

Resettlement Plan

April 2012

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

This resettlement plan is a document of the borrower. The views expressed herein do not necessarily represent those of ADB's Board of Directors, Management, or staff, and may be preliminary in nature.

In preparing any country program or strategy, financing any project, or by making any designation of or reference to a particular territory or geographic area in this document, the Asian Development Bank does not intend to make any judgments as to the legal or other status of any territory or area.

Kim Son 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	2
ACRONYMS AND ABBREVIATIONS	2
TABLE OF CONTENTS	III
1 EXECUTIVE SUMMARY	1
General	1
Scope of Sub-Project	1
Key survey findings	1
Entitlements and recommendations	1
2 THE SUB-PROJECT DESCRIPTION	2
2.1 SUB-PROJECT	3
<input type="checkbox"/> New and Rehabilitated Water Treatment Plant	3
<input type="checkbox"/> Transmission Mains (raw water and treated water)	3
2.2 JUSTIFICATION AND ALTERNATIVES TO LAND ACQUISITION AND RESETTLEMENT	3
2.3 PREPARATION OF THE RESETTLEMENT PLAN FOR KIM SON WATER SUPPLY SYSTEM AND CONSTRUCTION OF WATER TREATMENT PLANT	4
3 SCOPE OF LAND ACQUISITION AND RESETTLEMENT	5
3.1 KIM SON WTP	6
3.2 PROFILE OF LAND AND DPS	8
3.3 ASSOCIATED FACILITIES	8
4 SOCIO-ECONOMIC INFORMATION AND PROFILE	9
4.1 OBJECTIVES	9
4.2 SOURCE OF INFORMATION	9
4.3 OPERATIONS OF THE SES	10
4.4 APPROACH IN CREATING SOCIO-ECONOMIC PROFILES	10
4.5 SOCIO-ECONOMIC PROFILES	10
<input type="checkbox"/> Demographics.	10
<input type="checkbox"/> Income	11
<input type="checkbox"/> Services	12
4.6 ADDITIONAL GENERAL FINDINGS AND CONCLUSIONS FROM SOCIAL ANALYSIS OF DPS	14
4.6.1 STATUS OF DPS LAND USE	14
4.6.2 INCOME SOURCES OF DPS	14
4.6.3 INCOME STABILITY OF DPS	14
<input type="checkbox"/> DPs' Compensation Preferences	14
<input type="checkbox"/> Perceptions of Project and Resettlement	15
5 INFORMATION DISCLOSURE, CONSULTATION, AND PARTICIPATION	15
5.1 PROJECT STAKEHOLDERS	15
5.2 CONSULTATION AND PARTICIPATION FOR PREPARING RESETTLEMENT PLAN	17
5.3 COMMUNICATION AND PARTICIPATION PLAN	17
5.4 GENDER STRATEGY	19

5.5	ETHNIC MINORITY DEVELOPMENT STRATEGY	19
5.6	DISCLOSURE PLAN	19
6	GRIEVANCE REDRESS MECHANISMS	20
7	LEGAL FRAMEWORK	21
7.1	PURPOSE AND OBJECTIVES OF THE RESETTLEMENT PLAN	21
7.2	LEGAL AND POLICY FRAMEWORK	21
	□ National Laws on Land Acquisition and Resettlement	21
	□ Local Policy on Land Acquisition and Compensation	22
	□ ADB Policy on Involuntary Resettlement	23
	□ Reconciliation of Government and ADB Policies	24
	□ Project Resettlement Policy	26
8	ENTITLEMENTS, ASSISTANCE AND BENEFITS	28
8.1	TOTAL ENTITLEMENT BENEFITS AND ASSISTANCE	31
	□ Entitlement 1: Land Price	31
	□ Entitlement 2: “Transitional Assistance”	31
	□ Compensation 3: “Income Recovery” Support	31
	□ Entitlement 4: “Livelihood Transition Program”	31
	□ Entitlement 5: “Vulnerable Household Support”	32
9	RELOCATION OF HOUSING AND SETTLEMENTS	32
10	INCOME RESTORATION AND REHABILITATION	33
11	RESETTLEMENT BUDGET AND FINANCING PLAN	33
11.1	PROCEDURE FOR SETTING LAND COMPENSATION RATES (REPLACEMENT COST SURVEY)	36
11.2	FUND RELEASE	36
	This matter is to be decided in discussions with ADB and PMU.	36
11.3	SOURCES OF FUNDING	36
12	INSTITUTIONAL ARRANGEMENTS	37
13	IMPLEMENTATION SCHEDULE	37
13.1	IMPLEMENTATION SCHEDULE	37
14	MONITORING AND REPORTING	39
	14.1. Monitoring	39
15	ATTACHMENTS	41

LIST OF TABLES

Table 1: Structure of Land Acquisition, Benefits, and Impacts.....	4
Table 2: Summary of Kim Son Component and Potential Impacts	6
Table 3: Educational Level of Household Heads (%)	10
Table 4: Employment Rates by Livelihood Type (%)	10
Table 5: Main Sources of Income for Households	11
Table 6: Secondary Sources of Income for Households.....	11
Table 7: Average Monthly Income by Socioeconomic Class	11

Table 8: Average Monthly Income from different sources.....	12
Table 9: Vulnerability—Basic Provision of Essentials (%)	12
Table 10: Access to Basic Services (%).....	12
Table 11: Water Sources (%).....	12
Table 12: Affordability of Monthly Water Expenses (%).....	13
Table 13: Willingness to Connect and Payment Preference (%)	13
Table 14: Access to Basic Sanitation (%).....	13
Table 15: Water Quality Issues (%).....	13
Table 16: Perception of Water-Related Illnesses (%)	13
Table 17: Affects of Water-Related Illness (%).....	14
Table 18: Willingness to Participate in Improving Infrastructure (%).....	14
Table 19: ADB’s SPS Policy and Relevant Government Policies	24
Table 20: Entitlement Matrix.....	29
Table 21: Income restoration and rehabilitation.....	33
Table 22: Estimated Compensation Unit Rate and Rehabilitation Allowances.....	34
Table 23: LAR Cost Breakdown for the Kim Son Water Supply Project.....	35
Table 24: Milestone Project Schedule	37

LIST OF FIGURES

Figure 1: Locator Map of Project Components	5
Figure 2: Location Drawing of Kim Son WTP Site	6
Figure 3: Basic Design of Kim Son River WTP Land Use.....	7

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 Kim Son Water Supply System and Water Treatment Plant Sub-Project is proposed to be implemented in May 2016. 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:

Construction of Kim Son Water Supply System - A new Kim Son Water

Treatment Facility with initial capacity of 25,000 m³/day, 21km of transmission mains, and 16,000 new connections (connections to be covered under a separate project).

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:

Component Requiring Land Acquisition	Area to be Acquired	Impacts			
		Total No. of DPs	No. of AH losing more of 10% of their total land holding	No. of Vulnerable Households	Degree of Impact
Kim Son Water Supply System—WTP	9 ha of rice paddy	535 (107 HHs)	01	Total: 10 HHs Breakdown by cause: 10—poor	0.93% “severely affected” by loss of more than 10% of total land; 106 HHs will have less than 10% of their total land holding acquired.

