

# **Ethnic Minority Development Plan**

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May 2013

## **VIE: Renewable Energy Development and Network Expansion and Rehabilitation for Remote Communes Sector Project**

Subproject: Supply electricity for unelectrified Khmer  
households in SocTrang province - Phase 2

## CURRENCY EQUIVALENTS

Currency unit: Vietnam Dong (VND) and US dollar (\$)

Exchange rate on 18<sup>th</sup> April, 2013: \$1 = 20,828 VND

## ABBREVIATIONS

ADB	Asian Development Bank
AP	Affected People
CEM	Committee for Ethnic Minorities
CMB	Community Management Board
EMDF	Ethnic Minority Development Framework
EMDP	Ethnic Minority Development Plan
EVN	Electricity of Vietnam
MOIT	Ministry of Industry and Trade
NGO	Non – Government Organization
NTPPR	National Targeted Programs for Poverty Reduction
PMU	South Vietnam Power Project Management Unit
RERC	Renewable Energy Remote Commune
RP	Resettlement Plan
SPB	Social Policy Bank
SPC	Southern Power Corporation
STD	Sexually Transmission Disease
TOR	Terms of Reference
USD	United States Dollar
VND	Vietnam Dong
WU	Women’s Union



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## A. PROJECT BACKGROUND

### A.1 Project Rationale

1. Persistent poverty in mountainous and isolated communities in Viet Nam is closely connected to deficient infrastructure development including lack of electricity. The government's Socio-Economic Development Plan 2006–2010 puts a considerable emphasis on provision of rural infrastructure especially providing electricity to ethnic minority communities in mountainous and isolated areas. Provinces in mountainous areas have a good potential for hydropower development, which can be economically developed to meet the demand for electricity in the local communities and provide surplus electricity to the national grid.
2. The primary objective of the Renewable Energy for Remote Commune (RERC) Sector Project is to develop the rural electrification and renewable energy sector in Viet Nam to benefit the ethnic minority communities inhabiting remote and poorer parts of the country. The Project Component II will focus on grid extension and rehabilitation of distribution network serving poor communes in Soc Trang and Tra Vinh provinces in the Southern part of the country. It is expected that this Subproject will provide electricity to about 7,992 poor households in Soc Trang province.

### A.2 Subproject Setting

3. “Supply electricity for unelectrified Khmer households in SocTrang province. Phase 2 – using surplus fund” is aimed at improving the living conditions of people in rural areas, including the poor and most disadvantaged, through provision of basic infrastructure – power.
4. The subproject is expected to deploy in 51 communes/wards/town-ships in 11 city/town/districts in Soc Trang province (Table 1).

*Table 1 : Subproject Areas in Soc Trang Province*

No.	Administrative Units	Total in Province	In project area
1	City	01	01
2	Town	01	01
3	District	09	09
4	Ward	14	10
5	Town-ship	12	03
6	Commune	87	38

5. The project is supported by capital budget of EVN and loans from the ADB to expand the medium-low voltage distribution networks in Soc Trang province. The subproject will supply electricity to 13,181 households in Soc Trang mainly the ethnic Khmers. The implementation of the subproject will increase electrified households from 94.43% now to 96.14% and the rate of electrified Khmer households will increase from 85.86% at present to 94.52% after project completion in Soc Trang Province.

### A.3 Ethnic Minorities and Ethnic Minority Poverty in Viet Nam and in Soc Trang province

6. According to the current classification accepted by the Vietnamese government, 54 different ethnic groups are recognized in Vietnam. The majority Kinh (or Vietnamese) make 87% of the total population. The 53 ethnic minority groups are varying in size from 500,000 to a few hundred members each. Ethnic minorities account for 13% of the total population, but nearly a third (29%) of Vietnam's poor are ethnic minority people. Although government's policies and development assistance programs have focused on hunger elimination and poverty reduction for ethnic minority communities, their living standards have been still lower than the Kinh.
7. In Soc Trang province, the majority of the population is Kinh (64.26%). The Khmer ethnic minority accounts for 30.72% of the total population. The Hoa (Chinese) are small with only 5.02% in Soc Trang province (Table 2).

*Table 2 : The Distribution of Population in Soc Trang Province*

District/City/Town	Kinh population (%)	Khmer population (%)	Chinese population (%)
Chau Thanh	49.00	47.87	3.13
Ke Sach	88.51	10.92	0.57
My Tu	74.30	24.69	1.01
Nga Nam	92.36	6.64	1.00
Thanh Tri	61.63	34.32	4.05
Soc Trang city	64.04	23.25	12.71
Long Phu	70.63	28.57	0.81
Cu Lao Dung	93.54	6.38	0.08

District/City/Town	Kinh population (%)	Khmer population (%)	Chinese population (%)
Tran De	47.93	49.10	2.97
Vinh Chau town	29.39	52.86	17.75
My Xuyen	64.09	33.13	2.77
<b>Total</b>	<b>64.26</b>	<b>30.72</b>	<b>5.02</b>

*Source: Provincial Statistical Yearbook (2011)*

8. The Khmer have a long resident history in the South of Vietnam and has a unique ethnic culture. Khmer people live concentratedly in the provinces of Soc Trang, Vinh Long, Tra Vinh, Can Tho, Kien Giang and An Giang. Khmer population in Vietnam is about 1.3 million people (2009). Khmer people live in the Mekong Delta, which is strategically important with regard to the economy, security and national defense. The majority of Khmer live by farming, residence locality is mainly the rural areas where wet-rice is grown. Although hunger elimination and poverty reduction have been achieved to a certain degree, several socio-economic and infrastructure issues in the Khmer areas remain a serious problem.

#### **A.4 Legal and policy framework for ethnic minorities**

9. The definition of ethnic minority status in Vietnam is based on the following criteria:
  - *A language different from the national language;*
  - *Long traditional residence on, or relationship with, land, and long traditional social institutional system;*
  - *A self-provided production system; and*
  - *A distinct cultural identity and self-identification as a distinct cultural group that is accepted by neighbouring ethnic groups.*
10. Article 5 of the Constitution of Vietnam (1992) acknowledges equality and equal rights among ethnic groups, upon which also the Government policy and programmes on ethnic minority development are based upon. Articles 36 and 39 of the Constitution appoints citizens living in the mountainous regions as *national minorities* and instruct that they are given priority in education and health care services. A number of ethnic minority groups with especially small populations and lagging behind in development are defined as *especially difficult national minorities*.

11. Government has implemented a number of National Targeted Programs for Poverty Reduction (NTPPRs) and special support schemes through Government Decisions in order to provide funds for poor provinces, especially those with large ethnic minority populations with very high and persistent household poverty. A key policy targeting poverty issues is expressed through the *Program 135 (135/1998/QD-TTG)* dated 31 July 1998. It aims at poverty reduction through a socio-economic development program for communes with special difficulties in mountainous areas and far from centres of the country. The first phase 1998 – 2005 of Program 135 covered 1,715 communes and the ongoing second phase 2006–2010 is implemented in 1,644 of the country's poorest communes. Since the policy concerns hunger elimination and poverty reduction, ethnic minority issues appear prominently due to the strong correlation of ethnic minorities with poverty. The focus of Program 135 activities is on infrastructure (roads, small irrigation systems, clean water systems, schools, health centres, electricity, etc.) funded from multiple donor resources<sup>1</sup>.
12. Besides the 135 program, the government also implemented a number of other related programs such as: Program 134 (supporting production and residential land, housing and clean water for difficult ethnic minority households; The Program 139 (supporting health care and poor households' access to health services; and Program 159 (improving education infrastructure in ethnic minority areas). In very poor ethnic minority provinces, major part of the provincial budget is provided through NTPPRs and other government funds and subsidies.
13. The main vehicle for implementing government policies concerning ethnic minorities in the central level is the Committee for Ethnic Minorities (CEM), which is a Cabinet-level committee established in 1993. The task of CEM is to identify, coordinate, implement, and monitor projects targeted to ethnic minority development and has an own budget to be spent on the main programs and projects. At province level the Department of Ethnic Minorities is the implementing agency for development policies concerning ethnic minorities. At district level, Ethnic Minorities office under the district People's Committee has the role of coordinating and implementing the relevant affairs.
14. The state-owned *Social Policy Bank* (SPB), also previously called Bank for the poor, is providing micro loans targeted for poverty and ethnic minority households and households in communities that are classified by the Government as *extremely difficult areas*. To qualify for a loan from SPB, the borrower has to be member of a village-level micro credit group. Mass organizations (Women's Union, Farmers' Association, Fatherland Front and Youth Union) support these groups and further cooperate with SPB in disseminating information on loan availability, procedures and management. Mass organizations also give recommendations for priority listing of households for loan approval. Added to facilitating the SPB loan procedures, provincial Women's

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<sup>1</sup> World Bank, Australia, Finland, Ireland, Sweden, the UK.



