

# External Resettlement Monitoring Report

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Semi-Annual Report  
September 2015

## **VIE: SUSTAINABLE RURAL INFRASTRUCTURE DEVELOPMENT PROJECT IN NORTHERN MOUNTAIN PROVINCES (L2682/2683)**

Prepared by Ha Long Investment and Consulting JSC for the Ministry of Agriculture and Rural Development (MARD) and the Asian Development Bank.

## **CURRENCY EQUIVALENTS**

(as of 31<sup>th</sup> December 2012 at Vietcombank)

Currency unit	–	VND
VND 1.00	=	\$ 0.00004789
\$1.00	=	VND 20,815

## **ABBREVIATIONS**

ADB	=	Asian Development Bank
AH	=	Affected Household
AP	=	Affected Person
CPMU	=	Central Project Management Unit
DCARB	=	district Compensation, Assistance and Resettlement Board
DMS	=	Detailed Measurement Survey
EM	=	Ethnic Minority
EMP	=	Environment Management Plan
EMSA	=	Ethnic Minority Specific Action
HH	=	Household
IEE	=	Initial Environment Examination
LFDC	=	Land Fund Development Center
NGO	=	Non-Government Organization
PPMU	=	Provincial Project Management Unit
RP	=	Resettlement Plan
REMDP	=	Resettlement and Ethnic Minority Development Plan
SRIDP	=	Sustainable Rural Infrastructure Development Project in Northern Mountain Provinces

## **{WEIGHTS AND MEASURES}**

m (Meter)	–	Is the base unit of length
m <sup>2</sup> (Square meter)	–	A system of units used to measure areas
m <sup>3</sup> (Volume)	–	A system of units used to measure the spaces, which an object or substance occupies.
kg (Kilogram)	–	A decimal unit of weight based on gram

## **{GLOSSARY}**

Affected person/Affected household	<ul style="list-style-type: none"><li>- Means 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, salt mining and/or grazing land), 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.</li></ul> <p>In the case of affected household, it includes all members residing under one roof and operating as a single economic unit, who are adversely affected by a project or any of its components.</p>
Detailed Measurement Survey	<ul style="list-style-type: none"><li>- With the aid of the approved detailed engineering design, this activity involves the finalization and/or validation of the results of the inventory of losses (IOL), severity of impacts, and list of APs earlier done during RP preparation. The final cost of resettlement can be determined following completion of the DMS.</li></ul>
Compensation	<ul style="list-style-type: none"><li>- Means payment in cash or in kind to replace losses of land, housing, income and other assets caused by the Project. All compensation is based on the principle of replacement cost, which is the method of valuing assets to replace the loss at current market rates, plus any transaction costs such as administrative charges, taxes, registration and titling costs.</li></ul>
Cut-off date	<ul style="list-style-type: none"><li>- Means the date of completing DMS for which land and/or assets affected by the Project are measured. The APs will be informed of the cut-off date for each subproject component, and any people or assets that settle in the subproject area after the cut-</li></ul>

	off date will not be entitled to compensation and assistance under the subproject.
Ethnic minority	- People with a group status having a social or cultural identity distinct from that of the dominant or mainstream society.
Entitlement	- Refers to a range of measures comprising compensation, income restoration support, transfer assistance, income substitution, relocation support, etc. which are due to the APs, depending on the type and severity of their losses, to restore their economic and social base.
Host community\	- Means the community already in residence at a proposed resettlement or relocation site.
Income restoration	- This is the re-establishment of sources of income and livelihood of the affected households.
Income restoration program	- A program designed with various activities that aim to support affected persons to recover their income/livelihood to pre-project levels. The program is designed to address the specific needs of the affected persons based on the socio-economic survey and consultations.
Inventory of losses	- This is the process where 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 pinpointed, and their replacement costs calculated. Additionally, the severity of impact to the affected assets and the severity of impact to the livelihood and productive capacity of APs will be determined.
Land acquisition.	- Refers to 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 replacement costs.
Rehabilitation	- This refers to additional support provided to APs losing productive assets, incomes, employment or sources of living, to supplement payment of compensation for acquired assets, in order to achieve, at a minimum, full restoration of living standards and quality of life.
Relocation	- This is the physical relocation of an AP from her/his pre-project place of residence and/or business.

Resettlement and Ethnic Minority Development Plan	- A plan for resettlement of an ethnic minority population, combining the resettlement plan with specific ethnic minority concerns and cultural sensitivity for the specific needs of the ethnic minority groups.
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	- This refers to the process involved in determining replacement costs of affected assets based on empirical data.
Resettlement	- This includes all measures taken to mitigate any and all adverse impacts of a project on AP property and/or livelihoods, including compensation, relocation (where relevant), and rehabilitation as needed.
Resettlement Plan	- This is a time-bound action plan with budget setting out compensation and resettlement strategies, objectives, entitlement, actions, responsibilities, monitoring and evaluation.
Severely affected households	- This refers to affected households who will (i) lose 10% or more of their total productive land and/or assets, (ii) have to relocate;
Stakeholders	- Individuals, groups, or institutions that have an interest or stake in the outcome of a project. The term also applies to those potentially affected by a project. Stakeholders include land users, country, regional and local governments, implementing agencies, project executing agencies, groups contracted to conduct project activities at various stages of the project, and other groups in the civil society which may have an interest in the project.
Vulnerable groups	- These are distinct groups of people who might suffer disproportionately or face the risk of being further marginalized by the effects of resettlement and specifically include: (i) single-female headed households with dependents, (ii) disabled household heads, (iii) households falling under the generally accepted indicator for poverty, (iv) children and the elderly households who are landless and with no other means of support.

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## **I. PROJECT INTRODUCTION**

### **1.1 Project description**

1. The Sustainable Rural Infrastructure Development Project in Northern Mountain Provinces (SRIDP) is financed by the Asian Development Bank (ADB) for 15 mountainous provinces in Northern Vietnam, including Ha Giang, Cao Bang, Bac Kan, Tuyen Quang, Lao Cai, Yen Bai, Thai Nguyen, Lang Son, Bac Giang, Phu Tho, Dien Bien, Lai Chau, Son La, Hoa Binh and Vinh Phuc. The total investment fund is 138 million USD. The project started in May 2011 and is expected to complete in June, 2017.
2. The project objective is to rehabilitate and upgrade rural infrastructure, strengthen management capability of local governments, and to gradually improve the poor mountainous people's living standards and conditions.
3. The project has 2 major outputs: (i) rehabilitate and upgrade priority rural infrastructures, and(ii) strengthen the project management capability, in the use of rural infrastructures and the sustainability of the works, namely:
4. The first major output includes: (i) improve and upgrade rural infrastructure, including irrigation and drainage systems, (ii) upgrade Roads and markets; and (iii) minimize negative impacts and propose assistance for the poor and vulnerable affected households.
5. The second major output includes: building capacity for staff of agencies involved in the implementation of the project, which are responsible for the use, operation and maintenance of the works. The project management support includes training and provision of appropriate guidelines on project implementation. The CPMU is responsible for implementing the following activities: (i) building capacity for the implementing agencies staff on procurement, financial management and compliance to ADB procedures; and (ii) conducting annual assessment of training needs, including capacity building on social safeguard policy and awareness of the effects of climate change for the Project implementing agencies.

**Table 1. The progress of 16 subprojects as of 31/09/2015**

Subprojects	Information disclosure (Starting date)	DMS (Closing date)	Planning compensation option (Closing date)	Appraisal of compensation option	Approval of compensation option	Payment of compensation and support (Closing date)	Hand-over of land	ADB's approval for construction commencement
<b>I. LAI CHAU PROVINCE</b>								
SP 19: Upgrading Road: Nam Cay - Sin Cai	14/6/2012	20/5/2013	30/8/2013	10/11/2013	21/11/2013	30/11/2013	10/12/2013	06/02/2014
SP 20: Upgrading Road: Nam Cuoi – Nam Han	25/5/2012	13/5/2013	15/10/2013	16/10/2013	10/11/2013	20/12/2013	30/12/2013	03/3/2014
SP 21: Upgrading Road: Ban Bo – Phieng Hoi	14/6/2012	28/2/2014	30/6/2014	30/8/2014	01/11/2014	30/3/2015	02/02/2015	11/12/2014
<b>II. LAO CAI PROVINCE</b>								
SP 25: Upgrading rural Road Bao Yen	12/6/2012	20/11/2012	23/8/2012	25/09/2012	25/09/2013	9/11/2013	9/11/2013	11/12/2013
SP26: Upgrading irrigation system Van Ban district	13/6/2012	31/12/2013	25/01/2014	07/03/2014	11/03/2014	11/10/2014	11/10/2014	01/12/2014

Subprojects	Information disclosure (Starting date)	DMS (Closing date)	Planning compensation option (Closing date)	Appraisal of compensation option	Approval of compensation option	Payment of compensation and support (Closing date)	Hand-over of land	ADB's approval for construction commencement
SP27: Construction of embankment in Ngoi Ma stream, Vo Lao commune in Van Ban district	17/4/2012	27/10/2012	7/8/2012	10/08/2012	17/9/2013	18/9/2013	18/9/2013	14/10/2013
III. PHU THO PROVINCE								
SP28. Upgrading rural road of route Phu Tho - Lac Dong , Cam Khe and Yen Lap districts	23/07/2013	29/9/2013	12/10/2013	11/4/2013	31/12/2013	26/1/2014	12/05/2013	02/01/2014 (for Cam Khe district) 14/04/2014 (for Yen Lap district)
SP29. Upgrading rural road of route Thuong Cuu – Thanh Son district	21/11/2013	12/12/2013	31/12/2013	15/01/2014	17/01/2014	04/3/2014	5/3/2014	14/04/2014
SP30. Upgrading rural road of route: Yen Luong – Thuong Cuu , Thanh Son	24/4/2014	24/4/2014	11/05/2014	13/05/2014	6/6/2014	20/10/2014	3/7/2014	17/9/2014 (lot 1). 11/12/2014 (lot

Subprojects	Information disclosure (Starting date)	DMS (Closing date)	Planning compensation option (Closing date)	Appraisal of compensation option	Approval of compensation option	Payment of compensation and support (Closing date)	Hand-over of land	ADB's approval for construction commencement
district								2).
IV. VINH PHUC PROVINCE								
SP 40: Construction of Trieu De pumping station	3/20/2013	25/11/2013	30/11/2013	5/12/2013	27/12/2013	07/10/2014	07/10/2014	24/6/2014
SP 41: Upgrading the Roads of Ngoc My - Bac Binh, Xuan Hoa - Van Truc - Lien Hoa - Lien Son, Lap Thach district	25/5/2013	15/03/2014	17/4/2014	30/12/2013	27/06/2014	20/12/2014	20/10/2014	11/12/2014
SP 42: Upgrading Yen Duong Bridge	15/2/2013	25/5/2013	15/06/2013	25/07/2013	04/10/2013	25/10/2013	15/11/2013	29/11/2013
V. YEN BAI PROVINCE								
SP 43: Upgrading the roads for 3 northern communes of Luc Yen district	15/6/2012	28/7/2013	The affected households voluntarily give land	The affected households voluntarily give land	The affected households voluntarily give land	The affected households voluntarily give land	28/9/2013	26/9/2013

Subprojects	Information disclosure (Starting date)	DMS (Closing date)	Planning compensation option (Closing date)	Appraisal of compensation option	Approval of compensation option	Payment of compensation and support (Closing date)	Hand-over of land	ADB's approval for construction commencement
SP 44: Upgrading An Binh – Lam Giang Road, Van Yen district	16/6/2012	15/7/2013	7/12/2012	11/12/2012	12/12/2012	21/3/2014	15/4/2014	14/4/2013
SP 45: Upgrading the roads for 04 northern communes of Tran Yen district	15/10/2014	24/10/2014	31/10/2014	21/11/2014	10/1/2015	6/8/2015	20/1/2015	18/9/2015
SP 45A: Upgrading the roads for 04 northern communes of Tran Yen district	22/10/2014	24/4/2015	The affected households voluntarily give land	The affected households voluntarily give land	The affected households voluntarily give land	The affected households voluntarily give land	15/6/2015	25/5/2015

Notes:

	Completed
	On- going

	No action
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## **1.2 Institutional arrangement**

### **A. National level**

6. The Ministry of Agriculture and Rural Development (MARD) is the Executing Agency for the SRIDP in Northern Mountainous Provinces, and assures overall coordination, planning, implementation and reporting for the Project.

