEVANCE REDRESS MECHANISMS | 21 |
| 7 LEGAL FRAMEWORK | 22 |
| 7.1 Purpose and Objectives of the Resettlement Plan | 22 |
| 7.2. Legal and Policy Framework | 22 |
| 8 ENTITLEMENTS, ASSISTANCE AND BENEFITS | 28 |
| 8.1 Total Entitlement Benefits and Assistance | 32 |
| 9 RELOCATION OF HOUSING AND SETTLEMENTS | 34 |
| 10 INCOME RESTORATION AND REHABILITATION | 34 |
| 11 RESETTLEMENT BUDGET AND FINANCING PLAN | 35 |
| 11.1. Procedure for Setting Land Compensation Rates (Replacement Cost Survey) | 38 |
| 11.2. Fund Release | 38 |
| 11.3. Sources of Funding | 38 |
| 12 INSTITUTIONAL ARRANGEMENTS | 39 |
| 13 IMPLEMENTATION SCHEDULE | 40 |
| 13.1. Implementation Schedule | 40 |
| 14 MONITORING AND REPORTING | 42 |
| 14.1. Monitoring | 42 |

| | | |
|----|---|----|
| 15 | ATTACHMENTS | 44 |
| | 15.1. ATTACHMENT 1: MAPS AND PHOTOS | 44 |
| | 15.2. ATTACHMENT 2: FOCUS GROUP DISCUSSION MATERIALS | 48 |
| | 15.3 ATTACHMENT 3: SOCIOECONOMIC SURVEY QUESTIONNAIRE | 64 |
| | 15.4 _ATTACHMENT 4: STAKEHOLDER TABLE | 81 |
| | 15.5. ATTACHMENT 5: RECORD OF COMMUNICATION AND PARTICIPATION | 82 |
| | 15.6. ATTACHMENT 6: PROJECT INFORMATION BOOKLET | 84 |

1 EXECUTIVE SUMMARY

General

Hai Phong, the third largest city in Viet Nam (after Ho Chi Minh City and Hanoi) and serving as the main port for the capital Hanoi, has been growing rapidly in the last 5-10 years. It has made considerable socioeconomic development gains. An impressive annual economic growth of 11% has outpaced the average national growth rate of 8%. However, the development of infrastructure has not kept pace with social and economic needs, in particular in water supply and urban sanitation sectors.

Upgrading and expansion of the Water Supply System in Hai Phong satisfies the overall development policies and objectives of Vietnam, directly linked to the agenda of assisting and supporting infrastructure development in the Viet Nam country strategy and program (2007–2010).

The construction of the Hung Dao Water Supply System and Water Treatment Plant Sub-Project is proposed to be implemented in April 2013. The project will have significant impacts on poverty alleviation and social development, on top of economic development in the area. Beneficiaries are numerous, which include households in general, women and children, small businesses, and schools.

Scope of Sub-Project

The project includes:

(1A) Hung Dao Water Treatment Works, a new water supply system, including a water intake, a water treatment plant with a capacity of 25,000 m³/day, booster pumping station, a 22-km transmission mains in two sections;

(1B) Rehabilitation of Do Son Water Supply System and adjacent areas - Rehabilitation and conversion of Do Son Water Treatment Facility into a pumping station, with 12 km of transmission mains and 20,000 connections.

Key survey findings The preliminary survey of impacts by the project construction activities were carried out during the preparation of feasibility studies reports at the end of 2009. The key project impacts are summarized in the table below:

Table 1: Key Project Impacts

| Component Requiring Land Acquisition | Area to be Acquired | Impacts | | | |
|--------------------------------------|--|------------------|-------------------------------------|---|---|
| | | Total No. of DPs | No. of Severely Affected Households | No. of Vulnerable Households | Degree of Impact |
| Hung Dao Water Supply System—WTP | 6.4 ha of diversified agricultural land (rice, aquaculture, garden, fruit tree groves) | 351 (64 HHs) | 03 | Total: 4 HHs Breakdown by cause: 4—poor | 4.69% –severely affected” by loss of more than 10% of total land. |

Entitlements and recommendations The project entitlements developed and presented in the Table 18 - Entitlement Matrix of this report. The impacts identified during the census and inventory of losses are included in the table Entitlements, governed by the MFF Resettlement Framework, based on Government and ADB-funded projects in Viet

Nam. 3 HH will lose more of 10% of their productive land and are considered as severely affected. They will be entitled to income restoration measures. 4 HH are considered as vulnerable (poor HH) and will be entitled to additional support measure.

Socioeconomic conditions: All surveyed households belong to the Kinh ethnic majority and speak Vietnamese; the average household has 4.3 members. Most of the households (75%) drew their income predominantly from business and salary/wage employment. Only less of 25% of the households are using their land for agricultural purposes as their main source of income. The average monthly income of households is significantly higher (between 3.5–5 times higher) than the national average rural income. All HH have the Land Use Right Certificate (LURC) and are considered as legal users.

Institutional Arrangements: Hai Phong Water Supply Co (HPWSCo) is the EA of the Project and will be responsible for the updating of the resettlement plan. The Center for Land Fund Development of Duong Kinh District will be responsible for the preparation and implementation of all resettlement activities under the supervision of the Duong Kinh Resettlement Committee.

Consultation and disclosure: Comprehensive public consultation was conducted in April 2011 among affected persons. Additional consultation was conducted in December 2011. HPWSCo will disclose the updated resettlement plan in the People's Committee offices at the Hung Dao commune and Duong Kinh district.

Grievance Redress: A well-defined grievance redress and resolution mechanism will be established to address APs grievances and complaints regarding land acquisition, compensation and resettlement in a timely and satisfactory manner. The grievance redress mechanism is based on a four staged process at various levels of local government.

Implementation Schedule: The Project will be implemented over three years. Resettlement activities will start by beginning of 2015 (DMS) and compensation and land clearance will be completed by June 2015. Starts of civil works are expected by September 2015.

Budget: The total estimated budget for the resettlement of the affected HH is estimated at VND 15,302 billion (\$ 784,700).

Monitoring: Internal Monitoring is the responsibility of the Executing Agency, Hai Phong Water Supply Co (HPWSCo). No external monitoring will be needed as the impacts are not significant.

2 SUB-PROJECT DESCRIPTION

The Hai Phong Water Supply Project has been prepared for inclusion in the second tranche of the Vietnam Water Sector Development Multi-tranche Financing Facility (the MFF), which was approved by ADB in February 2011. The "Resettlement Framework" for the MFF (September 2010) has guided the preparation of this Resettlement Plan.

The MFF will assist water supply companies in Viet Nam to strengthen their business practices, improve their financial performance and operational efficiency. The MFF will also support capital investment program in each of the participating water companies and co-finance the National Non Revenue Water (NRW) Program. Four pilot cities, Da Nang², Hai Phong³, Ho Chi Minh City⁴ (HCMC) and Hue⁵ were identified for project preparation in 2008.

² VIE-TA7144 Da Nang Water Supply approved on 1 October 2008

³ VIE-TA7151 Hai Phong Water Supply approved on 20 October 2008

⁴ VIE-TA7189 HCMC Water Supply approved on 24 June 2008

⁵ VIE-TA7089 Hue Water Supply approved on 13 June 2008

The first tranche of the Multitranche Financing Facility (MFF) covers HCMC's and part of Da Nang's investment components; other cities will be included in subsequent tranches.

The Ministry of Planning and Investment (MPI) is the Executing Agency (EA) for the MFF with the following tasks: selection of future water companies accessing the MFF; and consolidated reporting with the assistance of the water companies selected under each of the tranches. MPI will have no role in procurement of consultants and contracts.

Project management will be delegated to respective water companies in their role as Executing Agencies (EAs) for the projects in question. Under Decree 131/2006/ND-CP, the water companies will set-up a Project Management Unit (PMU). Therefore, Hai Phong Water Supply Co (HPWSCo) is the EA for this project and has an existing PMU, which will act as the Implementing Agency (IA) for this project.

A Resettlement Framework for the MFF provides guidance on project design, impact assessments, entitlements, public consultation and information disclosure, monitoring and reporting, and institutional arrangements for resettlement activities of projects included in the various tranches. The Resettlement Framework satisfies the involuntary resettlement requirements of the ADB's Safeguard Policy Statement 2009 and has been endorsed by the Ministry of Finance and the guidance is to be followed in the formulation of project components and subproject included in future tranches.

Background on Hai Phong. Hai Phong is the third largest city in Viet Nam, with a population of nearly 1.8 million people. It hosts the main port for the capital, Hanoi, and has also attracted tourism and manufacturing, leading to an annual economic growth rate of 11%, exceeding the national rate of 8%. This growth, however, has been straining the city's infrastructure, particularly the ability of the Haiphong Water Supply One Member Limited Company (HPWSCo) to provide clean and adequate water supply services throughout the ever-expanding city. Built in the early 20th century, the system has been struggling to meet its basic mandate, although major improvements began in the 1990s with an injection of investments. Known as "Stage I" of a master investment plan, it focused on improving services in the city's five main urban districts. Peri-urban and rural areas, however, within the utility's mandated service area, have remained out of the system's reach, leaving residents to depend on alternative sources that are typically expensive, inadequate, unsafe and inconvenient.

The utility is now turning its attention to these non-served areas, wanting to expand its system through a follow-up investment supported by the Asian Development Bank, the Hai Phong Water Supply Project (referred to locally as the "Rehabilitating and Upgrading Project of Haiphong Water Supply System—Stage II"). The proposed project, through its upgrading works and new construction, will contribute to the country's effort to achieve the UN Millennium Development Goal 7, Target 10: "To halve by 2015 the proportion of people without sustainable access to safe drinking water and improved sanitation," while also contributing to other poverty and environmental goals. The proposed project will enable the utility to provide 90% coverage by 2020.

2.1 Sub-Project

The sub-project covers both urban and rural areas, and will fund a wide range of water supply infrastructure. This Resettlement Plan addresses the impacts of land acquisition and resettlement associated with the various types of infrastructure. All types of infrastructure funded by the sub-project are already identified in the MFF Resettlement Framework.

There is one type of infrastructure to be funded by the sub-project, namely, a water treatment plant. Land acquisition and resettlement is required for the new water treatment plant. An estimated 64 households will be affected by land acquisition but only three of them severely affected (i.e., losing more than 10% of its total landholding). The main and distribution pipelines will be buried under the existing right-of-way (ROW) paths or roads, with no private

land acquisition required. The MFF Resettlement Framework will guide the compensation measures for any temporary impacts on businesses.

New and Rehabilitated Water Treatment Plant

A new water treatment plant with a capacity of 25,000 m³ per day will be funded by the project.

Booster Pumping Stations

One booster pumping station will be constructed by the project. The existing water treatment plant will be converted into this booster pumping station.

Transmission Mains (raw water and treated water)

About 22 km of transmission mains will be laid by the project⁶ within the existing ROW.

Distribution Pipelines

At least 63 km of distribution pipelines will be funded by the project (counterpart financing by the borrower) to deliver water to small network pipes that connect to households in the Do Son and Hung Dao component area. All pipelines will be laid underground, along roads and to houses, businesses and industries requiring water supply.⁷

2.2 Justification and Alternatives to Land Acquisition and Resettlement

The customers to be served by the proposed treatment plant are semi-urban and rural communities that do not currently have access to treated, piped, centralized water systems and will not unless such systems are built. This requires large tracts of land, which are not available on non-agricultural or dormant land.

HPWSCo did explore alternatives to avoid some of the acquisition. Total avoidance is not possible, as the areas to be serviced by the new systems would not be able to access the utility's services without the construction of the treatment plant in proximity to the network expansion.

Hung Dao Water Treatment facility will be constructed for 25,000 m³/day capacity, which is enough to meet demand up to 2025, but the land area could accommodate facilities to produce 200,000m³/day.

To improve the direct benefits for DPs, HPWSCo has agreed to include in the entitlement package to provide free connections to DP households, within 3 months of commissioning of the respective WTP.

Table 1 summarizes the implications of the land acquisition for construction of Hung Dao Water Supply System and Water Treatment Plant:

⁶ Figures found in detailed cost sheets. Addition transmission mains were still being determined when this report was submitted.

⁷ Information on total distribution pipelines for all components was still being determined when this report was submitted.

Table 1: Structure of Land Acquisition, Benefits, and Impacts

| Component Requiring Land Acquisition | Area to be Acquired* | Site | Benefits* | Impacts | | | | Est. Compensation | |
|--------------------------------------|---|---------------------------------------|--|---------------|---------------------|---|---|-------------------|---------|
| | | | | Total No. DPs | No. of severely HHs | No. of Vulnerable Households | Degree of Impact | VND | USD |
| Hung Dao Water Supply System—WTP | 6.4 ha of diversified agricultural land (rice, aquaculture, gardens, fruit tree groves) | Hung Dao Commune, Duong Kinh District | 27,863 new connections by 2017 (provided by EA co-financing) 90% total coverage by 2025 | 351 (64 HHs) | 03 | Total: 4 HHs Breakdown by cause: 4—poor | 4.69% —“severely affected” by loss of more than 10% of total land | 15.3 bil. | 784 711 |

Note: The resettlement impacts were clarified based on inventory of losses and socio-economic surveys in 2009

* Percentage distribution of water supply to be allocated between domestic and industrial user not yet available or provided at the time of submission of this report.

2.3 Preparation of the Resettlement Plan for Hung Dao Water Supply System and Construction of Water Treatment Plant

This resettlement plan (RP) addresses adverse social impacts that may result from involuntary acquisition and changes in land use as a result of the project for construction of Hung Dao Water Supply System and Water Treatment Plant. The RP articulates the principles and objectives, eligibility criteria of AP, entitlements, legal and institutional framework, modes of compensation and rehabilitation, people participation features and grievance procedures that will guide the compensation, resettlement and rehabilitation of the DPs.

The RP will be translated into Vietnamese and distributed to the district and commune agencies. A Project Information Booklet (PIB) summarizing the main contents of the RP will be distributed among the DPs.. The RP should be read in conjunction with the Resettlement Framework for the Vietnam Water Sector Multi-tranche Financing Facility, the ADB Safeguard Policy Statement (SPS), and Vietnamese laws and regulations related to resettlement policy.

Detailed design for the different components will be prepared during the preparation of the respective components. Based on detailed design, the IA, EA and ADB will determine the requirements for updating the RP. The detailed design will, to the extent feasible, explore all viable options to reduce the requirements for land acquisition and resettlement.

Contractors will be required, through provisions in the construction contracts, to utilize practices that minimize damage to assets. Pipelines can easily be placed to avoid structures or other items of significance. In general, pipelines are to be placed under roads or footpaths and have minimal impacts on the surrounding land use.

A single RP for construction of Hung Dao Water Supply System and Water Treatment Plant has been prepared.

3 SCOPE OF LAND ACQUISITION AND RESETTLEMENT

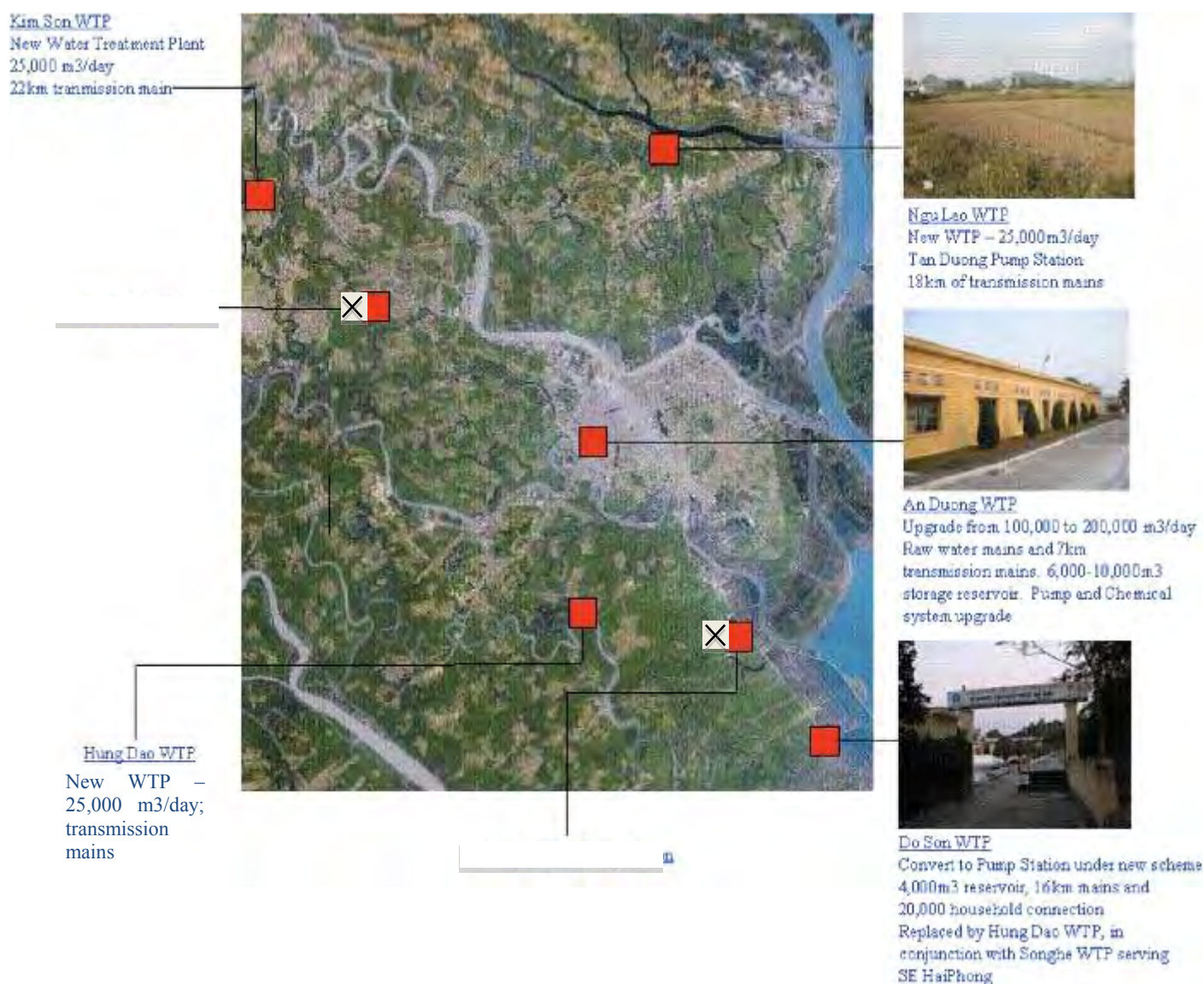
Under ADB guidelines on safeguard categorization, the project qualifies as “Category B”, i.e., causing non-significant impacts.

This section explains the land acquisition and resettlement for the project component and the specific infrastructure that requires land acquisition thereby causing people’s displacement.

This resettlement plan will apply for the construction of the new WTP at Hung Dao. Other resettlement plans will be prepared for Kim Son and Northern Cam River WTP.

Figure 1 provides a general geographic orientation of the water supply project proposed for ADB funding.⁸

Figure 1: Locator Map of Project Components



⁸ The names and references to subprojects have been abbreviated for conciseness. The official titles of the subprojects, as the executing agency prefers to have them called are: Construction of Water Supply System in the Northern section of Cam River (incl. Ngu Lao/Northern Cam WTP and BPS); Upgrading of An Duong WTP from 100,000m³ to 200,000m³/day; Rehabilitation of Do Son n Water Supply System and adjacent areas (including Hung Dao WTP); and Construction of Kim Son Water Supply System (including Kim Son WTP).

The potential preliminary impacts on Hung Dao area are summarized in Table 2, below:

Table 2: Summary of Hung Dao Component and Potential Impacts

| Project Component | Potential Land Acquisition, Resettlement Impacts |
|-------------------------------------|---|
| Hung Dao WTP | Permanent land acquisition, loss of non-land assets (crops, pasture, etc), physical displacement (relocation) and economic displacement (loss of productive resources, livelihood) |
| Water mains (raw and treated water) | No land acquisition, the pipelines would be laid under existing roadway or footpaths |
| Distribution pipelines | Temporary land acquisition during construction resulting in disruption to access and income generation; Permanent restricted use of land due to creation of easements (restrictions on permanent structures) |

3.1 Hung Dao WTP

This subproject involves the construction of a new WTP with raw water pumping station on site and a 22-km transmission main. The subproject will benefit residents and industrial areas in city's far south, where urban expansion and tourism industry is a major contributor to increasing demand.