Entitlements and recommendations

The project entitlements developed and presented in the Table 20 - Entitlement Matrix of this report. The impacts identified during the census and inventory of losses are included in the table Entitlements based on Government and ADB-funded projects in Viet Nam.

2 THE SUB-PROJECT DESCRIPTION

The Hai Phong Water Supply Project has been prepared for inclusion in the second tranche of the Vietnam Water Sector Development Multitranche Financing Facility (the MFF), which was approved by ADB in February 2011. The “Resettlement Framework” for the MFF 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. 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

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

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 107 households will be affected by land acquisition but one of the household is severely affected (i.e., losing more than 10% of its total landholding). The main pipeline along with the distribution pipelines will be buried under the existing right-of-way paths or roads, with no land acquisition required. The MFF Resettlement Framework will guide the compensation measures to be taken for any temporary impacts on businesses.

- **New and Rehabilitated Water Treatment Plant**

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

- **Transmission Mains (raw water and treated water)**

A total of about 21 km of transmission mains will be laid within the existing, available right of way.

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 water supply systems would not be able to access the utility’s services without the construction of the treatment plants in proximity to the network expansion.

Kim Son Water Treatment facility will be constructed for 25,000 m³/day capacity, which is enough to meet demand up to 2025.

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 Kim Son Water Supply System and Water Treatment Plant:

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

Component Requiring Land Acquisition	Area to be Acquired*	Site	Benefits*	Impacts				Est. Compensation	
				Total No. of DPs	No. of Severely Affected Household	No. of Vulnerable Households	Degree of Impact	VND	USD
Kim Son Water Supply System—WTP	9 ha of rice paddy	Thuy Nguyen District, Le Thien Commune, Kim Son Village	15,902 new connections by the project by 2017 (provided by EA co-financing) 90% total coverage by 2025	535 (107 HHs)	01	10 Breakdown by cause: 10 poor HHs	0.93% —severely affected” by loss of more than 10% of total land; 106 HHs will have less than 10% of their total land holding acquired.	21.3 billions	1.1 million

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 users not yet available or provided at the time of submission of this report.

2.3 Preparation of the Resettlement Plan for Kim Son 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 construction of Kim Son 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, and then to a public or a private agency or individuals contracted to carry out project implementation and monitoring. A Project Information Booklet (PIB) summarizing the important contents of the RP will be distributed among the DPs once the RP will be approved. The RP should be read in conjunction with the Resettlement Framework for the Vietnam Water Sector Multitranchise 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 Kim Son 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 acquisition and resettlement by the project component and the specific infrastructure that requires land acquisition thereby causing people’s displacement.

Figure 1 provides a general geographic orientation of the water supply project proposed for ADB funding.⁶

Figure 1: Location Map of Project Components



⁶ 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 Water Supply System and adjacent areas (including Hung Dao WTP); and Construction of Kim Son Water Supply System (including Kim Son WTP).

This resettlement plan will cover the new WTP at Kim Son.

The potential preliminary impacts on Kim Son area are summarized in Table 2, below:

Table 2: Summary of Kim Son Component and Potential Impacts

Project Component	Potential Land Acquisition, Resettlement Impacts
Kim Son WTP	Permanent land acquisition, loss of non-land assets (crops only), and economic displacement (loss of productive resources, livelihood)
Water mains (raw and treated water)	No land acquisition; the main pipelines would be laid under roads 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 Kim Son WTP

This subproject involves the construction of a new WTP with raw water pumping station on site and a 21-km transmission main. The subproject will benefit residents and industrial areas in city's northwest.

Figure 2 is an image of the vicinity of the WTP site. The WTP requires the permanent acquisition of almost 9 ha of rice fields in Kim Son Village, Le Thien Commune, Thuy Nguyen District, affecting 107 households with only one (01) household losing more than 10% of its total landholding. The access road is an existing mud path that begins from National Road 5, with residential structures on one side of the road and rice fields on the other. The access road requires widening, affecting low-voltage power lines and a drainage canal. The boundary of the WTP will front but not physically encroach upon the boundary of a cemetery. The 22-km transmission main will connect the Kim Son WTP to the transmission main of the existing Vat Cach WTP in Tan Tien Commune (southeast of Kim Son). The alignment of the proposed transmission is based on preliminary design, with no imposing structures along the right of way at this time.

Figure 3 shows how the acquired land will be used by the WTP. All land to be acquired is rice paddy.

Figure 2: Location Drawing of Kim Son WTP Site

3.2 Profile of land and DPs

The planned access roads to the proposed WTPs and booster pumping station require widening in some places, but the widening will occur within the right of way and without imposing on any structure other than some communal irrigation and low voltage power and telephone lines, which will be replaced by the project. As a result, no relocation of homes, businesses, or culturally significant structures is reasonably foreseen.

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

The rice cultivated on the land to be acquired is generally for subsistence, and not for commercial sale. Cash incomes are shifting toward both formal and informal employment in the growing industrial manufacturing centers nearby and on construction sites, although DPs who work in these sectors tend to be unskilled and work on both formal and informal terms. Many of the DPs reflect the socio-economic change underpinning the peri-urban districts they live in, with rice fields being rapidly converted for industrial, residential, and commercial construction.

3.3 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 required 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.⁷

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 staff⁸ 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.

⁷ Source: Mr. Luong Cao Huan, Director of PMU of the NUUP project in Hai Phong City.

⁸ 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 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).** 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) 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. To safeguard against complications from random sampling, and because the affected population is of a manageable size, the survey team conducted the survey in nearly 100% of 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 potentially displaced households in Kim Son area.

- **Demographics.**

All surveyed households are of 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 Kim Son 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
Kim Son	2	15	18	42	9	14

Reflecting the peri-urban nature of nearly the entire subproject area, the majority of household heads are employed in agriculture (Table 4). 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	Private Employee	Not Employed	Migrant	Other
Kim Son	98	7	3	1			

• Income

At least 81 surveyed households in Kim Son, equivalent to 76%, 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 (17%) (Table 5). Similarly, service and wages, not agriculture, are the main secondary sources of income for the surveyed households (73% in total) (Table 6). 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 families 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 5: Main Sources of Income for Households

Main Source of Income	Surveyed HHs	%
Agriculture	18	17
Business/trade activities	32	30
Wages/salary	49	46
hired labor	5	4
Other	3	3
TOTAL	107	100

Table 6: Secondary Sources of Income for Households

Secondary Source of Income	Surveyed HHs	%
Agriculture	10	16
Service	30	49
Wages/salary	15	24
Other	7	11
TOTAL	62	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 (Tables 7 & 8). To determine the rate of poverty, the data was disaggregated by income and the new proposed poverty line was applied.