Union also has a credit fund with funds from the national WU (i.e., governmental funding) to provide loans to poor WU members for income generation improvement.

## **A.5. Ethnic minority population in project areas**

### **a. Soc Trang province and population**

15. According to Provincial Statistical Yearbook 2011, Soc Trang province has natural area is 3,311.6 km<sup>2</sup>, including: Soc Trang city, Vinh Chau town and 09 districts with 87 communes, 12 town-ships and 14 wards. The total population of Soc Trang province (to December 31, 2011) is 1,303,700 people (in rural areas is 964,400 people, urban areas is 339,300 people), in which male is 647,900 people (account for 49.7%) and female is 655,800 people (account for 50.3%); population density is 394 people/km<sup>2</sup>.

### **b. Poverty Situation**

16. The Khmer in Soc Trang occupies quite a high rate of poor households compared to other ethnic groups (Kinh & Hoa) in the same locality. The poverty rate among Khmer is 60.63% of the total households in the project. (according to the list of communes under the renewable Energy Development and Network Expansion and Rehabilitation for Remote Communes Sector Project has been agreed between SPC and Soc Trang PPC). The State has invested quite a lot in the Southwest region which mainly focuses on development of infrastructure such as transport, electricity, health, culture, education and poverty reduction. However, actual living standard average of the Khmer is very low, power consumption average of the Khmer is only 10.2- 11.8%, which is too low compared with national average of 870kWh per capita per year.

### **c. Income Generation and Resource use**

17. The income per capita of Soc Trang province in 2010 was about 13.3 million VND/year which has been only 85% compared with the income per capita of Vietnam (15.6 million VND/year in 2012).
18. Basic characteristics of the ethnic minority communities are that they reside mainly in rural areas and live by farming and the ethnic people's literacy is low. Although they (the Khmer and Hoa) have their own languages that are different from the Kinh, they live in harmony with the Kinh people. The majority of ethnic minority children live and study together with the Kinh. They participate in cultural activities together with Kinh and share the prevailing economic opportunities which are open to Vietnam people in general.
19. Main income sources of ethnic minorities are crop production and animal husbandry. The Khmer mainly cultivate rice (wet rice), but the majority of people without cultivable land have to work as labourers. The main crops are wet rice, maize, cassava, beans and vegetables, etc. The main perennial trees are jackfruit, cashew, mango, etc. The main livestock are cattle, pigs, goats, and poultry (chickens, ducks, turkey, etc.). Aquaculture activities include shrimp and catfish farming. Furthermore, the Khmer

people are involved in some careers such as fishing, weaving, sugar-making from palmyra trees and pottery. Ceramic techniques is quite simple, key tool is K'leng, pedal (Chơ), not using turntable with no fixed kilns. Ceramic products are mainly household tools, typically kitchen (Cà ràng) and boiler (Cà om) which is popular using by the Vietnamese, Hoa (Chinese) in Mekong Delta.

#### **d. Infrastructure and social services**

20. Transportation infrastructure: Highway No.60 (Connects Soc Trang – Tra Vinh – Ben Tre - Tien Giang provinces); Waterway: From Soc Trang province can connects most of the provinces in Mekong Delta. All communes, wards and towns in project area are connected to the center by inter-district roads, inter-communal roads. These transportation systems also serve people favorable conditions on traveling, transportation of agricultural products and circulation of goods between localities.
21. Many social facilities such as kindergartens, primary schools, post offices and cultural houses are available in majority of communes and towns in the project area
22. Health care: 100% of communes, towns in project areas where ethnic minorities live have health stations, nursing and doctor staff for medical examination and initial treatment for people. Main income of people in communes, towns in project areas where ethnic minorities live is farm products (crops and breeding), the income per capita is 9.9 million VND/year. In which, the income per capita of Khmer people is 9.2 million VND/year.
23. Facilities: In general, many households (70.5%) have motorbikes for travel; the majority of households have televisions (57.9%) and/or electronics (radio) to serve entertainment needs; number of households with water pumps for productive irrigation is still less. Only a few households of ethnic minority households has condition to use clean water resources from water station (5.5%), the majority of households use domestic water from drilled wells (60.7%), dug wells (12.4%), the rest (21.4%) use water from other sources (rainwater, river, spring, streams). (see Table 3 for more details).

*Table 3. Water resources of households*

<b>District/City/ Town</b>	<b>Water resources of households (%)</b>				
	<b>Water-tap</b>	<b>Drilled well</b>	<b>Dug well</b>	<b>Rain water</b>	<b>Others</b>
Chau Thanh	0.56	0.13			2.25
Ke Sach	0.20	3.81			4.01
My Tu	0.44	3.07	0.15	1.79	2.15

District/City/ Town	Water resources of households (%)				
	Water-tap	Drilled well	Dug well	Rain water	Others
Nga Nam	0.15	5.66	0.08	1.82	2.48
Thanh Tri	0.56	8.34	0.13	0.51	0.44
Soc Trang city	1.87	0.13	0.05	0.13	0.13
Long Phu		5.58			
Cu Lao Dung		5.53		1.05	0.46
Tran De	0.92	2.53	0.23	0.33	0.61
Vinh Chau town	0.67	9.13	0.15	1.86	0.10
My Xuyen	0.18	16.75	11.65	1.23	
<b>Total</b>	<b>5.55</b>	<b>60.66</b>	<b>12.44</b>	<b>8.72</b>	<b>12.63</b>

24. Electricity supply: about 80.7% of households in the communes/wards of the project areas can access to national power grids, but only about 17.4% of households purchase directly from state owned power company, majority of households (82.6%) purchase from cooperatives, or tapping from neighbours, etc. with unit price 1.5 to 2 times higher than the EVN's unit price. (see table 4)

Table 4. Electricity supply for households

District/City/ Town	Electricity supply for households (%)			
	National power grid	Cooperatives' sources	Tapping from neighbours	Others
Chau Thanh	0.69		8.43	
Ke Sach	3.71		5.22	0.64
My Tu	0.05		6.17	
Nga Nam	0.26		4.97	0.24
Thanh Tri	1.79	0.08	6.94	0.05
Soc Trang city	3.34		5.62	

District/City/ Town	Electricity supply for households ( % )			
	National power grid	Cooperatives' sources	Tapping from neighbours	Others
Long Phu	2.84		3.5	
Cu Lao Dung	0.59	0.07	4.74	0.10
Tran De	0.03		3.35	0.13
Vinh Chau town	0.49	0.23	10.24	
My Xuyen	3.58		21.83	0.08
<b>Total</b>	<b>17.37</b>	<b>0.38</b>	<b>81.01</b>	<b>1.24</b>

25. Education: According to report of Soc Trang ethnic minority committee and report on socio-economic development in 2010, There are 245,256 students at all educational levels, of which 66,990 students are ethnic Khmer people (kindergartens: 9,435 children, primary schools: 37,941 pupils, secondary schools: 14,437 pupils, high schools: 5,177 pupils; in which, 1,667 pupils in 07 boarding schools for ethnic people). The Khmer language is taught in 160 schools with 1,635 classes/37,909 students (reached 65.8% of total Khmer students), and around 4,218 teachers at all educational levels in Soc Trang province.