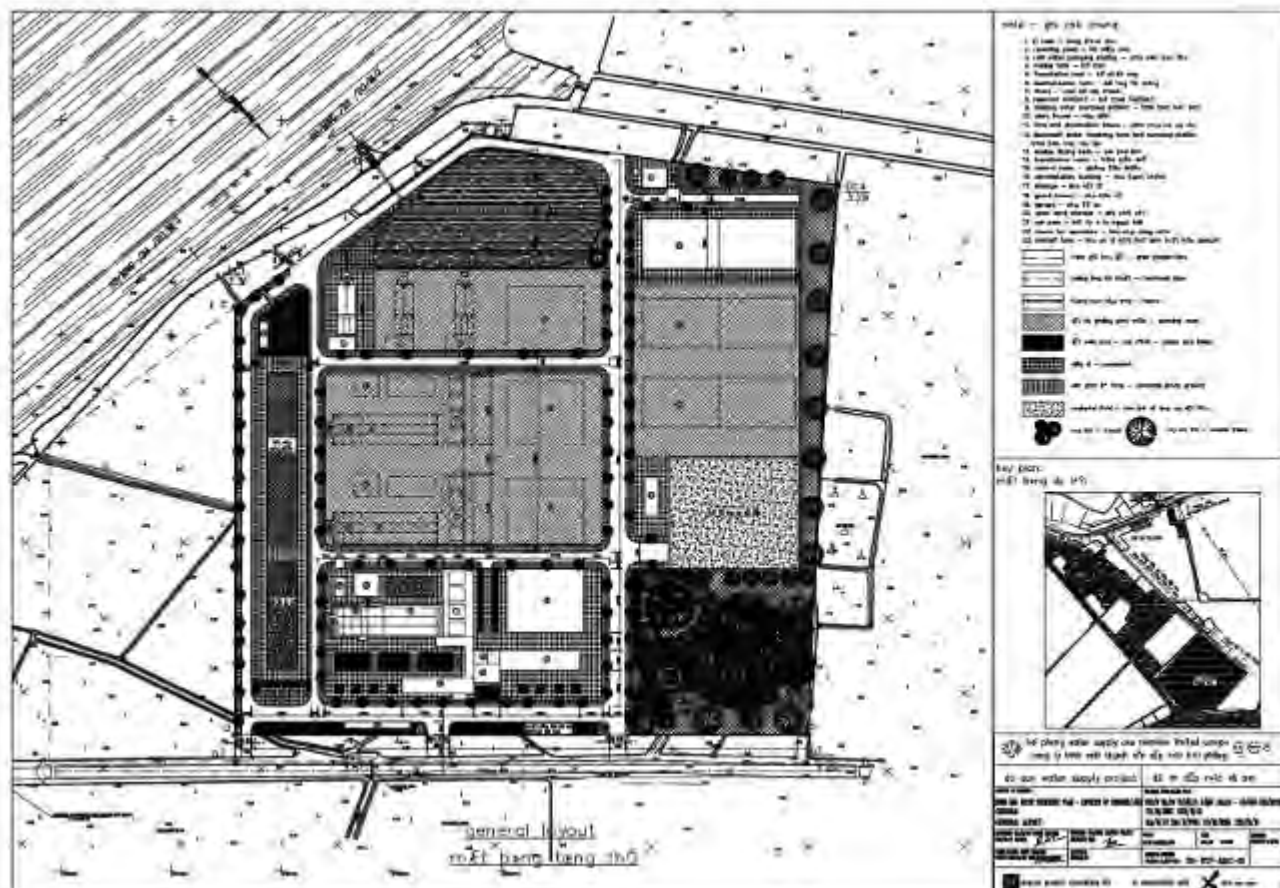
Figure 2 is an image of the vicinity of the WTP site. The WTP requires the permanent acquisition of almost 6.4 ha of agricultural land in Hung Dao Commune of Duong Kinh District, affecting 64 households with three (03) households losing more than 10% of their landholdings. The WTP is located along District Road 361 and the access road to the WTP from this road will have a length of some meters only (see Figures 2 & 3). Therefore the impacts of the access road are included in the impacts of the whole WTP. The WTP site will affect low-voltage power lines, drainage and small cement-lined irrigation canals. The boundary of the WTP will front but not physically encroach upon the boundary of a nearby cemetery.

Figure 2 shows the location of the WTP and Figure 3 presents the basic design of the WTP.

Figure 2: Location Drawing of Hung Dao WTP Site



Figure 3: Basic Design of Hung Dao WTP Land Use



Profile of land and DPs. The site and DPs affected by the Hung Dao WTP are rather different than what is found in the Northern Cam and Kim Son sites. Implementation of the RP in this site will require more time, careful planning, and attentive monitoring.

Diversified cropping. All the land to be acquired is agricultural land, but it is not solely rice paddy (as in the other components). The land-users belong to a cooperative and have diversified their crops, as the quality of the land is poor and not productive enough for purely rice farming. The agricultural land is being used for vegetable gardens, raising ornamental trees, fish ponds, and fruit trees (more than 20 kinds). Almost half of the 64 households estimated to be affected by the land acquisition have crops and pasture. Estimated preliminary costs are indicated in Section 11, Table 19. These estimates are based on site visits, focus group discussions, review of rates and general discussions with local officials.

Structural loss. Although the land to be acquired is categorized as agricultural, there are 3 temporary secondary structures built by local households for guarding fish in adjacent fishponds. Estimated, preliminary costs are indicated in Section 11 on Budget and Financing, Table 19. These estimates are based on site visits, focus group discussions, review of rates and general discussions with local officials. Pictures of the structures are included in Attachment 1.

The land to be acquired was identified and approved by the District People's Committee.

3.2 Associated Facilities

One associated facility was identified in the preparation of the RP: the alignment of a transmission main from the An Duong WTP, which will be rehabilitated, coincides with a long corridor of residential and commercial structures being relocated by the World Bank-funded National Urban Upgrading Program. In Hai Phong City, this program involves filling a heavily polluted drainage canal, upgrading the covered canal into a two-lane road, with wide-paved shoulders for pedestrian use. The canal winds through the city and passes through communities of varying socio-economic status, some of it being through impoverished areas. The upgrading work requires the acquisition of homes, both partial and entire structures. Relocation site preparations began in 2004 and were completed in December 2009. Actual site clearance started in 2006, with the final (third stage) nearly completed.⁹

The project site was most recently visited on 6 February 2010, when the consultant traveled nearly the entire length of the project. Post-implementation/resettlement sites were visited, as well as sites being currently cleared and areas in the tail end of the corridor that have yet to be cleared and construction begun. On site, a few random interviews were conducted with household owners, who said they considered the compensation to be fair. A comparative review of World Bank project documents and associated policy against ADB's safeguard policy (and June 2010 policy statement) conclude that the project had been designed to the standards of ADB's safeguard policies.

Written and phone correspondence with the World Bank staff¹⁰ confirm the resettlement and compensation was conducted according to their safeguard standards.

An additional field visit in December 2011 confirmed that the proposed expansion of An Duong WTP could be done within the existing site without additional land acquisition.

⁹ Source: Mr. Luong Cao Huan, Director of PMU of the NUUP project in Hai Phong City.

¹⁰ Mr. Luong Cao Huan, Director of PMU of the NUUP project in Hai Phong City.

4 SOCIO-ECONOMIC INFORMATION AND PROFILE

4.1 Objectives

The overall social analysis of the DPs was conducted to inform the design of the project's entitlements; mitigation plans and associated social development programs. The study aimed to identify the needs, constraints, and risks of different DP populations and design programs that would address those so that the project's entitlements, mitigation measures, and benefits would be real and secure.

4.2 Source of Information

To understand how and to what extent the project's impacts would affect specific subproject DPs, a variety of primary and secondary, quantitative and qualitative, data collection methods were employed for designing the RP and to inform implementation and monitoring.

- (i) **Mapping/transect walks.** Site visits and transect walks were conducted several times during RP preparation to, first, survey the sites for general impacts and, secondly, to assess specific potential impacts. The visits led to several informal interviews with residents affected by the land acquisition, as well as those who are not. The site visits proved particularly useful in understanding people's dependence on the land, their attitudes toward potential acquisition, their current socio-economic situation, coping mechanisms in the absence of water utility connections, the cost of that coping, and how both the land acquisition and a potential connection to the water system would change the economy of their daily lives.
- (ii) **Key informant interviews.** Informal interviews were conducted with community leaders, government officials in the People's Committee offices at district and provincial level, and with experts on resettlement planning in Viet Nam for knowledge on lessons learned and good practice.
- (iii) **Focus group discussions.** Separate focus group discussions in each subproject site were conducted with the following four groups (i) general DPs (male and female), (ii) female-only, (iii) poor DPs, and (iv) households not affected (to compare socio-economic self-descriptions, attitudes, and perceptions). The discussions gathered data on social, resettlement, and environmental issues, as well as served to (i) share information about the project with community members, (ii) discuss their concerns and issues, (iii) learn from their knowledge of local environmental issues that may impact project designs and implementation, (iii) seek their feedback on design, particularly of the access roads, (iv) receive feedback on mitigation measures, (v) seek their participation in deciding the grievance redress process, (v) understand their preferences and needs for information and awareness on safe water handling, hygiene, and sanitation, and (vi) validate or further explain trends from the socio-economic survey findings. Attachment 2 includes three tables: the design of the focus groups, the focus group discussion guide, and the record of project consultations.
- (iv) **Census, inventory of loss (IOL), and socio-economic survey (SES).** IOL and SES were conducted from February to March 2011. The PMU assigned 1 staff member for each of the 4 subproject areas to be team leaders of all social analysis and land acquisition and resettlement (LAR) data gathering. As team leaders, they have utilized public records, key informant interviews with community leaders and site confirmation visits to collect a complete list of affected households, which has been used to conduct an inventory of land-related loss (the IOL) among 100% of affected

persons and a socio-economic survey of nearly 100% of affected households. Attachment 3 is the survey questionnaire.

4.3 Operations of the SES

The survey team leaders provided a half-day orientation to the survey team on the questionnaire, how to conduct a survey interview, and data entry. Given that the affected population is of a manageable size, the survey team conducted the survey in over 40 of 64 affected households (or about 67% of all households), strengthening the reliability of the data. However, not all heads of households could participate in the survey due to work or personal reasons. Other household members were surveyed instead but their answers may not be as reliable. Analysis of the survey results have been augmented by findings from a variety of other social analysis methods.

4.4 Approach in Creating Socio-Economic Profiles

A key principle in selecting the methodologies and designing the tools was triangulation—gathering information on the key indicators from more than one source as a way of ensuring accuracy, understanding, and multi-stakeholder representation, as well as preventing bias or distortion. Triangulation also prevents the social analysis from being too dependent on quantitative data. The collective findings of these various methodologies have been used to create socio-economic profiles in the following section.

4.5 Socio-Economic Profiles

The survey was administered to nearly 100% of the potentially displaced households in the Hung Dao WTP site.

Demographics.

All surveyed households belong to the Kinh ethnic majority and speak Vietnamese, and the average household has 4.3 members. The gender ratio among all age groups is almost even. Mostly all school-aged children regularly attend school. Educational levels of the household head are moderate (Table 3). The Hung Dao household heads have a relatively high education, with the majority having had some secondary education.

Table 3: Educational Level of Household Heads (%)

| Component | None | Some primary | Completed primary | Some secondary | Completed secondary | Tertiary |
|-----------|------|--------------|-------------------|----------------|---------------------|----------|
| Hung Dao | 3 | 12 | 15 | 56 | 9 | 6 |

Reflecting the peri-urban nature of nearly the entire subproject area, only 25% of household heads are employed in agriculture (Table 4). 42% of HH head have their own business. Focus groups clarified that household members work irregularly in other economic activities, e.g., in trade-business and services and sometimes low-skill construction work, and they can earn a more stable income in comparison with agriculture production.

Table 4: Employment Rates by Livelihood Type (%)

| Component | Agricult./ Fishing | Government | Own Business/trade | Private Employee | Not Employed | Migrant | Other |
|-----------|--------------------|------------|--------------------|------------------|--------------|---------|-------|
| Hung Dao | 25 | 5 | 42 | 25 | | | 3 |

Income

At least 33 surveyed households in Hung Dao, equivalent to 73%, drew their income predominantly from business and salary/wage employment. Only some of the households are using their land for agricultural purposes as their main source of income (6 HHs or 13%) (Table 3). Similarly, service and wages, not agriculture, are the main secondary sources of income for the surveyed households (77% in total) (Table 6). These sources of income are generally stable. Therefore, even those who will lose 10% or more of their total land to the project will not have their livelihoods affected considerably.

Several industrial zones are located near the 3 project sites. Young adults generally work in enterprises in industrial zones while their parents continue to cultivate the land which they say is not cost effective. They get a monthly income of around 2.5 M VND which is much higher than income from agriculture

In most of the cases, only the parents are cultivating the land. They often hire workers to cultivate their land. Some also rent their land to other farmers and receive part of the crops (rice). Some AHs authorize farmers to cultivate the land freely. The renter has only to pay various taxes (irrigation fees and other fees).

Table 3: Main Sources of Income for Households

| Main Source of Income | Surveyed HHs | % |
|---------------------------|--------------|------------|
| Agriculture | 6 | 13 |
| Business/trade activities | 25 | 55 |
| Wages/salary | 8 | 18 |
| hired labor | 3 | 7 |
| Other | 3 | 7 |
| TOTAL | 45 | 100 |

Table 4: Secondary Sources of Income for Households

| Secondary Source of Income | Surveyed HHs | % |
|----------------------------|--------------|------------|
| Agriculture | 3 | 10 |
| Service | 10 | 33 |
| Wages/salary | 13 | 44 |
| Other | 4 | 13 |
| TOTAL | 30 | 100 |

The average monthly income of households and the average income of poor households were significantly higher (between 3.5–5 times higher) than the national average rural income of just VND 506,000 and the regional average income rate of VND 720,000 (Table 6). To determine the rate of poverty, the data was disaggregated by income and the new proposed poverty line was applied.¹¹

Table 5: Average Monthly Income by Socioeconomic Class

| Component | Total Average Income | Average Income of Poor | Average Income of Non-Poor |
|--|----------------------|------------------------|----------------------------|
| ¹¹ The government uses separate poverty thresholds for rural and urban households, and is currently revising both. A new proposed poverty threshold is nearly double the previous one. The proposed new rural poverty threshold is VND 6,600 per capita per day (or approximately VND 890,000 per rural household per month). The proposed new urban poverty threshold is VND 8,000 per capita per day (or approximately VND 1.1 million per urban household per month). The new proposed threshold was piloted using statistical data in Ho Chi Minh City, and is planned for nationwide use in 2011 for planning national targets on poverty reduction for 2011–2015. The government expects the adjustment to result in an increase in the poverty rate from 12% nationally under the current rate to 20% under the new one. | | | |

| | | | |
|----------|-------------|-------------|-------------|
| Hung Dao | 1.8 million | 1.1 million | 2.3 million |
|----------|-------------|-------------|-------------|

Table 6: Average Monthly Income from different sources

| Surveyed DPs | Average monthly income per household from different sources (VND) | | | | |
|--------------|---|----------------|-------------|----------------|---------|
| | Agriculture | Business/trade | Wage/salary | Hired laboring | others |
| 5 | 220,000 | 530,000 | 610,000 | 420,000 | 250,000 |
| 7 | 250,000 | 510,000 | 590,000 | 390,000 | 220,000 |
| 8 | 270,000 | 490,000 | 570,000 | 410,000 | 230,000 |
| 10 | 315,000 | 520,000 | 450,000 | 515,000 | 150,000 |
| 15 | 290,000 | 535,000 | 490,000 | 450,000 | 190,000 |

At least 70% of surveyed households report spending at least 50% of the average monthly income on food and beverage. Beneficiaries in focus group discussions said their farming is largely for subsistence, although they must purchase rice for 3 months every year.

Most respondents seem able to provide for basic household food and nonfood essentials; only four households surveyed classified as poor could not do so (Table 7).

Table 7: Vulnerability—Basic Provision of Essentials (%)

| Component | Respondents Lacking Sufficient Staple Food In the Past 12 Months (%) | Respondents Unable to Provide Essential Non-food Items in Past 12 Months (%) |
|-----------|--|--|
| Hung Dao | 4 | 0 |

Respondent households generally subscribe to basic public services available in their area (Table 10). Water supply and solid waste collection is not available, and connection points to the opened, combined sewerage-drainage system depends on a household's proximity to main village roads.

Hung Dao DP's are customers of a joint stock water supply company, with supply originating from the Ding Vu WTP, which is sited directly next to the proposed Hung Dao WTP site. Their connectivity has implications on their willingness to connect to the HPWSCO services (see Tables 13 and 18). They are the only DP group with access to treated water.

Table 8: Access to Basic Services (%)

| Component | Direct-to-House Services | | | Communal Services | |
|-----------|---------------------------|-----------|--------------------|-------------------|------------------------|
| | National Grid Electricity | Telephone | Piped Water Supply | Drainage | Solid Waste Collection |
| Hung Dao | 100 | 85 | 100 | 50 | 0 |

The majority of households depend on shallow well and rainwater (Table 9). Some local operators manage private water networks in the project area. The water in-take is directly

from the river. Water is not treated, is rationed, and costs approximately the same as HPWSCo for the first 6 cubic meters, and increases with each additional cubic meter used. Households collect the piped supply, as well rainwater, in separate, cement-lined chambers.

Table 9: Water Sources (%)

| Subproject Area of Survey | HPWCo | Local, small networks | Community Well | Own Shallow Well | Own Deep Well | Vendor | Rainwater |
|---------------------------|-------|-----------------------|----------------|------------------|---------------|--------|-----------|
| Hung Dao | 0 | 100 | 0 | 0 | 0 | 0 | 0 |

Although respondents generally said their monthly water costs are affordable, they expressed frustration with the quality. Hung Dao DPs show less willingness to connect because of the current services they receive from a nearby joint-stock utility but will switch companies on assurance of better water quality. If they connect to the HPWSCo network, they prefer to pay for the connection fee in installments. (HPWSCo, however, will connect displaced households at no charge as a compensatory entitlement. See Table 18 on entitlements.)

Table 10: Affordability of Monthly Water Expenses (%)

| Component | Monthly Water Costs Affordable | | |
|-----------|--------------------------------|----|-------------|
| | Yes | No | No Response |
| Hung Dao | 70 | 10 | 20 |

Table 11: Willingness to Connect and Payment Preference (%)

| Component | Yes | No | Lump Sum | Installments |
|-----------|-----|----|----------|--------------|
| Hung Dao | 61 | 39 | 70 | 30 |

Access to hygienic sanitation facilities is low, with the majority using pit latrines (Table 12).

Table 12: Access to Basic Sanitation (%)

| Component | Type of Sanitation Facility | | | | |
|-----------|-----------------------------|-------------|-------------|-------|------|
| | Flush toilet | Pour toilet | Pit latrine | Other | None |
| Hung Dao | 29 | 24 | 32 | 9 | 6 |

In focus groups and interviews, participants blamed the poor water quality (Table 13) on industrial manufacturing in the area.

Table 13: Water Quality Issues (%)

| Component | Always safe | Generally safe | Polluted | I know don't know |
|-----------|-------------|----------------|----------|-------------------|
| Hung Dao | 0 | 60 | 20 | 15 |

Half of SES respondents said they had been sick from the water recently, with most women specifying gynecological problems resulting from poor water quality (Table 16). Stomach-related ailments are likely to be under reported, commune health officials said in interviews, because of their frequency. Treatment for diarrhea costs between VND 5,000–VND 50,000 per treatment at the community health clinic, which includes medicine. Individuals typically lose 1–2 days of work per annum due to illness.

Table 14: Perception of Water-Related Illnesses (%)

| Component | Rate of Experience with Illnesses perceived to be water related | | Sore eye | Gynecological problems | Diarrhea | Skin | Teeth and Mouth | Dengue Fever | Respiratory |
|-----------|---|----|----------|------------------------|----------|------|-----------------|--------------|-------------|
| | Yes | No | | | | | | | |
| Hung Dao | 40 | 60 | 14 | 40 | 15 | 8 | 0 | 0 | 0 |

Table 15: Affects of Water-Related Illness (%)

| Component | Serious financial strain from costs of medical treatment | Serious financial strain from lost work | Prolonged absence of a child from school | Required a loan to pay for treatment or missed work |
|-----------|--|---|--|---|
| Hung Dao | 2 | 3 | 4 | 0 |

Respondents were generally agreeable to participating in project implementation and monitoring (Table 16).