Table 7: Average Monthly Income by Socioeconomic Class

Component	Total Average Income (VND)	Average Income of Poor (VND)	Average Income of Non-Poor (VND)
Kim Son	1.7 million	1.2 million	2.2 millions

Table 8: Average Monthly Income from different sources

Surveyed DPs	Average monthly income per household from different sources (VND)				
	Agriculture	Business/trade	Wage/salary	Hired labor	others
13	190,000	410,000	590,000	290,000	170,000
15	210,000	390,000	560,000	350,000	150,000
20	230,000	450,000	510,000	305,000	200,000
25	250,000	490,000	470,000	495,000	270,000
34	150,000	610,000	520,000	350,000	285,000

At least 68% 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.

Only one respondent in Kim Son was unable to provide for basic household food and nonfood essentials (Table 9).

Table 9: 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 (%)
Kim Son	1	1

• Services

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 depend on a household's proximity to main village roads.

Table 10: Access to Basic Services (%)

Component	Direct-to-House Services			Communal Services	
	National Grid Electricity	Telephone	Piped Water Supply	Drainage	Solid Waste Collection
Kim Son	100	86	0	70	0

The majority of households depend on shallow well and rainwater (Table 11). 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 11: Water Sources (%)

Subproject Area of Survey	HPWScO	Local, small networks	Community Well	Own Shallow Well	Own Deep Well	Vendor	Rainwater
Kim Son	0	0	0	85	13	12	90

Although respondents generally said their monthly water costs are affordable, they expressed frustration with the quality. They are generally willing to connect to HPWSCo network and prefer to pay for the connection fee in installments. (HPWSCo, however, will connect displaced households at no charge as a compensatory entitlement. See Table 20 on entitlements.)

Table 12: Affordability of Monthly Water Expenses (%)

Component	Monthly Water Costs Affordable		
	Yes	No	No Response
Kim Son	35	15	30

Table 13: Willingness to Connect and Payment Preference (%)

Component	Yes	No	Lump Sum	Installments
Kim Son	92	8	5	95

Access to hygienic sanitation facilities is low, with the majority using pit latrines (Table 14).

Table 14: Access to Basic Sanitation (%)

Component	Type of Sanitation Facility				
	Flush toilet	Pour toilet	Pit latrine	Other	None
Kim Son	0	20	72	2	6

In focus groups and interviews, participants blamed the poor water quality (Table 15) on industrial manufacturing in the area, and in particular, a recently constructed thermal power plant.

Table 15: Water Quality Issues (%)

Component	Always safe	Generally safe	Polluted	I don't know
Kim Son	0	5	90	5

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 16: 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							
Kim Son	45	55	25	54	30	10	0	10	0

Table 17: 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
Kim Son	3	5	12	0

Respondents were generally agreeable to participating in project implementation and monitoring (Table 18).

Table 18: Willingness to Participate in Improving Infrastructure (%)

Component	Water supply	Sanitation
Kim Son	95	80

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. What rice is grown is mainly for the household's own use (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 16%, while income from other sources is nearly 84%.

4.6.3 Income stability of DPs

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

• DPs' Compensation Preferences

Consultations, as part of focus group discussions followed by community meetings, were held in September and October 2009 with potential DPs in Kim Son 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.

Because their children are working in enterprises in industrial zones, most of the AH now have sufficient land and cannot cultivate all the land themselves. Therefore they all want to get cash compensation for their lost land.

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 proper 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 2010⁹, 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.

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, 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 the 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).** Le Thien CPC was involved in validating the IOL, introducing the project consultants to DPs, organizing focus group discussions and disseminating information. The involvement of local

⁹ Circular No 01/2010/TTLT-BTNMT-BNV-BTC Guiding the functions, tasks, powers, organizational structure and financial mechanism of land fund development organizations

leadership (usually the chairperson) is essential, required, and expected. Local leaders are responsible for disseminating information, organizing meetings, and representing communities. Le Thien CPC is also responsible to receive and respond to grievances (see Chapter 6, Stage 1). The commune chairperson of Le Thien should 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 public consultation. Attachment 6 is the Public Information Booklet (PIB).)

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 Demarcation on Land 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 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 PIB 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 Updating 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 name 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 Le Thien 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 their respective 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.

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 independent monitoring agency contracted for external monitoring and evaluation will be responsible for checking the procedures for and resolutions of grievances and complaints. The independent agency may recommend further measures to be taken to redress unresolved grievances.

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/QD-UBND dated 30/7/2010 provides for cash support equal to two times the agricultural land price for Thuy Nguyen District.

- **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 Policy on Involuntary Resettlement**

The applicable ADB safeguards policies for addressing the adverse social impacts of the proposed project are the *Safeguard Policy Statement (2009)*, the *Operations Manual F2/BP* (September 2006), the *Handbook on Resettlement: A Guide to Good Practice* (1998). 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* will also apply. However no indigenous people is affected by the project.

The aim of ADB's Safeguard Policy Statement (SPS), requirement 2: involuntary resettlement is to avoid or minimize the impacts on people, households, businesses and others affected by the acquisition of land and other assets, including livelihood and income, in the implementation of development projects such as the proposed project. Where resettlement is not avoidable, the overall goal of the ADB policy is to help restore the living standards of the affected households to at least their pre-project levels by compensating for lost assets at replacement costs and by providing, as necessary, various forms of support.

The main objectives and principles of the policy on involuntary resettlement are as follows:

- (i) Involuntary resettlement should be avoided where feasible.
- (ii) Where population displacement is unavoidable, it should be minimized by exploring all viable project options.
- (iii) All compensation is based on the principle of replacement cost.
- (iv) Each involuntary resettlement is conceived and executed as part of a development project or program
- (v) Affected households should be fully informed and consulted on compensation and/or resettlement options.
- (vi) Institutions of the affected households, and, where relevant, of their hosts, are to be protected and supported. Affected households are to be assisted to integrate economically and socially into host communities so that adverse impacts on the host communities are minimized and social harmony is promoted.
- (vii) The absence of a formal legal title to land is not a bar to ADB policy entitlements.
- (viii) Affected households are to be identified and recorded as early as possible in order to establish their eligibility through a population record or census that serves as an eligibility cut-off date, preferably at the project identification stage, to prevent a subsequent influx of encroachers or others who wish to take advantage of such benefits.
- (ix) Particular attention must be paid to the needs of the poorest affected households and other vulnerable groups that may be at high risk of impoverishment. This may include affected households without legal title to land or other assets, households headed by women, the elderly or disabled,

and ethnic minority peoples. Appropriate assistance must be provided to help them improve their socio-economic status.

- (x) The full costs of resettlement and compensation should be included in the presentation of project costs and benefits.
- (xi) Relocation and rehabilitation assistance (but not land acquisition) may be considered for inclusion in ADB loan financing for the project, if requested, to assure timely availability of the required resources and ensure compliance with involuntary resettlement procedures during implementation.

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

Table 19: ADB's SPS Policy 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	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.