#### A.6 Expected and potential positive impacts of subproject on ethnic minority communities in Soc Trang province

26. The subproject implementation will create premise for economic growth, improving spiritual and material life of ethnic minority households. It is expected to contribute to increase crops' productivity and agricultural products which make rural households' income higher considerably, thus facilitating the improvement of the socio-economy. Moreover, the subproject will facilitate the dissemination through television of scientific and technical knowledge as well as disseminating and propagandizing policies of the Party and State to each household. Investment to expand electricity grids in Khmer area of Soc Trang province create favorable conditions for more households to use electricity in domestic and production simultaneously, promoting the efficient reduction in poverty.

27. Along with other projects, power supply subprojects contribute to the successful implementation of family planning among Khmer in remote rural areas and the implementation of socio-economic development plan to the year of 2020 (includes electricity development plan) in Soc Trang province. Electricity for rural areas is an important factor, indispensable for industrialization. This aims to develop the socio-

economy, to accelerate poverty reduction, to improve material and spiritual life of ethnic Khmer and Hoa in the province of Soc Trang.

- a) The project will create jobs for people, and electrification will increase the employment opportunities: as the operation and maintenance of power supply systems, investment in machinery and equipment in other jobs to reduce labor, increase productivity and create employment opportunities for ethnic minorities.
- b) Use the power source of the EVN to save the cost of living, production costs (as the cost of other power sources is over 1.5 times higher than the price of EVN).
- c) Increased production and processing of crops and animal products
- d) The EVN's power source will increase the use of energy for industries such as factories, mills, crushers, etc.
- e) In addition, the household work will be greatly facilitated and made quicker as well by electricity. This will enhance family living with comfort, especially for women.

#### **A.7 Expected and potential negative impacts of subproject on ethnic minority communities in Soc Trang province**

28. The project is designed such a manner to minimise undesirable impacts on ethnic minorities, especially by restricting the need for Involuntary Resettlement. However, land acquisition is inevitable. The level of resettlement and land acquisition in Soc Trang province is summarized as follows<sup>2</sup> :

- Number of affected households: 3,907 HHs/650 Khmer HHs

In which:

- Number of households whose residential land (permanently and temporarily) affected by subproject: Nil
- Number of households whose land (permanently and temporarily) affected by subproject: 3,907 HHs/650 Khmer HHs
- Number of affected people: 14,023 people/2,541 Khmer people
- Number of households to be relocated/resettled: Nil
- Total area of public land permanently affected: 33,412 m<sup>2</sup>
- Total area of public land temporarily affected: 420,216 m<sup>2</sup>
- Total area of residential land permanently affected: 0 m<sup>2</sup>
- Total area of residential land temporarily affected: 0 m<sup>2</sup>

<sup>2</sup> Source: Resettlement Plan of this subproject.

- Total area of productive land permanently affected: 25,058 m<sup>2</sup>
- Total area of productive land temporarily affected: 242,211 m<sup>2</sup>
- Total houses/structures permanently affected: Nil
- Total houses/structures temporarily affected: Nil
- Average productive land per household permanently affected: 6.4 m<sup>2</sup>/HH
- Average productive land per household temporarily affected: 62 m<sup>2</sup>/HH
- Impacts on trees: 3,443 trees and 980 m<sup>2</sup> of bamboo

29. In fact, the construction of distribution power networks only affect individually at low level (Average productive land per household permanently affected is 6.4 m<sup>2</sup>/HH – occupy from 0.01% to 2.13% of their total productive land holding). None of ethnic minority households is severely affected on livelihoods and none of households have to be relocated/resettled. Most impacts on ethnic minorities land is temporary, only a few households will lose land permanently due to construction of pole/tower foundations. Therefore, the subproject will not cause serious impacts on cultural as well as socio-economic aspects in the whole ethnic minority communities (*see annex 5 – Impacts of the subproject*).

30. During the subproject implementation, there may be some risk factors affect to ethnic minority communities in the region. The subproject construction may bring in workers from other ethnic and cultural backgrounds staying in the area and influencing the local communities. This may lead to a risk of sexual exploitation of women, risk of sexually transmission diseases (STDs) and HIV/AIDS spreading. Diseases are infected primarily through injecting drug use and unsafe sex. Majoraty of infected people are at working age.

31. After project completion, the electrification will open up new jobs and income generation opportunities, which also attracts labors from the outside into the area. Electrification may also create some changes in production methods and efficiency through mechanization, Machinery used electric power will replace human labor to increase productivity and labor efficiency and reduce product costs.

## **B. OBJECTIVE OF THE EMDP**

32. Asian Development Bank's policy objectives concerning ethnic minority people are expressed in *The Bank's Policy on Indigenous Peoples* (April 1998) and *Operations Manual* on indigenous people (F3/BP& F3/OP, 25 september 2006). ADB policy recognizes the potential vulnerability of indigenous people in all development processes and aims to ensure that they have opportunities to participate in and benefit equally from development. The Bank's policy requirement is that development efforts should ensure that initiatives affecting indigenous people are effective and sustainable. Initiatives should be compatible in substance and structure with the affected people's culture and social and economic institutions, and commensurate with the needs,



aspirations and demands of the affected people. Planning of initiatives should take place in informed consent of the affected communities, and include respect for indigenous people's dignity, human rights and cultural uniqueness. ADB notion of *indigenous people* is basically comparable with the Vietnamese definition of *ethnic minorities*. The term "ethnic minorities" will be used in this report to substitute the term "indigenous people".

33. ADB's Policy on Indigenous Peoples (IPP) requires preparation of an Ethnic Minority Development Plan (EMDP) for all projects, which are likely to have impacts on ethnic minority communities. ADB's Policy is based on recognition of the vulnerability of ethnic minority communities to development processes, as well as the need to ensure their opportunities to participate equally in and benefit from development. If the project social and poverty analysis identifies ethnic minority people to be affected by or being beneficiaries of the project, a sub project specific Ethnic Minority Development Plan has to be prepared.
34. EMDP will in the relevant context of the specific project location address the (i) aspirations, needs, and preferred options of the affected indigenous peoples; (ii) local social organization, cultural beliefs, ancestral territory, and resource use patterns among the affected indigenous peoples; (iii) potential positive and negative impacts on indigenous peoples; (iv) measures to avoid, mitigate, or compensate for the adverse project effects; (v) measures to ensure project benefits will accrue to indigenous peoples; (vi) measures to strengthen social, legal, and technical capabilities of government institutions to address indigenous peoples issues; (vii) the possibility of involving local organizations and non governmental organizations with expertise in indigenous peoples issues; (viii) budget allocation; and (ix) monitoring.
35. The EMDP will ensure the culturally appropriate implementation of the sub project and proper social and economic benefits for the local ethnic minority people. It will:
  - (i) Ensure that the benefits from the sub project for ethnic minority people are proper and culturally appropriate
  - (ii) Avoid potentially adverse impacts on ethnic minority people
  - (iii) Minimize, mitigate or compensate for such effects when they cannot be avoided.
36. The EMDP will also be connected to the Project's: 1) *Consultation and Participation Strategy* which will provide guidelines for proper involvement of the affected people throughout the project, in all project planning and implementation activities; 2) *Resettlement and Compensation Plan* that is applicable if a sub project will lead to any relocation or loss of houses, land, or other assets; 3) *HIV/AIDS and Human Trafficking Prevention Program*; and 4) *Gender Strategy* which will ensure mainstreaming of gender aspects in all Project phases and activities, and women's involvement and benefiting from the Project.



## **C. DEVELOPMENT AND MITIGATION ACTIVITIES**

37. Most ethnic minority households supplied electricity by the subproject are poor. Most of them do not have necessary electrical equipment and not ready for electricity utilization. Thus, it is necessary for them to be assisted and aided to access to the benefits of the project through electricity utilization.