7. During the implementation of the RP, CPMU under MARD has the following responsibilities:

- (i) Providing overall planning, coordination, and supervision of the resettlement implementation;
- (ii) Guiding implementing agencies (DCARB) and PPMUs to implement resettlement activities in accordance with the policy of the approved RP/REMDP; and advise local authorities to resolve timely and successfully any mistakes or shortcomings identified through internal and/or external monitoring of RP/REMDP implementation to ensure that the objectives of the RP/REMDP are met;
- (iii) Finalizing REMDP/RP and obtaining the PPCs and ADB's approval before implementing the approved RP/REMDP;
- (iv) Providing resettlement training to implementing agencies, all PPMU staff and DCARB staff;
- (v) Coordinating with other implementation agencies and relevant institutions during periods of preparation, planning and implementation of the RP/REMDP;
- (vi) Establishing a database of APs for each component, each subproject as well as for the Project as a whole;
- (vii) Establishing procedures for ongoing internal monitoring and review of project progress reports for tracking the compliance to the project policies;
- (viii) Establishing procedures for monitoring coordination between contractors and local communities and for ensuring prompt identification and compensation for impacts occurring during construction;
- (ix) Recruiting, supervising, and acting upon the recommendations of the external monitoring organizations;
- (x) Establishing procedures for the prompt implementation of corrective actions and the resolution of grievances;
- (xi) Reporting periodically on resettlement implementation progress to the ADB.

### **B. Province level**

8. The Provincial People's Committee (PPC) is responsible for resettlement activities within its administrative jurisdiction. The main responsibilities of PPC include:

- (i) Approving final RP/REMDP;

- (ii) Issuing decisions approving land valuations applied for the compensation, allowances and other supports to APs, especially vulnerable groups, based on the principles of the RP/REMDP;
- (iii) Approving budget allocation for compensation, support and resettlement;
- (iv) Directing and supervising provincial relevant departments to implement effectively the RP/REMDP.
- (v) Authorizing the district-level People's Committees, approving the compensation, assistance and resettlement plans;
- (vi) Directing the relevant agencies to settle APs' complaints, grievances related to the compensation, assistance and resettlement in accordance to their respective legal mandates;
- (vii) Directing the relevant agencies to examine and handle the violations in the compensation, assistance and resettlement.

### **C. District level**

9. The DPC undertakes the comprehensive management on compensation, assistance and resettlement. The DPC is responsible for informing the CPCs the process and results of the land acquisition. The DPC's primary task includes:

- (i) Approving the schedule and monitoring the progress of land acquisition and the resettlement implementation in compliance with the approved RP/ REMDP;
- (ii) Establishing the CARB and resettlement team, directing the CARB and relevant district departments to appraise and implement the detailed compensation, assistance and resettlement;
- (iii) Approving and taking responsibility to the law on the legal basis, and accuracy of the detailed compensation, assistance and resettlement options in the local area;
- (iv) Approving cost estimates on the implementation of the compensation, assistance and resettlement;
- (v) Taking responsibility for acquiring LURCs, certificates on land owning right of the households and individuals who have land and house entirely recovered; adjusting LURCs for households and individuals who have land and house partially recovered, in accordance with the law;
- (vi) Directing the Commune People's Committees and relevant organizations on various resettlement activities;
- (vii) Reviewing and endorsing the Updated REMDP for the approval of the PPC; and
- (viii) Resolving complaints and grievances of households.

### **D. District Compensation, Assistance and Resettlement Board (DCARB)**

10. The DCARB includes a DPC vice-chairman (playing the role as the head of the DCARB, the representatives of the Department of Natural Resources and Environment, the Department of Finance, the Department of Agriculture, the CPC chairmen and affected

households (including affected women headed households), members of district Farmers' Association and Women's Union. The main responsibilities of district Officials and/or the CARB are the following:

- (i) Organize, set up plans and carry out compensation, assistance and resettlement activities;
- (ii) Perform the DMS, consultation and information disclosure activities, design and implementation of the income restoration program, coordination with various stakeholders;
- (iii) Prepare the compensation assistance and resettlement plan (CARP) and submit to the DPC for approval.
- (iv) Implement the compensation, assistance and resettlement plans;
- (v) Take responsibility on the legal framework for the compensation, assistance and resettlement policy after the REMDP is approved;
- (vi) Assist in the identification and allocation of land for relocated households;
- (vii) Lead and coordinate with the CPCs on timely delivery of compensation payment and other entitlements to affected households; and
- (viii) Assist in the resolution of grievances.

#### **E. Commune level**

11. The CPCs will assist the CARB in their resettlement tasks. Specifically, the CPC will be responsible for the following:

- (i) Cooperate with the mass organizations at district and commune levels, mobilize people whose land will be required to implement the compensation, assistance and settlement policy in accordance with the approved RP/REMDP;
- (ii) Co-operate with the CARB and the working groups to disclose to the affected persons the reason for the acquisition of their affected land;
- (iii) Disclose the compensation, assistance and resettlement plan that had been approved by the DPC;
- (iv) Assign commune officials to assist the CARBs in the updating of the RP/REMDP and implementation of resettlement activities;
- (v) Identify replacement land for affected households;
- (vi) Sign the Compensation Agreement Forms on the affected households;
- (vii) Assist in the resolution of grievances; and,
- (viii) Participate actively in all resettlement activities and related concerns.



### 1.3. Scope of project impacts

12. The implementation of the subprojects that acquire land, affecting non-movable assets on the affected lands (i.e. crops, trees, and structures) and lives of affected households who live in the subproject area. Table 2 below shows the impacts of subprojects covered under the IMO Ha Long contract package.

**Table 2: Summary of Subproject Impacts scope**

No.	Subprojects	Affected area	Ethnicity of APs	Number of affected households	Number of Saffected households > 10%	Number of vulnerable affected households	Residential land (m <sup>2</sup> )	Agricultural land (m <sup>2</sup> )
<b>I</b>	<b>Lai Chau</b>							
<b>1</b>	SP 19: Road upgrading in Nam Cay – Sin Cai , Phong Tho district	Malypho; Dao San; Mu Sang; Hoang Then	Mong, Dao	24	0	Poor households: 4 EM households: 24	618.2	961.1
<b>2</b>	SP 20: Road upgrading in Nam Cuoi – Nam Han, Sin Ho district	Nam Cuoi, Nam Han and Can Co communes	Thai	98	02 displaced households	EM households: 98	433	14,161.3
<b>3</b>	SP 21: Road upgrading in Ban Bo – Phieng Hoi, Tam Duong district	Ban Bo commune	Lu and Lao	106		Poor households: 32	235.3	8,357

No.	Subprojects	Affected area	Ethnicity of APs	Number of affected households	Number of Saffected households > 10%	Number of vulnerable affected households	Residential land (m <sup>2</sup> )	Agricultural land (m <sup>2</sup> )
<b>II</b>	<b>Lao Cai</b>							
<b>4</b>	SP 25: Rural road upgrading of Minh Tan – Kim Son in Bao Yen district	Minh Tan, Kim Son and Thuong Ha communes	Tay and Dao	372	0	Poor households: 42 EM households: 350 Single Women headed: 17	4,214.2	16,673.9
<b>5</b>	SP 26: Irrigation system upgrading in Van Ban district	Dan Thang, Hoa Mac, Duong Quy Nam Ma and Vo Lao communes	Tay, Dao, Mong and Xa Pho	160		Poor households: 40 Single Women headed: 6 EM households: 160	369.3	28,928.6
<b>6</b>	SP 27: Revetment to protect banks of Ngoi Ma stream, Vo Lao commune in Van Ban district	Vo Lao commune	Tay	117	0	Poor households: 44 EM households: 113 Single Women headed: 5 Social policy	246	22,331

No.	Subprojects	Affected area	Ethnicity of APs	Number of affected households	Number of Saffected households > 10%	Number of vulnerable affected households	Residential land (m <sup>2</sup> )	Agricultural land (m <sup>2</sup> )
						households: 5		
<b>III</b>	<b>Phu Tho</b>							
7	SP 28: Rural Road improvement and upgrading in Phu Lac – Dong Lac, Cam Khe and Yen Lap district	Phu Lac, Yen Tap, Ta Xa, Huong Lung (Cam Khe district) Dong Lac (Yen Lap district)	Kinh, Muong	734	6	Poor households: 32 EM households: 10 Single Women headed: 3	2,914.2	10,206.0
8	SP 29: Rural road improvement and upgrading in Thuong Cuu – Dong Cuu Road in Thanh Son district	Dong Cuu commune	Muong	124	0	Poor households 37 EM households: 124	605.2	4,086.2

No.	Subprojects	Affected area	Ethnicity of APs	Number of affected households	Number of Saffected households > 10%	Number of vulnerable affected households	Residential land (m <sup>2</sup> )	Agricultural land (m <sup>2</sup> )
						Single Women headed: 3		
9	SP30: Rehabilitating and upgrading in Yen Luong – Thuong Cuu Road in Thanh Son district	Thuong Cuu commune	Muong, Dao	118	0	Poor households 31 EM households: 116	0	9,025.1
<b>IV</b>	<b>Vinh Phuc</b>							
10	SP 40: Construction of Trieu De pumping station	Trieu De commune	Kinh	95	12	Poor households: 2	0	21,476