Table 16: Willingness to Participate in Improving Infrastructure (%)

| Component | Water supply | Sanitation |
|-----------|--------------|------------|
| Hung Dao | 62 | 44 |

4.6 Additional General Findings and Conclusions from Social Analysis of DPs

The following section presents general findings from the study as expressed by a majority of DPs gathered using any one of the aforementioned methodologies.

4.6.1 Status of DPs land use

The DPs are living in suburban areas of Hai Phong. Due to poor land quality, the productivity of the land has been declining over the years. The rice is grown is mainly for the household's own consumption (meeting subsistence needs) rather than for sale.

4.6.2 Income sources of DPs

The income of the DPs comes from different sources, in which income from agricultural activities only reaches at 13%, while income from other sources is nearly 87%.

4.6.3 Income stability of DPs

It is noted that while income from agricultural activities is unstable, income from business, salary/wage and services is relatively stable.

5 INFORMATION DISCLOSURE, CONSULTATION, AND PARTICIPATION

5.1 Project Stakeholders

As a fundamental piece to guiding consultations and data gathering during the project preparation stage, as well as informing the implementation stage, a stakeholder table has been prepared (see Attachment 4). The stakeholder table identifies major stakeholder groups and their related interests; potential role in updating the RP, implementation, and monitoring of the project; and the capacity and opportunities for participation. The stakeholder table should be treated as a working document, clarified as more data becomes available or situations change through the project cycle. The stakeholder table can also be shared with stakeholders, who can add to its detail, accuracy and usability. Using the table, community representatives can be identified for the project to directly consult with, seek assistance in mobilizing stakeholder consultations, report community concerns, and strengthen the project's local communication and awareness-raising efforts.

Other than the DPs themselves, four stakeholder groups are especially important in the successful implementation of the resettlement plan:

- (i) **Executing Agency's (HPWSCO) Project Management Unit (PMU).** A well-established PMU was intricately involved in the social analysis and resettlement planning during project preparation. Their efforts, however, were strained by insufficient time and human resources and unfamiliarity with ADB requirements. However HPWSCO has now a better understanding of ADB requirements and identified staff responsible for resettlement activities. Their efficient management of data (including data updating, database management, and reporting), stakeholder communications, and the execution of compensation and income restoration programs is the most important variable in the successful implementation of the resettlement plan. Intensive training by implementing consultants is required on the implementation of the resettlement plan; future data gathering, management and use; and project communication with DPs. Ensuring compliance between the resettlement plan and the compensation plan prepared by DPC will also be a critical task.
- (ii) **District Resettlement Committee.** Districts Resettlement Committees (DRC) will be established once the project will be formally approved by ADB. DRC will include representatives of various ministries (construction, natural resources and environment, finance etc) as well as representatives of mass organizations (Women' Union Framers' Union) and representatives of AHs. The Center For land Development (CFLD) (see below) will also be part of the DRC. Their main task will be to prepare and conduct the Detailed Measurement Survey (DMS). DRC will review the compensation plans prepared by CFLD and will supervise the compensation process. The DRC will be chaired by the Vice-Chairman of the District People's Committee.

(iii) Center for Land Fund Development

A new resettlement unit is in place at the provincial/city and district level. Since 2010¹², the Centers for Land Fund Development (CFLD) have been given more responsibilities. CLFDs at the provincial level are under DONRE while at the district level they are under the District People's Committees.

At the district level, they are now in charge of the preparation of compensation plans and the implementation of all resettlement activities. They are a key member of the District Compensation Committee (DCC) and therefore are the main stakeholder for the implementation of resettlement activities for the water supply project.

¹² Circular No 01/2010/TTLT-BTNMT-BNV-BTC Guiding the functions, tasks, powers, organizational structure and financial mechanism of land fund development organizations

Employees from the CFLD are permanent staff while DCC is an ad hoc committee specific to each project. The main advantages of such a unit are the following:

- Better level of professionalism;
Employees being staffed permanently will gain experience and expertise on the policies and procedures;
- Better access and application of regulations
The same kind of cases within the District (for example APs with the same type of legal documents) will receive same type of compensation/assistance. It will ensure uniformity of compensation and assistance for all APs.
- Better knowledge and understanding of application of international (including ADB) policies on resettlement

The CLFD will gain experience on ADB policy which will facilitate the implementation of the forthcoming projects

(iv) **Commune People's Committee (CPC).** Hung Dao CPC was involved in validating the IOL, introducing the project consultants to DPs, organizing focus group discussions and disseminating information. The involvement of local leadership (usually the chairperson) is essential, required, and expected. Local leaders are responsible for disseminating information, organizing meetings, and representing communities. The commune chairperson of Hung Dao will serve on the District Compensation and Resettlement Committee (see implementation arrangements).

(v) **Viet Nam Women's Union.** With representatives from each village, the Women's Unions are key stakeholders in implementing the gender strategy of the RP and ensure women's overall participation. The women's union in the various districts and communes were consulted to verify findings, explain likely social impacts of the project on women and explain their history with assisting implementation of resettlement projects, and what value they add to the process.

5.2 Consultation and Participation for Preparing Resettlement Plan

Attachment 5 is a formal record of consultations during resettlement plan preparations. However, many informal and regular consultations occurred throughout the RP preparation process. The resettlement plan has been prepared in consultation with affected households, who have been informed (through various methods and at various milestones in the RP preparation) about the project and the possible acquisition of their land. Other stakeholders consulted include commune and district leaders, government units and departments (as summarized in the above section). Consultations were done via personal meetings with local community leaders and focus group discussions, many of which spontaneously evolved into larger community meetings with the majority of DPs in attendance. Consultations were also a natural part of the survey process to collect socio-economic data. Focus group discussions were held in each Component area with different groups for men, women, and vulnerable households to identify different impacts, perceptions, needs, and preferences.

Comprehensive public consultation was conducted in April 2011 among affected persons. Attachment 5 includes a description of the consultation plan used during this consultation. Attachment 6 is the Public Information Booklet (PIB).

DPs' Concerns

Consultations, as part of focus group discussions followed by community meetings, were held in March 2011 with potential DPs in Hung Dao component area. Various options for

compensation were discussed, such as cash compensation, land for land, or a combination of both.

The poorer the participant, generally, the stronger the preference for replacement land. Several issues concerned them: food security, loss of land access for next generation and loss of livelihood. Women in particular were concerned about job training that would be appropriate for them, not just for men.

If replacement land is available, DPs expect it to be near to their homes. If replacement land is not possible, the participants preferred cash compensation, to be based on the annually updated rate as well as some measure of compensation for their years of labor put into the land.

Perceptions of Project and Resettlement

Participants in the focus group discussions, community meetings, as well as DPs who were randomly interviewed during site visits, initially expressed strong opposition to the acquisition of their land. They assumed the land was being purchased for commercial and industrial development. Their opposition to acquisition for those purposes can be seen as their feeling alienated from any potential opportunities that would come from those developments. Respondent-participants in all component areas also said that only emergency hardship would lead them to sell their land rights, and even in that instance, only to neighbors.

Upon learning, however, that the acquisition would be for the development of new public water supply systems, to which they presumed they would receive a connection, the respondent-participants expressed strong support for the project and any related land acquisition. Their support is closely tied to the nature of the project being for the public good, rather than a private or commercial development. Their support is also conditional and should not be mistaken for eagerness to sell their land. However, most of the surveyed households would agree to sell their land for a fair price.

Additional consultation was conducted in November and December 2011. AHs in each component were met. AHs confirmed that they are willing to sell their land for the project. Most of the AHs are partially affected and they have generally large remaining land. AHs put emphasis on the benefits of the project for the health of the community.

As their children are working in enterprises in industrial zones, most of the AHs now have sufficient land and cannot cultivate all of it themselves and the labour cost is also higher. Therefore they all want cash compensation for their lost land.

5.3 Communication and Participation Plan

Information dissemination to, consultation with, and participation of DPs contribute to the project's transparency, reduce potential conflicts, minimize the risk of delays, and enable the project to design the resettlement and the rehabilitation program as a comprehensive development program to suit the needs and priorities of the DPs. Regular communication with DPs also minimizes associated anxieties and stress, which are well documented in the development literature as undermining their economic stability, health, and community social cohesion.

The main objectives of stakeholders' participation and DPs' consultation programs are to (i) provide DPs with full information on the project; (ii) obtain information on needs and priorities of DPs and communities and their reactions towards proposed policies and activities; (iii) achieve cooperation and participation of DPs in proposed activities related to resettlement plan preparation and implementation; (iv) ensure that DPs are able to participate in and make fully informed choices on issues that directly affect their incomes

and living standards; and (v) ensure transparency in all activities related to land acquisition, compensation, and rehabilitation.

Consultation and participation (C&P) during implementation will follow the disclosure guidelines set forth in ADB's *Public Communications Policy* and as advised in ADB's *Handbook on Social Analysis* and the ADB staff guide on C&P, *–Strengthening Participation for Development Results.*”

During project implementation, the public and DPs will be informed on the project's resettlement procedures, detailed resettlement policies and DPs' entitlements, institutional implementation arrangements, and mechanism for redress. During this stage, DPs will be informed and consulted on the results of the detailed measurement survey, proposed compensation options, application of compensation rates to their affected land, assets and entitlements, relocation options and proposed resettlement sites.

Project information disclosure will continue through implementation, using different dissemination methods to provide DPs, with full information to make their best choices to overcome problems or difficulties in their resettlement transition period and rehabilitate or improve their incomes and living standards.

Implementation of the RP requires following specific steps of activities related to public information and DPs consultation program, which will enhance participation and ultimately successful implementation

- (i) **Activity 1: Project Information and Training Workshops.** Workshops will be held with the implementation consultant and PMU to orient the team on project information, including project resettlement policies, and implementation procedures. Considering the resettlement and multi-lateral financing and policy experience of most international consultants, they are a logical key facilitator of such workshops. Similar workshops should also be hosted by the PMU with authorities of affected wards and communes, and DPs' representatives.
- (ii) **Activity 2: Public Information before Land Demarcation and Detailed Measurement Survey (DMS).** The PMU should deliver news of the project's approval and implementation schedule to households likely to be displaced by the project through mass media and typical local communication practices. DPs should be informed before any stakes are placed in the land for the DMS. DPs should be informed of the DMS' purpose, content and schedule and their role as DPs (the legal documentation required from them for the DMS, what the procedures of grievance redress are for the project.) After written information is disseminated, a public meeting should be called in each of the related communities to give DPs the opportunity to have any of their questions or concerns discussed.
- (iii) **Activity 3: Public Meeting.** A public meeting will be held with DPs to discuss the DMS and overall project. A personal letter of invitation will be sent to all DPs two weeks in advance. The meeting is an opportunity to discuss issues early on in the implementation process.
- (iv) **Activity 4: Public Project Information.** A public information booklet on the project has been prepared and should be updated by the PMU in consultation with ADB. The booklet should be distributed to all DPs in the component areas. The booklet should contain (a) a short description of the project; (b) types of impacts; (c) basic resettlement policies, entitlements, compensation options; (d) implementation organizations; (e) implementation schedule; (f) grievance redress process; (g) external monitoring; (h) DPs' rights to participation and consultation; (i) resettlement

procedures; and (j) addresses and names of officials responsible for receiving, solving complaints, grievances of DPs.

- (v) **Activity 5: Update Information and Prices.** Update and/or establish provincial unit prices, and confirm land acquisition and impact on properties through a land acquisition and census survey. The resettlement committee should apply these prices, calculate compensation entitlements, and complete the Asset Compensation Form for each affected household. This information was presented to DPs during the initial inventory of losses and was followed up during the package implementation.
- (vi) **Activity 6: Meeting with DPs throughout Data Update Process.** Consultations will be held with DPs to, firstly, inform them of survey activities that will be occurring in their areas (e.g., census, asset inventory, and socio-economic survey). After the data updates are complete, and DPs have received compensation notices for signing, a meeting will be held to discuss issues arising from their individual compensation forms.
- (vii) **Activity 7: Inform the DPs on Planned Start Date of Project Civil Works.**
- (viii) **Activity 8: Public Meetings on Implementation of Livelihood Transition Program.** Aside from initial meetings with DPs to identify preferences for skills training workshops, public meetings should be called as needed to solicit, discuss, and seek feedback from DPs at various stages of preparing and implementing this program: the initial design phase of the program, draft implementation plan (schedule, workshop options, etc.), during implementation and afterwards to assess the success of the program.

5.4 Gender Strategy

The following gender strategy will be implemented in planning resettlement activities and any updates to the RP:

- (i) In updating the RP, women from the DPs, especially those from female headed households, will be consulted during the DMS;
- (ii) Socio economic profile of the affected households and DMS will be disaggregated by gender and ethnicity;
- (iii) Women's participation—especially ethnic minority and poor women and women who are household heads—will be ensured in disclosure meetings; information (written and oral) will be provided in the local language(s);
- (iv) Participation of Women's Union representatives will be ensured in the disclosure meeting and planning of resettlement activities;
- (v) Where the project involves granting new land or replacement land for acquired land, the title of land will be in the names of both spouses;
- (vi) The PMU staff will be provided with orientation on ADB's toolkit and checklists on gender and resettlement and gender and urban water supply projects to ensure that the gender strategy is implemented in resettlement activities;
- (vii) Gender disaggregated monitoring indicators will be developed to monitor resettlement activities in terms of women's participation in the consultation for the DMS, disclosure meetings, land titling, compensation, and to measure the impact of resettlement on poor women, ethnic minority women and women-headed households.

5.5 Ethnic Minority Development Strategy

No ethnic minorities are residing in any of the resettlement-affected areas. No ethnic minorities were identified in the census or SES. All DPs are Kinh-Chinese.

5.6 Disclosure Plan

The PMU will disclose the updated resettlement plan in its entirety to the appropriate People's Committee offices and leaders at the commune and district levels. The resettlement plan, in its entirety, in the local language, should be posted in the commune-level People's Committee. Project information booklets summarizing the main features of the project, paying particular attention to the details of the land acquisition and compensation plans, should be produced in the local language by the PMU and distributed to each DP.

In addition, following ADB's *Public Communications Policy*, the draft resettlement plan will be disclosed through the ADB website before its appraisal mission. The final resettlement plan, and all revised resettlement plans, will also be disclosed upon receipt in the same manner locally and through the ADB website.

6 GRIEVANCE REDRESS MECHANISMS

To ensure that all DPs' complaints—on any aspect of land acquisition, compensation, relocation, payment—will be addressed and resolved in a timely and satisfactory manner, and that all avenues are available to DPs to air their grievances, a well defined grievance redress mechanism will be established.

The DPs will be made fully aware of their rights and the procedures for exercising these will be informed to them—both verbally and in writing—during consultation, survey, and time of compensation. Detailed procedures for both redressing grievances and the appeals process will be publicized among DPs through effective public information materials, including public posting of the process in communal areas, in the official project information booklet and a separate information sheet solely focusing on the grievance redress process.

Attempts will be made to settle emergent issues at the commune level through community consultation and involvement of social and resettlement experts as required, mediators, and facilitators if required.

DPs can lodge their complaints verbally or in writing regarding any aspect of the resettlement plan. When lodged verbally, the official will make a written record on behalf of the complainant and submit to the project's local compensation and resettlement committee for the PMU's record, which will be available to internal and external monitors.

A four-stage procedure for redress of grievances is proposed:

- (i) **Stage 1.** Complaints of DPs on any aspect of the LAR process and/or RP shall in the first instance be lodged verbally or in written form with the Hung Dao Commune People's Committee (CPC). The complaint can be discussed in an informal meeting with the DP and the Commune chairperson, or, on his/her behalf, an official of the CPC. It will be the responsibility of the CPC to resolve the issue within 15 days from the date the complaint was lodged.
- (ii) **Stage 2.** If no understanding or amicable solution is reached or if the DP receives no response from the CPC within 15 days of registering the complaint, he/she can appeal to the Duong Kinh District Resettlement Committee (DRC) of the Component. The DP must lodge the complaint within one month of registering the original complaint and must produce

documents, which support his/her claim. The DRC will provide the decision within one month of the registered claim.

- (iii) **Stage 3.** If the DP is not satisfied with the decision of or in the absence of any response by the DRC, the DP can appeal to the Provincial People's Committee. The PPC, together with PMU, will provide a decision on the claim within 30 days from the day it is received by the PPC.
- (iv) **Stage 4.** If the DP is still not satisfied with the decision of or in the absence of any response by the HPWSCO PMU within the stipulated time, the DP, as his/her last resort, may submit his/her case to the local court. DPs will be provided with free legal representation in case any complaints are lodged in court. Grievance redress mechanism should not impede access to the country's judicial or administrative remedies. It is not the last resort but any time the AP can access the judicial system.

DPs are exempted from all taxes, administrative and legal fees incurred through grievance redress procedures.

The procedure described in these four steps is consistent with the legal process for resolution of disputes in Viet Nam. However, the system is oriented primarily towards disputes between people, as opposed to between people and government. Therefore, as part of the Project internal monitoring and evaluation, CPC and the IA will keep a written record of all grievances and complaints brought forward by DPs, as well as their final resolution. The IA and the Hai Phong PC will be responsible to ensure that the grievance redress procedures and timeframes are explained clearly at each level of the People's Committee.

7 LEGAL FRAMEWORK

7.1 Purpose and Objectives of the Resettlement Plan

This RP has been prepared in accordance with ADB policy, which requires a full resettlement plan for "Category B" projects, and in close consultation with the IA (HPWSCO's PMU) and DPs. The final resettlement plan, as agreed by all stakeholders, should inform and guide the implementation consultants, the IA, DPs, and other stakeholders on the implementation and monitoring of the plan.

7.2. Legal and Policy Framework

The legal and policy framework for addressing the resettlement impacts of the proposed project is provided by relevant policies and laws of the government Viet Nam (GOV) and ADB's Safeguard Policy Statement (SPS 2009) requirement 2: *Involuntary Resettlement*. The following section outlines the relevant policies and laws, and highlights where differences exist.

National Laws on Land Acquisition and Resettlement

The Constitution of the Socialist Republic of Viet Nam (1992) confirms the right of citizens to own and protect the ownership of a house. In addition, the government has enacted a number of laws, decrees and regulations that constitute the legal framework for land acquisition, compensation and resettlement. The principal documents include:

- i. The Land Law No. 13/2003/QH11, providing Viet Nam with a comprehensive land administration law. The 2003 Land Law supersedes earlier versions of 1987 and 1993.

- ii. Decree No. 181/2004/ND-CP, guiding the implementation of the Land Law.
- iii. Decree No. 197/2004/ND-CP, on compensation, rehabilitation, and resettlement in the event of land recovery by the State.
- iv. Decree No. 69 /2009/ND-CP, supplementary regulation on land use planning, land price, land acquisition, compensation, assistance, and resettlement.
- v. Circular 116/2204/TT-BTC, guiding the implementation of Decree 197.
- vi. Decree No. 17/2006/ND-CP, amending Decree No. 181/2004/ND-CP, Decree No. 197/ 2004/ND-CP, and other decrees.
- vii. Decree No. 188/2004/ND-CP, specifying methods for land pricing and land price frameworks in the event of land recovery by the State.
- viii. Circular 114/2004/TT-BTC, guiding the implementation of Decree 188.
- ix. Decree No. 17/2003/ND-CP, promulgating the regulation on the exercise of democracy in communes, including requirements for consultation with and participation of people in communes.
- x. Decree No. 131/2006/ND-CP, on the management and use of Official Development Assistance (ODA).
- xi. Decree No. 84/2007/ND-CP, supplementary stipulations on issue of LURC, land acquisition, land use right implementation, procedure of compensation, assistance in the event of land recovery by the state and grievance redress.
- xii. Decree No. 123/2007/ND-CP, amending and supplementing Decree 188/2004/ND-CP that gives Provincial People's Committees the authority to set local land prices by establishing ranges for all categories of land.
- xiii. Construction Law No. 16/2003/QH11, on compensation and relocation of people affected by ground clearance for investment projects.
- xiv. Decree No. 16/2005/ND-CP, on the implementation of the Construction Law.
- xv. Decree No. 182/2004/ND-CP, on penalties for administrative violations in land issues
- xvi. Decree No.70 that stipulates that all documents registering family assets and land use rights must be in the names of both husband and wife.