### **C.1. Ensuring Project Benefits and Promoting Productive Use of Electricity**

38. The subproject has to ensure that the affected ethnic minorities will be motivated and prepared for using electricity and that they will benefit from rural electrification. This subproject is in Component 2 of the Renewable Energy for Remote Commune Sector (RERC) project so this EMDP will comply with the requirements of the ethnic minority development framework (EMDF) for the RERC. Accordingly, for affected ethnic minority households the project will provide:

- Subsidizing connection costs
  - a. Wholly free grid connection cost to poor ethnic households in provinces under the Government's Special Program (equivalent to 40 USD or less for the other provinces).
  - b. The indoor power cord, bulbs and socket, etc. shall also be provided to such poor households by the SPC as part of electricity connection. Ensure that all the poor households in the project areas will be paid equally the electricity unit price regulated by the state.
- Training and propagandizing safety in electric utilization
  - a. After project completion, most people in subproject location have been provided electricity from the local power grid. Ethnic minorities are limited in knowledge of electrical safety, so it is vital that minority HHs should be carried out propaganda, leaflets and dissemination of information on electrical safety for ethnic minorities in communes in subproject location to ensure electrical safety. To organize training effectively, SPC and Soc Trang Power Company should cooperate with the People's Committees and mass organizations at commune/ward/town levels within subproject scale to identify training needs on electrical safety, and propagate grid safety for ethnic minority households, illiterate and other households (if requested). The cost for this work is in the contingencies of subproject.
  - b. Training on electrical safety, including:
    - Give leaflets to households, schools to disseminate safety regulations of the high-voltage grid, knowhow to recognize the dangerous signs of high-voltage transmission lines and guidelines on emergency measures against electric shock.



- Guid the local people and students in primary-secondary schools to identify the areas within ROW (of high-voltage, medium-voltage, low-voltage lines) and emergency measures against electric shock.
- Propagate about the ROW of power lines; what can be done and can not be done within the ROW.
- Provide professional training courses for ethnic minority households to be able to profit from the use of electricity.
- Provide facilities (such as credit under SPB), education and other incentives for ethnic minority people especially women to increase their income by using electricity on production.

## C.2. Credit assistance policy

39. The severe affected ethnic minority households (lost more than 10% of their total productive land) will be supported to get preferential compact credit loan. The financial support also includes a training program on how to make application, use and management of loans, financing.
40. SPC and Soc Trang Power Company should cooperate with the People's Committees and mass organizations at commune/ward/town levels within subproject scale to identify affected people groups, affected categories, research their needs of credit loans, negotiate with the Social Policy Bank for commission on giving priority to affected ethnic minorities compact credit loans and basically training them loans process, regulations, requirements, loan utilization and management.
41. Soc Trang Power Company and Financing Account Department of SPC involved rightly from the project preparation as intermediaries to connect the Social Policy Bank and minorities households need using assistance credit. Those households include households affected by the project and households not affected. The assistance credit of SPB includes: (i) Preferential loans for production development for the poor households<sup>3</sup>; (ii) Loan program for job changes; (iii) Loan programs to improve water systems and rural sanitation; (iv) preferential credits program for pupils and students...etc. SPC and Soc Trang Power Company worked with SPB to discuss support policy for ethnic minority households in the project areas and reach agreement on this issue.
42. Social Policies Bank (SPB) established by Decision No. 131/2002/QĐ-TTg October 4, 2002 of Prime Minister. The establishment of this bank to separate policy credit from commercial credit on the basis of reorganizing the Bank for the Poor. This is a great

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<sup>3</sup> Criteria of poor households is determined in accordance with national and local. National standards (in 2011) are poor people with average incomes below 400,000 VND per month (rural) and 500,000 VND / person / month (urban).

effort of the Vietnam Government in restructuring the banking system to implement the national program objectives and commitment to the international about "poverty reduction". SPB works on the principle of "no profit". The role of the SPB is important in implementing the credit policy of the Government's incentives to poor households and other subjects were receiving public assistance. The activities of the SPB will provide opportunities for the poor households to access to government's policy and supported to improve living conditions and poverty reduction. Currently, the SPB has branches in all provinces /cities in Vietnam.

43. Ethnic minority households have directly contact with a network of SPB's credit to be able to access assistant credits. At branches of SPB, the loan procedures are conducted according to regulations. Responsibility for management and repayment implementation of loan capital will be detailed discussions between SPB and borrower. These agreements are built on the basis of consultation with ethnic minority people affected and other local organizations.
44. SPC and Soc Trang Power Company will disseminate necessary information and assistance on the preparation of loan documents to support ethnic minorities have access to credit from SPB. The information will be disclosed to ethnic minorities households including:
  - *Objectives* of credit loan program.
  - *Beneficiaries*: are all ethnic minority people in the project area are considered beneficiaries of the credit loan program.
  - *Mechanism for loan*: the Social Policy Bank will issue capital for credit through the banking network, base on borrowers' approved records of credit loan program. Capital will move from the Soc Trang Bank for Social Policy Province to the Bank for Social Policy districts, from which the loan is transferred directly to the ethnic minority people (eligible borrowers) or through authorized organizations ( Women's Union, Farmers' Association, Fatherland Front, Youth Union). These organizations transferring loans must be specified from the beginning of project implementation.
  - *Loan repayment*: loan records should summary information about the main characteristics, economic status, repayment ability and available savings plan.
  - *Loan conditions*: The legally eligible borrower is Ethnic minority households in the project area and the demand for loans.

### C.3. Mitigation of potential negative impacts

45. The subproject will provide electricity for Khmer, Hoa and other minority people households, which creates favorable conditions to improve their livelihoods, production conditions and increase their incomes. Most ethnic minority households, however, have not prepared for electricity using due to lack of knowledge and lack of funds. The ethnic minorities cannot access electricity for domestic and production



development which could affect goals and effectiveness of the project. Therefore, it should have necessary support to ensure that ethnic minorities have access electricity after project completion.

46. To ensure the poor ethnic minority households are able to access project benefits, it is needed to find additional budget funds to provide subsidy of connection grid for these households as well as to strengthen communities' awareness of using electricity safely. Non-governmental organizations participate in the project will support and strengthen capacity of the CMBs, local executing agencies and beneficiaries. (*see Annex 7 "Terms of Reference for NGOs "*). Regard with compensation for the effects related to loss of land and asset of ethnic minority households, a Resettlement Plan (RP) was prepared for the project and will seriously comply.
47. To deal with the risk of HIV/AIDS or other sexual transmission diseases (STDs), during the project implementation, a HIV prevention program and human trafficking program will also be prepared and implemented in all communes within the project area. The construction workers, ethnic minority women and men in villages / hamlets of the project are propagated to master these programs' content. National HIV/AIDS Program are also deployed on all communes in the subproject. At present, in subproject communes in Soc Trang, the propaganda, dissemination information, raising awareness of the community regarding HIV/AIDS are done through the commune/ward health stations. At the village level, village heads are responsible for the implementation of this task. The provincial project management agencies make an agreement with the Soc Trang Department of Health to coordinate implementation National HIV/AIDS Program for all communes/wards in the subproject. NGOs participate in the subproject will also work with commune health clinics, and CMB to develop an effective approaching program to HIV/AIDS.
48. Similarly, for "Human Trafficking Prevention Program", the provincial PMU will work with agencies which undertake the "National Human Trafficking Prevention Program" of the local (Steering Committee of the National Crime Prevention of Women and Children Trafficking) to coordinate to implement this program to communes/wards. Non-governmental organizations will work with the communal/district level Women's Union to facilitate the program implementation.

**D. STRATEGY FOR ETHNIC MINORITY PEOPLE'S PARTICIPATION: CONSULTATION, PARTICIPATION AND DISCLOSURE**

49. All project activities and its impacts must be fully and accurately informed to relevant parties rightly in accordance with the Subproject Participation Strategy (see Annex 8 - Participation Strategy). Consultations will be arranged with the local authorities of communal/ward level, the village chief, the local mass organizations and affected households. At each communes, a Community Management Board is formed which consist of Commune leader, village leaders, representatives from local mass organizations, affected households (men, women, ethnic minority people and illiterate). Head of CMB will participate frequently in meeting with preparing and executing agencies. The Executing Agencies will also take periodically meeting and



discussion with CMB during the preparation and implementation. Contents and decisions from the meetings will be recorded in writing and stored in the Commune People's Committees.