No.	Subprojects	Affected area	Ethnicity of APs	Number of affected households	Number of Saffected households > 10%	Number of vulnerable affected households	Residential land (m <sup>2</sup> )	Agricultural land (m <sup>2</sup> )
11	SP 41: Upgrading Ngoc My – Bac Binh, Xuan Hoa – Van Truc, Lien Hoa – Lien Son routes in Lap Thach district	Hoa Son town, communes of: Bac Binh, Lien Hoa, Lien Son, Ngoc My, Van Quan, Xuan Hoa, Xuan Loi	Kinh	512	3	Poor households: 39 Single Women headed: 3	4,812	8,962
12	SP 42: Rehabilitating Yen Duong bridge	Communes of Yen Duong and Hop Ly	Kinh	108	10	Poor households: 6 Single Women headed: 2	13,040.15	10,999.65
V	<b>Yen Bai</b>							
13	SP 43: Upgrading Road of 03 Northern communes of Luc Yen district	Yen Thang, Mai Son, KhanhThien	Tay, Kinh	31 household s devote land for the project	0		0	955.70

No.	Subprojects	Affected area	Ethnicity of APs	Number of affected households	Number of Saffected households > 10%	Number of vulnerable affected households	Residential land (m <sup>2</sup> )	Agricultural land (m <sup>2</sup> )
14	SP 44: An Binh and Lam Giang Rural road upgrading in Van Yen district	An Binh and Lam Giang	Kinh, Tay, Mong, Hoa, Dao	515	0	Poor households: 26 EM: 13	1,716.1	12,666.4
15	SP 45: Upgrading Road of 4 Northern Communes, Tran Yen district, Yen Bai Province	Viet Cuong, Luong Thinh, Hong Ca	Tay, Dao, Mong Muong, Kinh	345	0	Poor households: 44 EM: 59 Single Women headed: 3	0	1.124,5
16	SP 45A: Upgrading Road of 4 Northern Communes, Tran Yen district, Yen Bai Province	Viet Cuong, Luong Thinh, Hong Ca	Tay, Dao, Mong Muong, Kinh	155 households devote land for the project	0	Poor households: 53 EM: 128 Single Women headed: 10	765	4.958,0

(Source: data provided by PPMUs)

## II. MONITORING OBJECTIVES, METHODOLOGY AND ORGANIZATION

### 2.1 Monitoring time

13. The contents of the 5th periodical report reflect the progress of the subprojects as of the 4th periodical report (12/2014) until the end of September 2015.

14. By the end of September 2015, the Consultant has completed 04 additional monitoring missions for the subprojects. (The implementation of additional monitoring is based on the progress of the compensation, support and site clearance of the subprojects). The monitoring time was as follows:

- From 03/03/2015 to 08/03/2015: monitoring in Sub-project SP45: *Upgrading rural roads in 4 Northern Communes of Tran Yen district (the section road in Hong Ca commune), Yen Bai province.*
- From 03/03/2015 to 08/03/2015: monitoring in Sub-project SP21: *Upgrading the road of Ban Bo - Phieng Hoi, Tam Duong district, Lai Chau province.*
- From 15/05/2015 to 18/05/2015: monitoring in Sub-project SP45A: *Upgrading rural road of 04 northern communes of Tran Yen district, Yen Bai province (phase 2).*
- From 27/08/2015 to 29/08/2015: monitoring in Sub-project SP45: *Upgrading rural roads in 4 Northern Communes of Tran Yen district (the section road in Luong Thinh commune), Yen Bai province.*

### 2.2. Monitoring objectives

15. The main task of the Consultant is to provide resettlement independent monitoring services to the SRIDP to help insure that it comply with the social safeguard policies of ADB SPS 2009. The SRIDP covers 05 provinces of Lao Cai, Lai Chau, Yen Bai, Phu Tho and Vinh Phuc. The main objective of external monitoring is to provide an independent review and assessment of:

- (i) Achievement of resettlement objectives;
- (ii) Changes in living standards and livelihoods of affected households;
- (iii) Restoration and/or improvement of the socio-economic conditions of the APs;
- (iv) Effectiveness and sustainability of entitlements; and
- (v) Necessary mitigation measures.

### 2.3. Scope of works

16. The Consultant will independently conduct the resettlement monitoring mission for the subprojects in compliance with the provisions and requirements of their PRF and RP/REMDP including:

- a. Identify any discrepancy between the policy requirements and actual implementation of resettlement policies;
- b. Update and supervise the implementation of the compensation and site clearance of the subprojects;
- c. Monitor all voluntary land donation to ensure that the following conditions are met: (i) APs are not forced to donate land and other affected non-movable assets; (ii) land donation does not severely affect incomes of local people; (iii) physical relocation is not needed; and (iv) documents of land donation must be signed by both AH husband and wife ;
- d. Monitor and appraise the resettlement requirements for construction ;
- e. Certify document recognizing that all resettlement issues of sub-projects have been satisfactorily resolved and all monies were paid affected households validly.
- f. Monitor the resettlement issues 15 subprojects. Each monitoring period will entail the review of records of all affected households. All (100%) severely affected households in the affected area will be surveyed (including relocated households and affected households who lose 10% or more of their agricultural land and/or other means of livelihood) and 20% of other affected households. For sub-projects with 20 affected households or less, all affected households will be selected for the survey. All (100%) severely affected households in the affected area will be surveyed.
- g. The monitoring frequency will be carrying out every 6 months, or 2 times a year, starting from May 2013 to October 2015. There are five monitoring trips to be conducted by the Consultant altogether;
- h. Monitor the resolution of complaints and grievances of affected households (if any); and
- i. Provide recommendations for improving resettlement implementation;

## 2.4. Monitoring indicators

17. The Consultant monitoring indicators include:
  - i. Public consultation and awareness of resettlement policy and entitlements;
  - ii. Coordination of resettlement activities with the construction schedule;
  - i. Land acquisition and transfer procedures;
  - ii. Levels of satisfaction of APs with the provisions and implementation of the REMDP;
  - iii. Grievance settlement (guiding documentation, process, resolution and response to APs);
  - iv. Effectiveness, impact and sustainability of entitlements and income restoration programs for AP;
  - v. Capacity of affected households to restore/re-establish livelihoods and living standards. Special attention will be given to severely affected households and vulnerable households, focusing on achieving project objectives of improving socioeconomic status of vulnerable households;



- vi. Resettlement impacts caused during the construction stage;
  - vii. Targets proposed in the gender action plan;
  - viii. Activities mainstreamed in the subproject for EM development; and
  - ix. Participation of APs in RP/REMDP preparation, updating and implementation.
18. The civil works of the sub-projects are set to start only when the Independent Monitoring Consultant had certified that all compensation, allowances and resettlement of affected households have been completed”.

## 2.5. Methodology

19. SRIDP requires that the rural northern mountainous provinces must have the participation and implementation of the communities. The Consultants use qualitative and quantitative methods to monitor and evaluate it. Besides, the Consultants also use observation and literature review methods during the monitoring process. To ensure this principle, the Consultants will use, without limitation, a number of sources and methods as follows:

### a. Source of information:

20. There are two types of information to be collected, primary and secondary information. The secondary information is collected from available reports, project documents, local socioeconomic development plans....; the primary information is collected from field surveys, group discussions and in-depth interviews... the Consultants access the following sources of information and data:

- ◆ Central Project Management Unit(CPMU), Provincial Project Management Unit (PPMUs); socio-economic reports provided by the local governments in the subproject areas;
- ◆ district/Provincial Compensation, Assistance and Resettlement Boards;
- ◆ Commune People Committees;
- ◆ Affected Households (AHs);
- ◆ Subprojects’ Design Consultants.

21. In addition, data and information are also collected from the community meetings held by the PPMU and local governments; or from direct interview with PPMU officials. The meetings aim to discuss and execute Resettlement Plan/ REMDPs and find out measures minimizing current issues.

### Information collecting methods:

#### Literature review:

22. Review related reports from provinces and cities, update socioeconomic data of the subprojects’ area so as to define the households’ livelihood, build up life restoring measures for the affected households...

23. Review documents provided by the CPMU and the PPMU such as Subproject Investment Reports (SIRs), RP/REMDP reports, Feasibility Study reports, Gender/Ethnic Minority action plans (if available) and other related documents.
24. Review and exchange measures of life restoring for affected households;
25. Review other related documents such as reports from specialized local management agencies, reports from project consultants...
26. Literature review helps to have basic information about a project as well as reasons affecting to the project schedule. Additionally, this method also helps to collect statistical data of a project area. Based on the result of this method, it helps us prepare monitoring tools such as questionnaires, guiding materials for group discussions and in-depth interviews...
27. Documents are collected from CPMU, PPMU, DARC, CPCs ...Statistical data is analyzed and saved as basic information for future resettlement use.

#### **Qualitative method:**

28. Focus group discussions, in-depth interviews, community consultation: Focus group discussion and community consultation help the Consultant to acquire more information from various involved stakeholders. Focus group discussions are carried out with the PPMUs to find out advantages, disadvantages and solutions during the execution process. Besides, Focus group discussions is also taken place with local government representatives, agencies, affected households and non-affected households, displaced households and heavy-affected households, benefitted households to make assessment on aspects related to affected person's benefits. The focus group discussions on vulnerable households groups includes women (unassisted), poor people, preferential policies households, and elderly people (helpless) to collect feedbacks on related topics such as the participation of community, resettlement policies, gender/ethnic minority people. The number of female taking part in the consultations, group discussions, and information collections is put on top of priority.
29. Group discussions and community consultations are taken place in the commune area where having a subproject. Number of the community consultations depends on the number of communes in the subproject area. However, all communes from the subproject area carry out the community consultation. The number of households taken part in every community consultation is between 10 and 15 or that number depends on the number of affected households from each subproject. The content of consultation depends on each stage of the subproject.
30. Since the first monitoring, the Consultants have conducted 79 focus group discussions, 105 random in-depth interviews and 40 community consultations. The total number of households participating in the consultations includes approximately 756 people.

#### **Quantitative method:**

31. Questionnaire survey: During the monitoring process, this method is used as a principal tool to assess the contents of resettlement, gender/ethnic minorities... The 5th Monitoring Report summarizes results from the additional monitoring results and from the 4th Monitoring Report. Regarding the 4 additional monitoring missions, 176 questionnaires were

taken, in which vulnerable households (poor affected households and female headed affected households) and no households had to relocate. From the first to the fifth monitoring, 1025 questionnaires were surveyed.

32. Households Survey Questionnaire is designed to collect information at household level. (i) To interview heavy-affected households who already received compensation payment is put on top priority, (ii) to review saved profiles of marginally and severely affected households is necessary on each monitoring trip, (iii) to conduct survey interview with 100% severely affected households (including self-resettled households) who were lost 10% or more than 10% agricultural land/main sources of income and at least 20% of marginally affected households with their loss less than 10% agricultural land/income. (equivalent 176 affected households)

33. The survey by questionnaire, households consultation must show clearly the households status (if any) such as: (i) severely-affected households, (ii) marginally affected households, (iii) vulnerable households, (iv) ethnic minority households... in order to (1) collect basic information about affected households like their demographic characteristics, education level, income and livelihoods, living conditions, production conditions; (2) define the potential impact of the project on life, income, livelihoods of affected households; (3) evaluate the life restoration demand and satisfaction of affected households.