Issues	ADB	Government of Viet Nam	Project Policy
		<p>assisted at 80% of compensated price.</p> <ul style="list-style-type: none"> 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. 	
Compensation principles	Land compensation should be based on replacement cost, which means the method of valuing assets to replace the loss at market value.	<p>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.</p> <p>Decree 197: Article 9: The compensation rates for land shall be determined by the PPC in accordance with the Government regulations for 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 Council has to be set up to establish current market values. (article 4, item 1).</p>	Payment for land and assets will be based on the principle of replacement cost.
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	Severely affected households losing more	Affected households losing 30% or more of their	Severely affected households losing more

Issues	ADB	Government of Viet Nam	Project Policy
programs	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.	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.	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 *Safeguard Policy Statement (SPS) 2009* have been adapted for the preparation of the Hai Phong Water Supply Project. Wherever a gap exists between the ADB's SPS and Vietnamese law, the policies adopted for the project take precedence.

Project Principles

Because the approval of this project will take place after January 2010, the new SPS will apply for this project.

The objectives of the new ADB Safeguards concerning Involuntary Resettlement are to avoid or minimize the impacts on people, households, businesses and others affected by the acquisition of land and other assets, including livelihood and income, in the implementation of development projects, such as the Ho Chi Minh City Water Supply Project. Where resettlement is not avoidable, the overall objective of the ADB safeguards is to enhance, or at least restore, the livelihoods of all displaced persons¹ in real terms relative to pre-project levels; and to improve the standards of living of the displaced poor and other vulnerable groups by compensating for lost assets at replacement costs and by providing, as necessary, various forms of support.

The main policy principles are to:

- a. 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.
- b. Carry out meaningful consultations with affected persons, host communities, and concerned non-government 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.

- c. 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.
- d. 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, social and economic integration of resettled persons 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.
- e. 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.
- f. 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 an equal or better income and livelihood status.
- g. 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.
- h. Prepare a resettlement plan elaborating displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule.
- i. 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.
- j. 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.
- k. Pay compensation and provide other resettlement entitlements before physical or economic displacement. Implement the resettlement plan under close supervision throughout project implementation.
- l. 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. Forced eviction will only be considered after all other efforts are exhausted.

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 Multitranchise Financing Facility.

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

The following table is a narrative description of the entitlements, assistance and benefits to DPs.

Table 20: 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; (1 AH)	<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 compensation rate for the area acquired For allowances due to severe loss, see Item 4 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
1	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; (106 AHs)	<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
2.	Crops	Any degree of loss of or damage to crops and aquaculture assets	Owners regardless of tenure status (107 AHs)	<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
3.	Trees	Loss of, or damage to, assets	Owners regardless of land tenure status (107 AHs)	<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.

4.	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	Severely affected DPs (1AH)	<ul style="list-style-type: none"> • Transitional assistance in the form of a cash grant equivalent to 30kg of rice per household per household member for 3 months. • 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.
5.	Vulnerable DPs	Loss of land and non -land assets or impact on livelihood	Affected vulnerable groups regardless of severity of impacts (10 AHs)	<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
6.	Public Facilities (electric poles, telephone lines, etc.)	Loss of, or damage to, assets	Asset owner/administrator,	<ul style="list-style-type: none"> • Cash compensation to cover the cost of restoring the facilities
7.	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 with affected households. The land will be restored to its pre-project condition.
8.	Restricted use of land	Permanent restrictions on uses of land	Owners with LURC; in the process of acquiring LURC; are eligible to acquire LURC;	<ul style="list-style-type: none"> • Appropriate mitigation measures sufficient to offset the actual impacts experienced.

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 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, Haiphong City resettlement policy 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 1 severely affected household is losing less than 30% of his 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, severely 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 for Thuy Nguyen District.

- **Entitlement 4: ~~Livelihood~~ Transition Program”**

A skills training program will be designed during the RP updating process for AHs losing more than 10% of their total productive land holding. 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) AHs losing more than 10% of their total productive land are eligible to participate in free agricultural extension trainings to improve the productivity of their

remaining land; 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.

Currently only 1 AH is losing more than 10% (Nguyen Van Tri, losing 14.2% of its total land holding). The AH main income is however not from agriculture but from wages; the young adults of the family are working in enterprises in industrial zones. According to M. Nguyen Van Tri, the HH 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”**

This resettlement plan classifies displaced households as vulnerable as follows: those who are currently classified by the Ministry of Labor, Invalids, and Social Affairs (MOLISA) as vulnerable because they are either 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 the Minister of Labour, Invalids and Social Affairs (MOLISA). During RP updating, 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 20.

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, the AH losing more than 10% of the total land holding doesn't depend on agriculture for his main income and doesn't require any kind of income restoration. His situation will be reassessed at the time of the update of the RP. The project income restoration and rehabilitation program will be implemented following the table below:

Table 21: 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	1 HH	<ul style="list-style-type: none"> • Transitional assistance: households losing more than 10% of productive land shall be entitled to transitional assistance equivalent to 30kg of rice per household member for 3 months, or 6 months if required to relocate • Income restoration allowance equivalent to 2 times the area acquired at prevailing Municipal/Provincial land rates • Job/Skills training for both the male and female heads of households and for each household member of working age. • 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	10 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 preparations 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 agencies¹⁰ 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 of 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 22. 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 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) As per results of the socioeconomic survey, the average household has 5 persons;
- (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 22: Estimated Compensation Unit Rate and Rehabilitation Allowances

Impact		Unit	Compensation Rate	
			VND	USD
1	Agricultural Land, Rice Paddy	m ²	66,000	3.38
2	Cash-based Life Stabilization Support	kg of rice	12,000	0.62
3	Cash-based Livelihood Rehabilitation	factor of 2 per m ²	132,000	6.8
4	Non-cash Livelihood Transition Program	/person	2,700,000	150

Total compensation costs. Table 23 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)

¹⁰ 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/RP10350v20REV1r0resettlement0sites.pdf>

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 23: LAR Cost Breakdown for the Kim Son Water Supply Project

	Impact	Unit	Quantity	Unit Price (VND)	Amount	
					VND	USD
1	Entitlement 1: Land Sale	m ²	89 790	66 000	5 926 140 000	303 905
2	Entitlement 2: Transitional Assistance (1 SAH + 10 vulnerables HH, 5 family members)	/person	55	1 080 000	59 400 000	3 046
3	Entitlement 3: Allowance for career change	m ² x 2	89 790	132 000	11 852 280 000	607 809
4	Entitlement 4: Livelihood Transition Program (1 SAH)	/person	1	2 925 000	2 925 000	150
5	Entitlement 5: Vulnerable Household Support (10 HH)	HH	10	6 000 000	60 000 000	3 077
6	Estimated value of non-land assets—trees and crops	Various indicators	Estimate	5,000 to 150,000	443 000 000	22 718
Sub Total I					18 343 745 000	940 705
	Various Staff & Stakeholder Training, Communications, Consultation, Reporting		3.5%		642 031 075	32 925
7	EA/PMU Administration & Management		2%		366874900	18814,09744
	Sub Total II				19 352 650 975	992 444
6	Cost Contingency		10%		1 935 265 098	99 244
	Total				21 287 916 073	1 091 688

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

* ** 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 in each 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.¹¹ 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 totally funded by the government through the project's counterpart funds. The loan funds may be used to pay for implementation and management costs.

¹¹ 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 should be implemented with 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. The PMU is responsible for the day-to-day progress of the project, including securing the EA's concurrence 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.