50. In addition to regularly meeting with the CMB, the project implementation agencies (the PMU, Soc Trang Power Company) will hold at least one meeting in every commune within project location in subproject preparation and during subproject implementation period to ensure that subproject information is provided sufficiently to people, which make them have full awareness and understanding about the project content, the relevant risk and benefits. Affected households, beneficial households will be invited to these meetings, and especially encourages the participation of women and vulnerable households.
51. The aim of the consultations is that all the ethnic minority people who are expected to be affected by the project will be properly and timely informed about the project, its scope, compensation plan, implementation schedule and activities, as well as of expected impacts on the local community. They will learn about the benefits and opportunities of electrification, and what kind of support is available ( such as connection grid cost, micro credits...) for them to take new appearing opportunities to access and use electricity. The purpose of proper and timely information and consultation is that local stakeholders will gain a proper understanding of all the project issues that will affect them, and that all their concerns can be expressed and assessed in a timely manner. Villagers' opinions will be recorded in an appropriate way through minutes from the village meetings.
52. Any substantial concerns or claims brought up in meetings between PMU, CMB and local community representatives or in village meetings or through other consultations are required to be recorded and brought to the knowledge of project management to make necessary adjustments throughout the life cycle of the project.
53. Project information will also be posted in a central public location in each village, like in the traditional village leader's house, and centrally in the commune office. This information will be mostly pictorial in order to guarantee accessibility of the information for ethnic minority people with poor literacy skills.
54. The PMU communication with CMB and villagers will be facilitated and supported by the local district staff for ethnic minority issues in order to ensure that all information and communication with ethnic minority people will take place at a level, in a language and in a manner that is understandable for them.

#### **E. STRATEGY FOR ENSURING WOMEN'S INVOLVEMENT AND BENEFITING FROM THE PROJECT**

55. The "Gender Strategy" will be implemented to ensure project's benefits and prevent negative impacts on women. Gender Strategy relating to these project activities are: (i) governance community, (ii) awareness raising on the use of electrical safety and conservation, (iii) using production electricity through microfinance; (iv) HIV / AIDS,



STDs, and Human trafficking program, and (v) Resettlement. However, gender issues in part 2 (grid extension) is limited in a campaign to raise awareness about safe use of electricity and conservation and HIV / AIDS, STDs, and Human trafficking program. Here are specific measures to ensure the participation of women in project activities and benefit from the project:

56. Representatives of the Women's Union (WU) and the poor ethnic minorities women should participate in the CMB; Training activities to enhance capacity women members of the CMB will organize in project activities (planning, implementation and monitoring of project activities). Simultaneously, the poor ethnic minority women-households will be ensured to give subsidies of connection grid to access electricity; Ethnic minorities women should be increased accessibility to electricity utilization through training programs and technical assistance such as manual electrical safety, promoting productive use of electricity and income generation;
57. Organize training for members of the communal / ward Women's Union to facilitate to HIV/AIDs, STDs prevention programs; trafficking of women and children Program. Women in the community is the main target of this program. Information and materials for education campaigns about HIV / AIDs, STDs, trafficking prevention programs and promoting productive use of electricity and income generation will be studied, drafted and propagated in ethnic minorities languages and in accordance with their culture.
58. Assess specific micro finance needs of ethnic minority women ; conducting meetings with women's groups to provide information about the microfinance program and its potential to generate income, supplying and training them skills of loans to use microfinance effectively; ethnic minority women are householders and poor women is the main objective of improving income activities;
59. Gender strategy will be incorporated in the project Resettlement Plan (RP) to ensure that women of ethnic minorities be consulted for relevant issues such as inventory, land acquisition, compensation, etc. Where granting land, land use right certificates will be named both husband and wife. Interests in receiving compensation payments were also made to both husband and wife.
60. The subproject will ensure that ethnic minority women and poor women will participate in all project activities and can enjoy the subproject benefits. Project monitoring system will analyze and evaluate indicators of awareness of ethnic minority women on issues relating to Gender Strategy such as: awareness of resettlement, increasing awareness on the safety electricity utilization and awareness HIV / AIDS, human trafficking prevention programs, microfinance for use production electricity in income generation.
61. Strengthen the capacity and raise awareness of the executing agencies (the PMU, Soc Trang Power Company, local authorities at all levels, local mass organizations to implement the gender strategy as required by EMDP.

62. The PMU will hire an NGO (including an expert on gender) to prepare an action plan to implement the gender strategy .
63. The NGO will be made responsible by PMU to ensure that Gender Strategy is implemented in all stages of project cycle. NGOs will arrange special counsel sessions for women and provide information on safe electricity utilization for women of ethnic minorities. The dissemination of information related to the risk of HIV infection and human trafficking will do for the objects of men and women through individual consultations. NGOs will survey and evaluate opportunities to improve incomes for women, provide information and support for poor ethnic minority women access to micro credit from Social Policy Bank. NGO will build capacity for the communal / ward Women's Union (WU) in order to help them organize activities of the loan program at the commune / ward. NGOs will also support capacity building programs for women of ethnic minorities in the efficient use of credits for production and income generation activities, and training other concerned activities. NGOs will also survey, assess the opportunities for ethnic minority women for business such as garment, handicraft and small trade, and support women, ethnic minority groups based on their needs and aspirations to create sustainable income.

#### **F. INSTITUTIONAL ARRANGEMENTS FOR IMPLEMENTING THE EMDP**

64. Implementing and monitoring of all EMDP activities will be the responsibility of Executing Agencies (the PMU, Soc Trang power Company). Executing agencies frequently organize meetings, dialogues and coordinate with local authorities and CMBs in implementing and monitoring of all activities stated in this EMDP.
65. Community Management Boards which consist of Commune leaders, village leaders, representatives from local mass organizations, affected households will facilitate community development planning, implementation and monitoring of the Project activities especially for motivational and awareness work on proper and safe use of electricity, productive use of electricity for income generating activities on raising the awareness of all minority households about provisions in this EMDP. The CMBs will work to raise community awareness, to make conditions favourable for households to connect to electricity, productive use of electricity for income generation, and of HIV/AIDS and Human Trafficking Prevention Program. The NGO will work to enhance capacity of the CMB to perform its task effectively. The NGO will also work with Executing Agencies, local authorities and CMBs to implement the credit scheme to facilitate productive use of electricity, motivational work on use of electricity and other relevant works. And with the participation of the Khmer in all local organizations (Farmers' Association, Women's Union, Youth Union, Fatherland Front, etc.).

#### **G. BUDGET FOR EMDP IMPLEMENTATION**

66. Costs for implementation of the EMDP will be integrated into the project budget. The Project component *Promoting productive use of electricity* conducted by an NGO will be implemented under a separate budget.





#### 67. Source of budget for EMDP implementation

- Detailed expense of establishing the training program will be calculated separately.
- To save the expense, PMU and the organization involved in RP and EMDP need to combine all the meetings, training programs together and to be uniform for all implementing agencies.
- Detailed compensation cost will be calculated in RP.
- Cost estimate for implementation of the EMDP: estimate for training programs, activities of EMDP, particularly in the communes with affected ethnic minority communities:

*Table 5: Cost Estimate for Programs of EMDP*

No.	Item / Items	Details	Budget source	Total (VND)
1	EMDP information disclosure	1,000,000 VND / commune (ward) * 50 communes (wards)	The project's capital source	50,000,000
2	Electric safety training for local people and pupils	3,000,000VND/ commune (ward) * 50 communes (wards)	The project 's capital source	150,000,000
3	HIV/AIDs, STDs prevention program; women and children trafficking prevention program, etc.	1,000,000VND/ commune (ward) * 50 communes (wards)	The project 's capital source	50,000,000
4	Printing documents, leaflets of propaganda and information dissemination	100,000,000 VND	The project 's capital source	100,000,000
	<b>Total</b>			<b>350,000,000</b>
		<i>Contingency (10%)</i>		<i>35,000,000</i>
	<b>GRAND TOTAL</b>			<b>385,000,000</b>