#### **Observation method:**

34. The observation method is applied to support the above-mentioned methods. The Consultants used this method to find out about the actual living conditions of people and what works are going on the sites.... thereby they would establish necessary additions to the information acquired from the secondary data, survey questionnaires and focus group discussions. In the additional monitoring time of the sub-projects, the Consultant conducted field surveys to subproject SP45, SP21, and SP45A.

#### **Analysis and report**

35. All collected information from questionnaire survey and other sources is analyzed to prepare report of the monitoring mission. The collected information from monitoring missions is processed and analyzed by Consultants with different measures. The results from questionnaire survey are encoded and processed by SPSS software applied for Window to produce quantitative data of the monitoring process.

36. Consultants saved the treated data in a folder used as a database for future assessment. Data is under the authority of CPMU and transferred to CPMU once the Consultant Contract completed.

37. A draft report is prepared as soon as the data analysis done and submitted to PPMUs, CPMU and ADB for review.

### III. MONITORING RESULTS

#### 3.1 Information disclosure:

38. The dissemination of information has been coordinated by the PPMU and the district Compensation Boards. The information distributed to affected households includes: the scope of the subproject implementation; benefits of the project; compensation, support policy; mechanism for grievance redress...

39. The information channels: The public meetings for the project notification; the consultation meetings of the Consultants; documents listed in the CPCs; the officers in charge of the PPMU and the district compensation boards...

40. The results of the consultation with the affected households show that 100% of them have been attending the meetings for information dissemination; they are aware of the project policies and were answered with questions. As of the 5<sup>th</sup> monitoring, the total number of households participating in the consultations includes approximately 756 people. 100% of consulted people said that they got full information of the project.

#### 3.2 Detailed Measurement Survey (DMS)

##### 3.2.1 Lai Chau province

###### 3.2.1.1 SP19: Nam Cay – Sin Cai Road improvement, Phong Tho district

41. The DMS was completed on 20/02/2013 and the Consultant updated it in the 3rd. At the 4th monitoring (12/2014), the Consultant recognizes no arising cases. Consultant will not include it in the 5th monitoring report.

###### 3.2.1.2 SP20: Nam Cuoi - Nam Han Road improvement, Sin Ho district

42. The DMS was completed on 13/05/2013 and the Consultant updated it in the 3rd monitoring report. At the 4th monitoring (12/2014), the Consultant recognizes no arising cases. Therefore, the Consultant will not include it in the 5th monitoring report.

###### 3.2.1.3 SP21: Ban Bo – Phieng Hoi Road improvement, Tam Duong district

43. The Subproject informed the affected households of the DMS schedule. The DMS was approved by Tam Duong District Site Clearance Board on February 28<sup>th</sup>, 2014. For Subproject SP21, the total number of affected households is 106 households in 02 communes of Ban Bo and Phieng Hoi. It includes 32 poor households and 101 minority households. The total acquired land is 21,507.9m<sup>2</sup> in which agricultural land is 4,147.6m<sup>2</sup>, residential land is 235.3 m<sup>2</sup>, aquaculture land is 48m<sup>2</sup>, forest land is 12,867.6 m<sup>2</sup>; annual crop land: 3312.7 m<sup>2</sup> and perennial land is 896.7 m<sup>2</sup>.

44. Conclusions: The surveyed households said that they were involved in the inventory and measuring of affected properties. After inventory, all affected households were provided the Minute of Property Inventory of their families to check and make comparison. After checking, all households signed on the minutes of confirmation of inventory results and return

it to the Site Clearance Board. Any missing of inventory was reported promptly and the Site Clearance Board confirmed, inventoried and prepared additional plan.

### **3.2.2 Lao Cai province**

#### **3.2.2.1 SP 25: Minh Tan – Kim Son Improvement Road, Bao Yen district**

45. The DMS was completed on 20/11/2012 and the Consultant updated it in the 3rd monitoring report.

46. In the 4th monitoring, it is recorded that there are 90 additional affected households due to the design revision but there are only 47 additional households, 43 households were included in the affected households list in the 1<sup>st</sup> survey. Therefore, the total number of households affected by the subproject after the 4th monitoring is 372 households.

47. At the time of updating the 5th monitoring report (09/2015), what is arising in the construction process will be updated in the next monitoring reports.

#### **3.2.1.1 SP26: Irrigation system upgrading in Van Ban district**

48. The DMS was completed on 31/12/2013 and the Consultants recognized in the 3<sup>rd</sup> monitoring report. At the time of updating the 5th monitoring report (09/2015) the Consultants noted no cases arising. What is arising in the construction process will be updated in the next monitoring reports.

#### **3.2.2.3 SP27: Revetment to protect banks of Ngoi Ma stream, Vo Lao commune in Van Ban district**

49. The DMS was completed on 27/10/2012 and the Consultant updated it in the 3rd monitoring report. At the 4th monitoring mission (12/2014), the Consultant recognized four additional households in Vo Lao commune. The compensation amount after having inventory results is VND 12,680,600 as approved at the Approval Decision No.1228/QĐ-UBND of Van Ban CPC dated 17 December, 2014.

50. At the time of updating the 5th monitoring report (09/2015) the Consultants noted no cases arising. What is arising in the construction process will be updated in the next monitoring reports.

51.

### **3.2.3 Phu Tho province**

#### **3.2.3.1 SP28 – Rural Road Improvement of Phu Lac – Dong Lac, Cam Khe and Yen Lap districts**

52. The DMS was completed on 29/09/2013 and the Consultants updated it in the 3rd monitoring report. At the time of updating the 5th monitoring report (09/2015) the Consultants noted no cases arising. What is arising in the construction process will be updated in the next monitoring reports.

#### **3.2.3.2 SP 29: Rural road improvement of Thuong Cuu – Dong Cuu, Thanh Son district**

53. The DMS was completed on 15/12/2013 and the Consultant updated it in the 3rd monitoring report. At the time of updating the 5th monitoring report (09/2015) the Consultants noted no cases arising. What is arising in the construction process will be updated in the next monitoring reports.

#### **3.2.3.3 SP30: Upgrading Yen Luong – Thuong Cuu Road in Thanh Son district**

54. The DMS was completed on 5/11/2014 and the Consultant recognized in the 4th monitoring report. At the time of updating the 5th monitoring report (09/2015) the Consultants noted no cases arising. What is arising in the construction process will be updated in the next monitoring reports.

### **3.2.4 Vinh Phuc province**

#### **3.2.4.1 SP40: Construction of Trieu De pumping station**

55. The DMS was completed on 25/11/2013 and the Consultant updated it in the 3rd monitoring report. At the time of updating the 5th monitoring report (09/2015) the Consultants noted no cases arising. What is arising in the construction process will be updated in the next monitoring reports.

#### **3.2.4.2 SP41: Upgrading Ngoc My – Bac Binh, Xuan Hoa – Van Truc, Lien Hoa – Lien Son routes in Lap Thach district**

56. The DMS was completed on 25/11/2013 and the Consultant updated it in the 4th monitoring report. At the time of updating the 5th monitoring report (09/2015) the Consultants noted no cases arising. What is arising in the construction process will be updated in the next monitoring reports.

#### **3.2.4.3 SP42: Upgrading Yen Duong Bridge**

57. The DMS was completed on 25/05/2013 and the Consultant updated it in the 3rd monitoring report. At the time of updating the 5th monitoring report (09/2015) the Consultants noted no cases arising. The arising in the construction process will be updated in the next monitoring reports.

### **3.2.5 Yen Bai province**

#### **3.2.5.1 SP43: Upgrading Road in 3 Northern communes in Luc Yen district**

58. The DMS was completed on 28/07/2013 and the Consultant updated it in the 3rd monitoring report. At the time of updating the 5th monitoring report (09/2015) the Consultants noted no cases arising. What is arising in the construction process will be updated in the next monitoring reports.

#### **3.2.5.2 SP44: Upgrading An Binh and Lam Giang Rural road in Van Yen district**

59. The DMS was completed on 15/07/2013 and the Consultant updated it in the 3rd monitoring report. At the time of updating the 5th monitoring report (09/2015) the Consultants

noted no cases arising. What is arising in the construction process will be updated in the next monitoring reports.

### **3.2.5.3 SP45: Upgrading Road in 4 Northern communes of Tran Yen district**

60. The DMS was completed on 24/10/2014 and the Consultant updated it in the 3rd monitoring report. In the 5<sup>th</sup> monitoring report, the scope of impacts of SP45 is as follows: In Hong Ca commune, there are 108 households whose land, trees and crops are affected. The total affected area is 32,330.6 m<sup>2</sup>, in which agricultural land: 896.2 m<sup>2</sup>; forest land: 24,649.9 m<sup>2</sup>; aquaculture land: 60.8 m<sup>2</sup>, perennial land: 5,538.9 m<sup>2</sup> and others: 1,148.8. In Thinh Luong commune, there are 237 households whose land, trees and crops are affected. The total affected area is 19,731.5 m<sup>2</sup>, in which annual crop land: 423.3 m<sup>2</sup>; perennial land: 8,742.7 m<sup>2</sup>; forest land: 8,866.3 m<sup>2</sup>; agricultural land: 228.3 m<sup>2</sup> and industrial perennial land: 1,470.9 m<sup>2</sup>. No households are affected from 10% of productive land or more; no displaced households have to resettle. The number of vulnerable households is 106 households (included 44 poor households, 59 EM households and Single Women headed: 3).

61. Conclusions: In the 02 additional monitoring stages, the Consultant conducted in-depth interviews with affected households in Luong Thinh commune and Hong Ca commune. The total interviewees of the 02 communes were 79 affected households. The surveyed households said that they were involved in the inventory and measuring of affected properties. After inventory, all affected households were given the Minutes of Property Inventory of their families to check and make comparison. After checking, all households signed on the minutes of confirmation of inventory results and returned them to the Site Clearance Board. Any missing of inventory was reported promptly and the Site Clearance Board confirmed, inventoried and prepared additional plan.

### **3.2.5.4. SP45A: “Upgrading rural roads in 4 northern communes of Tran Yen district”(The section connecting Hong Ca commune - Khe Ron hamlet center and the section connecting Highway 37 - Hop Minh – My)**

62. At the monitoring time, the DMS of the Subproject was completed on 24/04/2015. There are 155 households whose land, trees and crops are affected. The total affected area and households' voluntary donation for the project are 32,834 m<sup>2</sup>, in which residential land: 765m<sup>2</sup>; garden: 3,689 m<sup>2</sup>; industrial perennial land: 490 m<sup>2</sup>; paddy land: 4,958m<sup>2</sup>; production forest land: 21,006 m<sup>2</sup>; pond: 1926 m<sup>2</sup>. There are also 14,348 m<sup>2</sup> of production forest of Viet Hung Forest Company and 28m<sup>2</sup> of ROW. No households are seriously affected on land (10% of the production land and more) or income. No households are displaced. 155 affected households, in total, voluntarily donated land for the Pproject. During the additional monitoring for SP45A, the Consultant found the minutes of voluntarily land donation of all 155 affected households with full signatures of both spouses.