New Decree 69/2009. Effective August 13, 2009, the Government of Viet Nam approved Decree 69/2009/ND-CP, which clarified rules and regulations related to land use planning, land prices, land recovery, compensation, support, and resettlement. In general, the decree increased the scale of compensation, supports and entitlements to a level that is more compatible with ODA policies, improves the country's business environment and land market. The entitlements designed for this project are based on the following key elements of the decree:

- (i) Article 17 on –Supports” allows supports for relocation and resettlement, for life and production stabilization, job-change training and job creation, –and others.”
- (ii) Article 20 on –support for life and production stabilization” outlines the terms of specific supports or entitlements as such:
 - a. Loss of 30%–70% of agricultural land (and relocation is not required) entitles a household to a –life stabilization” support equivalent to 30 kilos of rice per household member per month for 6 months;
 - b. Loss of more than 70% of agricultural land (where relocation is not required) entitles a households to a –life stabilization” support equivalent to 30 kilos of rice per household member per month for 12 months;
 - c. Compensated households and individuals are entitled to various supports (of undetermined amount or terms—cash or non-cash

- based) that assist them in stabilizing and improving their agricultural production, e.g. agricultural extension, skills training, etc.
- (iii) Article 22 on “supports for job change and creation” provides for cash support equal to 1.5–5 times the agricultural land price for the whole area of recovered land and those needing vocational training are entitled to one training course free of charge from a job-training establishment. The Hai Phong City People’s Committee Decision No 1263/2010/QĐ-UBND dated 30/7/2010 provides for cash support equal to two times the agricultural land price.

Local Policy on Land Acquisition and Compensation

The following four decisions by the Hai Phong City People’s Committee further clarify compensation and resettlement entitlements.

- i. Hai Phong City PC Decision No. 2286/QĐ-UBND, 31/12/2008, stipulates current detailed land prices, regulations for calculated taxes, fees, leases, and value.
- ii. Hai Phong City PC Decision No. 2295 dated 31/12/2010 stipulates local land and crop prices.
- iii. Hai Phong City PC Decision No. 130/2010/QĐ-UBND dated 22/01/2010 stipulates rates for compensation of additional supports to be given as a result of land acquisition.
- iv. The Hai Phong City People’s Committee Decision No Decision No 1263/2010/QĐ-UBND dated 30/7/2010 on land use planning, land price, land acquisition, compensation, assistance, and resettlement in accordance with Decree 69/2009.

ADB Safeguards Policy Statement (2009)

The applicable ADB safeguards policies for addressing the adverse social impacts of the proposed project is the *Safeguard Policy Statement (2009)*. Closely linked with this social safeguard policy is the Bank’s *Policy on Gender and Development* (1998). The SPS Safeguard Requirement 3 *on Indigenous Peoples* (2009) will also apply. However no indigenous people are affected by the project.

. The aims of ADB’s Safeguard Policy Statement (SPS), requirement 2: 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. ADB’s *Policy on Gender and Development* adopts gender mainstreaming as a key strategy for promoting gender equity, and for ensuring that women participate and that their needs are explicitly addressed in the decision-making process. For projects that have the potential to have substantial gender impacts, a gender action plan is prepared to identify strategies to address gender concerns and the involvement of women in the design, implementation and monitoring of the project.

Other policies of the ADB that have a bearing on resettlement planning and implementation are the (i) *Public Communications Policy* (March 2005) and OM Section L3/BP (September 2005), and (ii) *Accountability Mechanism* (OM Section L1/BP, dated 29 October 2003).

Reconciliation of Government and ADB Policies

With the promulgation of the 2003 Land Law, including Decrees No. 197/2004/ND-CP and No. 188/2004/ND-CP, Decree No 69/2009/ND-CP, the policies and practices of the

national government have become more consistent with ADB's social safeguards policies. Nonetheless, provisions and principles adopted in the RP for the proposed project will supersede the provisions of relevant decrees currently in force in Viet Nam wherever a gap exists, consistent with Decree No. 131/2006/ND-CP.

Table 17 provides a comparison of ADB's policies and those of the government on key areas of involuntary resettlement.

Table 17: ADB's SPS and Relevant Government Policies

| Issues | ADB | Government of Viet Nam | Project Policy |
|---|--|--|---|
| Lack of formal title to affected assets | The absence of formal legal title to land is not a bar to entitlements. | Decree 69 Article 14, Clause 1: If persons who have land recovered by the State meet conditions related to land ownership set out in Article 8 Item 1,2,3,4,5,7,9,10,11 of Decree 197, they shall receive compensation; if they fail to meet all conditions for compensation, the Peoples' Committees of the provinces or centrally run cities shall consider providing such support. Decree 197 Article 18, 19, 20: • Houses and structures on non-eligible-for-compensation land, which have not violated announced land use plans or the right of way will be assisted at 80% of compensated price. • Houses and structures on non-eligible-for-compensation land, which have violated announced land use plans or the right of way will not be assisted. In special cases, the PPC will consider to assist on case-by-case basis. | All affected houses and structures, including crops and trees on affected land, irrespective of land tenure status, will be compensated at replacement cost. In addition, they will be provided appropriate assistance to help them improve their socio-economic status. The specific type of assistance will be identified and agreed upon during RP implementation as per consultation with DPs. |
| Compensation principles | Land compensation should be based on replacement cost, which means the method of valuing assets to replace the loss at market value. | Decree 69, Article 3, Clause 14, Item 2: Persons who have land recovered shall be compensated with new land having the same use purpose; if there is no land for compensation, they shall receive compensation equal to the value of land use right which is calculated based on land price at the time of issuance of recovery decisions. Decree 197: Article 9: The compensation rates for land shall be determined by the PPC in accordance with the Government regulations for | Payment for land and assets will be based on the principle of replacement cost. |

| Issues | ADB | Government of Viet Nam | Project Policy |
|--|--|---|---|
| | | <p>the type of land which has been used for at the time of land acquisition.</p> <p>Decree 17/2006 provides for compensation to be based on market prices. Where there is difference between current use and market values, a Land Valuation</p> <p>Council has to be set up to establish current market values. (article 4, item 1).</p> | |
| Assistance for life stabilization and production stabilization | Severely affected households losing more than 10% of their productive asset and source of livelihood are entitled | Affected households losing 30% or more of their land are entitled to life stabilization assistance. The amounts are higher for those required to relocate, in particular if they must relocate to areas with difficult eco-social conditions. Living stabilization is 30 kg of rice per month for each member of the household. | Life stabilization and production stabilization assistance will be provided to all DPs who lose productive income-generating assets. The project will focus on strategies to avoid further impoverishment and create new opportunities to improve status of the poor and vulnerable people. |
| Income restoration programs | Severely affected households losing more than 10% of their productive asset and source of livelihood are entitled to economic rehabilitation assistance to restore income and livelihoods to pre-project levels. | Affected households losing 30% or more of their agricultural land are entitled to training/job creation assistance; affected households holding business licenses will be assisted in cash up to 30% of one year's revenue. | Severely affected households losing more than 10% of their productive assets and sources of livelihood or having to relocate will be entitled to participate in an income restoration program that will be planned out with the DPs. |

Project Resettlement Policy

This section lays out the principles and policies to be used in the planning, updating and implementation of the resettlement plans, especially for addressing adverse social impacts. The overall objective of the compensation and entitlement policy of the project is to ensure that all people affected by the project are able to maintain and, preferably, improve their pre-project living standards and income-earning capacity through compensation for the loss of physical and non-physical assets and, as required, other assistance and rehabilitation measures.

The Vietnamese legislation governing resettlement, compensation and rehabilitation of affected households and the ADB's SPS (2009) *Policy on Involuntary Resettlement* have been adapted for the preparation of the Hai Phong Water Supply Project. Wherever a gap exists between the ADB's SPS (2009) *Policy on Involuntary Resettlement* and Vietnamese law, the policies adopted for the project take precedence.

Project Principles

In pursuit of the above resettlement objectives, the following principles are adopted:

- (i) Screen the project early on to identify past, present, and future involuntary resettlement impacts and risks. Determine the scope of resettlement planning through a survey and/or census of displaced persons, including a gender analysis, specifically related to resettlement impacts and risks.
- (ii) Carry out meaningful consultations with affected persons, host communities, and concerned nongovernment organizations. Inform all displaced persons of their entitlements and resettlement options. Ensure their participation in planning, implementation, and monitoring and evaluation of resettlement programs. Pay particular attention to the needs of vulnerable groups, especially those below the poverty line, the landless, the elderly, women and children, and Indigenous Peoples, and those without legal title to land, and ensure their participation in consultations. Establish a grievance redress mechanism to receive and facilitate resolution of the affected persons' concerns. Support the social and cultural institutions of displaced persons and their host population. Where involuntary resettlement impacts and risks are highly complex and sensitive, compensation and resettlement decisions should be preceded by a social preparation phase.
- (iii) Improve, or at least restore, the livelihoods of all displaced persons through (i) land-based resettlement strategies when affected livelihoods are land based where possible or cash compensation at replacement value for land when the loss of land does not undermine livelihoods, (ii) prompt replacement of assets with access to assets of equal or higher value, (iii) prompt compensation at full replacement cost for assets that cannot be restored, and (iv) additional revenues and services through benefit sharing schemes where possible.
- (iv) Provide physically and economically displaced persons with needed assistance, including the following: (i) if there is relocation, secured tenure to relocation land, better housing at resettlement sites with comparable access to employment and production opportunities, integration of resettled persons economically and socially into their host communities, and extension of project benefits to host communities; (ii) transitional support and development assistance, such as land development, credit facilities, training, or employment opportunities; and (iii) civic infrastructure and community services, as required.
- (v) Improve the standards of living of the displaced poor and other vulnerable groups, including women, to at least national minimum standards. In rural areas provide them with legal and affordable access to land and resources, and in urban areas provide them with appropriate income sources and legal and affordable access to adequate housing.
- (vi) Develop procedures in a transparent, consistent, and equitable manner if land acquisition is through negotiated settlement to ensure that those people who enter into negotiated settlements will maintain the same or better income and livelihood status.
- (vii) Ensure that displaced persons without titles to land or any recognizable legal rights to land are eligible for resettlement assistance and compensation for loss of non-land assets.
- (viii) Prepare a resettlement plan elaborating on displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule.
- (ix) Disclose a draft resettlement plan, including documentation of the consultation process in a timely manner, before project appraisal, in an accessible place and a form and language(s) understandable to affected persons and other stakeholders. Disclose the final resettlement plan and its updates to affected persons and other stakeholders.
- (x) Conceive and execute involuntary resettlement as part of a development project or program. Include the full costs of resettlement in the presentation of project's costs and benefits. For a project with significant involuntary resettlement impacts,

consider implementing the involuntary resettlement component of the project as a stand-alone operation.

- (xi) Pay compensation and provide other resettlement entitlements before physical or economic displacement. Implement the resettlement plan under close supervision throughout project implementation.
- (xii) Monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons, and whether the objectives of the resettlement plan have been achieved by taking into account the baseline conditions and the results of resettlement monitoring. Disclose monitoring reports.

Eligibility Policy. All DPs who are identified in the project-impacted areas by the cut-off date will be entitled to compensation for their affected assets and rehabilitation measures sufficient to assist them to improve or at least maintain their pre-project living standards and income-earning capacity. The cut-off date will be the final day of the census and DMS. Those who encroach into the Component area after the cut-off date will not be entitled to compensation or any other assistance. They will be given sufficient advance notice to vacate premises and dismantle affected structures prior to project implementation.

8 ENTITLEMENTS, ASSISTANCE AND BENEFITS

Entitlements, assistance and benefits were designed to cover compensation for all losses at replacement cost to restore or enhance the livelihoods of all DPs as shown in the table below.

Not all of the types of loss included in the table were present at the time of basic design, e.g., residential land loss. They have been included here, however, so that the project resettlement plan is compatible with the Resettlement Framework for all projects funded under the Vietnam Water Sector Development Multi-tranche Financing Facility.

These entitlements may be enhanced, as necessary, to respond to the specific needs of DPs in a given component.

Following the table is a narrative description of the entitlements, assistance and benefits mentioned in the table.

Table 18: Entitlement Matrix

| No. | Type of Loss/ Impacts | Application | Eligible Persons ¹ | Entitlements |
|-----|---|---|--|---|
| 1 | Productive land (Agriculture, Aquaculture, Garden) | Severe Loss: AH losing more than 10% of their total productive land | Owners with LURC; in the process of acquiring LURC; are eligible to acquire LURC (3 HH); | <ul style="list-style-type: none"> Land-for-land compensation of equivalent value and productivity or cash compensation at full replacement cost (free from taxes and transaction costs) Cash compensation for loss of crops, trees and aquaculture at full market value. Allowance equivalent to 2 times the area acquired at prevailing Municipal/Provincial land rates (based on National Decree 69/2009 and Hai Phong City People's Committee Dec. No 1263/2010/QD-UBND dated 30/7/2010) For allowances due to severe loss, see Item 8 below Entitled to take part in the income restoration program Displaced households to be notified at least 4 months prior to date of acquisition, which should (ideally) be timed between planting season in order to avoid unnecessary losses and costs |
| 2 | Productive land (Agriculture, Aquaculture, Garden) | Partial Loss: AHs losing 10% or less of their total productive land | Owners with LURC; in the process of acquiring LURC; are eligible to acquire LURC; (61 HHs) | <ul style="list-style-type: none"> Cash compensation at full replacement cost (free from taxes and transaction costs) Cash compensation for loss of crops, trees and aquaculture at full market value. Allowance equivalent to 2 times the compensation rate for the area acquired. Displaced households to be notified at least 4 months prior to date of acquisition, which should (ideally) be timed between planting season in order to avoid unnecessary losses and costs |
| 3. | Secondary Structures | | Nil | <ul style="list-style-type: none"> |

Rehabilitating and Upgrading Project of Haiphong Water Supply System – Stage II:
Final Resettlement Plan for Hung Dao WTP

| | | | | |
|----|---|---|--|---|
| 4. | Crops | Any degree of loss of or damage to crops and aquaculture assets | Owners regardless of tenure status (64 HHs) | <ul style="list-style-type: none"> • Cash compensation for annual crops and aquaculture products equivalent to current market value at the time of land acquisition |
| 5. | Trees | Loss of, or damage to, assets | Owners regardless of land tenure status (64 HHs) | <ul style="list-style-type: none"> • Cash compensation at replacement cost equivalent to current market value given the type, age and productive value at the time of compensation. |
| 6. | Loss of Income/ Livelihood due to acquisition of agricultural land | AH losing more than 10% of their total productive land | Severely affected DPs 3 households | <ul style="list-style-type: none"> • Transitional assistance in the form of a cash grant equivalent to 30kg of rice per household member for periods as specified in National Decree 69/2009 for households losing up to 30% of productive land. This means, households losing up to 30% of productive land (and not required to relocate housing) shall be entitled to transitional assistance equivalent to 30kg of rice per household member for 3 months, or 6 months if required to relocate • Job/Skills training for both the male and female heads of households and for each household member of working age. • If remaining land is viable, DPs to receive free extension training based on DP preferred topics (e.g., intensified rice cultivation, crop diversification, etc.) by the District Agriculture Extension Centre or equivalent agency to improve the productivity of their remaining land. • Households whose remaining, unaffected land is no longer viable for use (288 m² or less) will have the option of selling the remaining unviable portion to the project, which would be obliged to purchase. They will also qualify as “vulnerable” and be entitled to an additional cash compensation equivalent to 30 kilos of rice per person in the household for 6 months. • Free household connection to HPWScO scheme within 3 months after the commissioning of the respective new WTP causing the displacement. |
| 7. | Vulnerable DPs | Loss of land and non-land assets or impact on livelihood | Affected vulnerable groups regardless of severity of impacts (4 HHs) | <ul style="list-style-type: none"> • Additional transitional assistance in the form of a cash grant equivalent to 30kg of rice per household member for 6 months; • An additional lump sum assistance of VND 6 millions per HH. • |
| 8. | Public Facilities (electric poles, telephone lines, | Loss of, or damage to, | Asset owner/administrator, | <ul style="list-style-type: none"> • Cash compensation to cover the cost of restoring the facilities |

Rehabilitating and Upgrading Project of Haiphong Water Supply System – Stage II:
Final Resettlement Plan for Hung Dao WTP

| | etc.) | assets | | |
|-----|--|--|---|--|
| 9. | Temporary impacts during construction | Temporary impacts on land | Owners with LURC; in the process of acquiring LURC; are eligible to acquire LURC | <ul style="list-style-type: none"> The rent will be negotiated by the contractors with affected households. The land will be restored to its pre-project condition. |
| 10. | Restricted use of land | Permanent restrictions on uses of land | Owners with LURC; in the process of acquiring LURC; are eligible to acquire LURC; and those covered by customary rights, such as members of ethnic minority groups. | <ul style="list-style-type: none"> Appropriate mitigation measures sufficient to offset the actual impacts experienced. |

Note: Abbreviations: DP=Affected households; LURC=Land users' registration certificate

¹ The project census and socio-economic survey did not find any ethnic minorities or households with lease agreements (sharecroppers) present among project-households

* Based on an inventory of loss and field visits at the time of basic design, these impacts were not present

8.1 Total Entitlement Benefits and Assistance

This RP provides a variety of cash-compensation and programs to help severely affected households cope with the transition to owning less land. The entire compensation package contains the following elements:

- (i) Entitlement 1: ~~Land Acquisition Sale~~"
- (ii) Entitlement 2: ~~Transitional Assistance~~"
- (iii) Entitlement 3: ~~Income Recovery Support~~"
- (iv) Entitlement 4: ~~Livelihood Transition Program~~"
- (v) Entitlement 5: ~~Vulnerable Household Support~~"

Entitlement 1: Land Price

While data suggests that income from farming is heavily augmented by other sources of income, it remains critical to household food security and overall economic structure. The majority of DP representatives in public meetings conducted in November and December 2011 expressed a preference for cash compensation for land. Young adults in the affected families are working in industries in the nearby industrial zones and the parents are not able to maintain the land due to unavailability of labor.

Entitlement 2: ~~Transitional Assistance~~"

Depending on the severity of loss, Decree 69 makes provisions for a rice subsidy, payable by a cash equivalent, at the time of land acquisition. Within the legal provisions, the RP affords 30 kilos of rice per member of a DP household per month for a certain amount of months:

- (i.) **3 months** for households severely affected and losing between 10%-30% of their total land holding;
- (ii.) **6 months** for households severely affected by the land acquisition to the extent of losing between 30% and 70% of their productive land holding although their remaining unaffected land is viable;
- (iii.) **12 months** for households losing more than 70% of their productive land holding although their remaining unaffected land is viable.

The 3 severely affected households are losing less than 30% of their total land holding and hence, only the first transitional assistance (Losing between 10 and 30%) will apply.

Compensation 3: ~~Income Recovery~~" Support

Within the provisions of Decree 69, all affected households are eligible for additional cash compensation that is 1.5 to 5 times the area of the acquired agricultural land. Based on Hai Phong City PC Decision No 1263/2010/QD-UBND, a factor of 2 has been used to estimate the cost of this support item.

Entitlement 4: ~~Livelihood Transition Program~~"

A skills training program will be designed during the RP updating process in close consultation with DP households, particularly female and vulnerable household members. The start of the training program will be within 3 months of completed

compensation for all DPs. The following DPs qualify for three types of “livelihood transition” trainings:

- (i) A skills training program will be designed during the RP updating process for the 3AHs losing more than 10% of their total productive land holding.; these trainings will be organized by the PMU in cooperation with the Provincial Agriculture Extension Center or an equivalent agency;
- (ii) Both male and female heads of household and each household member of working age from severely affected households are eligible to participate in or receive an enrollment certificate for skills training (or “credit card”) issued by the National Job Training Program (circular 66 issued by Ministry of Agriculture and Rural Development) to participate in a job training course for 2 months.
- (iii) Community-based trainings on skills for improved living standards. The DPs should be directly consulted through a needs-based and preference-based assessment of the type of trainings to be offered in the community. Examples of such trainings include cash management, establishing microcredit organizations, building local trade partnerships, savings and investment, or more specific occupational skills. The PMU, with the assistance of the consultants and the District Resettlement Committee, should facilitate the needs/preference assessment and assist in the organization of the trainings in the community.

Some DPs may not be interested, willing or able to participate in a training program due to a number of factors: age, mobility, literacy, household responsibilities, etc. For this reason, the DRC should establish criteria (i.e., old age, single-headed household, no one of working age in the household, etc.) whereby DPs may be eligible to waive their entitlement to training course credits and transfer their credit to another member of their household.

Three HHs will lose more than 10% of their productive land: HH headed by Mr. Do Van Le (losing 12% of his land), HH headed by Mr. Do Van Phuc (losing 13% of his land) and HH headed by Mr. Do Van Thai (losing 11% of his land). For, Mr Do Van Le and Mr. Do Van Phuc, primary source of income is from wages from their children working in companies. However, in addition, the later has a large remaining land (18,075 m²). For, Mr. Do Van Thai, primary income comes from both wages and agriculture (ornamental plants). He has also a large remaining land (12,322m²). He cannot cultivate all his remaining land due to lack of agriculture manpower.