## H. MONITORING AND EVALUATION<sup>4</sup>

68. The NGO will be engaged for supporting and facilitating the implementation of the EMDP, and for providing adequate capacity building for Executing Agencies such as PMU, Soc Trang Power Company, local authorities, mass organizations, CMBs and relevant staff in all activities and components of the EMDP. NGO will also support Executing Agencies in monitoring the planning and implementation all activities as EMDP's requirements.
69. Internal monitoring and evaluation the implementation of EMDP is the responsibility of the PMU. The programme of monitoring will include all activities of EMDP, benefits, time framework and budget .The internal monitoring information is stored in the PMU office by a storage system. Storage system is supplemented by periodical designed surveys to measure change compare with the base standard which is established in surveys and earlier entirely investigation. Periodical investigations focus on affected ethnic minority communities and benefit indicators.
70. Monitoring indicators will include information on:
- (i) Number/percentage of ethnic minority households (including poor and female-headed households) with subsidized grid connection.
  - (ii) Number of ethnic minority households (including the poor and female headed households) received free energy savings bulb.
  - (iii) Number of ethnic minority households (including the poor and female headed households) utilizing electricity in production/income generation. Also potential increase of income by productive use of electric power
  - (iv) Number/percentage of ethnic minority households (including the poor and female headed households) accessing micro credits and receiving project technical support for efficient utilization of credit for income improvement with electrification.
  - (v) Number of labourers displaced (men and women) due to mechanization of production process; Number of outsiders who have established business, manufactory in project areas of Soc Trang.
  - (vi) Number of households that have transferred land lease rights, mortgage rights, inheritance rights, bonus rights.
  - (vii) Number of HIV/AIDS cases found.
  - (viii) Number of young and adult (men and women) migrated outside the villages, districts and province.

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<sup>4</sup> Cost for monitoring and evaluation of this EMDP will be integrated with the cost for monitoring and evaluation of the RP of this subproject (be included in the budget of the RP).



- (ix) Number of human trafficking cases
- (x) Training programs with participation rate segregated by number of females and males.
- (xi) Details of M&E indicators to measure livelihood enrichment and income increase of HHs will be prepared by independent monitoring consultant.

## I. IMPLEMENTATION SCHEDULE

71. Detailed monthly EMDP implementation schedule will be prepared during the FS, in accordance with technical design and project implementation progress.

*Table 6: Implementation Plan*

Work items	Schedule
Community consultations/ interviews	October, 2012
Drafting and updating EMDP	November, 2012
Submitting EMDP	April, 2013
Implementing measures for mitigating negative impacts	June, 2013
Capacity and awareness raising support for ethnic minority people	August, 2013
Specific community development support for ethnic minority people	August, 2013
Monitoring and evaluation	July, 2013 – until civil works completed
Commencement of civil works (the civil works is expected to complete within 24 months)	from July, 2013 to until civil works completed

## 72. Grievance redress process

To ensure that claims and queries of project affected people regarding any contents of land acquisition, compensation and resettlement are settled in a timely manner and appropriately, and all roads are open to affected people to suit their claims as well as claim settlement mechanism needs to be set up. The important thing is all affected people should have clear awareness of project claim settlement mechanisms.

Mechanism for claim settlement and claim procedure will be made known to all project affected people through both an effective mass media campaign as well as through the network of ethnic minority leaders.

### **73.1 Content of claims**

Project affected people will be encouraged to send queries regarding any content of their right for compensation, compensation policy, unit rate, land acquisition, resettlement and right to receive rehabilitation assistance. Queries of project affected people can be in words or in writing. In case queries are in words, the board for claim settlement should rewrite in the first meeting with project affected people. Affected people will present their cases to the People's Committee of wards/communes/towns, People's Committee s of district/urban towns, and People's Committee of Soc Trang Province.

### **73.2 Grievance and Complaints Procedure**

In order to ensure that all APs' grievances and complaints on any aspect of land acquisition, compensation and resettlement are addressed in a timely and satisfactory manner, and that all possible avenues are available to APs to air their grievances. APs can utilize their normal civil rights at any stage of the process and access their legal system without necessarily having to go through the project-established GRM. For the project, a well defined grievance redress mechanism has been established and informed to APs. All APs can send any questions to implementation agencies about their rights in relation with entitlement of compensation, compensation policy, rates, land acquisition, resettlement, allowance and income restoration.

Grievances related to any aspect of the Project will be handled through negotiation aimed at achieving consensus. Complaints will pass through 3 stages before they could be elevated to a court of law as a last resort.

First stage, at the commune level: An aggrieved affected household may bring his/her complaint before the receiving department of the Commune People's Committee to be received and guided for necessary procedures. The CPC will meet personally with the aggrieved affected household and will have 5 days following the lodging of the complaint to resolve it (Note: in remote and mountainous areas, the complaint should be resolved within 15 days). The CPC secretariat is responsible for documenting and keeping file of all complaints that it handles.

Upon issuance of decision of CPC, the complainants can make an appeal within 30 days. If the second decision has been issued and the household is still not satisfied with the decision, the household can elevate his/her complaint to the DPC.

Second stage, at the district level: Upon receipt of complaint from the household, the DPC will have 15 days following the lodging of the complaint to resolve the case. The DPC is responsible for documenting and keeping file of all complaints that it handles.

Upon issuance of decision of DPC, the complainants can make an appeal within 30 days. If the second decision has been issued and the household is still not satisfied with the decision, the household can elevate his/her complaint to the PPC.

*Third Stage, at the provincial level:* Upon receipt of complaint from the household, the PPC will have 30 days (or 45 days in remote and mountainous areas) following the lodging of the complaint to resolve the case. The PPC is responsible for documenting and keeping file of all complaints.

Upon issuance of decision of PPC, the household can make an appeal within 45 days. If the second decision has been issued and the household is still not satisfied with the decision, the household can elevate his/her complaint to the court within 45 days.

*Final stage, the Court of Law Arbitrates:* Should the complainant file his/her case to the court and the court rule in favor of the complainant, then Provincial government agency will have to increase the compensation at a level to be decided by the court. In case the court will rule in favor of PPC, the complainant will have to receive compensation as described in the approved compensation plan and obey all requirements of land clearance.

To assure that the mechanism described above is pragmatic and acceptable to APs, consultation with local authorities and affected communities about this mechanism is needed, particularly consultation with vulnerable groups.

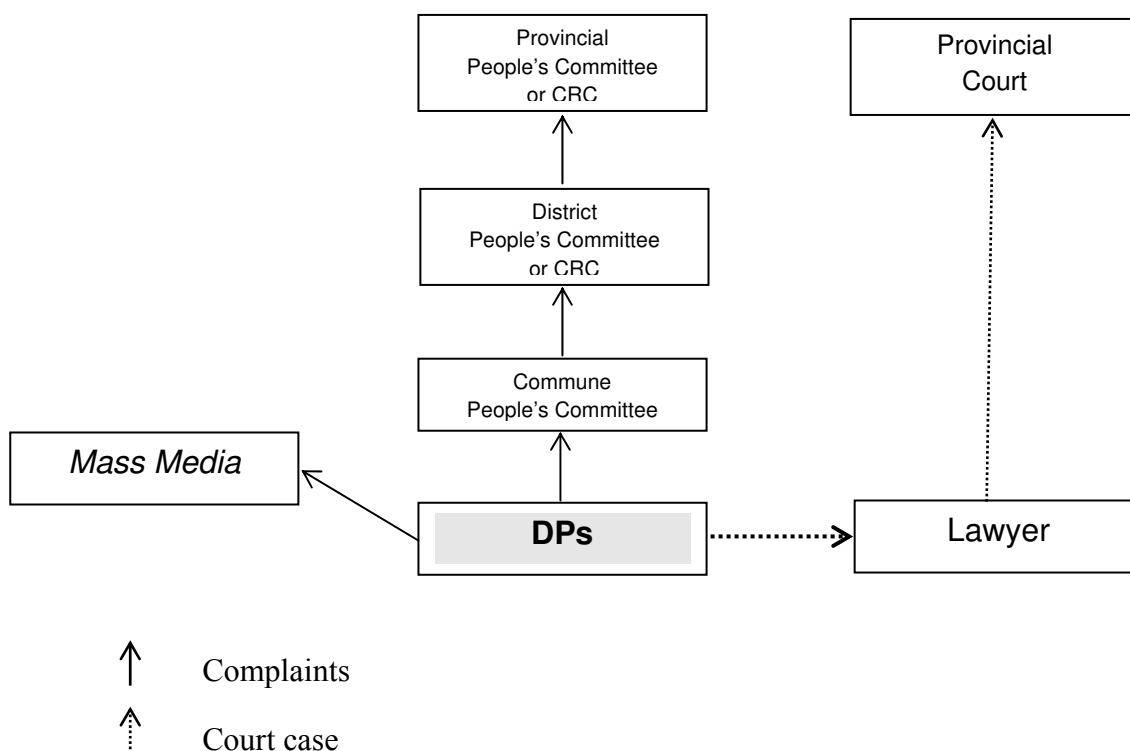


Figure 1 – Grievance Redress Administrative and Juridical Structures Available to DPs