63. Conclusions: According to the interview results, 72 affected households (of Hong Ca, Luong Thinh and Hong Cuong communes) confirmed that they grasped the full information of the project. All households in the consultation meeting said that "the inventory of affected

land is correct, households are directly involved in the inventory. They reviewed inventory records and certified them ... "

### 3.3 Compensation plan

#### 3.3.1 Lai Chau province

##### 3.3.1.1 SP19 Upgrading Nam Cay – Sin Cai Road, Phong Tho district

64. Decision No.2663/QD-UBND dated 21/11/2013 approves the compensation, assistance and site clearance plan for the Subproject “Upgrading Nam Cay – Sin Cai Rural Road”. The total compensation fund for affected households is 221,901,766 VND. The breakdown of the budget is as follows:

- Compensation for land: 139,659,460 VND
- Compensation for trees and crops on affected land: 1,144,096 VND
- Compensation for structures/fixed assets: 23,558,150 VND
- Assistance fund (assistance for poor households, which loss agricultural land): 57,540,060 VND

65. In the 4<sup>th</sup> monitoring stage (12/2014), the Consultant cooperated with communal authorities involved in the Project and representatives of local people to carry out the site survey in order to collect the actual information of land transaction in communes. The comparison between the actual land transaction information and the price specified in the compensation decision show that the compensation rate for land, trees, crops and structures essentially are equivalent with the unit price set by the province and are suitable with the unit price stated in the REMDP approved by ADB. The CARP was prepared by the DLFDC of Phong Tho district and posted at the CPC headquarters and villages for 20 days in accordance with the subproject regulations. When interviewed, the affected households said that they had no complaints/grievances about the CARP.

66. By the time updating the 5th monitoring report (9/2015): there is not any further land acquisition, so no additional compensation plan is required.

##### 3.3.1.2 SP20. Upgrading Nam Cuoi – Nam Han Road, Sin Ho district

67. Sin Ho DPC issued Decision No.935/QD-UBND dated 10/11/2013, approving the compensation, assistance and site clearance plan for the Subproject, Upgrading Nam Cuoi – Nam Han Road, Sin Ho district. The total compensation fund for affected households is 1,214,629,269 VND. The breakdown of the fund is as follows:

**Table 4. Summary of compensation fund for SP20**

No.	Items	Amount (VND)
	Compensation for land:	261,288,300
	Compensation for trees, crops on land:	49,890,514



	Compensation for structures/assets:	210,718,915
	Assistance fund (for poor households, and agricultural land loss):	692,731,540
	<b>Total</b>	<b>1,214,629,269</b>

68. In the 4<sup>th</sup> monitoring stage (12/2014), the Consultant cooperated with communal authorities involved in the Project and representatives of local people to carry out the site survey in order to collect the actual information of land transaction in communes. The comparison between the actual land transaction information and the price specified in the compensation decision show that the compensation rate for land, trees, crops and structures essentially are equivalent with the unit price set by the province and are suitable with the unit price stated in the REMDP approved by ADB. The CARP was prepared by the DLFDC of Phong Tho district and posted at the CPC headquarters and villages for 20 days in accordance with the subproject regulations. When interviewed, the affected households said that they had no complaints/grievances about the CARP.

69. By the time updating the 5th monitoring report (9/2015): there is not any further land acquisition, so no additional compensation plan is required.

### 3.3.1.3 SP21: Upgrading Ban Bo – Phieng Hoi Road, Tam Duong district

70. Tam Duong district People's Committee issued Decision No.2131/QD-UBND dated 23/12/2014, approving the Compensation, Support and Site Clearance Plan for the Subproject: Upgrading Ban Bo – Phieng Hoi Road. The total compensation cost for the affected households are 1,782,024,837 VND. The details are as follows.

**Table 5. Summary of compensation fund for SP21**

<b>No.</b>	<b>Items</b>	<b>Amount ( VND)</b>
	Compensation for land:	287,430,400
	Compensation for trees, crops on land:	141,569,144
	Compensation for structures/assets:	278,759,293
	Assistance fund (for poor households, and agricultural land loss):	1,074,266,000
	<b>Total</b>	<b>1,782,024,837</b>

71. In the 4<sup>th</sup> monitoring stage (12/2014), the Consultant cooperated with communal authorities involved in the Project and representatives of local people to carry out the site survey in order to collect the actual information of land transaction in communes. The comparison between the actual land transaction information and the price specified in the compensation decision show that the compensation rate for land, trees, crops and structures essentially are equivalent with the unit price set by the province and are suitable with the unit

price stated in the REMDP approved by ADB. The CARP was prepared by the DLFDC of Tam Duong district and posted at the CPC headquarters and villages for 20 days in accordance with the subproject regulations. When interviewed, the affected households said that they had no complaints/grievances about the CARP.

72. By the time updating the 5th monitoring report (9/2015): there is not any further land acquisition, so no additional compensation plan is required.

### 3.3.2 Lao Cai province

#### 3.3.2.1 SP 25: Upgrading Minh Tan – Kim Son Road, Bao Yen district

73. Bao Yen DPC issued 4 decisions for approval of CARPs for 325 affected households from the three affected communes of Kim Son, Minh Tan and Thuong Ha. The decisions include: a) Decision No.3126/QD-UBND dated 11/10/2012; b) Decision No.3450/QD-UBND dated 30/10/2013; c) Decision No.3451/QD-UBND dated 30/10/2013; and d) Decision No.3452/QD-UBND dated 30/10/2013.

74. The total approved compensation amounts is 3,258,417,623 VND, of which 2,809,948,123 VND have already been paid to affected households. The details of the approved compensation budget are presented in the following table:

**Table 6: Summary of compensation fund for SP25**

No.	Items	Amount (VND)
	Compensation for lands	971,466,100
	Compensation for assets	573,824,250
	Compensation for crops	392,769,390
	Assistance for social policy	676,498,384
	Assistance for poor households	195,390,000
	Cost of resettlement implementation	448,469,500
Total		<b>3,258,417,624</b>

75. In the 4<sup>th</sup> monitoring stage (12/2014), the Consultant cooperated with communal authorities involved in the Project and representatives of local people to carry out the site survey in order to collect the actual information of land transaction in communes. The comparison between the actual land transaction information and the price specified in the compensation decision show that the compensation rate for land, trees, crops and structures essentially are equivalent with the unit price set by the province and are suitable with the unit price stated in the REMDP approved by ADB. The payment of support to poor households was conducted under the project framework of resettlement approved by ADB.

76. At the 4<sup>th</sup> monitoring, the compensation to additional cases of 90 households was approved at the decisions: a) Decision No.4521/QD-UBND dated 31/12/2014; and b) Decision No.4522/QD-UBND dated 31/12/2014. Total compensation amount is VND 153,709, 090. The payment of which shall be acknowledged by the Consultant in the next monitoring.

77. By the time updating the 5th monitoring report (9/2015): there is not any further land acquisition, so no additional compensation plan is required.

### 3.3.2.2 SP26. Upgrading irrigation system in Van Ban district

78. The compensation for 160 affected households is based on 06 decisions of Van Ban DPC: Decision No.364; 365; 366/QD-UBND dated 13/06/2014; Decision No.443&444/QD-UBND dated 20/06/2014 and Decision No.739/QD-UBND dated 10/11/2014 on the adjustment of additional funding compensation and support for 03 affected households in Dan Thang commune.

79. The total amount of compensation to be approved is 4,603,990,083 VND, in which 4,299,788,003 VND were paid for affected households. The details of the approved compensation budget is presented in the Table 7 below:

**Table 7: Summary of compensation fund for SP 26**

No.	Items	Amount (VND)
	Compensation for lands	1,255,989,000
	Compensation for assets	178,649,753
	Compensation for crops	212,445,280
	Assistance for social policy and poor households	2,652,704,000
	Cost of resettlement implementation	304,202,050
<b>Total</b>		<b>4,603,990,083</b>

80. In the 4<sup>th</sup> monitoring stage (12/2014), the Consultant cooperated with communal authorities involved in the Project and representatives of local people to carry out the site survey in order to collect the actual information of land transaction in communes. The comparison between the actual land transaction information and the price specified in the compensation decision show that the compensation rate for land, trees, crops and structures essentially are equivalent with the unit price set by the province and are suitable with the unit price stated in the REMDP approved by ADB. The payment of support to poor households was conducted under the project framework of resettlement approved by ADB.

81. By the time updating the 5th monitoring report (9/2015): there is not any further land acquisition, so no additional compensation plan is required.

### 3.3.2.3 SP27: Revetment to protect banks of Ngoi Ma stream, Vo Lao commune, Van Ban district

82. The CARP was approved under Decision No.531/QD-UBND dated 04/09/2013 issued by Van Ban DPC. The total approved fund is 1,926,838.395 VND. The breakdown of the resettlement cost is found in Table 8 below.

**Table 8: Summary of compensation fund for SP 27**

No.	Items	Amount (VND)
	Compensation for land	479,820,200
	Compensation for assets and crops	272,838,150
	Social assistance policy	911,758,900
	Assistance for poor households	224,640,000
	Cost of resettlement implementation	37,781,145
	<b>Total</b>	<b>1,926,838,395</b>

83. The compensation unit prices applied in the CARP of Van Ban district is consistent with the official state valuation and similar to the replacement costs in the REMDP approved by the ADB.

84. For four additional households, the compensation was VND 12,680,600, which was paid and completed on 17/12/2014.

85. By the time updating the 5th monitoring report (9/2015): there is not any further land acquisition, so no additional compensation plan is required.

### 3.3.3 Phu Tho province

#### 3.3.3.1 SP28 -Upgrading Phu Lac - Dong Lac Road, Cam Khe and Yen Lap districts

86. Cam Khe DPC approved the CARP for the affected areas adjacent to the road section going through Cam Khe district with the issuance of Decision No.2326/QD-UBND dated 05 November 2013. The total compensation fund is 5,466,514,000 VND.

87. Yen Lap DPC approved the CARP for the works' section going through Yen Lap district with the issuance of Decision No.1696/QD-UBND dated 31 December 2013. The total compensation fund is 374,596,000 VND.

88. The total cost is broken into the following items as presented in Table 9:

**Table 9: Summary of compensation fund for SP28**

No.	Items	district of Cam Khe ( Decision No.2326)	district of Yen Lap ( Decision No. 1696)	Total amount
	Compensation for land	1,718,018,544	150,210,400	1,868,228,944
	Compensation for trees/crops	436,904,710	10,714,600	447,619,310
	Compensation for structures	2,449,680,842	98,762,357	2,548,443,199
	Assistance for social policy	730,424,280	94,603,187	825,027,467
	Assistance for vulnerable households stabilization	24,300,000	12,960,000	37,260,000
	Cost of resettlement implementation	107,186,568	7,345,456	114,532,024
<b>Total (rounded)</b>		<b>5,466,514,000</b>	<b>374,596,000</b>	<b>5,841,110,000</b>

89. In the 4<sup>th</sup> monitoring stage (12/2014), the Consultant cooperated with communal authorities involved in the Project and representatives of local people to carry out the site survey in order to collect the actual information of land transaction in communes. The comparison between the actual land transaction information and the price specified in the compensation decision show that the compensation rate for land, trees, crops and structures essentially are equivalent with the unit price set by the province and are suitable with the unit price stated in the REMDP approved by ADB. The CARP was prepared by the DLFDC and the district Compensation Board and posted at the CPC headquarters and villages for 25 days in accordance with the subproject regulations. The interviewed households expressed their satisfaction with the compensation prices as well as other supports.