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). Thuy Nguyen district compensation and resettlement committee should be established as a conduit of information, concerns, and planning between the DPs, the PMU, internal and external monitors, and consultants. 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 Thuy Nguyen District is in charge of the 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 compensation, assistance and the related implementation activities.

13 IMPLEMENTATION SCHEDULE

13.1 Implementation Schedule

The project is expected to commence in 2016 with completion date estimated by May 2018 (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 September 2014.

Table 24: Milestone Project Schedule

Update Resettlement Plan and Compensation Plan	Implementation Schedule
Detailed Measurement Survey	01/2015
Replacement Cost Study & socioeconomic survey	01/2015
Draft updated resettlement resettlement plan & compensation	02/2015

plan	
Public consultation	02/2015
Final updated resettlement 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)	2015-2018

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) **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.
- (iv) **Compliance between Compensation and Resettlement Plans.** Before the commencement of the DMS, the PMU will ensure that the DMS for includes all the necessary data (AHs losing more than 10% of their land holdings, vulnerable

HH, tenure of land etc.). The PMU will also ensure that the entitlements proposed in the present RP are included in the compensation plan.

- (v) **Detailed Measurement Survey (DMS):** The DMS will be conducted after completion of the detailed design and marking of project boundaries for land acquisition required for each tranche. The DMS provides information to prepare the RP for each tranche, and will establish the cut-off date for compensation eligibility.
- (vi) **Information dissemination and consultation program:** This will be implemented as described in Section 9.
- (vii) **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.
- (viii) **Award of civil works contract:** After all DPs have been compensated and relocated in accordance with the approved RP, approval can be given for award of civil works contract for the tranche.
- (ix) **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.
- (x) **Monitoring:** Internal monitoring will start as soon as the RP has been approved 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. The general objective of monitoring the RP is to ensure timely and accurate compensation and implementation of the resettlement program as defined in the RP. As said above, no external monitoring organization (EMO) will be hired as the impacts are not significant.

14.1. Monitoring

The HPWSCo PMU, with assistance from resettlement consultants, is responsible for 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 staff (2) in charge 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. The staff will also conduct focus group discussions with affected persons. Separate focus groups with women will also be conducted.. 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 semiannual monitoring reports will be prepared by the borrower and submitted to ADB. The monitoring 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.

Figure 1-b: Proposed Access Road to Kim Son WTP Site



Figure 1-c: Proposed Site of Kim Son 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	Location	Objective	Key Stakeholders	Schedule	Materials	Cost
Kim Son	Project-affected HHs, Female only (7-10 pax)	To gather data on gender-specific vulnerabilities, perceptions and practices related to water, and impacts of land acquisition on their income	SA Consultant Women's Union Rep. or District representative	Central meeting place for each group; Week of October 5, 2009	- Venue - Engineer to explain design - Tape recorder/Camera - Someone to record - Maps - Facilitator's Guide - Tea and snack break - Signature sheet	\$1,420 (\$95 per group) <u>Total Breakdown:</u> Facilitator: \$500 (\$50/dayX10 days) PMU: \$140 (\$20X7 days) Pax costs: \$450 (\$3/pax; 150pax) Materials: \$100 (\$13/group) Contingency: \$238 15 groups 10 pax per group 7 days of FGDs
	Project-affected HHs, Male & Female (7-10 pax)	To discuss the water supply, sanitation, and health issues	PMU team leader			
	Project-affected HHs, most vulnerable members (female HHs, those losing more than 10%) To gather data on gender-specific vulnerabilities, perceptions and practices related to water, and impacts of land acquisition on their income	To gather data on specific vulnerabilities, perceptions and practices related to water, and impacts of land acquisition on their income				
	Non-affected HHs, female-only (7-1- pax)	To discuss the water supply, sanitation, and health issues				

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	Welcome the participants and introduce the organizers (facilitator, project consultant, PMU representative, District People's Committee representative); <i>Explain why they were invited: 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>
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
1/10/09	Kim Son	1. Affected Households 2. Affected Female-Headed Households	1. 19 people (Kim Son village, Le Thien commune) 2. 10 people (Kim Son village, Le Thien commune)
2/10/09	Kim Son	3. Vulnerable Affected Households 4. Non-affected, non-connected households	3. 6 people (Vu Dong village, Dai Ban commune) 4. 11 people (Moi village, Tien Nong)

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)


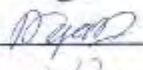
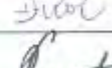

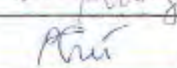

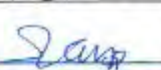

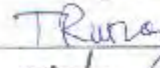
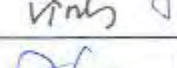
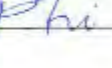

Ngày (Time): 26/10/2012

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 Hương		Nguyễn Thị Hương
4	Ông Nguyễn Văn Tuấn		Nguyễn Văn Tuấn
5	Bà Nguyễn Thị Hương		Nguyễn Thị Hương
6	Bà Nguyễn Thị Hương		Nguyễn Thị Hương
7	Bà Nguyễn Thị Hương		Nguyễn Thị Hương
8	Bà Nguyễn Thị Hương		Nguyễn Thị Hương
9	Bà Nguyễn Thị Hương		Nguyễn Thị Hương
10	Bà Nguyễn Thị Hương		Nguyễn Thị Hương
11	Bà Nguyễn Thị Hương		Nguyễn Thị Hương
12	Bà Nguyễn Thị Hương		Nguyễn Thị Hương
13	Bà Nguyễn Thị Hương		Nguyễn Thị Hương
14	Bà Nguyễn Thị Hương		Nguyễn Thị Hương
15	Bà Nguyễn Thị Hương		Nguyễn Thị Hương
16	Bà Nguyễn Thị Hương		Nguyễn Thị Hương
17	Bà Nguyễn Thị Hương		Nguyễn Thị Hương
18	Bà Nguyễn Thị Hương		Nguyễn Thị Hương
19	Bà Nguyễn Thị Hương		Nguyễn Thị Hương
20	Bà Nguyễn Thị Hương		Nguyễn Thị Hương

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	Trần 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 hẻm bị thu hồi			
Từ 32 - 38 hộ nghèo			
Từ 39 - 50 hộ ở a'li?			