## **ANNEXES**

- Annex 1: Map of project areas**
- Annex 2: Ethnic Minority Development Framework**
- Annex 3: Socio-Economic Survey Results**
- Annex 4: Proposal Action Plan**
- Annex 5: Impacts of the subproject**
- Annex 6: Expected Impacts of Electrification**
- Annex 7: TOR for NGOs**
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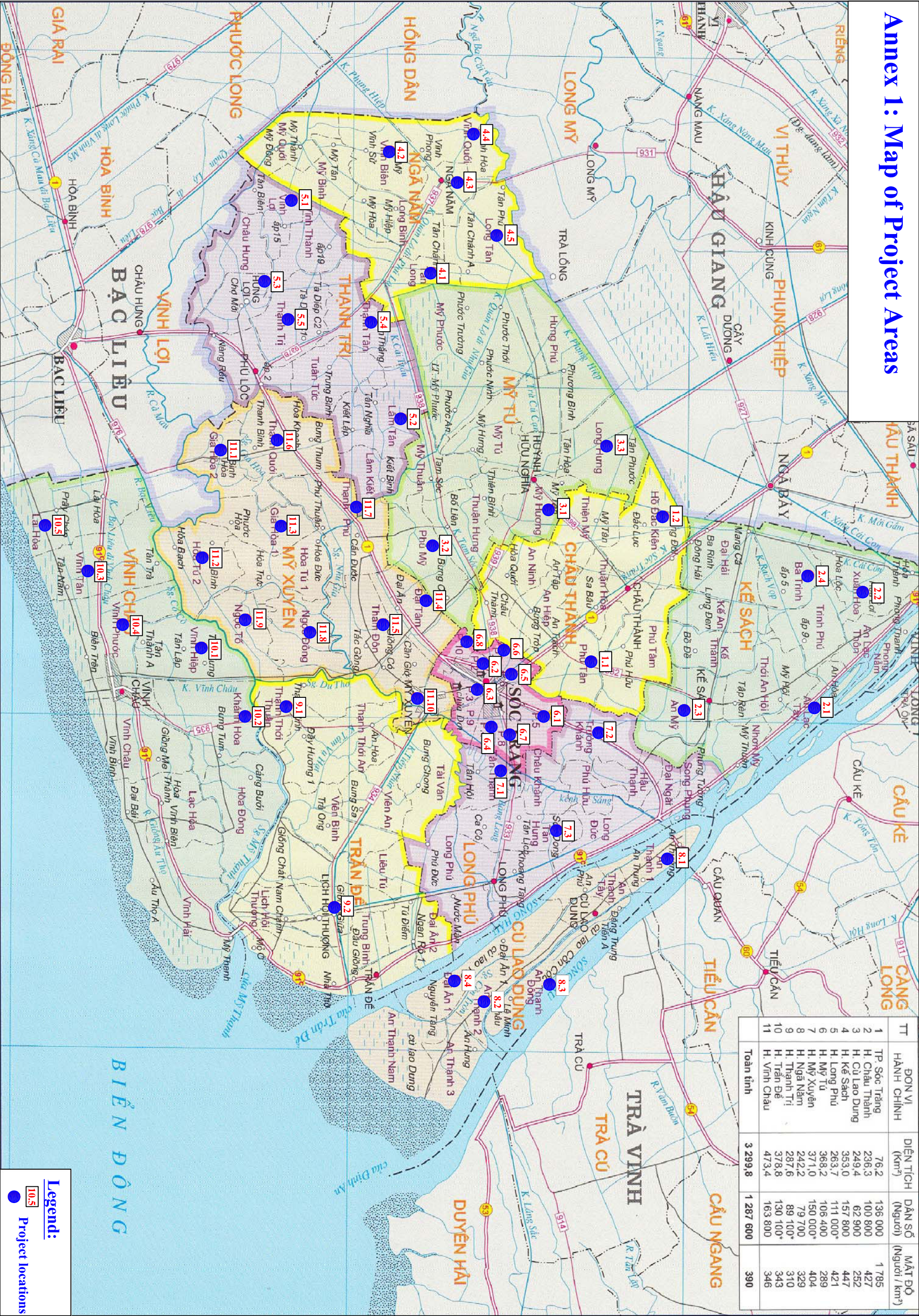
**Annex 1**

**Map of Project Areas**





Annex 1: Map of Project Areas





**Annex 2**

# **Ethnic Minority Development Framework**



# Ethnic Minority Development Framework

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Document Stage: Final  
ADB Project Number: 42182  
March 2009

## VIE: Renewable Energy Development and Network Expansion and Rehabilitation for Remote Communes Sector Project

Prepared by Power Companies 1, 2, 3 in cooperation with Viet Nam Electricity

The Ethnic Minority Development Framework is a document of the borrower. The views expressed herein do not necessarily represent those of the ADB Board of Directors, Management, or staff, and may be preliminary in nature.



## **ETHNIC MINORITY DEVELOPMENT FRAMEWORK**

### **A. Background and Context**

#### **1. Project Rationale**

1. Persistent poverty in mountainous and isolated communities in Viet Nam is closely connected to deficient infrastructure development including lack of electricity. The government's Socio-Economic Development Plan (SEDP) 2006–2010 puts a considerable emphasis on provision of rural infrastructure. Although the household electrification rate has increased from 51% in 1996 to 91% by 2007, the electrification rate in the remote Northern mountainous provinces is relatively low. The household electrification rate in the Lai Chau and Dien Bien Provinces is 36% and 56%, respectively. The low per capita consumption and low population density in remote areas makes grid extensions to provide electricity to these communities a financially unattractive proposition to the electricity utility. However, these provinces have a good potential for hydropower development, which can be economically developed to meet the demand for electricity in the local communities and provide surplus electricity to the national grid. The primary objective of the sector Project is to develop the rural electrification and renewable energy sector in Viet Nam to benefit the ethnic minority communities inhabiting remote and poorer parts of the country. The proposed Renewable Energy for Remote Commune (RERC) Sector Project consists of two investment components: (i) mini hydropower plants in Lai Chau, Dien Bien and other Northern provinces; and (ii) grid extensions and rehabilitation of distribution network in Dien Bien and Lai Chau provinces in the Northern, Quang Tri in the Central and Tra Vinh and Soc Trang provinces in the Southern part of the country. The Executing Agencies of the Project will be PC 1, PC 2 and PC 3 of Viet Nam Electricity (EVN). Rural Electrification Project Management Board (REPMB) of Ministry of Industry and Trade (MOIT) will set up a steering committee to coordinate and monitor the implementation of both the components of the sector Project.

2. Subprojects under Component 1 in Lai Chau, Dien Bien and other Northern and Central provinces will be chosen for further selection during the project preparation. Ethnic minorities constitute majority in the population in these provinces with household poverty rates in general far above the average 15% in Vietnam according to the official criteria: 45% in Lai Chau and 33% in Dien Bien, but significantly higher in remote communes in these provinces. The fast socio-economic development that has led to a general poverty reduction and living standards improvement in the country still remains to take place in these areas. Most households live in persistent poverty, with very low living standards and lacking alternatives for sustainable income generation. Electricity provision is one of the most important prerequisites for socio-economic development in remote mountainous ethnic minority communes. The project location therefore gives it a strong poverty and ethnic minority focus, and ethnic minority assessment will be centrally integrated into planning and implementation of all the subprojects: A subproject specific Ethnic Minority Development Plan (EMDP) will be prepared on each of the subprojects under Component I. For Component II, a Provincial EMDP will be prepared for those subproject areas where ethnic minorities constitute more than 20% of the population. Preparation of the subproject specific EMDPs will follow the guidelines of the Project EMDF.