90. By the time updating the 5th monitoring report (9/2015): there is not any further land acquisition, so no additional compensation plan is required.

### 3.3.3.2 SP29: Upgrading Thuong Cuu - Dong Cuu Road, Thanh Son district

91. The CARP was approved based on the Decision No.1467/2011/QD-UBND issued by Phu Tho province on determining prices of structures, assets, standing crops and trees in 2013. The CARP was intended to compensate affected households for affected fixed assets, standing crops, trees and provide other assistance for vulnerable households, since the affected land by the subproject implementation is voluntarily donated. CARP is implemented by DCARB of Thanh Son in compliance with Government regulations and Project policies. Public posting of CARP, collecting feedbacks and settling the feedbacks have been done. The interviewed affected households agree with the compensation unit prices.

92. By the time updating the 5th monitoring report (9/2015): there is not any further land acquisition, so no additional compensation plan is required.

### 3.3.3.3 SP30: Upgrading Yen Luong – Thuong Cuu Road in Thanh Son district

93. The compensation, support and site clearance plan was approved in Decision No.1117/QD-CTUBND dated 06/06/2014 by Thanh Son DPC, Phu Tho province. The approved total amount is 1,766,198,000 VND. The details are as follows:

**Table 10: Summary of compensation fund for SP30**

No.	Items	Amount (VND)
1	Compensation for crops and trees	965,197,000
2	Compensation for structures	592,810,000
3	Support dredging pond	21,118,000
4	Costs of resettlement implementation	135,630,000
5	Cost of resettlement implementation	51,442,000
<b>Total</b>		<b>1,766,198,000</b>

94. In the 4<sup>th</sup> monitoring stage (12/2014), the Consultant cooperated with communal authorities involved in the Project and representatives of local people to carry out the site survey in order to collect the actual information of land transaction in communes. The comparison between the actual land transaction information and the price specified in the compensation decision show that the compensation rate for land, trees, crops and structures essentially are equivalent with the unit price set by the province and are suitable with the unit price stated in the REMDP approved by ADB. The CARP was prepared by the DLFDC and the district Compensation Board and posted at the CPC headquarters and villages for 20 days in accordance with the subproject regulations.

95. By the time updating the 5th monitoring report (9/2015): there is not any further land acquisition, so no additional compensation plan is required.

## 3.3.4 Vinh Phuc province

### 3.3.4.1 SP40: Construction of Trieu De pumping station

96. The CARP was approved by Decision No.1821/QD-CTUBND dated 27 December 2013 issued by Lap Thach DPC of Vinh Phuc province. The total approved amount is 3,593,903,382 VND, of which 3,523,434,688 VND was paid for 94 affected households. The details are as follows:

**Table 11: Summary of compensation fund for SP 40**

No.	Items	Amount (VND)
1	Compensation for land	984,892,520
2	Compensation for crops and trees	84,868,017
3	Compensation for structures	294,696,173
4	Assistances for vulnerable households stabilization	2,158,977,978
5	Cost of resettlement implementation	70,468,694
<b>Total</b>		<b>3,593,903,382</b>

97. In the 4th monitoring stage (12/2014), the Consultant cooperated with communal authorities involved in the Project and representatives of local people to carry out the site survey in order to collect the actual information of land transaction in communes. The comparison between the actual land transaction information and the price specified in the compensation decision show that the compensation rate for land, trees, crops and structures essentially are equivalent with the unit price set by the province and are suitable with the unit price stated in the REMDP approved by ADB. The CARP was prepared by the DLFDC and the district Compensation Board and posted at the CPC headquarters and villages for 20 days in accordance with the subproject regulations.

98. By the time updating the 5th monitoring report (9/2015): there is not any further land acquisition, so no additional compensation plan is required.

#### **3.3.4.2 SP 41: Upgrading Ngoc My – Bac Binh, Xuan Hoa – Van Truc, Lien Hoa – Lien Son roads in Lap Thach district**

99. The CARP was approved by Decision No.1482/QD-CTUBND dated December 30, 2013 of Lap Thach DPC, Vinh Phuc province. The total approved amount is 6,367,706,775 VND, of which 5,640,911,286 were paid to 509 affected households. The details are as follows:

+ Compensation for crops, trees, structures: 2,078,223,824 VND

+ Compensation for aquaculture land: 236,096,569 VND

+ Compensation for residential land: 19,481,000 VND

+ Compensation for garden: 1,939,829,298 VND

+ Compensation for forestry land: 261,759,230 VND

+ Compensation for agricultural land: 1,121,418,765 VND.

+ Assistances for vulnerable households stabilization: 157,500,000 VND

100. In the 4th monitoring stage (12/2014), the Consultant cooperated with communal authorities involved in the Project and representatives of local people to carry out the site survey in order to collect the actual information of land transaction in communes. The comparison between the actual land transaction information and the price specified in the compensation decision show that the compensation rate for land, trees, crops and structures essentially are equivalent with the unit price set by the province and are suitable with the unit price stated in the REMDP approved by ADB. The CARP was prepared by the DLFDC and the district Compensation Board and posted at the CPC headquarters and villages for 20 days in accordance with the subproject regulations.

101. By the time updating the 5th monitoring report (9/2015): there is not any further land acquisition, so no additional compensation plan is required.

### 3.3.4.3 SP42: Upgrading Yen Duong bridge

102. The CARP was approved under Decision No.2755/QD-CT dated 4/10/2013 issued by Vinh Phuc PPC with the total compensation fund of VND 2,225,739,000, in which VND 2,182,096,586 were paid to affected households. The details are presented in Table 12 below.

**Table 12: Summary of compensation fund for SP 42**

No.	Items	Amount (VND)
	Compensation for land	692,355,174
	Compensation for crops and trees	55,852,000
	Compensation for structures	96,212,686
	Assistances for vulnerable households stabilization	1,337,677,208
	Cost of resettlement implementation	43,641,932
<b>Total</b>		<b>2,225,739,000</b>

103. In the 4th monitoring stage (12/2014), the Consultant cooperated with communal authorities involved in the Project and representatives of local people to carry out the site survey in order to collect the actual information of land transaction in communes. The comparison between the actual land transaction information and the price specified in the compensation decision show that the compensation rate for land, trees, crops and structures essentially are equivalent with the unit price set by the province and are suitable with the unit price stated in the REMDP approved by ADB. The CARP was prepared by the DLFDC and the district Compensation Board and posted at the CPC headquarters and villages for 20 days in accordance with the subproject regulations. The interviewed households expressed their satisfaction with the compensation and support prices.

104. By the time updating the 5th monitoring report (9/2015): there is not any further land acquisition, so no additional compensation plan is required.



### 3.3.5 Yen Bai Province

#### 3.3.5.1 SP43: Upgrading Road in 3 Northern communes in Luc Yen district

105. The preparation of the CARP is not necessary because the land donation was accepted by the DCARB following the conditions of the ADB.

#### 3.3.5.2 SP44: Upgrading An Binh and Lam Giang Road in Van Yen district

106. Van Yen DPC issued 4 decisions to approve the CARP including: (i) Decision No.2313/QD-UBND issued by Van Yen DPC dated 28/12/2013, on compensating for 50 households from An Binh commune with the total amount of 701,875,676 VND; (ii) Decision No.178/QD-UBND issued by Van Yen DPC dated 23/1/2014, on compensating for 93 households from An Binh commune with the total amount of 508,771,111 VND (iii) Decision No.1569/QD-UBND issued by Van Yen DPC dated 17/10/2013, on compensating for 372 households from Lam Giang commune with the total amount of 1,439,656,929 VND. (iv) Decision No.547/QD-UBND dated 13/3/2014, assistance under the REMDP approved by ADB for 26 vulnerable households from the two communes of An Binh and Lam Giang and supplementary compensation for 3 households with the total amount of 79,035,624 VND.

#### 3.3.5.3 SP 45- Upgrading Road in 4 northern communes of Tran Yen district

107. At the time of updating the 5<sup>th</sup> monitoring report, the compensation, support and resettlement plan for SP45 was approved by Tran Yen District People's Committee in the following decisions: (i) Decision No.2326/QD-UBND of Tran Yen District People's Committee dated 24/12/2014 for 108 affected households in Hong Ca commune with a total amount of 1,669,826,288 VND; (ii) Decision No.706/QD-UBND of Tran Yen District People's Committee dated 10/03/2015; Decision No.24/QD-UBND dated 14/01/2015; Decision No.3165/QD-UBND dated 29/07/2015 for 237 affected households on Thinh Luong range with the total amount of 1,575,732,621 VND. The details are presented: Compensation for land: VND 639,124,865; compensation for trees and crops: VND 493,064,700; compensation for property and structures: VND 515,220,344; Other policy support: VND 1,598,149,000 (In which: The policy support for vulnerable groups that have been fully paid for 47 affected households with total of 42.300.000 VND)

108. In the additional monitoring stage for SP45 (3/2015 and 8/2015), the Consultant cooperated with communal authorities involved in the Project and representatives of local people to carry out the site survey in order to collect the actual information of land transaction in communes. The comparison between the actual land transaction information and the price specified in the compensation decision show that the compensation rate for land, trees, crops and structures essentially are equivalent with the unit prices set by the province and are suitable with the unit price stated in the REMDP approved by ADB.

#### 3.3.5.4 SP45A “Upgrading rural roads in 4 northern communes of Tran Yen district”(The section connecting Hong Ca commune - Khe Ron hamlet center and the section connecting Highway 37 - Hop Minh – My)

109. At the time of updating the 5<sup>th</sup> monitoring report, the compensation, support and site clearance plan for SP45A is not prepared because the land donation was approved by the District Compensation Board pursuant to the conditions of the ADB and gets the consensus of the affected people in the communes of Hong Ca, Luong Tinh and Viet Cuong.

### **3.4 Payment of compensation**

#### **3.4.1 Lai Chau province**

##### **3.4.1.1 SP19: Upgrading Nam Cay – Sin Cai road, Phong Tho district**

110. All of 24 affected households received compensation money. The total payment by the PPMU amounts is 219,363,366VND. At the monitoring time, there is no arising issue.

##### **3.4.1.2 SP20. Upgrading Nam Cuoi – Nam Han Road, Sin Ho district**

111. All 98 affected households received compensation money. Total amount paid by PPMU is 1,207,003,269 VND as recorded the 3rd monitoring report.