All 3 HHs opted for cash compensation for their lost land. All consider that their income will not be significantly affected and no income restoration will be necessary. This situation will however need to be reassessed at the time of the update of the RP.

Entitlement 5: “Vulnerable Household Support”

Vulnerable HHs are those who are currently classified by the Ministry of Labor, Invalids, and Social Affairs (MOLISA) as vulnerable because they are living below the poverty line, are headed by a woman, have a disabled person or war veteran as a household member.

Table 1 in Section 1 enumerates potential DPs who are currently classified as such by MOLISA. When it is time to update the RP, the number of vulnerable DPs is likely to be greater because the government is currently revising its poverty threshold

upward (see Footnote 1). The updated RP should use the published national poverty line (rather than the provincial poverty line or international poverty line), which will contribute to a more standardized compensation principle for ODA-funded projects. Those DPs identified as vulnerable will be entitled to an additional lump sum assistance of VND 6 million per HH, based on the Local Decision 130, as stated in Item 10 of Table 18.

9 RELOCATION OF HOUSING AND SETTLEMENTS

The project does not include any houses and structures to be relocated.

10 INCOME RESTORATION AND REHABILITATION

As indicated above, three HHs are losing between 11% and 13% of their productive land. None of the 3 HH depends on agriculture for their primary source of income and don't require any kind of income restoration. Their situation will however be reassessed at the time of the updating of the RP

The project income restoration and rehabilitation program will be implemented following the table below:

Table 19: Income restoration and rehabilitation

| Livelihood risks | Application | Quantity | Income restoration programs |
|---|--|----------|---|
| Loss of Income/ Livelihood due to acquisition of agricultural land | Households affected by severe loss of land, i.e., 10% to 30% of total land area is lost due to project acquisition | 3 HHs | <ul style="list-style-type: none"> • Transitional assistance: households losing up 10% and more of productive land holding (and not required to relocate housing) shall be entitled to transitional assistance equivalent to 30kg of rice per household member for 3 months, or 6 months if required to relocate • Job/Skills training for both the male and female heads of households and for each household member of working age. • If remaining land is viable, DPs to receive free extension training based on DP preferred topics (e.g., intensified rice cultivation, crop diversification, etc.) by the District Agriculture Extension Centre or equivalent agency to improve the productivity of their remaining land. |

| | | | |
|--|--|-------------------------|--|
| | | | <ul style="list-style-type: none"> Free household connection to HPWSCo scheme within 3 months after the commissioning of the respective new WTP causing the displacement. |
| Vulnerable DPs | Loss of land and non-land assets or impact on livelihood | 4 HHs | <ul style="list-style-type: none"> Additional transitional assistance in the form of a cash grant equivalent to 30kg of rice per household member for 6 months; An additional lump sum assistance of VND 6 million per HH; |
| Temporary impacts during construction | Temporary impacts on land | TBD during construction | <ul style="list-style-type: none"> The rent will be negotiated with affected households. The land will be restored to its pre-project condition. |

11 RESETTLEMENT BUDGET AND FINANCING PLAN

For the purposes of including estimated resettlement costs in the overall project budget, the cost of the land acquisition and entitlements has been calculated using a preliminary census and inventory of loss conducted during the preparation of the RP (see Attachment 8 for summary budget worksheets).

The rates for compensation and cash entitlements for rehabilitation are based on a review of rates paid by similar projects financed by multilateral agencies¹³ and the known precedents of the district and provincial peoples' committees, which ultimately determine land values and compensation rates. The estimates for land values were also reviewed in public meetings with DPs and during focus group discussions to gauge their level of approval. DPs attending the meetings generally approved the rates. Crop loss and values are based on estimates and not comprehensive, official census/IOL data. Compensation rates will be re-assessed at the time of the compensation to ensure they meet market rates.

The estimated resettlement cost has been calculated based on the unit price list given in Table 20. To follow the principle of replacement cost at current market value, which is compulsory for compensation of affected assets, unit prices are based on: (i) PPC-approved unit rates for compensation of affected assets; (ii) results of rapid appraisal of current market prices in rapidly urbanizing secondary cities and

¹³ See RP for Urban Transportation Development Project of Hai Phong city (WB, January 2011) p88; compensation rate for agricultural land in a neighboring district (An Duong) is 60,000 VND/m² while for our project it is 66,000 VND/m²
<http://www.wds.worldbank.org/external/default/WDSPContentServer/WDSP/IB/2011/02/11/0003330110211011207/Rendered/PDF/RP10350v20REV11r0resettlement0sites.pdf>

comparable entitlements in other multilateral agency-financed projects; and (iii) results of evaluation of losses given by affected households.

Assumptions. The following assumptions have been used in calculating the budget:

- (i) The average household has 5 people;
- (ii) An exchange rate of VND19,500 to one U.S. dollar is used;
- (iii) The current prevailing rate for agricultural land set by the Provincial Peoples Committee's Land Price Evaluation Board is VND 66,000/m²;
- (iv) Land value is adjusted by 2 times the prevailing PPC rate to account for inflation and livelihood transitional costs and which is within the allowable provisions of National Decree 69 and Hai Phong City People's Committee Decision No 1263/2010/QD-UBND;
- (v) The minimum amount of land to be considered viable is 288 m², based on a minimum set by the Provincial People's Committee; and
- (vi) Cash equivalent of one kilo of rice is VND 12,000.

Table 20: Estimated Compensation Unit Rate and Rehabilitation Allowances

| | Impact | Unit | Compensation Rate | |
|---|--|--------------------------------|-------------------|-------|
| | | | VND | USD |
| 1 | Agricultural Land, Rice Paddy | m ² | 66,000 | 3.38 |
| 3 | Cash-based Life Stabilization Support | kg of rice | 12,000 | 0.62 |
| 4 | Cash-based Livelihood Rehabilitation | factor of 2 per m ² | 132,000 | 10.15 |
| 5 | Non-cash Livelihood Transition Program | /HH | 2.7 million | \$150 |

Total compensation costs. Table 21 summarizes the categorical costs of the RP, aside from the consulting fees for implementing the RP updates, monitoring & evaluation, which would typically be covered by an ADB Technical Assistance grant for loan implementation. The communications and administrative costs include: (i) the payment of salaries, per diems, logistics, trainings for PMU, implementing agencies, and various resettlement committees; (ii) consultation, dissemination, and participation programs; (iii) grievance redress; (iv) joint validations of inventory and detailed measurement survey; (v) administration of a replacement cost survey; (vi) process of compensation payment; and (vii) internal monitoring costs.

See Table 23 for a breakdown of RP implementation costs. The totals are based on calculations using census and inventory of loss data. Attachment 8 is the worksheet used to estimate costs (the names of potential DPs have been blacked out to protect their privacy). These rates should be updated by the rates determined by the replacement cost survey conducted for RP updates.

Table 21: LAR Cost Breakdown for the Hung Dao Water Supply Project

| | Impact | Unit | Quantity | Unit Price (VND) | Amount | |
|--------------------|---|-----------------------|----------|---------------------|----------------|---------|
| | | | | | VND | USD |
| 1 | Entitlement 1: Land Sale | m ² | 64 000 | 66 000 | 224000000 | 216 615 |
| 2 | Entitlement 2: Transitional Assistance (3 Severely AH + 4 vulnerable HH with an average of 5 family members) | /person | 35 | 108000 | 37800000 | 1 938 |
| 3 | Entitlement 3: Allowance for career change | m ² x 2 | 64 000 | 132 000 | 8448000000 | 433 231 |
| 4 | Entitlement 4: Livelihood Transition Program (3 SAH) | /person | 3 | 2 925 000 | 8775000 | 450 |
| 5 | Entitlement 5: Vulnerable Household Support (4 HH) | /person | 4 | 6 000 000 | 24000000 | 1 231 |
| 6 | Estimated value of non- land assets—trees and crops | Various indicators | Estimate | 5,000 to 150,000 | 443000000 | 22 718 |
| Sub Total I | | | | | 13 185 575 000 | 676 183 |
| | Various Staff & Stakeholder Training, Communications, Consultation, Reporting | 3.5% | | | 461 495 125 | 23 666 |
| 7 | EA/PMU Administration & Management | 2% | | | 263711500 | 13 524 |
| | Sub Total II | | | | 13 910 781 625 | 713 373 |
| 6 | Cost Contingency | 10% | | | 1 391 078 163 | 71 337 |
| | Total | | | | 15 301 859 788 | 784 711 |

NB. These calculations are approximate. More precise, subproject-specific details can be found in Attachment 8.

* Includes compulsory acquisition of nonviable land (the amount of remaining, unused land that is not enough to meet local minimum standards of viability for agricultural use)

** The entitlement is provided for by Decree 69/2009, Article 22, Clause 3 and is also a standard compensation of ADB-funded projects involving resettlement impacts. This non-cash-based entitlement ensures direct support to assist DPs make the transition to other sources of income. The estimated cost of this support item (\$150/head) is based on a rapid survey of costs at training institutions in Hai Phong City.

11.1. Procedure for Setting Land Compensation Rates (Replacement Cost Survey)

A District Resettlement Committee (DRC) should be formed, once the RP is approved by both ADB and the GoV (Government of Vietnam), in Duong Kinh district to carry out a replacement cost survey. The replacement cost survey should be undertaken after the detailed design of civil works is completed. The survey should determine the current market value of the land to be acquired for the project.¹⁴ Survey activities include collecting information from both secondary sources and primary sources (direct interviews with people in the affected area and recent land transactions) from both those affected and those not affected. Rates established for ADB- and World Bank-funded projects will also be collected and analyzed. The government rates will be adjusted, as necessary, based on the findings of the replacement cost survey. Compensation rates will be continuously updated to ensure that DPs receive compensation at replacement cost at the time of compensation payment, which includes adjustments for inflation as determined annually by the Hai Phong City People's Committee.

Definition of replacement cost. Replacement cost is the amount calculated pre-project or pre-displacement, whichever is higher, and is needed to replace an affected asset without deductions for taxes, and/or costs of transaction as follows:

- (i) Productive land (agricultural, fishpond, garden, forest) based on market prices that reflect recent land sales, and in the absence of such recent sales, based on productive value.
- (ii) Standing crops equivalent current market value of the crop at the time of compensation;
- (iii) Perennial crops and trees, cash compensation equivalent to current market value given the type, age and productive value (future production) at the time of compensation.

Survey objectives. The purpose of the survey is to determine replacement prices for land, assets, standing crops and perennial/cash crops and timber trees, etc affected by the project. Establishment for replacement price shall be equivalent or higher than market price to ensure that no affected household is left in worse condition as a result of the compensation and relocation process compared to pre-project implementation or pre-project design.

11.2. Fund Release

This matter is to be decided in discussions with ADB and PMU.

11.3. Sources of Funding

Costs for land acquisition, compensation, and livelihood rehabilitation allowance will be fully funded by the government through the project's counterpart funds. The loan funds may be used to pay for implementation and management costs.

¹⁴ Article II of Decree 69/2009 on "Determination of Land Value" stipulates that when the state must recover land and the prevailing PPC price or land value is not close to actual market prices," the PPC should re-determine the land value based on actual market prices.

12 INSTITUTIONAL ARRANGEMENTS

The RP will be implemented by the following stakeholders and related roles:

Executing Agency & PMU. The HPWSCo is the executing agency (EA) and has a well-established, permanent project management unit (PMU), which is the Implementing Agency (IA) for the project. HPWSCo has already identified two of their staff members responsible for resettlement activities. The PMU is responsible for the day-to-day progress of the project, including securing the EA's approval of all RP and resettlement related issues. The PMU is responsible for updating the RP and seeking ADB's approval. The PMU is then responsible for all implementation activities and issues, internal monitoring, and associated reporting. No External Monitoring Agency (EMA) will be hired as the impacts are not significant

Project Leading Group. A Project Leading Group, chaired by the vice director of HPWSCo, exists to guide and support the project. The group is attended by representatives of various departments of the utility.

District Resettlement Committees (DRCs). Duong Kinh district compensation and resettlement committee should be established as a conduit of information, concerns, and planning between the DPs and the PMU.. The DRCs will assist in updating the census and IOL of DPs, facilitating the socioeconomic survey and will be the principal body conducting the replacement cost survey. They will also play an early role in the grievance redress procedure. Committee members should be fully representative, including members from: the District People's Committee, the District People's Committee Compensation and Resettlement Unit, the Commune People's Committee, the Vietnam Women's Union, the commune agricultural cooperative, the commune farmers' association, a village-level leader, at least two DP representative (one must be female), and a PMU representative.

Center for Land Fund Development (CFLD)

CFLD of Duong Kinh District is responsible for preparation of compensation plans and the implementation of all resettlement activities. It is a key member of the District Resettlement Committee (DRC) and therefore is the main stakeholder for the implementation of resettlement activities for the project

Resettlement activities will be monitored by the PMU. The PMU will regularly monitor and report on the implementation activities. A semi annual monitoring reports will be submitted to ADB on the status and progress of implementation of resettlement activities, compensation and assistance along with any compliance issues and corrective actions.

13 IMPLEMENTATION SCHEDULE

13.1. Implementation Schedule

The project is expected to commence by late of 2015 and for a period of four years, with completion date estimated by November 2019 (Table 24). Before the civil works contract(s) can be awarded, this RP must be updated. The public works contract is scheduled to be awarded in October 2015.

Table 22: Milestone Project Schedule

| Update Resettlement Plan and Compensation Plan | Implementation Schedule |
|---|--------------------------------|
| Detailed Measurement Survey | 01/2015 |
| Replacement Cost Study & socio-economic survey | 01/2015 |
| Draft updated resettlement plan & compensation plan | 02/2015 |
| Public consultation | 02/2015 |
| Final updated resettlement plan & compensation plan | 04/2015 |
| Decision of land acquisition | 07/2015 |
| Implement Resettlement Plan | |
| Compensation payments | 08/2015 |
| Site clearance and handover | 08/2015 |
| Implement rehabilitation measures | 09/2015 |
| Start of Civil Works Construction | 10/2015 |
| Monitoring (from RP approval to civil work construction) | 2015-2019 |

The DPC together with the CFLD will update and endorse the resettlement plan. PMU will forward to ADB for concurrence. All stakeholders and DPs must agree upon the implementation schedule for all resettlement activities before resettlement activities begin. Satisfactory payment of all compensation and provision of all other rehabilitation entitlements and relocation must be completed before ADB can issue a notice to proceed for awarding the civil works contracts.

Payment to DPs for land loss, transitional assistance and income restoration should commence as soon as the resettlement plan is updated and approved by ADB. The updated resettlement plan (which includes the official census, complete inventory of loss, updated socio-economic survey data, and updated compensation rate based on the replacement cost survey) should be submitted to ADB for approval no later than two months before scheduled implementation, so as to avoid delays. DPs will not be required to clear the land until full payments for land and allowances are disbursed.

The following milestone-based schedule summarizes procedures for implementation of resettlement activities. It complies with the MFF Resettlement Framework.

- (i) **Information dissemination prior to detailed design.** Prior to the commencement of detailed design, PMU will implement an information campaign throughout the area affected by each tranche. A public information meeting will be held in each affected commune. The public information booklet or other information will be prepared and distributed to all affected communities during the meetings.
- (ii) **Establishment of Resettlement Committees.** All districts will establish their resettlement committees (District Resettlement Committees, or DRCs) as soon

as the project is approved. Subsequently, resettlement committees will be established at ward/village levels.

- (iii) **Training for resettlement staff.** Within two months of mobilization of the TA loan consultants, all local resettlement staff at national, provincial, and district levels will be trained by the IA, which will be assisted by the TA consultant. Training subjects will include procedures for preparing the RPs; consultation and information disclosure methods; principles, policies, and entitlements of the RP; implementation steps, procedures and schedules; grievance redress mechanisms; and roles and responsibility of DPs and implementation agencies involved in the process of resettlement programs.
- (iv) **Contracting professional appraiser for Replacement Cost Survey.** At the time of the DMS, the Hai Phong PC will hire an independent agency to conduct the replacement cost study.
- (v) **Updating and issuance of replacement cost unit rates.** During the detailed design process, the Hai Phong PC will establish unit rates at replacement cost for all categories of loss and adjust allowances to account for inflation. Prior to formal issuance of the project compensation unit rates, with the assistance of the TA consultant, the implementing agencies and Hai Phong PC will validate the unit rates through consultation with DPs and local governments.
- (vi) **Detailed Measurement Survey (DMS):** The DMS will be conducted after completion of the detailed design and completion of land demarcation for each component. The DMS provides information to update the RP for each tranche, and will establish the cut-off date for compensation eligibility.
- (vii) **Information dissemination and consultation program:** This will be implemented as described in Section 9.
- (viii) **Pricing application and compensation of DPs:** DRC will be responsible for pricing application and preparing compensation charts for each affected commune/district. These will be subject to verification by the Hai Phong PC and PMU for unit prices, quantity of affected assets, DP entitlements, etc., before they are posted at each commune for the people to review and comment on. All compensation forms must be checked and signed by the DPs to indicate their agreement. Compensation and allowances will be handled at village level under the supervision of representatives of Hai Phong PC, DRCs, TA consultant and PMU. Guidance will be given by TA loan consultant to aid DRCs in making payments to DPs.
- (ix) **Award of civil works contract:** After all DPs have been compensated and relocated in accordance with the approved RP, approval will be given for award of civil works contract for the tranche.
- (x) **Income restoration and social support assistance:** In order to provide adequate economic rehabilitation measures, DPs entitled to rehabilitation assistance will be consulted on rehabilitation options and assisted to participate in the relevant activities.
- (xi) **Monitoring:** Monitoring will start as soon as the RP implementation begins for each tranche. Monitoring will continue throughout the construction period.

14 MONITORING AND REPORTING

Monitoring is the process of regularly measuring progress and achievement of the goals and objectives of the project. Evaluation, on the other hand, is a post implementation assessment of the impact of the project and the extent to which stated objectives have been achieved. As indicated above, no external monitoring agency (EMA) will be hired as the impacts are not significant.

14.1. Monitoring

The HPWSCo PMU, with assistance from resettlement consultants, is responsible for internal monitoring of all aspects related to RP implementation. The PMU has supervised land acquisition and resettlement on other multilateral financed projects. The PMU will oversee the progress in resettlement preparations and implementation and submit monthly progress reports to ADB.

Indicators. The main indicators to be regularly monitored by the PMU are:

- (i) Payment of compensation to DPs at the rates stated in this RP;
- (ii) Delivery of income restoration and social support entitlements;
- (iii) Coordination and completion of resettlement activities by the start of planning of civil works;
- (iv) Project information and consultation to be given to DPs, in accordance with procedures described in this, or the updated, RP;
- (v) Priority of DPs considered and granted to the most reasonable extent possible regarding the options offered;
- (vi) Conformity to grievance redress procedures and resolution of issues requiring management's attention;
- (vii) Rehabilitation of public affected structures.

Staff. HPWSCo has already identified two of their staff members responsible for implementation of resettlement activities. These persons will also be designated for internal monitoring of resettlement implementation. The staff should collect information on progress and results of resettlement implementation every month from the compensation and resettlement committee, relevant district and commune resettlement committees, and various PMU staff assigned to compensation and resettlement activities. Based on this information, the monitoring staff should establish and maintain a database of resettlement monitoring information for each component. This database will be updated every month.

The monitoring staff should monitor in particular—with a dedicated database—those displaced households who have been identified as vulnerable (because of their socioeconomic status or as a result of the project acquiring more than 70% of their land.) The vulnerable households should be monitored for exceptionally close consultation, proper compensation, and high participation and benefits from training program. The participation of vulnerable households as representatives on the compensation and resettlement committees, in focus groups and similar consultative activities, should be ensured. Also to be monitored is the 100% inclusion of the vulnerable households in the SES.

The monitoring staff should submit to the PMU quarterly monitoring reports. The quarterly, internal monitoring reports should be submitted to ADB as part of the PMU's regular quarterly progress report.

The internal reports include the following topics:

- (i) The number of DPs by category of impact, per component, and the status of compensation payment, relocation, income restoration and job training for each category;
- (ii) The status of vulnerable households;
- (iii) The status of fund management and disbursements for all compensation and resettlement activities;
- (iv) The eventual outcome of complaints and grievances and any outstanding issues requiring management or ADB's assistance;
- (v) Implementation problems; and
- (vi) Revised actual resettlement implementation schedule.