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: _____		Time start: _____ Time finish: _____	
Date: / /			
0 – Location Data			
Confidentiality: 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 obtained 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:	<input style="width: 50px; height: 20px;" type="text"/>	
0.4	Is the location of this household urban or rural? [1] Urban; [2] Peri-urban; [3] rural	<input style="width: 50px; height: 20px;" type="text"/>	
0.5	Is the household located near an all-year accessible road? (Y=Yes, N=No)	<input style="width: 50px; height: 20px;" type="text"/>	
Note: The 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 alongside the respondent 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)		<div style="border: 1px solid black; width: 30px; height: 20px; margin: 0 auto;"></div>
1.2	What is the gender of the RESPONDENT? (M = male, F = female)		<div style="border: 1px solid black; width: 30px; height: 20px; margin: 0 auto;"></div>
1.3	What is the marital status of the RESPONDENT? [0] Not married; [1] Married; [2] Separated; [3] Divorced; [4] Widowed		<div style="border: 1px solid black; width: 30px; height: 20px; margin: 0 auto;"></div>
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		<div style="border: 1px solid black; width: 30px; height: 20px; margin: 0 auto;"></div>
1.5	What national group does the RESPONDENT belong to? [1] Vietnamese; [2] Chinese; [3] Laotian; [4] other ethnic group, specify below Specify: _____		<div style="border: 1px solid black; width: 30px; height: 20px; margin: 0 auto;"></div>
1.6	What is language is normally spoken at home? [1] Vietnamese; [2] Local dialects; [3] Both; [4] Other, specify below Specify: _____		<div style="border: 1px solid black; width: 30px; height: 20px; margin: 0 auto;"></div>
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		<div style="border: 1px solid black; width: 30px; height: 20px; margin: 0 auto;"></div>
1.8	Does the household head regularly work for wages or salary? (Y=Yes, N=No)		<div style="border: 1px solid black; width: 30px; height: 20px; margin: 0 auto;"></div>
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		<div style="border: 1px solid black; width: 30px; height: 20px; margin: 0 auto;"></div>
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 or teachers training college)		<div style="border: 1px solid black; width: 30px; height: 20px; margin: 0 auto;"></div>
1.11	Is the household head literate in Vietnamese and/or local dialects (i.e. can they read and write)? (Y=Yes, N=No)		<div style="border: 1px solid black; width: 30px; height: 20px; margin: 0 auto;"></div>
	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)		<div style="border: 1px solid black; width: 30px; height: 20px; margin: 0 auto;"></div>
	1.12.1 Vietnamese		

1.12.2		Local dialects			
2 – Total Household Data					
Note: "Household" means a household of people living in a dwelling who usually prepare and/or eat their meals together.					
2.1	How 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		Number of females
	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		Females – 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?		VN D/m onth
	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 _____

VN
D

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	Co st of Inp ut (V ND)
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	<input type="checkbox"/>
	3.6.2	Agricultural or development bank	<input type="checkbox"/>
	3.6.4	Other formal organization (including micro credit/NGOs)	<input type="checkbox"/>
	3.6.5	Local money lender	<input type="checkbox"/>
	3.6.6	Relatives or friends	<input type="checkbox"/>
	3.6.7	Other, specify _____	<input type="checkbox"/>
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	<input type="checkbox"/>
	3.7.2	To pay for school or medical expenses	<input type="checkbox"/>
	3.7.3	To pay another debt	<input type="checkbox"/>
	3.7.4	To assist when the household lacks food	<input type="checkbox"/>
	3.7.5	To purchase seeds or agricultural supplies	<input type="checkbox"/>
	3.7.6	To purchase livestock or livestock feed	<input type="checkbox"/>
	3.7.7	Other, specify below _____	<input type="checkbox"/>
		Specify: _____	<input type="checkbox"/>
3.8	In the past 12 months has your household lacked sufficient staple food? (Y=Yes, N=No)		<input type="checkbox"/>
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)		<input type="checkbox"/>
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		<input type="checkbox"/>
4 – Ownership of Assets			
4.1	Does your household own any of the following ELECTRICAL APPLIANCES? (Y=Yes, N=No)		
	4.1.1	TV	<input type="checkbox"/>
	4.1.2	DVD player	<input type="checkbox"/>
	4.1.3	Stereo/CD player	<input type="checkbox"/>
	4.1.4	Washing machine	<input type="checkbox"/>
	4.1.5	Sewing machine	<input type="checkbox"/>
	4.1.6	Stove	<input type="checkbox"/>
	4.1.7	Refrigerator	<input type="checkbox"/>
	4.1.8	Heater	<input type="checkbox"/>

	4.1.9	Air conditioner	<input type="text"/>												
	4.1.10	Rice cooker	<input type="text"/>												
	4.1.11	Computer or laptop	<input type="text"/>												
4.2	Tenurial status of the house: [1] Own [2] Rent [3] Other		<input type="text"/>												
4.3	What is the <u>main</u> type of construction of the housing unit? [1] Concrete [2] Wood [3] Tin-shed [4] Others		<input type="text"/>												
4.4	Rental value of the dwelling per month		<div style="border: 1px solid black; padding: 2px;">VN D</div>												
4.5	Does your housing unit have any of the following services? (Y=Yes, N=No)		<input type="text"/>												
	4.6.1	National grid electricity	<input type="text"/>												
	4.6.2	Other electricity (i.e. generator or micro-hydro)	<input type="text"/>												
	4.6.3	Piped water supply	<input type="text"/>												
	4.6.4	Private well	<input type="text"/>												
	4.6.5	Sanitation	<input type="text"/>												
	4.6.6	Telephone	<input type="text"/>												
4.6	How many taps are installed in your house		<input type="text"/>												
4.7	If your household has taps installed, how many are installed in:		<input type="text"/>												
	4.7.1	Kitchen	<input type="text"/>												
	4.7.2	Bathroom for shower and laundry	<input type="text"/>												
	4.7.3	Toilet	<input type="text"/>												
	4.7.4	Outside the house	<input type="text"/>												
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		<input type="text"/>												
4.9	What type of water storage do you have, what is its total volume and how much was the installation cost?		<input type="text"/>												
		<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 35%;">Type</th> <th style="width: 30%;">Liters/Gal</th> <th style="width: 35%;">Installation Cost</th> </tr> </thead> <tbody> <tr> <td>4.9.1 Overhead tank</td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> <tr> <td>4.9.2 Underground tank</td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> <tr> <td>4.9.3 Drum</td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> </tbody> </table>	Type	Liters/Gal	Installation Cost	4.9.1 Overhead tank	<input type="text"/>	<input type="text"/>	4.9.2 Underground tank	<input type="text"/>	<input type="text"/>	4.9.3 Drum	<input type="text"/>	<input type="text"/>	<input type="text"/>
Type	Liters/Gal	Installation Cost													
4.9.1 Overhead tank	<input type="text"/>	<input type="text"/>													
4.9.2 Underground tank	<input type="text"/>	<input type="text"/>													
4.9.3 Drum	<input type="text"/>	<input type="text"/>													

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

4.9.4
4.9.5
4.9.6

Bucket/vessel		
Others		
None		

5– Water Supply

Wet D
 r
 y

5.0 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:

5.1 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

5.2 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

--

5.3 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:

5.4 What is your average monthly expense for water?

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

5.5

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

5.7 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 _____

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

5.9 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

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

Sources	Distance to Source (m or km)	Who collects*	Collecting Time (min/day)	Days Used/Wk.	Mos. Used/Year	Weekly Cost	Installation Cost
---------	------------------------------	---------------	---------------------------	---------------	----------------	-------------	-------------------

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

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

5.12 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									

5.13 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

5.14 What water quality issues do you experience?

- 5.14.1 Bad smell
- 5.14.2 Bad taste

- 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

5.15 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)

Child < 5			
M	F	M	F

5.16 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

5.17 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

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

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

Wet	Dry

5.19 How do you treat water

--

- (1) Boil and filter
- (2) Boil
- (3) Filter
- (4) Others
- (5) None

5.20 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

5.21 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.