112. At the 4th monitoring, the Consultant conducted random interviews of 07 households. The surveyed households said they were informed the payment time. They were shown the compensation amount and signed in the receipts. The procedure for receiving payment is conducted smoothly and conveniently for the affected households.

113. At the 5<sup>th</sup> monitoring report, no further arising incurred.

##### **3.4.1.3 SP21: Upgrading Ban Bo – Phieng Hoi Road, Tam Duong district**

114. At the additional monitoring time for SP21 (3/3 - 08/03/2015), the Consultants recognized and reflected in the additional monitoring report. Accordingly, the payment of compensation was completed for 106 affected households in the amount of 1,782,024,837 VND. In which: compensation for land: 287,430,400 VND; Compensation for trees and crops: 236,096,569 VND; Compensation for residential land: 141,569,144 VND; Compensation for property and structures: 278,759,293 VND and Other supports (included 32 vulnerable households): 1,074,266,000 VND.

115. The surveyed households said they were informed in advance of the time of payment; households received compensation and signed in the payment receipts. The procedure for receiving the money was smoothly and conveniently for the affected households.

#### **3.4.2 Lao Cai province**

##### **3.4.2.1 SP25: Upgrading Minh Tan - Kim Son Road, Bao Yen district**

116. All 325 (100%) affected households were paid their compensation, according to the report of the PPMU and the DCARB. The total amount of compensation paid to affected households is 2,809,948,123 VND.

##### **3.4.2.2 SP26: Upgrading irrigation system in Van Ban district**

117. Till 24/11/2014, the payment was completed for 160/160 (100%) affected households with the total compensation cost of 4,299,788,033 VND.

118. The payment of compensation was public and transparent. The affected households received full compensation and support money. They retained receipts of payment and have no opinions and questions.

### **3.2.1.1 SP27: Revetment to protect banks of Ngoi Ma stream, Vo Lao commune in Van Ban district**

119. At the monitoring time, all affected households were compensated. Among the compensated affected households, 44 poor households received the allowances following the entitlement matrix contained in the approved REMDP. The total amount paid to the affected households and the implementation cost is 1,926,838,395 VND.

120. All interviewed households said they received compensation from the district Compensation Committee and does not have any complaints about the payment.

## **3.4.3 Phu Tho province**

### **3.4.3.1 SP28 - Upgrading Phu Lac – Dong Lac Rural Road, Cam Khe and Yen Lap districts**

121. The payment of compensation for the subproject was completed on 26 January 2014. The total payment amount is 5,853,338VND for 734 affected households (100% of the approved budget). In the focus group discussions, the affected households said that they had received full compensation and the manner of the payments was transparent and convenient for them (affected households).

### **3.4.3.2 SP29: Upgrading Thuong Cuu – Dong Cuu Road, Thanh Son district**

122. At the monitoring time, the compensation and assistance was made to affected households and vulnerable households by the PPMU and the DCARB. The total paid amount is VND 985,758,000 VND. The details are presented in Table 13 below.

**Table 13. Summary of compensation fund for SP29**

<b>No.</b>	<b>Items</b>	<b>Amount (VND)</b>
	Compensation for crops and trees	216,015,000
	Compensation for structures	601,695,000
	Assistances for grave relation	15,120,000
	Assistances for policy households	152,928,000
	<b>Total (rounded)</b>	<b>985,758,000</b>

### **3.4.3.3 SP30: Upgrading Yen Luong – Thuong Cuu Road in Thanh Son district**

123. For Subproject SP30, the Consultant organized 02 additional monitoring trips:

- 1<sup>st</sup> monitoring trip (4-9/06/2014): Monitoring 59 additional households - Lot 1 (from Km00 - Km3 + 200). At the monitoring time, the compensation for the property on affected land for 59 households in Lot 1 (Km00 - Km3 + 200) completed. The compensation cost is 821,190,794 VND.

- 2<sup>nd</sup> monitoring trip (from 24-29/11/2014): Monitoring 55 additional households - Lot 2 (Km3 + 200 - Km9 + 465). At the monitoring time, the compensation for the property on affected land for 55 households in Lot 2 (Km3 + 200 - Km9 + 465) completed. The compensation cost is 893,565,000 VND.

### **3.4.4 Vinh Phuc province**

#### **3.4.4.1 SP40: Construction of Trieu De pumping station**

124. The compensation payment for the Subproject completed on 7 October 2014. The total compensation amount for 95 APs is 3,521,034,688 VND. In the focus group discussions, the affected households said they had received full compensation payment and the payment is transparent and convenient for them.

#### **3.4.4.2 SP41: Upgrading Ngoc My – Bac Binh, Xuan Hoa – Van Truc, Lien Hoa – Lien Son roads in Lap Thach district**

125. At the monitoring time, the compensation completed for 505 affected households with the amount of 5,640,911,286 VND. In which the compensation for trees, crops and structures is 2,078,223,824 VND; the compensation aquaculture land is 236,096,569 VND; the compensation for residential land is 19,481,000 VND; the compensation for garden is 1,939,829,298 VND; the compensation for forest land is 261,759,230 VND; the compensation for agricultural land is 1,121,418,765 VND. Assurances for vulnerable households stabilization: 157,500,000 VND.

126. The payment of compensation was made public and transparent. The affected households received full support compensation and retained receipts of payment and have no complaints and questions.

#### **3.4.4.3 SP42 - Upgrading Yen Duong Bridge**

127. All (100%) 108 affected households received compensation money for affected lands, crops, trees, and other fixed assets as well as graves and transition subsistence allowances. Being interviewed, households said that the payment procedures are simple and quick. The compensation payment completed.

### **3.4.5 Yen Bai province**

#### **3.4.5.1 SP43: Upgrading Roads in 3 northern communes in Luc Yen district**

128. There is not compensation because people voluntarily donate land.

### 3.4.5.2 SP44: Upgrading An Binh - Lam Giang Road in Van Yen district

129. All of 515 affected households (143 affected households in An Binh commune and 372 affected households in Lam Giang commune) received the compensation money for their affected land, trees, standing crops, structures as well as other assistances. The surveyed households said that the payment procedures were conducted smoothly and quickly. The compensation payment was made three times:

- First time, the payment was made in November 2013 with the amount of 2,634,910,149 VND.
- Second time, the payment was made on Feb 24<sup>th</sup>, 2014 with the amount of 15,393,571 VND.
- Third time, the payment was made on March 21<sup>st</sup>, 2014 with the amount of 79,035,624 VND.
- The total payment is 2,729,339,340 VND was paid to 515 affected households.

### 3.4.5.3 SP 45: Upgrading Roads in 4 northern communes in Tran Yen district

130. For Subproject SP45, the Consultant organized 02 additional monitoring trips.

131. 1<sup>st</sup> monitoring trip (3-8/03/2015): Monitoring for 108 additional households in the section (from km 11-km 6) in the commune of Hong Ca. At the monitoring time, the compensation for property on the land affected by the subproject completed for 108 households at the cost of: 1,669,826,288 VND.

132. The 2<sup>nd</sup> monitoring trip (from 27-29/08/2015): Monitoring for 237 additional households in Luong Thinh commune. At the monitoring time, the compensation for property on the land affected by the subproject completed for 237 households in Luong Thinh commune at the cost of 1,575,732,621 VND.

Conclusions: In the 2 additional monitoring visits, the Consultant conducted in-depth interview for households who received compensation money in 02 communes: Hong Ca and Luong Thinh. The households said that the payment of compensation was made in a public and transparent way. The surveyed households told that they had informed about the payment period, checked and signed on the Minutes of Compensation Calculation. The procedures of receiving are simple and convenient for affected households.

## 3.5 Site clearance and Resettlement

133. The total number of households affected by 16 sub-projects in 5 provinces is 3,620 households, in which 28 households are affected > 10% productive land & 2 households (SP20 Subproject – Upgrading Nam Cuoi – Nam Han Road, Sin Ho district, Lai Chau province) must resettle.

134. There are two displaced households for subproject SP20 - Upgrading rural road of Nam Cuoi - Nam Han - Sin Ho district, Lai Chau province, received compensation and built new houses, stabilized in new places. This was reflected in the 4<sup>th</sup> monitoring report.

135. At the time of updating the 5<sup>th</sup> monitoring report, there are not affected households to be displaced.

### **3.6 Grievance settlement**

136. Until the 5<sup>th</sup> monitoring mission (9/2015), there are no complaints/grievances from the affected households by 16 subprojects in 5 provinces.

### **3.7 Income and Livelihood Restoration Program**

137. Acknowledged in this monitoring, all five sub-projects of five provinces was done a good job regarding the payment of additional support made to severely affected households in accordance with regulations in the in the REMDP.

138. For 3,589 moderately affected households, the land acquisition of the project virtually has no negative impact on the lives, jobs and their incomes.

139. To improve the affected household income, the Consultant has proposed to the Provincial Project Management Unit, in collaboration with the contractors, to give preferential hiring for affected household members for unskilled works or other suitable works in the project during the construction process.

### **3.8 The compliance with the civil-work plan**

140. In the additional monitoring missions, the interviews with the affected households show that the support, compensation and site clearance was taken seriously by its implementers, so do the inventory of losses and computations of compensation payments, which are accurate and transparent. The affected households received the compensation money in full before the subproject started the construction.

141. The implementation of site clearance was consistent with the construction schedule of the civil packages. The payment of compensation to affected households was made prior to the construction implementation.

### **3.9 Evaluation of affected households on resettlement implementation**

142. The affected households affected by the Subproject have received full payment of compensation and assistance and satisfied with the resettlement implementation including: (i) dissemination of information; (ii) DMS; (iii) unit prices used in computing the compensation and assistance; and (iv) grievance redress mechanism.

## **IV. CONCLUSIONS AND RECOMMENDATIONS**

### **5.1. Conclusions**

143. As of 9/2015, the implementation of compensation, assistance and site clearance of 16 subprojects of 5 Lao Cai, Yen Bai, Vinh Phuc, Phu Tho and Lai Chau finished.

144. **Site hand over:** The sub-project completed the payment. 100% affected households who received compensation and allowances have handed over land for the project construction.

145. It is noted that at the monitoring time, displaced households have built new houses and their living becomes stable.

146. **Complaints and complaint settlement:** For 16 sub-projects which completed the payment, no complaints of affected households have been identified. All complaints identified from the 4th monitoring mission have been resolved satisfactorily.

## **5.2 Recommendations**

147. The PPMUs should cooperate closely with the contractors, the CPCs to promptly handle all arise issues if during the construction.