Figures 1-b: Proposed Site for Hung Dao WTP



Figures 1-c: Crop Variety at Proposed Hung Dao WTP



Figure 1-d: Example of Potential Secondary Structure Loss



Figure 1-e: Examples of Potential Temporary Structure Loss



15.2. ATTACHMENT 2: FOCUS GROUP DISCUSSION MATERIALS

Table 2-a: Focus Group Plan

| Component | Target group | Objective | Key Stakeholders | Schedule | Materials | Cost |
|-----------|---|---|---|------------|----------------------------|--|
| Hung Dao | Project Affected HHs: General group, vulnerable group, female only group | To confirm and clarify findings from the SES and understand implications of the land acquisition on particular groups, like women and poor households | SA Consultant Commune People's Committee Women's Union Rep. or District representative PMU team leader | March 2011 | Commune People's Committee | <p>\$1,420 (\$95 per group)</p> <p><u>Total Breakdown:</u></p> <p>Facilitator: \$500 (\$50/dayX10 days)</p> <p>PMU: \$140 (\$20X7 days)</p> <p>Pax costs: \$450 (\$3/pax; 150pax)</p> <p>Materials: \$100 (\$13/group)</p> <p>Contingency: \$238</p> <p>15 groups 10 pax per group 7 days of FGDs</p> <p>See above</p> |

Figure 2-a: Focus Group Discussion Facilitator's Guide
(The following guide was amended to suit the specific groups.)

FACILITATOR'S GUIDE
FOCUS GROUP DISCUSSIONS: LAR AFFECTED HOUSEHOLDS
HAI PHONG WATER SUPPLY PROJECT

| | |
|-------------------|---|
| GROUPS | Households affected by construction of Ngu Lao, Kim Son and Hung Dao components |
| BACKGROUND | This Guide can be used with FGDs with households affected by the land acquisition, access road widening/construction, and the larger community affected by the proximity of the ongoing construction on these two sites. |
| OBJECTIVE | To understand the (i) opinions, preferences, and concerns of these households regarding the acquisition of their land for the project, (ii) the economic structure of their households (how much of their income is derived from the land to be acquired), (iii) the potential vulnerability to poverty or hardship as a long-term result of the land acquisitions and to <u>gain local knowledge on</u> (i) environmental characteristics that may affect construction or design of the components (prone to flooding, etc.), (ii) potential problematic areas for land acquisition, road widening, etc. (iii) preferences related to the design of the plant and access roads |
| MATERIALS | White board or flip chart to record their answers so that you can review them later; tape recorder, pencils and paper |

THE PROGRAM

| | |
|----------------------|--|
| WELCOME | <p>Welcome the participants and introduce the organizers (facilitator, project consultant, PMU representative, District People's Committee representative);</p> <p>Explain why they were invited: <i>The HPWSCo is preparing a water supply project for the city and it wants to hear the views of those households who do not currently have a connection to the utility.</i></p> |
| INTRODUCTIONS | Ask participants to introduce themselves and tell a little bit about the establishment they represent |
| DISCUSSION | The following questions should cover water quantity, quality, health, hygiene and environment in order to gain a comprehensive understanding of the household's access to water services. However, these groups must go a step |

further in understanding how the project could negatively impact their lives and explore how the project could be a net benefit to them. They are only to guide discussion, so feel free to also ask your own questions.

BASIC QUESTIONS

1. Prior to the project, were they interested in selling their land?
2. Do they know of other households who have sold their land? If yes, what about their experience makes them either reluctant or encouraged to sell?
3. What is their household's history with the land and farming it (For example, have generations been farming this land? Did they once farm this land full time and now only part time?)
4. How is the farm labor divided among household members and when is it done (i.e. mostly by women? during the day or in the evening after they get home from working elsewhere?)
5. What do they do with the agricultural outputs – sell it in the market, personal consumption, etc?
6. What do they expect of the process in acquiring the land? What process would they hope for?
7. If they could receive additional benefits from the project, aside from just compensation for the land, what would it be?
8. How important is this land to their food security? Do they fear poverty if they do not have this land to farm anymore?
9. If they were compensated for the land tomorrow, what would they spend the money on? Would women in the household have access to some, half or most of the compensation money?

—End—

Table 2-b: Focus Group Discussion Record

| Date | Location | Groups | No. of Participants |
|-------------|-----------------|---|----------------------------|
| 7/3/11 | Hung Dao | All potential displaced people; 3 groups: 1. General group 2. Female only group 3. Vulnerable group (poor) | 15 people in each group |

Figures 2-b: Signatories from Focus Group Discussions

GIẤY BIÊN NHẬN
RECEIPT

DANH SÁCH CÁC ĐẠI BIỂU THAM DỰ CUỘC HỌP ĐOÀN CẤP NHÓM HẢI PHÒNG (ADB)
LIST OF PARTICIPANTS IN FGD – HAIPHONG WATER SUPPLY PROJECT (ADB)


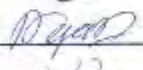
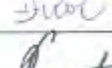

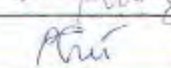

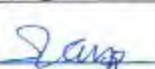

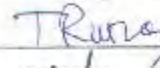
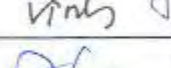
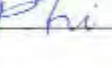

Ngày (Time): 26/10/2012

| No. | Tên (Name) | Đơn vị (Organization/Address) | Chữ ký (Signature) |
|-----|---------------------|-------------------------------|--------------------|
| 1 | Ông Nguyễn Văn Tuấn | Phòng Quản lý Tài nguyên | Nguyễn Văn Tuấn |
| 2 | Ông Nguyễn Văn Tuấn | | Nguyễn Văn Tuấn |
| 3 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |
| 4 | Ông Nguyễn Văn Tuấn | | Nguyễn Văn Tuấn |
| 5 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |
| 6 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |
| 7 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |
| 8 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |
| 9 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |
| 10 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |
| 11 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |
| 12 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |
| 13 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |
| 14 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |
| 15 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |
| 16 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |
| 17 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |
| 18 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |
| 19 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |
| 20 | Bà Nguyễn Thị Ngọc | | Nguyễn Thị Ngọc |

GIẤY BIÊN NHẬN
RECEIPT

DANH SÁCH CÁC ĐẠI BIỂU THAM DỰ CUỘC HỌP-DỰ ÁN CẤP NƯỚC HẢI
PHÒNG (ADB)
LIST OF PARTICIPANTS IN FDG – HAI PHONG WATER SUPPLY PROJECT
(ADB)

Ngày (Time):

| No. | Tên (Name) | Đơn vị (Organization/Address) | Chữ ký (Signature) |
|-----------------------------------|------------------|-------------------------------|---|
| 39 | Ngô Văn Sơn | Kom Mỏ - Thôn Tuấn Mỹ |  |
| 40 | Ngô Văn Ngân | " |  |
| 41 | Đỗ Văn Đức | " |  |
| 42 | Trần Thị Nguyệt | " |  |
| 43 | Trần Minh Phương | " |  |
| 44 | Hà Quang Phú | " |  |
| 45 | Ngô Đức Hải | " |  |
| 46 | Ngô Xuân Táp | " |  |
| 47 | Ngô Xuân Luận | " |  |
| 48 | Đỗ Văn Trường | " |  |
| 49 | Ngô Đức Việt | " |  |
| 50 | Phạm Hồng Phi | " |  |
| <u>Ghi chú:</u> | | | |
| Từ 1 - 19 hộ thu hồi + mất ruộng. | | | |
| Từ 20 - 31 nhà hướng bị thu hồi | | | |
| Từ 32 - 38 hộ nghèo | | | |
| Từ 39 - 50 hộ ở a'li? | | | |

CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM
Độc lập – Tự do – Hạnh phúc

GIẤY XÁC NHẬN

RECEIPT

- Dự án: Hỗ trợ kỹ thuật nâng cấp hệ thống cấp nước thành phố Hải Phòng giai đoạn 2

Project: Hai Phong Water Supply Project

- Nội dung công việc: Điều tra Bảng câu hỏi Xã hội học và Bảng Kiểm kê trưng dụng đất

Contents: Questionnaires of Social Survey and Inventory of Land losses

- Khu vực: Nhà máy nước Hung Đạo, Đồ Sơn

Area: Do Son, Hung Dao WTP

| STT No. | Họ và tên Name | Nhiệm vụ Position | Đơn vị Office | Số ngày Days | Đơn giá Rate | Thành tiền Total | Ký tên Sign |
|------------|-------------------|----------------------|------------------|-----------------|-----------------|---------------------|----------------|
| 1 | Đỗ Thị Yến | | HĐ | 2/3/2011 | | 20.000 | Yến |
| 2 | Trần Thị Huyền | | | 2/3/2011 | | 20.000 | Huyền |
| 3 | Đỗ Thị Học | | HĐ | 2/3/2011 | | 20.000 | Học |
| 4 | Đỗ Thị Quý | | | nt | | 20.000 | Quý |
| 5 | Đỗ Văn Thảo | | | nt | | 20.000 | Thảo |
| 6 | Đỗ Văn Thủy | | HĐ | 2/3 | | 20.000 | Thủy |
| 7 | Đỗ Thị Hoa | | HĐ | 2/3 | | 20.000 | Hoa |
| 8 | Đỗ Thị Hát | | | 2/3 | | 20.000 | Hát |
| 9 | Đỗ Thị Đình | | HĐ | 2/3 | | 20.000 | Đình |
| 10 | Đỗ Thị Thanh | | HĐ | 2/3 | | 20.000 | Thanh |
| 11 | Đỗ Thị Hương | | HĐ | 2-3 | | 20.000 | Hương |
| 12 | Đỗ Thị Phạm | | | 2-3 | | 20.000 | Phạm |
| 13 | Đỗ Thị Loan | | HĐ | 2-3/2011 | | 20.000 | Loan |

260.000
Hải Phòng, 20/03/2011

CÔNG TY CẤP NƯỚC HP

P. TÔI CHẤM ĐÓNG



Trần Việt Cường.

CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM
Độc lập – Tự do – Hạnh phúc

GIẤY XÁC NHẬN

RECEIPT

- Dự án: Hỗ trợ kỹ thuật nâng cấp hệ thống cấp nước thành phố Hải Phòng giai đoạn 2

Project: Hai Phong Water Supply Project

- Nội dung công việc: Điều tra Bảng câu hỏi Xã hội học và Bảng Kiểm kê trưng dụng đất

Contents: Questionnaires of Social Survey and Inventory of Land losses

- Khu vực: Nhà máy nước Hung Dao, Đồ Sơn

Area: Do Son, Hung Dao WTP

| STT No. | Họ và tên Name | Nhiệm vụ Position | Đơn vị Office | Số ngày Days | Đơn giá Rate | Thành tiền Total | Ký tên Sign |
|------------|-------------------|----------------------|------------------|-----------------|-----------------|---------------------|----------------|
| 1 | Vũ Thị Chinh | | | 3/3 | 2.000 | 2.000 | Chinh |
| 2 | Bùi Thị Ngân | | | 3/3 | 20.000 | 20.000 | Ngân |
| 3 | Bùi Thị Ngân | | | 4-3 | | 20.000 | Ngân |
| 4 | Đỗ Văn Cát | | | 3-3 | | 20.000 | Cát |
| 5 | Đỗ Văn Kiên | | | 3/3 | | 20.000 | Kiên |
| 6 | Nguyễn Thị Ngọc | | | 3/3 | | 20.000 | Ngọc |
| 7 | Nguyễn Thị Nguyệt | | | 3/3 | | 20.000 | Nguyệt |
| 8 | Đỗ Văn Tiến | | | 3/3 | | 20.000 | Tiến |
| 9 | Đỗ Văn Tiến | | | 3/3 | | 20.000 | Tiến |
| 10 | Đỗ Văn Tiến | | | 3/3 | | 20.000 | Tiến |
| 11 | Bùi Văn Toàn | | | 2/3 | | 20.000 | Toàn |
| 12 | Đỗ Trung Kiên | | | 2/3 | | 20.000 | Kiên |
| 13 | Đỗ Văn Mực | | | 2/3 | | 20.000 | Mực |

260.000
Hải Phòng, ngày 13/3/2011

CÔNG TY CẤP NƯỚC HP
P. TỔNG CÁN ĐỐC



Trần Việt Cường

CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM
Độc lập – Tự do – Hạnh phúc

GIẤY XÁC NHẬN

RECEIPT

- Dự án: Hỗ trợ kỹ thuật nâng cấp hệ thống cấp nước thành phố Hải Phòng giai đoạn 2

Project: Hai Phong Water Supply Project

- Nội dung công việc: Thảo luận nhóm tập trung

Contents: Focus Group Discussion

- Khu vực: Nhà máy nước Hung Đạo, Đồ Sơn

Area: Do Son, Hung Dao WTP

- Nhóm thảo luận:

Group:

| STT No. | Họ và tên Name | Nhiệm vụ Position | Thành tiền Total | Ký tên Sign |
|------------|-------------------|----------------------|---------------------|----------------|
| 1 | Đỗ Thu Huyền | | 20.000 đ | Emy H |
| 2 | Đỗ Thị Bích | | 20.000 đ | Đ. Bich |
| 3 | Đỗ Thị Hải | | 20.000 đ | Đ. H |
| 4 | Đỗ Văn Phụng | | 20.000 đ | Phung |
| 5 | Bùi Thị Nga | | 20.000 đ | Nga |
| 6 | Đỗ Thị Liên | | 20.000 đ | Liên |
| 7 | Đặng Thị Thanh | | 20.000 đ | Thanh |
| 8 | Trần Thị Chi | | 20.000 đ | Chi |
| 9 | | | 160.000 | |
| 10 | | | | |
| 11 | | | | |
| 12 | | | | |
| 13 | | | | |
| 14 | | | | |
| 15 | | | | |

Hải Phòng, ngày 7 tháng 3 năm 2011

Xác nhận

CÔNG TY CẤP NƯỚC HP
TRÁCH NHIỆM HỖ TRỢ
MỘT THÀNH VIÊN
CẤP NƯỚC
HẢI PHÒNG
TỔNG GIÁM ĐỐC
TRẦN VIỆT CƯỜNG

④

CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM
Độc lập – Tự do – Hạnh phúc

GIẤY XÁC NHẬN

RECEIPT

- Dự án: Hỗ trợ kỹ thuật nâng cấp hệ thống cấp nước thành phố Hải Phòng giai đoạn 2

Project: Hai Phong Water Supply Project

- Nội dung công việc: Thảo luận nhóm tập trung

Contents: Focus Group Discussion

- Khu vực: Nhà máy nước Hung Đạo, Đồ Sơn

Area: Do Son, Hung Dao WTP

- Nhóm thảo luận:

Group:

| STT No. | Họ và tên Name | Nhiệm vụ Position | Thành tiền Total | Ký tên Sign |
|------------|-------------------|----------------------|---------------------|----------------|
| 1 | Trần Thị Giang | | 20.000 | Giang |
| 2 | Đỗ Thị Tuyết | | 20.000 | Tuyết |
| 3 | Đỗ Thị Loan | | 20.000 | Loan |
| 4 | Trần Thị Liên | | 20.000 | Liên |
| 5 | Bùi Thị Ngọc | | 20.000 | Ngọc |
| 6 | Trần Thị Mối | | 20.000 | Mối |
| 7 | Đỗ Thị Quý | | 20.000 | Quý |
| 8 | Nguyễn Thị Hát | | 20.000 | Hát |
| 9 | Trần Thị Nức | | 20.000 | Nức |
| 10 | | | | |
| 11 | | | 180.000 | |
| 12 | | | | |
| 13 | | | | |
| 14 | | | | |
| 15 | | | | |

Hải Phòng, ngày ...7... tháng ...3... năm 2011

Xác nhận

CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM
CỘNG V
TRÁCH NHIỆM
MỘT THÀNH VIÊN
CẤP NƯỚC
HẢI PHÒNG
ĐOÀN BẢNG T. P. HẢI PHÒNG

Giám đốc
Đoàn Việt Cường

5

CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM
Độc lập – Tự do – Hạnh phúc

GIẤY XÁC NHẬN
RECEIPT

- Dự án: Hỗ trợ kỹ thuật nâng cấp hệ thống cấp nước thành phố Hải Phòng giai đoạn 2
Project: Hai Phong Water Supply Project

- Nội dung công việc: Điều tra Bảng câu hỏi Xã hội học và Bảng Kiểm kê trung tâm đất
Contents: Questionnaires of Social Survey and Inventory of Land losses → Focus group discussion (poor group) *af h*

- Khu vực: Nhà máy nước Hung Đạo, Đồ Sơn
Area: Do Son, Hung Dao WTP

| STT No. | Họ và tên Name | Nhiệm vụ Position | Đơn vị Office | Số ngày Days | Đơn giá Rate | Thành tiền Total | Ký tên Sign |
|------------|-------------------|----------------------|------------------|-----------------|-----------------|---------------------|-------------------|
| 1 | Đỗ Văn Bội | | | 7/8/01 | | 20.000 | Bội |
| 2 | Nguyễn Bình Quyết | | | 7/3 | | 20.000 | Nguyễn Bình Quyết |
| 3 | Đỗ Văn Hân | | | 7/3 | | 20.000 | Hân |
| 4 | Đỗ Văn Phúc | | | 7/3 | | 20.000 | Phúc |
| 5 | Bùi Văn Toàn | | | 7/3 | | 20.000 | Toàn |
| 6 | Đỗ Văn Trần | | | 7/3 | | 20.000 | Đỗ Văn Trần |
| 7 | Đỗ Văn Hải | | | 7/3 | | 20.000 | Đỗ Văn Hải |
| 8 | Nguyễn Văn Hải | | | 7/3 | | 20.000 | Hải |
| 9 | Trần Thị Huyền | | | 7/3 | | 20.000 | Huyền |
| 10 | Đỗ Văn Thủy | | | 7/3 | | 20.000 | Thủy |
| 11 | | | | | | | |
| 12 | | | | | | 200.000 | |
| 13 | | | | | | | |

Hải Phòng, ... 7 ... 3 ... 2011

CÔNG TY CẤP NƯỚC HẢI PHÒNG
KT Tổng Giám đốc
PHÓ TỔNG GIÁM ĐỐC

(6)

Viết Cường

CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM
Độc lập – Tự do – Hạnh phúc

GIẤY XÁC NHẬN
RECEIPT

- Dự án: Hỗ trợ kỹ thuật nâng cấp hệ thống cấp nước thành phố Hải Phòng giai đoạn 2
Project: Hai Phong Water Supply Project

- Nội dung công việc: Điều tra Bảng câu hỏi Xã hội học và Bảng Kiểm kê trưng dụng đất
Contents: Questionnaires of Social Survey and Inventory of Land takes (Focus group discussion.)
or CPC.)