5.22 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)

Male Female

5.23 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: _____

Male Female

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 (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)	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 50%;">Male</td> <td style="width: 50%;">Female</td> </tr> <tr> <td style="height: 30px;"></td> <td style="height: 30px;"></td> </tr> </table>	Male	Female		
Male	Female					
5.26	How would you prefer to pay for the connection charge?	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 50%;">Male</td> <td style="width: 50%;">Female</td> </tr> <tr> <td style="height: 20px;"></td> <td style="height: 20px;"></td> </tr> </table>	Male	Female		
Male	Female					
	5.25.1 (1) Lump sum	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 50%; height: 20px;"></td> <td style="width: 50%; height: 20px;"></td> </tr> </table>				
	5.25.2 (2) Installments	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 50%; height: 20px;"></td> <td style="width: 50%; height: 20px;"></td> </tr> </table>				
5.27	What are the two most important reasons for getting a connection (check)	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 50%;">Male</td> <td style="width: 50%;">Female</td> </tr> <tr> <td style="height: 30px;"></td> <td style="height: 30px;"></td> </tr> </table>	Male	Female		
Male	Female					
	(1) Convenience					
	(2) Health					
	(3) Modernization					
	(4) Alternative source is not sufficient					
	(5) Cheaper					
	(6) Other					
5.28	If a water supply credit fund was established in your village, who should manage the fund?	<table border="1" style="width: 100%; height: 30px;"></table>				

6—Sanitation

6.1	Type of sanitation facility:	
	(1) Flush toilet	
	(2) Pour toilet	
	(3) Pit latrine	
	(4) Other, specify:	
	(5) None, specify:	
6.2	If you have a flush or pour toilet, is it/are they connected to: (choose 1, 2, 3, or 4 from below)	<table border="1" style="width: 100%; height: 20px;"></table>
	(1) Septic tank, specify if it is	
	(a) One chamber not floored, leaches on site.	
	(b) Totally sealed, specify whether:	
	6.2.1 (i) Connected to sewerage system	<table border="1" style="width: 100%; height: 20px;"></table>
	6.2.2 (ii) Connected to drainage system	<table border="1" style="width: 100%; height: 20px;"></table>
	6.2.3 (iii) Connected to soak away pit	<table border="1" style="width: 100%; height: 20px;"></table>

		(2) Direct to drainage system, specify whether through:		
6.2.6		(a) Underground/covered drains		<input style="width: 100%;" type="text"/>
6.2.7		(b) Open drains/lined canals		<input style="width: 100%;" type="text"/>
6.2.8		(c) Earth ditch		<input style="width: 100%;" type="text"/>
		(3) Direct to sewage system		<input style="width: 100%;" type="text"/>
		(4) Direct to water body		<input style="width: 100%;" type="text"/>
6.3	If you have a septic tank(s), how long have you had:			<input style="width: 100%;" type="text"/>
		(1) < 1 year		
		(2) 1–2 years		
		(3) 3–5 years		
		(4) > 5 years		
6.4	If you have had a septic tank for 3 years or more, have you had it desludged?			<input style="width: 100%;" type="text"/>
6.4.1		(1) Yes, specify how many times		<input style="width: 100%;" type="text"/>
6.4.2		(2) No, because:		<input style="width: 100%;" type="text"/>
6.4.3		Not aware it must be desludged.		<input style="width: 100%;" type="text"/>
6.4.4		Are aware but don't know when it should be desludged.		<input style="width: 100%;" type="text"/>
6.4.5		Do not know who to contact and cost of service.		<input style="width: 100%;" type="text"/>
6.4.6		Desludging service is too costly.		<input style="width: 100%;" type="text"/>
6.5	If you have toilet(s) and are using own dug well, how far is your toilet from your well?			<input style="width: 100%;" type="text"/>
		(1) Within 3 meters		
		(2) Between 3–5 meters		
		(3) Between 5–10 meters		
		(4) More than 10 meters		
6.6	Is your residential area flood prone?			<input style="width: 100%;" type="text"/>
		(1) No		
		(2) Only during typhoons		
		(3) During heavy rains (not necessarily brought by typhoons)		
		(4) Yes, with high tide		
6.7	Is there water kept near the sanitation facility for washing your hands? (Y=yes, N=no)			<input style="width: 100%;" type="text"/>
6.8	Do you keep soap available near the sanitation facility for washing your hands (Y=yes, N=no)			<input style="width: 100%;" type="text"/>

6.9 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

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

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

--

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

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		
7.12	Would your household be willing to pay/contribute more if the following facilities were IMPROVED? (Y=Yes, N=No)			
	7.12.1	Roads		
	7.12.2	School		
	7.12.3	Health center		
	7.12.4	Water supply		
	7.12.5	Sanitation		
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			
8—Gender				
8.1	What <u>activities</u> 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:		
8.2	Who in the family does the following: (<i>M=male, F=female, B=both</i>)			
	8.1.1	Collects and stores water from outside the house	M	F
	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		

9—Priorities

		M	F
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		
	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:			
9.2	What environmental problem bothers you the most:	<input type="checkbox"/>	
	(1) Air pollution		
	(2) Noise		
	(3) Water quality		
	(4) Water quantity		
	(5) Dust		
	(6) Bad smell		
	(7) Other, specify:		
9.3	What is the most important priority for your ward?	<input type="checkbox"/>	
	(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:		

10—Project Awareness

10.1	Are you aware of the proposed project (y=yes, n=no)	<input type="checkbox"/>
10.2	Do you welcome the upgrade or extension of HPWSCO system?	<input type="checkbox"/>
	10.2.1 (1) Yes, please explain:	
	10.2.2 (2) No, please explain:	
10.3	Are you willing to participate in community monitoring of the project? (y=yes, n=no)	<input type="checkbox"/>

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 PMU in implementation	
Kim Son Component	LAR-affected HHS, especially women	Proper, timely compensation & where necessary relocation & rehabilitation, connection	Need them to support acquisition	Priority connections, necessary rehabilitation of severely impacted and vulnerable households
	HH near WTP site	Security during construction, connection	Need them to support ongoing construction, community-watch	Priority connections, C&P, awareness programs, project communications

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

	Stakeholder Groups	Stakeholder's Interest*	Role in Project	Development Opportunities/Social Interventions**
	HH/businesses along transmission main route	Quick, minimally-disruptive construction	Need them to support ongoing acquisition, construction, thru-traffic, community-watch	Priority connections, C&P, awareness programs, project communications
	Beneficiary population—all unconnected (actual network & connections outside project scope)	Connection	Potential beneficiaries	Priority connections, C&P, awareness programs, project communications
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 Redress 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 Kim Son WTP

	training of farmers to improve the productivity on their remaining land.	
Expected Beneficiaries	Businesses and households who will benefit from either improved services and from new connections	Site visits and random interviews, SES, focus group discussions, community meetings, dissemination via DRC and CPCs.
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, including 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 Kim Son WTP