## ANNEX

### Annex 1. Summary of land acquisition and compensation

No .	Subprojects	Dissemination of information	DMS		Preparation of compensation plans	Appraisal and approval of compensation plans	Compensation payment	Land acquisition	Approved construction dates
		Started date	Started date	Completed date	Completed date	Approved date	Completed date	Completed date	
<b>I</b>	<b>Lai Chau province</b>								
1	SP19: Upgrading Nam Cay-Sin Cai Road, Phong Tho district	14/6/2012	20/11/2012	20/5/2013	30/8/2013	21/11/2013	30/11/2013	10/12/2013	06/02/2014
2	SP20: Upgrading Nam Cuoi - Nam Hani Road, Sin Ho district	25/5/2012	13/9/2012	13/5/2013	15/10/2013	10/11/2013	20/12/2013	30/12/2013	03/03/2013
3	SP21: Upgrading Ban Bo-Phieng Hoi Road, Tam	14/6/2012	1/12/2013	28/2/2014	30/6/2014	01/11/2014	30/03/2015	02/2/2015	11/12/2014



	Duong district								
<b>II</b>	<b>Lao Cai province</b>								
1	SP25: Upgrading Minh Tan - Kim Son Road, Bao Yen district	12/6/2012	15/10/2012	20/11/2012	23/8/2012	25/9/2012	9/11/2013	9/11/2013	11/12/2013
2	SP26: Irrigation system construction for Van Ban district	13/6/2012	23/9/2013	31/12/2013	25/1/2013	11/3/2013	11/10/2014	11/10/2014	01/12/2014
3	SP27: Revetment to protect banks of Ngoi Ma stream, Vo Lao commune in Van Ban district	17/4/2012	22/10/2012	27/10/2012	7/8/2012	17/9/2012	18/9/2013	18/9/2013	14/10/2013
<b>III</b>	<b>Phu Tho province</b>								
	SP28: Upgrading Phu Lac –	23/7/2013.	09/9/2013.	29/9/2013.	12/10/2013.	31/12/2013.	26/01/2014.	28/3/2014.	Lot 1: 02/01/2014 Lot 2: 14/04/2014

	Dong Lac Road, Cam Khe and Yen Lap districts								
	SP29: Upgrading Thuong Cuu – Dong Cuu Road, Thanh Son district	21/11/2013	02/12/2013	12/12/2013	31/12/2013	17/01/2014	04/3/2014	5/3/2014	14042/2014.
	SP30: Upgrading Yen Luong – Thuong Cuu Road, Thanh Son district	24/4/2014.	25/4/2014.	24/4/2014	11/05/2014	6/6/2014	20/10/2014	3/7/2014	17/09/2014 (Lot 1). 11/12/2014 (Lot 2).
<b>IV</b>	<b>Vinh Phuc province</b>								
1	SP40: Constructio n of Trieu De pumping station	3/20/2013	25/04/2013	25/11/2013	30/11/2013	27/12/2013	29/4/2014	29/4/2014	24/6/2014
2	SP41: Upgrading Ngoc My – Bac Binh, Xuan Hoa – Van Truc,	5/25/2013	25/11/2013	15/3/2014	17/4/2014	27/06/2014	20/12/2014	20/10/2014	11/12/2014

	Lien Hoa – Lien Son Roads, Lap Thach district								
3	SP42: Upgrading Yen Duong bridge	15/02/2013	20/4/2013	25/5/2013	15/6/2013	04/10/2013	25/10/2013	15/11/2013	29/11/2013
<b>V</b>	<b>Yen Bai province</b>								
1	SP43: Upgrading the roads of 03 northern communes of Luc Yen district	15/6/2012	28/7/2013	28/7/2013	Land donation	Land donation	Land donation	Land donation	26/09/2013
2	SP44: Upgrading An Binh - Lam Giang Road, Van Yen district	16/6/2012	1/12/1012	7/12013	11/12/2012	12/12/2012	21/3/2014	15/04/2014	14/04/2014
3	SP 45: Upgrading the roads of 4 northern communes, Tran Yen district, Yen Bai	15/10/2014	17/10/201 4	24/10/201 4	31/10/2014	10/1/2015	6/8/2015	20/1/2015	18/9/2015

4	province  SP 45A: Upgrading the roads of 4 northern communes, Tran Yen district, Yen Bai province	22/10/2014		24/4/2015	Land donation	Land donation	Land donation	15/6/2015	25/5/2015
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## Annex 2: Numbers of affected households

No.	Subprojects	Permanent affected households									Temp orary affect ed	Total
		Severely affected households			Slightly affected	Busin ess house holds	Vulnerable households					
		Total numbers	Losing from 10% of agricult ural land	Resettle d			Poor house holds	EM househ olds	Female headed househo lds	Social policy househ olds		
I	Lai Chau Province											
1	SP19: Upgrading Nam Cay-Sin Cai Road, Phong Tho district	-	-	-	24.0	-	4.0	24.0	-	-	-	24.0
2	SP 20: Upgrading Nam Cuoi-Nam Hani Road, Sin Ho district	-		2 -	96.0	-	-	98.0	-	-	-	98.0
3	SP 21: Upgrading Ban Bo-Phieng Hoi Road, Tam Duong district	-	-	-	106	-	32	101	-	-		106
	Total	-	-	-	226	-	35	223	-	-		228
II	Lao Cai province											
1	SP25: Upgrading Minh Tan - Kim Son Road, Bao Yen district		0	0	372	0	42	350	17			372
2	SP26: Construction of irrigation systems in Van Ban district		0	0	160	0	40	160	6			160

1	SP27: Revetment to protect banks of Ngoi Ma stream, Vo Lao commune in Van Ban district		0	0	117	0	44	113	5	5		114
	<b>Total</b>				<b>648</b>	<b>0</b>	<b>126</b>	<b>640</b>	<b>28</b>	<b>5</b>	<b>0</b>	<b>601</b>
<b>III</b>	<b>Phu Tho province</b>											
1	SP28: Upgrading Phu Lac-Dong Lac Road, Cam Khe and Yen Lap districts	6	6	0	728		32	10	3	2		734
2	SP29: Upgrading Thuong Cuu-Dong Cuu Road, Thanh Son district				124		37	124	3	2		124
3	SP30: Upgrading Yen Luong-Thuong Cuu Road, Thanh Son district				118		31	116	0	0		118
	<b>Total</b>	<b>6</b>	<b>6</b>		<b>970</b>		<b>100</b>	<b>250</b>	<b>6</b>	<b>2</b>		<b>976</b>
<b>IV</b>	<b>Vinh Phuc province</b>											
1	SP42: Upgrading Yen Duong Bridge	10	10		98		6		2			108
2	SP40: Construction of Trieu De Pump Station	12	12		83		2					95
3	SP41: Upgrading Ngoc My-Bac Binh Road, Xuan Hoa-Van Truc Road, Lien Hoa-Lien Son Road, Lap Trach district		3		509		33		3	23		512
	<b>Total</b>	<b>22</b>	<b>25</b>	<b>0</b>	<b>690</b>	<b>0</b>	<b>46</b>	<b>0</b>	<b>5</b>	<b>23</b>	<b>0</b>	<b>715</b>
<b>V</b>	<b>Yen Bai province</b>											
1	SP43: Upgrading rural roads of 3 communes in the north of Luc Yen district	0	0	0	31	0						31

2	SP 44: Upgrading An Binh- Lam Giang rural road, Van Yen district	0	0	0	515	0	26	0	0	0	0	515
3	SP 45: Upgrading the roads for 3 northern communes in Tran Yen district	0	0	0	354	0	44	59	3		0	354
4	SP 45A: Upgrading the roads for 3 northern communes in Tran Yen district	0	0	0	155	0	53	128	10		0	155
		<b>0</b>	<b>0</b>	<b>0</b>	<b>701</b>	<b>0</b>	<b>123</b>	<b>141</b>	<b>13</b>	<b>0</b>	<b>0</b>	<b>701</b>

### Annex 3. List of households involved in community consultation

No.	Full name	Address
	Lương Công Hiến	PGD TTPTQĐ huyện Trấn Yên
	Cháng A Sai	Vice – chairman of Hong Ca commune, Tran Yen District
	Ha Hung Bac	Thon Nam Hong – Hong Ca commune – Yen Bai
	Hoang Thi Canh	Thon Nam Hong – Hong Ca commune – Yen Bai
	Ha Thi Thuat	Thon Nam Hong – Hong Ca commune – Yen Bai
	Song A Cha	Thon Khuon Bo – Hong Ca commune – Yen Bai
	Trang Giong De	Thon Khuon Bo – Hong Ca commune – Yen Bai
	Trang A Cho	Thon Khuon Bo – Hong Ca commune – Yen Bai
	Trang A De	Thon Khuon Bo – Hong Ca commune – Yen Bai
	Ho A Chau	Thon Khuon Bo – Hong Ca commune – Yen Bai
	Tho Nha Chau	Thon Khuon Bo – Hong Ca commune – Yen Bai
	Tho Nha Chu	Thon Khuon Bo – Hong Ca commune – Yen Bai
	Giang Thi Lang	Thon Khuon Bo – Hong Ca commune – Yen Bai
	Trang Thi Hoa	Thon Khuon Bo – Hong Ca commune – Yen Bai
	Ha Cao Luan	Thon Nam Hong – Hong Ca commune – Yen Bai
	Trang A Sai	Thon Nam Hong – Hong Ca commune – Yen Bai
	Ha Ngoc Cuong	Thon Nam Hong – Hong Ca commune – Yen Bai
	Luong Thị Lam	Thon Nam Hong – Hong Ca commune – Yen Bai
	Hoang Trung Phi	Thon Nam Hong – Hong Ca commune – Yen Bai
	Pham Ngoc Hung	Chủ tịch UBND xã Lương Thịnh



	Nguyen Van Vuong	Thon Khe Vai – xã Luong Thinh – Yen Bai
	Nguyen Dai Huynh	Thon Khe Vai – xã Luong Thinh – Yen Bai
	Ha Cong Vu	Thon Khe Vai – xã Luong Thinh – Yen Bai
	Nguyen Thi Quyet San	Thon Dong Hao – xã Luong Thinh – Yen Bai
	Hoang Van Thoa	Thon Dong Hao – xã Luong Thinh – Yen Bai
	Tan Thi Xoe	Chairman of Ban Bo commune – Lai Chau
	Tan Chin Hung	Vice- chairman of Malypho commune – Lai Chau
	Vang Van Thanh	Ban Bo commune – Lai Chau
	Lo Van Duong	Ban Bo commune – Lai Chau
	Lo Thi Hanh	Ban Bo commune – Lai Chau
	Deo Van So	Ban Bo commune – Lai Chau
	Lo Van Kho	Ban Bo commune – Lai Chau
	Lo Van Chuan	Ban Bo commune – Lai Chau
	Ha Van Hoa	Ban Bo commune – Lai Chau
	Quang Van La	Ban Bo commune – Lai Chau
	Lo Van Dien	Ban Bo commune – Lai Chau
	Luong Van Khun	Ban Bo commune – Lai Chau
	Lo Van Sin	Ban Bo commune – Lai Chau
	Vu Dinh Giang	Hong Ca commune
	Hoang Thi Nhen	Hong Ca commune
	Hoang van Tien	Hong Ca commune
	Ngo Thi Sac	Hong Ca commune
	Ha Thi Thuat	Hong Ca commune
	Ha Hung Bac	Hong Ca commune
	Duong van Chi	Hong Ca commune

	Ha Manh Hung	Hong Ca commune
	Ha Trong Anh	Hong Ca commune