- Khu vực: Nhà máy nước Hung Đạo, Đồ Sơn
Area: Do Son, Hung Dao WTP

| STT No. | Họ và tên Name | Nhiệm vụ Position | Đơn vị Office | Số ngày Days | Đơn giá Rate | Thành tiền Total | Ký tên Sign |
|------------|-------------------|----------------------|------------------|-----------------|-----------------|---------------------|----------------|
| 1 | Trần Mai Anh | ĐCT xã | | | | 50.00 | Ans |
| 2 | Trần Văn Hải | Chủ tịch xã | | | | 50.00 | Trần Văn Hải |
| 3 | Đỗ Văn Chấn | Chủ tịch xã | | | | 50.00 | Đỗ Văn Chấn |
| 4 | | | | | | 150.000 | |
| 5 | | | | | | | |
| 6 | | | | | | | |
| 7 | | | | | | | |
| 8 | | | | | | | |
| 9 | | | | | | | |
| 10 | | | | | | | |
| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | | | | | | | |

Hải Phòng, 8/1/2011

CÔNG TY CẤP NƯỚC HẢI PHÒNG
P. TỔNG GIÁM ĐỐC sh

(7)


 Việt Cường

CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM
Độc lập – Tự do – Hạnh phúc

GIẤY XÁC NHẬN
RECEIPT

- Dự án: Hỗ trợ kỹ thuật nâng cấp hệ thống cấp nước thành phố Hải Phòng giai đoạn 2
Project: Hai Phong Water Supply Project

- Nội dung công việc: Điều tra Bảng câu hỏi Xã hội học và Bảng Kiểm kê trung dụng đất
Contents: Questionnaires of Social Survey and Inventory of Land losses

- Khu vực: Nhà máy nước Hung Đạo, Đồ Sơn
Area: Du Son, Hung Dao WTP

(Village Leaders, Community
and driver of company)

| STT No. | Họ và tên Name | Nhiệm vụ Position | Đơn vị Office | Số ngày Days | Đơn giá Rate | Thành tiền Total | Ký tên Sign |
|------------|-------------------|----------------------|------------------|-----------------|-----------------|---------------------|--------------------|
| 1 | Đỗ Tuấn Kỳ | Commune | | 2/3 | 25/ | 50.000 | <i>[Signature]</i> |
| 2 | Đỗ Tuấn Kỳ | Village Leader | | 2/3 | | 50.000 | <i>[Signature]</i> |
| 3 | Đỗ Tuấn Kỳ | Village Staff | | 3/3 | | 30.000 | <i>[Signature]</i> |
| 4 | Hoàng Thị Bé | Cán bộ thôn | | 2/3 | 50.000 | 100.000 | <i>[Signature]</i> |
| 5 | Đỗ Văn Đức | Cán bộ thôn | | 2/3 | 50.000 | 100.000 | <i>[Signature]</i> |
| 6 | Đỗ Thị Hằng | Cán bộ thôn | | 2/3 | 50.000 | 100.000 | <i>[Signature]</i> |
| 7 | Đỗ Tuấn Kỳ | Cán bộ thôn | | 4/3 | | 50.000 | <i>[Signature]</i> |
| 8 | Đỗ Tuấn Kỳ | Cán bộ thôn | | 3/3 | | 50.000 | <i>[Signature]</i> |
| 9 | Bác sĩ Vũ | lái xe | Cty | 4 days | 50.000 | 200.000 | <i>[Signature]</i> |
| 10 | | | | | | 730.000 | |
| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | | | | | | | |

Hải Phòng, 2/3/2011
CÔNG TY CẤP NƯỚC HP
P. Tổng Giám đốc *[Signature]*

(8)

Grân Việt Cường

Figures 2-c: Photos from Focus Group Discussions



Figures 2-c: Photos from Focus Group Discussions



15.3 ATTACHMENT 3: SOCIOECONOMIC SURVEY QUESTIONNAIRE

Socio-Economic Survey Data Form

Name of Surveyor: _____

Date: / /

Time start: _____

Time
finish: _____

0 – Location Data

The information obtained from this survey will be used for the stated purpose of preparing the social and poverty assessment for the Asian Development Bank-funded Hai Phong Water Supply Project. The information from the survey will not be used in any way that will disclose the identity of any individual. The information will be published to represent the population in the project area.

- 0.1** District _____
- 0.2** Ward _____
- 0.3** Component location:
[1] An Duong
[2] Do Son
[3] Kim Son
[4] Ngu Lao
[5] Pipeline/ROW
[6] Other: _____
- 0.4** Is the location of this household urban or rural?
[1] Urban; [2] Peri-urban; [3] rural
- 0.5** Is the household located near an all-year accessible road? (Y=Yes, N=No)

HOUSEHOLD HEAD should ideally participate in the survey. If the RESPONDENT is NOT the household head, it should be the SPOUSE of the household head. Ideally, an adult female within the household should participate if she is not the household head. For any questions to which there is no response put [–], for questions that are not relevant put [–]. There should be an entry in each blank cell.

1 – Household Head Data

- 1.0** Name of respondent: _____
- 1.1** Is the RESPONDENT the HOUSEHOLD HEAD? (Y=Yes, N=No)

- 1.2** What is the gender of the RESPONDENT? (M = male, F = female)
- 1.3** What is the marital status of the RESPONDENT?
[0] Not married; [1] Married; [2] Separated; [3] Divorced; [4] Widowed
- 1.4** What is the age of the RESPONDENT?
[1] 20 to 30 years old; [2] 31 to 45 years old; [3] 46 to 60 years old; [4] 61 to 75 years old; [5] 76+ years old
- 1.5** What national group does the RESPONDENT belong to?
[1] Vietnamese; [2] Chinese; [3] Laotian; [4] other ethnic group, specify below
Specify: _____
- 1.6** What is language is normally spoken at home?
[1] Vietnamese; [2] Local dialects; [3] Both; [4] Other, specify below
Specify: _____
- 1.7** If the answer to **1.6** is [2] or [3], how fluent do you think the Vietnamese of the household head is?
[1] Fluent; [2] Average; [3] Barely intelligible; [4] Not intelligible
- 1.8** Does the household head regularly work for wages or salary? (Y=Yes, N=No)
- 1.9** What is the occupation of the household held?
[1] Agriculture or fishing; [2] (Semi-)Government employee/Retired; [3] Own business; [4] Private employee; [5] Does not work; [6] Migrates for work; [7] Other
- 1.10** What is the education of the household head?
[0] None; [1] Some primary; [2] Completed primary; [3] Some secondary/junior school; [4] Completed secondary/junior school; [5] Tertiary (including university, vocational, business teachers training college)
- 1.11** Is the household head literate in Vietnamese and/or local dialects (i.e. can they read and write)? (Y=Yes, N=No)
- | | |
|--------|----------------|
| 1.11.1 | Vietnamese |
| 1.11.2 | Local dialects |
- 1.12** Is the RESPONDENT, if not the household head, literate in Vietnamese and/or local dialects (i.e. can they read and write)? (Y=Yes, N=No)
- | | |
|--------|----------------|
| 1.12.1 | Vietnamese |
| 1.12.2 | Local dialects |

2 – Total Household Data

old" means a household of people living in a dwelling who usually prepare and/or eat their meals together.

2.1 Mow many people are in your household?

2.1.1

Number of Males

2.1.2

Number of Females

2.2 How many household members are in the following age groups?

Number of males

2.2.1

< 4 years old

M.2.2.1

F.2.2.1

2.2.2

5 – 18 years old

M.2.2.2

F.2.2.2

2.2.3

19 – 64 years old

M.2.2.3

F.2.2.3

2.2.4

> 65 years old

M.2.2.4

F.2.2.4

2.3 How many household members aged between 5 and 18 years old regularly attend school?

2.3.1

Number of Males

2.3.2

Number of Females

2.4 How many people in your household regularly work for wages or salary?

2.4.1

Number of Males

2.4.2

Number of Females

2.5 On average how many hours per day do people (by age group) from your household engage in non-paid work or chores?

Males – hours/day

| | | | | | |
|------------|--|--|---------|--|---------|
| | 2.5.1 | 5 – 18 years old | M.2.6.1 | | F.2.6.1 |
| | 2.5.2 | 19 – 64 years old | M.2.6.2 | | F.2.6.2 |
| | 2.5.3 | > 65 years old | M.2.6.3 | | F.2.6.3 |
| 2.6 | In the past week, on average, how many meals per day has your family eaten? | | | | |
| 2.7 | In the past <u>six months</u> has your household, or any members of your household, had to do any of the following; answer as many as are relevant. (Y=Yes, N=No) | | | | |
| | 2.7.1 | Shift to cheaper foods | | | |
| | 2.7.2 | Switched from rice to corn or other food | | | |
| | 2.7.3 | Eat less meat or vegetables | | | |
| | 2.7.4 | Eat fewer meals per day | | | |
| | 2.7.5 | Eat meals of smaller portions | | | |
| | 2.7.6 | Borrow money | | | |
| | 2.7.7 | Sell livestock or household assets | | | |
| | 2.7.8 | Ask more household members to work | | | |
| | 2.7.9 | Keep children from school because they lack books etc | | | |
| | 2.7.10 | Keep children from school because they lack suitable clothes | | | |
| | 2.7.11 | Accept gifts of food or money from friends or relatives | | | |
| | 2.7.12 | Get food aid from NGOs or others | | | |
| | 2.7.13 | Send children to live with relatives who are better off | | | |
| | 2.7.14 | Migrate to another place | | | |
| | 2.7.15 | Migrate to another place outside | | | |
| 2.8 | If your answer to 2.7 includes 2.7.11 or 2.7.12 (receiving gifts of food or money or getting food aid), how often does your household receive gifts of food or money or get food aid? [1] Every week; [2] Every month; [3] Maybe 4 or 5 times per year; [3] Maybe 2 or 3 times per year; [4] Rarely; [5] Only for special occasions or for celebrations | | | | |

3 – Income and Expenditure

3.1 How many sources of income (by type) does your household have?

- 3.1.1 Wages or salary
- 3.1.2 Money earned from agriculture/fishing or forestry (selling goods)
- 3.1.3 Pension or other money received from government
- 3.1.4 Remittances from relatives or friends
- 3.1.5 Rental income
- 3.1.6 Pension or government assistance
- 3.1.7 Other, specify _____

3.2 Please provide the average expenses of your household for **last month** for the following:

- 3.2.1 Food & beverage (excluding alcohol)
- 3.2.2 School and/or medical expenses
- 3.2.3 Celebrations (weddings, death commemorations etc)
- 3.2.4 Religious obligations
- 3.2.5 Transport – fuel for car & motorbike
- 3.2.6 Transport – taxi and bus fare
- 3.2.7 Entertainment (going out, DVD, friends gathering etc)
- 3.2.8 Paying back credit or loan or other debt
- 3.2.9 Housing expenses, including rent
- 3.2.10 Cigarettes/tobacco and/or alcohol
- 3.2.11 Other, specify _____

3.3 If the respondent is engaged in agricultural activity (either as a land owner or share cropper), complete the following expense-related table:

| | Operational Expense Item | Cost of Input (VND) |
|-------|--------------------------|---------------------|
| 3.3.1 | Chemical Fertilizer | |
| 3.3.2 | Seeds | |
| 3.3.3 | Pesticide | |
| 3.3.4 | Animal husbandry | |
| 3.3.5 | Equipment | |

| | | |
|---------------|--------------------------------------|--|
| 3.3.6 | Facilities | |
| 3.3.7 | Labor | |
| 3.3.8 | Taxes | |
| 3.3.9 | Other: | |
| 3.3.10 | | |
| 3.3.11 | Total Operational Expenditure | |

- 3.4** Does your household take loans in cash or kind? (Y=Yes, N=No)
- 3.5** If answer to **3.4** is yes, how often does (or has) your household take loans?
[1] Every 2 years; [2] Every year; [3] Every 6 months; [4] Every quarter (i.e. every 3 months); [5] More frequently than every 3 months
- 3.6** If answer to **3.4** is yes, from which sources has you household obtained a loan or credit? (Y=Yes, N=No)
- | | |
|-------|---|
| 3.6.1 | Commercial bank |
| 3.6.2 | Agricultural or development bank |
| 3.6.4 | Other formal organization (including micro credit/NGOs) |
| 3.6.5 | Local money lender |
| 3.6.6 | Relatives or friends |
| 3.6.7 | Other, specify _____ |
- 3.7** If answer to **3.4** is yes, what are the main reasons for obtaining a loan or credit? Answer as many as are relevant. (Y=Yes, N=No)
- | | |
|-------|--|
| 3.7.1 | To finance a celebration or special event |
| 3.7.2 | To pay for school or medical expenses |
| 3.7.3 | To pay another debt |
| 3.7.4 | To assist when the household lacks food |
| 3.7.5 | To purchase seeds or agricultural supplies |
| 3.7.6 | To purchase livestock or livestock feed |
| 3.7.7 | Other, specify below |
| | Specify: _____ |
- 3.8** In the past 12 months has your household lacked sufficient staple food? (Y=Yes, N=No)
- 3.9** In the past 12 months has your household not been able to provide itself with essential non-food items (such as fuel, clothes, education or medical expenses etc)? (Y=Yes, N=No)
- 3.10** To what extent are you concerned that your household will not be able to provide itself with the basic food and non-food necessities in the next 12 months?
[1] Very concerned; [2] Concerned; [3] do not think about it; [4] Rather unconcerned; [5] Not at all concerned

4 – Ownership of Assets

- 4.1 Does your household own any of the following ELECTRICAL APPLIANCES? (Y=Yes, N=No)
- | | |
|--------|--------------------|
| 4.1.1 | TV |
| 4.1.2 | DVD player |
| 4.1.3 | Stereo/CD player |
| 4.1.4 | Washing machine |
| 4.1.5 | Sewing machine |
| 4.1.6 | Stove |
| 4.1.7 | Refrigerator |
| 4.1.8 | Heater |
| 4.1.9 | Air conditioner |
| 4.1.10 | Rice cooker |
| 4.1.11 | Computer or laptop |
- 4.2 Tenurial status of the house:
[1] Own [2] Rent [3] Other
- 4.3 What is the main type of construction of the housing unit?
[1] Concrete [2] Wood [3] Tin-shed [4] Others
- 4.4 Rental value of the dwelling per month
- 4.5 Does your housing unit have any of the following services? (Y=Yes, N=No)
- | | |
|-------|---|
| 4.6.1 | National grid electricity |
| 4.6.2 | Other electricity (i.e. generator or micro-hydro) |
| 4.6.3 | Piped water supply |
| 4.6.4 | Private well |
| 4.6.5 | Sanitation |
| 4.6.6 | Telephone |
- 4.6 How many taps are installed in your house
- 4.7 If your household has taps installed, how many are installed in:
- | | |
|-------|---------------------------------|
| 4.7.1 | Kitchen |
| 4.7.2 | Bathroom for shower and laundry |
| 4.7.3 | Toilet |
| 4.7.4 | Outside the house |

4.8

What is the tenure of your residential/homestead land?

[1] Have title or ownership documents; [2] Lease or rent; [3] Have an agreement with the owner or local authority to use it; [4] do not own it, do not have an agreement with owner, do not lease it but use it (squat/non-titled); [5] Other

4.9

What type of water storage do you have, what is its total volume and how much was the installation cost?

| | Type | Liters/Gal | Installation Cost |
|-------|------------------|------------|-------------------|
| 4.9.1 | Overhead tank | | |
| 4.9.2 | Underground tank | | |
| 4.9.3 | Drum | | |
| 4.9.4 | Bucket/vessel | | |
| 4.9.5 | Others | | |
| 4.9.6 | None | | |

5– Water Supply

What is the MAIN source of drinking water for your household? *(For wet and dry season)*

- (1) Piped water provided by HPWSCO
- (2) Small piped water supply system independent of HPWSCO
- (3) community deep well
- (4) rainwater collected in own tanks
- (5) own shallow dug well
- (6) Own deep well
- (7) Water vendor
- (8) Free ration
- (9) Other, specify:

If you already have a connection to HPWSCO, what were the two most important reasons for getting a connection (check)

- 5.1.1 Convenience
- 5.1.2 Health
- 5.1.3 Modernization
- 5.1.4 Alternative source is not sufficient
- 5.1.5 Cheaper
- 5.1.6 Other

If you have a connection, how would you rate your experience in getting connected?

- (1) Fairly quick and easy
- (2) Moderately simple process
- (3) Difficult and frustrating

If you answered “difficult” to question 5.2, what made it difficult? (Check all that apply)

- 5.3.1 High connection fee
- 5.3.2 Terms of payment for connection fee (i.e. lump sum)
- 5.3.3 Poor quality of customer service
- 5.3.4 Lengthy waiting period for connection
- 5.3.5 Other, specify:

What is your average monthly expense for water?

Are your water expenses affordable? (Yes=1, No=2)

Do you sell water to others, e.g. neighbors?

If yes, how many cubic meters per month and where does it come from?

5. 7.1 Where does the water you sell come from? [1] connection to HPWSCo, [2] private well, [3] natural source, [4] other, specify_____

If connected to HPWSCo, how many persons outside your household use water delivered through your connection?

Describe your water availability

- (1) Sufficient all year
- (2) Insufficient during dry season
- (3) Sometimes insufficient
- (4) Insufficient mostly

5.10 Does your household experience any of the following with your water source? (y=yes, n=no)

- 5.10.1 Not enough water is available to my household
- 5.10.2 The water source is too far away from my house
- 5.10.3 The waiting line at the water source is too long
- 5.10.4 The water source is not protected and contamination is possible
- 5.10.5 The water quality is not good enough
- 5.10.6 The water pressure is too low
- 5.10.7 Nobody cleans the area around the water source

| Wet | Dry |
|-----|-----|
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If your household does not have enough water from your primary source, complete the following table related to secondary sources.

Rehabilitating and Upgrading Project of Haiphong Water Supply System – Stage II:
Final Resettlement Plan for Hung Dao WTP

| Sources | Distance to Source (m or km) | Who collects* | Collecting Time (min/day) | Days Used/Wk. | Mos. Used/Year | Weekly Cost | Installation Cost |
|----------------------------|------------------------------|---------------|---------------------------|---------------|----------------|-------------|-------------------|
| Local, small piped network | | | | | | | |
| Community deep well | | | | | | | |
| Rainwater collected | | | | | | | |
| Own shallow well | | | | | | | |
| Own deep well | | | | | | | |
| Water vendor | | | | | | | |
| Free ration | | | | | | | |

* [1] adult male, [2] adult female, [3] male child > 16 yrs old, [4] female child > 16 yrs. Old

2 Water uses from primary and secondary sources, and is it enough?

| Water Use | HPWSCo | Local, Small Piped Network | Community deep well | Own shallow/dug well | Own deep well | Vendor | Free, rationed source | Natural source (river) | Enough? (Y/N) |
|----------------|--------|----------------------------|---------------------|----------------------|---------------|--------|-----------------------|------------------------|---------------|
| Drinking | | | | | | | | | |
| Bathing | | | | | | | | | |
| Cooking | | | | | | | | | |
| Washing dishes | | | | | | | | | |
| Laundry | | | | | | | | | |
| Gardening | | | | | | | | | |
| Cleaning house | | | | | | | | | |
| Drinking | | | | | | | | | |
| Bathing | | | | | | | | | |

3 What are your household priorities for water usage? (rank 1-7, with 1 being most important)

- 5.13.1 Drinking
- 5.13.2 Laundry
- 5.13.3 Gardening
- 5.13.4 Bathing
- 5.13.5 Toilet/latrine
- 5.13.6 Cleaning house and other places
- 5.13.7 Cooking
- 5.13.8 Other, specify:

| Wet | Dry |
|-----|-----|
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4 What water quality issues do you experience?

- 5.14.1 Bad smell
- 5.14.2 Bad taste

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- 5.14.3 Rusty
- 5.14.4 Too hard for washing laundry and dishes
- 5.14.5 Floating particles
- 5.14.6 Settled particles
- 5.14.7 Causes illness

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5 How many household members have been sick with the following diseases or symptoms in the last year?

- 5.15.1 Diarrhea
- 5.15.2 gastro-enteritis
- 5.15.3 sore eyes
- 5.15.4 eye disease
- 5.15.5 Dengue fever
- 5.15.6 Cholera
- 5.15.7 Malaria
- 5.15.8 gynecological (female disease)

| M | F | Child < 5 | |
|---|---|-----------|---|
| | | M | F |
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6 Have any of the above incidences of illness caused:

- 5.15.1 Serious financial strain from costs of medical treatment
- 5.15.2 Serious financial strain from lost work
- 5.15.3 Prolonged absence of a child from school
- 5.15.4 Required a loan to pay for treatment or missed work

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7 Who takes care of family members when they are sick from water-related illness?

[1] Male family member, [2] Female family member, [3] male child, [4] female child

- 5.17.1 How many days a month, on average, does that caregiver miss work due to taking care of sick family members?
- 5.17.2 How many days a month are family members absent from work as a result of water-related illness

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8 Do you think the quality of your water sources is:

- Always safe
- Generally safe
- Polluted
- I don't know

| | Wet | Dry |
|--|-----|-----|
| | | |

9 How do you treat water

- (1) Boil and filter

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| |
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- (2) Boil
- (3) Filter
- (4) Others
- (5) None

0 If you boil your water, how long do you boil your water

- (1) 5 minutes or less
- (2) 5-10 minutes
- (3) 10-15 minutes
- (4) 15-20 minutes

1 Do you purchase additional water for the sole purpose of drinking? (y=yes, n=no)

5.21.1 If yes, how much do you pay weekly?

Note: Ask the remaining questions of both male and female household heads if both are present for survey.

2 If you already have a connection to HPWSC, how much more would you be willing to pay for improved water services?

- 5.22.1 None, I am not willing to pay more
- 5.22.2 5%–10% more than my average billing (if yes, ask next level)
- 5.22.3 25% more than my average billing (if yes, ask next level)
- 5.22.4 50% more than my average billing (if yes, ask next level)
- 5.22.5 75%–100% of my average billing (if yes, ask next level)

3 If you already have a connection to HPWSC and are willing to pay more for improved services, prioritize the following improvements:

- 5.23.1 Better water quality
- 5.23.2 More available water
- 5.23.3 Improved customer service
- 5.23.4 Additional sanitation and wastewater services
- 5.23.5 Other
- 5.23.6

Specify: _____

5.24 If you do not have a connection to HPWSCo, what is the MAIN reason for not having in-house connection:

- (1) Connection fee too high
- (2) Monthly charges too high
- (3) Connection is not available
- (4) Present arrangement satisfactory
- (5) Rented house
- (6) Waiting list

| Male | Female |
|------|--------|
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Male

Female

(7) Other, specify:

5.25 If you want an in-house connection, how much more would you be willing to spend to have it (for connection fee, material, and labor)

Male Female

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5.26 How would you prefer to pay for the connection charge?