15.8. ATTACHMENT 8: LIST OF DPs AND COST ESTIMATE WORKSHEETS

Kim Son WTP

[illegible]

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

55	1a	3635	3700	7200	300	9%	3193	6635	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	1	1	No	76,800,000				5,550,000	85,350,000	2,293
56	1a	4355	4500	7850	700	9%	3855	7150	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	2	No	84,200,000					84,200,000	2,363
57	1a	1505	1600	3100	330	8%	1375	2770	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	2	No	18,800,000					18,800,000	1,015
58	1a	2565	2600	5160	300	9%	2265	4560	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	31,000,000					31,000,000	1,792
59	1a	3585	3600	6980	600	8%	3085	6180	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	52,400,000					52,400,000	2,716
60	1a	3585	3600	6980	600	8%	3085	6180	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	52,400,000					52,400,000	2,716
61	1a	4535	4600	9130	500	6%	4035	8130	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	73,600,000					73,600,000	3,691
62	1a	3585	3700	7280	330	7%	3255	6550	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	53,000,000					53,000,000	1,892
63	1a	2385	2400	4770	240	8%	2145	4290	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	33,000,000					33,000,000	1,582
64	1a	3635	3700	7280	330	9%	3235	6470	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	53,000,000					53,000,000	1,892
65	1a	3215	3200	6420	250	8%	2965	5930	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	49,400,000					49,400,000	2,848
66	1a	16875	17000	33670	2100	8%	14775	29550	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	231,400,000					231,400,000	7,738
67	1a	16875	17000	33670	2100	8%	14775	29550	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	231,400,000					231,400,000	7,738
68	1a	16875	17000	33670	2100	8%	14775	29550	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	231,400,000					231,400,000	7,738
69	1a	12305	12400	24610	1500	8%	10805	21610	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	170,300,000					170,300,000	4,002
70	1a	27440	27500	54880	3200	8%	24240	48480	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	390,000,000					390,000,000	9,671
71	1a	18870	19000	37740	2100	8%	16770	33540	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	270,800,000					270,800,000	6,801
72	1a	23450	23500	46900	2800	8%	20650	41300	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	330,000,000					330,000,000	7,748
73	1a	23734	24000	47734	2500	8%	21234	42468	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	330,000,000					330,000,000	8,022
74	1a	11250	11400	22500	1200	8%	10050	20100	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	165,000,000					165,000,000	4,442
75	1a	17540	17600	35080	2100	8%	15440	30880	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	240,000,000					240,000,000	6,058
76	1a	21170	21200	42340	2400	8%	18770	37540	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	290,000,000					290,000,000	7,358
77	1a	20198	20200	40396	2400	8%	17798	35596	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	270,000,000					270,000,000	6,940
78	1a	1055	1060	2110	200	8%	955	1910	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	15,200,000					15,200,000	1,358
79	1a	7564	7600	15124	1200	8%	6364	12728	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	90,000,000					90,000,000	4,002
80	1a	6647	6650	13294	800	8%	5847	11694	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	78,200,000					78,200,000	3,708
81	1a	8872	8900	17744	1000	8%	7872	15744	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	100,000,000					100,000,000	4,002
82	1a	2558	2560	5116	500	8%	2258	4516	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	30,000,000					30,000,000	1,402
83	1a	3685	3700	7370	300	8%	3385	6770	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	50,000,000					50,000,000	1,602
84	1a	17750	17800	35500	2200	8%	15550	31100	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	240,000,000					240,000,000	6,058
85	1a	2550	2560	5100	400	7%	2250	4500	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	28,400,000					28,400,000	1,358
86	1a	14080	14100	28160	1600	8%	12480	24960	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	190,000,000					190,000,000	4,802
87	1a	2730	2740	5460	500	8%	2430	4860	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	30,000,000					30,000,000	1,402
88	1a	16467	16500	32934	1900	8%	14567	29134	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	230,000,000					230,000,000	5,802
89	1a	2580	2600	5160	400	8%	2380	4760	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	28,400,000					28,400,000	1,358
90	1a	2020	2030	4040	300	8%	1820	3640	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	24,000,000					24,000,000	1,358
91	1a	3654	3670	7308	330	7%	3324	6648	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	50,000,000					50,000,000	1,892
92	1a	4570	4580	9140	400	8%	4170	8340	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	66,000,000					66,000,000	2,892
93	1a	2510	2520	5020	240	8%	2270	4540	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	28,400,000					28,400,000	1,358
94	1a	3790	3800	7580	300	8%	3490	6980	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	56,000,000					56,000,000	2,012
95	1a	7550	7560	15100	900	7%	6650	13300	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	80,000,000					80,000,000	3,802
96	1a	3060	3070	6120	300	8%	2760	5520	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	36,000,000					36,000,000	1,358
97	1a	3320	3330	6640	300	8%	3020	6040	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	36,000,000					36,000,000	1,358
98	1a	3050	3060	6100	300	8%	2750	5500	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	36,000,000					36,000,000	1,358
99	1a	3850	3860	7700	300	8%	3550	7100	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	48,000,000					48,000,000	2,012
100	1a	4500	4510	9010	400	8%	4100	8200	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	60,000,000					60,000,000	2,892
101	1a	3040	3050	6080	300	8%	2740	5480	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	36,000,000					36,000,000	1,358
102	1a	2054	2060	4108	200	7%	1854	3708	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	24,000,000					24,000,000	1,358
103	1a	3400	3410	6800	300	8%	3100	6200	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	40,000,000					40,000,000	1,358
104	1a	4500	4510	9010	400	8%	4100	8200	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	60,000,000					60,000,000	2,892
105	1a	2050	2060	4100	200	7%	1850	3700	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	24,000,000					24,000,000	1,358
106	1a	3800	3810	7600	300	8%	3500	7000	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	48,000,000					48,000,000	2,012
107	1a	5200	5210	10400	400	8%	4800	9600	Visible	Visible	No	1	0	0	0	Partial Loss	Not Poor	0	3	No	60,000,000					60,000,000	2,892
Total							88,736				8	1	0	0	0	88	18	52	18	1	5,036,141,604	5,400,000	106,000,000	6,775,000	84,000,000	6,144,115,000	217,862

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

Total costs: Kim Son component

	ENTITLEMENT 1: Total Land Sale Price	ENTITLEMENT 2: "Transitional Assistance" (Rice Subsidy)	ENTITLEMENT 3: "Income Restoration Allowance" (Guided Sale Price x 2)	ENTITLEMENT 4: "Livelihood Training Programme"	ENTITLEMENT 5: Additional Life Stabilisation Support for Vulnerable HHs under Category 1B	Entitlement Matrix Compensation (VND)	Entitlement Matrix Compensation (USD)	Training, Communications, and Consultations (VND)	Training, Communications, and Consultations (USD)	10% 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)
Kim Son WTP Subproject	5,826,140,000	5,400,000	198,000,000	8,770,000	80,000,000	6,198,315,000	317,882	316,941,025	11,125	641,525,600	32,899	136,790,810	7,015	7,193,578,440	368,901