Male Female

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Male Female

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5.27 What are the two most important reasons for getting a connection (check)

- (1) Convenience
- (2) Health
- (3) Modernization
- (4) Alternative source is not sufficient
- (5) Cheaper
- (6) Other

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5.28 If a water supply credit fund was established in your village, who should manage the fund?

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6—Sanitation

1 Type of sanitation facility:

- (1) Flush toilet
- (2) Pour toilet
- (3) Pit latrine
- (4) Other, specify:
- (5) None, specify:

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6.2

If you have a flush or pour toilet, is it/are they connected to: (choose 1, 2, 3, or 4 from below)

(1) Septic tank, specify if it is

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6.2.1 (a) One chamber not floored, leaches on site.

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6.2.2 (b) Totally sealed, specify whether:

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6.2.3 (i) Connected to sewerage system

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6.2.4 (ii) Connected to drainage system

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6.2.5 (iii) Connected to soak away pit

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(2) Direct to drainage system, specify whether through:

6.2.6 (a) Underground/covered drains

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6.2.7 (b) Open drains/lined canals

6.2.8 (c) Earth ditch

(3) Direct to sewage system

(4) Direct to water body

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3 If you have a septic tank(s), how long have you had:

(1) < 1 year

(2) 1–2 years

(3) 3–5 years

(4) > 5 years

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4 If you have had a septic tank for 3 years or more, have you had it desludged?

6.4.1 (1) Yes, specify how many times

6.4.2 (2) No, because:

6.4.3 Not aware it must be desludged.

6.4.4 Are aware but don't know when it should be desludged.

6.4.5 Do not know who to contact and cost of service.

6.4.6 Desludging service is too costly.

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5 If you have toilet(s) and are using own dug well, how far is your toilet from your well?

(1) Within 3 meters

(2) Between 3–5 meters

(3) Between 5–10 meters

(4) More than 10 meters

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6 Is your residential area flood prone?

(1) No

(2) Only during typhoons

(3) During heavy rains (not necessarily brought by typhoons)

(4) Yes, with high tide

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7 Is there water kept near the sanitation facility for washing your hands? (Y=yes, N=no)

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8 Do you keep soap available near the sanitation facility for washing your hands (Y=yes, N=no)

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9 Describe the type of illnesses in your household or community that you think are related to poor sanitation?

7 – Community Infrastructure & Services

7.1 Are any of the following facilities available in your residential area (ward)? (Y=Yes, N=No)

- 7.1.1 Market
- 7.1.2 Public toilet
- 7.1.3 Public well or hand pump
- 7.1.4 Health centre
- 7.1.5 Primary school
- 7.1.6 Lower secondary school
- 7.1.7 Upper secondary school

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7.2 From your house, what is the distance (in km) to the **closest** of the following facilities?

- 7.2.1 Market
- 7.2.2 Public toilet
- 7.2.3 Public well or hand pump
- 7.2.4 Health centre
- 7.2.5 Primary school
- 7.2.6 Lower secondary school
- 7.2.7 Upper secondary school

km

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7.3 Mode of transport: [1] Walk; [2] Bicycle; [3] Motorbike; [4] Car; [5] Bus; [6] Taxi; [7] Other

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7.4 In your village, are the roads to the following facilities paved or unpaved? (U=Unpaved, P=Paved)

- 7.4.1 Market
- 7.4.2 Health centre
- 7.4.3 Primary school
- 7.4.4 Lower secondary school
- 7.4.5 Upper secondary school
- 7.4.6 Closest commune road
- 7.4.7 Closest district road

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7.5 Are any of the following services available in your village? (Y=Yes, N=No)

- 7.6.1 National grid electricity
- 7.6.2 Piped water supply
- 7.6.3 Piped sewerage (wastewater collection)
- 7.6.4 Sanitation (including community septic tanks or soakage pits)
- 7.6.5 Solid waste collection
- 7.6.6 Irrigation

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7.12 Would your household be willing to pay/contribute more if the following facilities were IMPROVED? (Y=Yes, N=No)

Rehabilitating and Upgrading Project of Haiphong Water Supply System – Stage II:
Final Resettlement Plan for Hung Dao WTP

- 7.12.1 Roads
- 7.12.2 School
- 7.12.3 Health center
- 7.12.4 Water supply
- 7.12.5 Sanitation

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7.13 Up to how much more than you pay/contribute now would your household be willing to pay for IMPROVED services?
[0] We do not currently pay/contribute anything and are not prepared to pay/contribute; [1] No more than we currently pay/contribute; [2] Up to 25% more; [3] Up to 50% more; [4] Between 50% and 75% more

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8—Gender

8.1 What activities were women actually involved in during planning, construction and operation of community infrastructure? (Y=Yes, N=No)

- 8.1.1 Facilities planning (e.g., location of facilities)
- 8.1.2 Construction (as laborers)
- 8.1.3 Providing food for construction workers
- 8.1.4 Collecting and managing community contributions for construction
- 8.1.5 Collecting and managing use fees
- 8.1.6 Undertaking maintenance works
- 8.1.7 Operation and maintenance management (organizing people)
- 8.1.8 Other, specify below
Specify:

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8.2 Who in the family does the following: (*M=male, F=female, B=both*)

- 8.1.1 Collects and stores water from outside the house
- 8.1.2 Builds the wells and sanitation facilities
- 8.1.3 Teaches the children about hygiene
- 8.1.4 Cleans the sanitation facilities
- 8.1.5 Pays water and sanitation fees
- 8.1.6 Feeds and bathes children
- 8.1.7 Maintains well and pump
- 8.1.8 Makes decisions in case of sick child
- 8.1.9 Makes decisions about design and purchase of water and sanitation fixtures
- 8.1.10 Participates in community activities to improve sanitation and health
- 8.1.11 Earns the highest income in the household

| | M | F | B |
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9—Priorities

9.1 What is the most important priority for your family:

- 9.1.1 Enough food to survive
- 9.1.2 Health care for the family

| | M | F |
|--|---|---|
| | | |
| | | |

- 9.1.3 More employment and income
- 9.1.4 Education for children
- 9.1.5 Better housing
- 9.1.6 Enough water
- 9.1.7 Training on environmental awareness
- 9.1.8 Safe water and sanitation
- 9.1.9 Other, specify:

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9.2 What environmental problem bothers you the most:

- (1) Air pollution
- (2) Noise
- (3) Water quality
- (4) Water quantity
- (5) Dust
- (6) Bad smell
- (7) Other, specify:

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9.3 What is the most important priority for your ward?

- (1) Improve roads and streets
- (2) Improve water quality and quantity and overall service
- (3) Better housing
- (4) Better sanitation and environmental conditions
- (5) Access to markets
- (6) Protection from flooding
- (7) Improve drainage
- (8) Other, specify:

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10—Project Awareness

10.1 Are you aware of the proposed project (y=yes, n=no)

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10.2 Do you welcome the upgrade or extension of HPWSCO system?

- 10.2.1 (1) Yes, please explain:
- 10.2.2 (2) No, please explain:

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10.3 Are you willing to participate in community monitoring of the project? (y=yes, n=no)

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This is the end of the survey, thank you very much for your time and cooperation.

ATTACHMENT 4: STAKEHOLDER TABLE

| | Stakeholder Groups | Stakeholder's Interest* | Role in Project | Development Opportunities/Social Interventions** |
|--------------------------|--|--|---|---|
| Government | National level— (MoC; MoF; MPI, MORE) | Effective, efficiently implemented project that attracts more investments in Hai Phong & improves living standards | Manage investment, financing | |
| | District People's Committee; Compensation & Resettlement Unit; HP City People's Committee, DoC; DoF; DPI, DORE | District economic and social development, better living standards | Assist in implementation | <ul style="list-style-type: none"> • CB (safeguard policy training) • Knowledge sharing (i.e. SES data findings) |
| | Ward People's Committee | District economic and social development, better living standards | Assist in implementation | <ul style="list-style-type: none"> • Knowledge sharing (i.e. SES data findings) |
| | Women's Union | Interests of women—economic & social development, protection | Assist in implementation | <ul style="list-style-type: none"> • Knowledge sharing (i.e. SES data findings) • Participation and CB for female consultations |
| Project | Executing Agency: HPWSCo— PMU, human resource unit, public relations unit | Improved service delivery, expanded coverage, improved operations | Implementation, internal monitoring | <ul style="list-style-type: none"> • CB • Gender development |
| | ADB (secondary) | Project contributes to socio-economic development & growth in Hai Phong, spurs more investments | Financing, monitoring for compliance | |
| | Consultants (secondary) | Efficient, on-time implementation | Assist EA in implementation | |
| Do Son Component | HH/businesses along transmission main & pipeline route | Improved supply/services; Quick, minimally-disruptive construction | Potential beneficiaries, affected by temporary road works | Consultation on design, participatory monitoring during pipe laying |
| | 20,000 newly connected HHs | Connection | Direct, primary beneficiaries | Consultation on design; participatory monitoring of pipe laying; Education, Information & Awareness |
| | General beneficiary population with existing connection | Improved supply/services | Beneficiaries | Education, Information & Awareness |
| | Tourism industry & official Do Son Tourism Association | Improved supply/services | Beneficiaries | Improved business development |
| Private Suppliers | Private piped water suppliers | Investments not affected by network expansion; do not lose their market | Continue to provide interim supply | C&P, TBD |

15.5. ATTACHMENT 5: RECORD OF COMMUNICATION AND PARTICIPATION

| Stakeholder | Role in the Project | Description of Consultation & Participation |
|--|---|---|
| Hai Phong City Committee (equivalent to PPC) | Approval of compensation rates | The EA is directly communicating with the Hai Phong City Committee (equivalent to a PPC) regarding land acquisition amounts, compensation rates, and overall project progress. |
| District Compensation & Resettlement Unit | This unit will serve an administrative role in processing the compensation payment | District unit was visited and informal interviews conducted with unit heads to understand their processes. |
| District Officials | Project implementation support; Participation in Compensation and Resettlement Committees; form a critical layer in the Grievance Redressal Process | <p>The District People's Committee assisted in the identification of land for the WTP sites.</p> <p>The district chairman, vice chairman and specialized unit heads (e.g. for health and social programs) have been consulted at various milestones in the project preparation; key informant interviews were conducted to gather secondary socioeconomic data, identifying community awareness needs and current programs.</p> |
| Commune Officials | Project implementation support; participation in Compensation and Resettlement Committees | The project met with various commune officials at the start of the SES to brief them on the project, gather secondary data in informal interviews, and seek their support in the social analysis. The district and commune officials assisted in the census/IOL, the SES, FGDs and community meetings, and identification of vulnerable and poor households. |
| Village heads | Project implementation support, e.g., information dissemination, organizing consultations, assisting in census updates; participation in Compensation and Resettlement Committees; | Village heads were briefed on the project in the early stages of the project preparation and consulted with in key informant interviews on the socio-economic and environmental situation of the communities. Village heads also assisting in coordinated the socio-economic surveys, focus group discussions, and community meetings. They also assisted PMU staff and consultants during various site visits and random interviews. |
| Mass Organizations | Project implementation support, e.g., the women's unions' support is needed for involving women in the information cycle and decision making process, as well as in identifying vulnerable female households and assisting women in the livelihood transition programs. The support of farmers' unions is needed at various steps of the land-for-land compensation process (identification of land, verification of its suitability, etc.) as well as assisting in the extension | Women's Union Representatives at commune and village level were consulted in key informant interviews, which focused on existing forms of support to women, local health programs, their experience with resettlement projects, their experience and interest in implementing and monitoring information, education and communication activities, as well as livelihood programs. |

Rehabilitating and Upgrading Project of Haiphong Water Supply System – Stage II:
Final Resettlement Plan for Hung Dao WTP

| | | |
|--|--|---|
| | training of farmers to improve the productivity on their remaining land. | |
| Expected Beneficiaries | Businesses and households who will benefit from either improved services | Site visits and random interviews, SES, focus group discussions, community meetings, dissemination via |
| Expected Households Affected by Land Acquisition | Agreeable sale of their land for construction of the respective WTPs | DPs have learned about the project in both systematic and informal ways. Numerous site visits by the PMU, engineers and consultants have increased awareness of a pending project. Informal interviews with residents and small business owners conducted during the site visits contributed to informing sharing. Systematic communication about the project, with opportunities to answer DP questions, include the conduct of the census/IOL, the SES of nearly 100% of DPs, FGDs, and community meetings. Information has also been disseminated throughout the communities following meetings between the project and village heads. |

15.6. ATTACHMENT 6: PROJECT INFORMATION BOOKLET

(See separate published booklet.)

Rehabilitating and Upgrading Project of Haiphong Water Supply System – Stage II:
Final Resettlement Plan for Hung Dao WTP

| | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|-------|---------------------------------|---|-------|-------|--------|-------|------|--------|-----------|--------------|----------|-----|---|---|---|----|--------------|----------|---|---|---------------|-------------|-------------|------------|------------|---------------|-------------|-------|
| 49 | Non-volatile Variable Yes | 3 | 12540 | 690 | 13,200 | 690 | 5.0% | - | 12,540.00 | Non-volatile | Variable | yes | 1 | 0 | 0 | 0 | Partial Loss | Not Paid | 1 | 0 | No | 40,560,000 | - | - | - | - | 40,560,000 | 3,204 |
| 50 | | 3 | 5787 | 179 | 5,998 | 179 | 3.0% | - | 5,787.00 | Non-volatile | Variable | yes | 1 | 0 | 0 | 0 | Partial Loss | Not Paid | 1 | 0 | No | 11,814,000 | - | - | - | - | 11,814,000 | 806 |
| 51 | | 3 | 31447 | 3,361 | 33,814 | 3,361 | 7.0% | - | 31,447.00 | Non-volatile | Variable | yes | 1 | 0 | 0 | 0 | Partial Loss | Not Paid | 1 | 0 | No | 156,222,000 | - | - | - | - | 156,222,000 | 8,011 |
| 52 | | 3 | 9295 | 708 | 6,986 | 814 | 8.9% | 289.00 | 6,681.00 | Non-volatile | Variable | yes | 1 | 0 | 0 | 0 | Partial Loss | Not Paid | 1 | 0 | No | 27,324,000 | - | - | - | - | 27,324,000 | 1,402 |
| 53 | | 3 | 12595 | 673 | 13,648 | 790 | 9.9% | 78.00 | 12,673.00 | Non-volatile | Variable | yes | 1 | 0 | 0 | 0 | Partial Loss | Not Paid | 1 | 0 | No | 52,470,000 | - | - | - | - | 52,470,000 | 2,891 |
| 54 | | 3 | 3324 | 353 | 3,672 | 403 | 9.6% | - | 3,324.00 | Non-volatile | Variable | yes | 1 | 0 | 0 | 0 | Partial Loss | Not Paid | 1 | 0 | No | 23,298,000 | - | - | - | - | 23,298,000 | 1,193 |
| 55 | | 3 | 3131 | 264 | 3,885 | 417 | 9.0% | 187.00 | 3,213.00 | Non-volatile | Variable | yes | 1 | 0 | 0 | 0 | Partial Loss | Not Paid | 1 | 0 | No | 24,132,000 | - | - | - | - | 24,132,000 | 1,750 |
| 56 | | 3 | 3098 | 179 | 2,732 | 179 | 6.0% | - | 2,808.00 | Non-volatile | Variable | yes | 1 | 0 | 0 | 0 | Partial Loss | Not Paid | 1 | 0 | No | 11,814,000 | - | - | - | - | 11,814,000 | 806 |
| 57 | | 3 | 1787 | 253 | 2,550 | 149 | 8.0% | 73.00 | 1,825.00 | Non-volatile | Variable | yes | 1 | 0 | 0 | 0 | Partial Loss | Not Paid | 1 | 0 | No | 15,880,000 | - | - | - | - | 15,880,000 | 893 |
| 58 | | 3 | 1230 | 107 | 1,337 | 107 | 6.0% | - | 1,230.00 | Non-volatile | Variable | yes | 1 | 0 | 0 | 0 | Partial Loss | Not Paid | 1 | 0 | No | 7,062,000 | - | - | - | - | 7,062,000 | 302 |
| 59 | | 3 | 1078 | 301 | 2,238 | 166 | 7.4% | 394.00 | 3,072.00 | Variable | Variable | yes | 1 | 0 | 0 | 0 | Partial Loss | Not Paid | 0 | 0 | No | 10,966,000 | - | - | - | - | 10,966,000 | 667 |
| 60 | | 3 | 2461 | 252 | 3,313 | 72 | 3.7% | 276.00 | 2,786.00 | Non-volatile | Variable | yes | 1 | 0 | 0 | 0 | Partial Loss | Not Paid | 1 | 0 | No | 6,082,000 | - | - | - | - | 6,082,000 | 261 |
| 61 | | 3 | 540 | 47 | 547 | 47 | 8.0% | - | 540.00 | Non-volatile | Variable | yes | 1 | 0 | 0 | 0 | Partial Loss | Not Paid | 1 | 0 | No | 3,102,000 | - | - | - | - | 3,102,000 | 150 |
| 62 | | 3 | 3796 | 305 | 4,100 | 308 | 9.0% | - | 3,796.00 | Non-volatile | Variable | yes | 1 | 0 | 0 | 0 | Partial Loss | Not Paid | 1 | 0 | No | 20,130,000 | - | - | - | - | 20,130,000 | 1,033 |
| 63 | | 3 | 2219 | 333 | 2,412 | 181 | 8.0% | - | 2,319.00 | Non-volatile | Variable | yes | 1 | 0 | 0 | 0 | Partial Loss | Not Paid | 1 | 0 | No | 12,738,000 | - | - | - | - | 12,738,000 | 653 |
| 64 | | 3 | 1682 | 382 | 1,871 | 151 | 7.2% | 58.00 | 1,740.00 | Non-volatile | Variable | yes | 1 | 0 | 0 | 0 | Partial Loss | Not Paid | 0 | 0 | No | 6,646,000 | - | - | - | - | 6,646,000 | 443 |
| 65 | 3 | | | | 3,638 | | | | | | | | | | | | | | | | | | | | | | | |
| Total | | | | | 87,888 | | | | 25 | 0 | | 81 | 3 | 8 | 0 | 81 | 4 | 29 | 4 | 3 | 4,225,973,400 | 16,205,000 | 596,244,598 | 26,325,000 | 24,880,000 | 4,888,742,420 | 293,795 | |

Total costs: Hung Dao component

| | ENTITLEMENT 1: Total Land Sale Price | ENTITLEMENT 2: "Transitional Assistance" (Rice Subsidy) | ENTITLEMENT 3: "Income Restoration Allowance" (Land Sale Price x 2) | ENTITLEMENT 4: "Livelihood Training Programs" | ENTITLEMENT 5: Additional LH Stabilization Support for Vulnerable Pkts under Category 1B | Entitlement Matrix Compensation (VND) | Entitlement Matrix Compensation (USD) | Training, Communications, and Consultations (VND) | Training, Communications, and Consultations (USD) | 5% Contingency (VND) | 10% Contingency (USD) | Administration and Management Fees 2% (VND) | Administration and Management Fees 2% (USD) | Total Compensation Budget Estimate (VND) | Total Compensation Budget Estimate (USD) |
|--------------------------|---|---|---|--|--|--|--|---|---|----------------------|-----------------------|---|---|--|--|
| Hung Dao WTP Landless | 4,225,973,400 | 16,200,000 | 596,244,000 | 26,325,000 | 24,000,000 | 4,888,742,400 | 250,705 | 171,105,984 | 8,775 | 505,984,838 | 25,948 | 107,894,545 | 5,533 | 5,673,727,767 | 290,961 |
| Hung Dao Crop Loss | | | | | | 443,400,960 | 22,739 | 15,519,003 | 796 | 49,821,998 | 2,553 | 9,785,859 | 502 | 514,597,841 | 26,380 |
| Hung Dao Structural Loss | | | | | | 659,354,712 | 34,326 | 23,427,415 | 1,201 | 69,278,213 | 3,553 | 14,772,658 | 758 | 776,832,998 | 39,838 |
| Hung Dao Subtotal | 4,225,973,400 | 16,200,000 | 596,244,000 | 26,325,000 | 24,000,000 | 6,001,498,062 | 307,769 | 210,052,432 | 10,772 | 621,105,049 | 31,054 | 132,453,062 | 6,792 | 6,966,158,606 | 357,188 |