3. The Project Component 2 will focus on grid extension and rehabilitation of distribution network serving poor communes in Dien Bien and Lai Chau Provinces in the northern, in Tra Vinh and Soc Trang provinces in the southern, and in selected provinces in the central part of the country. There are many un-electrified villages in communes, which are officially classified as electrified in that the commune centre is provided with electricity. It is expected that the Project will provide electricity to about 100,000 poor households in about 1,000 villages under this component. Component II implementation is not expected to have significant adverse or negative social impacts on local populations due to the limited scope of the constructions and the already existing infrastructure in the communes. A rapid social assessment based on a sample of communes in each Project province will be undertaken during the detailed Project

preparation by the TA consultant. Building on the social analysis, the TA consultant will prepare a Provincial EMDP for those districts where more than 20% of the population are ethnic minorities. These EMDPs will be implemented each by the Provincial Unit of Project Management Board (PMB) of the regional Power Company (PC1, PC2, PC3). The scope of Component II EMDP will be far less comprehensive than that of the subproject specific EMDPs in Component I due to the limited scope of the Project implementation activities and consequently the expected impacts on the affected and beneficiary ethnic minority populations.

## **2. Ethnic Minorities and Ethnic Minority Poverty in Viet Nam and in the Northern Project Provinces**

4. According to the current classification accepted by the Vietnamese government, 54 different ethnic groups are recognized in Vietnam. The majority Kinh (or Vietnamese) make 87% of the total population. The 53 ethnic minority groups are varying in size from 500,000 to a few hundred members each. Ethnic minorities account for 13% of the total population, but nearly a third (29%) of Vietnam's poverty classified people are ethnic minority people. Ethnic minorities are over represented in poverty statistics and their poverty is more persistent than among the Kinh.

5. In the Northern provinces with planned Project subprojects, large majority of the population consists of ethnic minorities. In Lai Chau 88% of the total population of 332,000 (12/2007) persons are divided into 14 different ethnic minority groups, and the province poverty rate is 45%. In Dien Bien province 80% of the 470,000 people consists of 20 different ethnic minority groups, Thai making 40% and Hmong 29% of the total population. Here province poverty rate (2007) is 33%. In the Dien Bien districts where subprojects are planned, in Tuan Giao with 69,000 inhabitants and poverty rate at 32%, five ethnic minority groups make more than 98% of the population, Thai (64%) and Hmong (28%) being the largest ones. In Dien Bien Dong district 57% of the population of 53,200 is classified as poor, and Kinh make less than 2% of the total population. Also here Hmong (54%) and Thai (32%) are the largest ones of the totally five ethnic minority groups. For the Southern and Central Project provinces the social assessment is under preparation.

## **3. Legal and Policy Framework**

6. The definition of ethnic minority status in Vietnam is based on the following criteria:

- (i) A language different from the national language;
- (ii) Long traditional residence on, or relationship with, land, and long traditional social institutional system;
- (iii) A self-provided production system; and
- (iv) A distinct cultural identity and self-identification as a distinct cultural group that is accepted by neighbouring ethnic groups.

7. Article 5 of the Constitution of Viet Nam (1992) acknowledges equality and equal rights among ethnic groups, upon which also the Government policy and programmes on ethnic minority development are based upon. Articles 36 and 39 of the Constitution appoint citizens living in the mountainous regions as *national minorities* and instruct that they are given priority in education and health care services. A number of ethnic minority groups with especially small populations and lagging behind in development are defined as *especially difficult national minorities*.

8. GoV has implemented a number of National Targeted Programs for Poverty Reduction (NTPPRs) and special support schemes through government Decisions in order to provide funds for poor provinces, especially those with large ethnic minority populations with very high and persistent household poverty. A key policy targeting poverty issues is expressed through the *Program 135 (135/1998/QĐ-TTĐ)* dated 31 July 1998. It aims at poverty reduction through a

socio-economic development program for communes with special difficulties in mountainous areas and far from centres of the country. The first phase covered 1,715 communes and the ongoing second phase 2006–2010 is implemented in 1,644 of the country's poorest communes. Since the policy concerns hunger elimination and poverty reduction, ethnic minority issues appear prominently due to the strong correlation of ethnic minorities with poverty. The focus of Program 135 activities is on infrastructure (roads, small irrigation systems, clean water systems, schools, health centres, electricity, etc.), funded from multiple donor resources<sup>1</sup>. Another central program focused on supporting production and residential land (houses) and water for difficult ethnic minority households is Program 134. The Program 139 is supporting health care and poor households' access to health services, and Program 159 is focused on improving education infrastructure in ethnic minority areas. In very poor ethnic minority provinces major part of the provincial budget is provided through NTPPRs and other government funds and subsidies (Lai Chau over 90% of the province budget).

9. The main vehicle for implementing government policies concerning ethnic minorities in the central level is the Committee for Ethnic Minorities (CEM), which is a cabinet-level committee established in 1993. The task of CEM is to identify, coordinate, implement, and monitor projects targeted to ethnic minority development and has an own budget to be spent on the main programs and projects. At province level the Department of Ethnic Minorities is the implementing agency for development policies concerning ethnic minorities, at district level this office has been integrated into the office of Agriculture and Rural Development.

10. The state-owned *Social Policy Bank* (SPB), also previously called Bank for the poor, is providing micro loans targeted for poverty and ethnic minority households and households in communities that are classified by the GoV as *extremely difficult areas*. To qualify for a loan from SPB, the borrower has to be member of a village-level micro credit group. Mass organizations (Women's Union, Farmers' Association, Fatherland Front, Youth Union) support these groups and further cooperate with SPB in disseminating information on loan availability, procedures and management. Mass organizations also give recommendations for priority listing of households for loan attainment. Added to facilitating the SPB loan procedures, provincial Women's Union also has a credit fund with funds from the national WU (i.e., governmental funding) to provide loans to poor WU members for income generation improvement.

#### 4. Potential Project Impacts

11. The aim of the Project is to provide inhabitants in poor remote communes with access to electricity at an affordable price. Electrification is expected to facilitate local socio-economic development in various ways. Electricity access would improve basic conditions for household production and income generation activities and business opportunities, healthcare and educational services, communications, entertainment and social life.

12. Subproject construction may lead to land losses for the local population, and some inhabitants may need to resettle. During the project implementation, there may be some risk factors affecting communities that are used to living a rather isolated life. Project construction may bring in workers from other ethnic and cultural backgrounds staying in the area and influencing the local communities. This may lead to a risk of sexual exploitation of women, risk of STDs and HIV spreading during the project construction period. Electrification opens up for some new income bringing and labour opportunities, which may also bring workers from the outside into the area. In the remote mountainous areas there is some potential for e.g. small-scale wood processing industry with electricity, however, until road infrastructure is improved significantly for transportation of products this potential remains minor. Yet if outsiders take the few new business and labour opportunities, the income generation effect for local ethnic minority households will fail to realize. Electrification may also cause changes in production methods and efficiency through mechanization, which may lead some households to improve

<sup>1</sup> WB, IFAD, Australia, Finland, Ireland, Sweden, the UK.

their production through agricultural machines while the others will not be able to afford it. The EMDP that according to ADB requirements has to be prepared for any project with significant effects on ethnic minority people, will assess both how any potential negative effects can be avoided or mitigated, and the kind of support ethnic minority people in the project locations will need in order to benefit from electrification. Subproject specific EMDPs under Component I and the Provincial EMDPs under Component II will be based on the Project Ethnic Minority Development Framework (EMDF).

## **B. ADB Policy and the Objectives of the EMDF**

13. ADB policy objectives concerning ethnic minority people are expressed in *The Bank's Policy on Indigenous Peoples* (April 1998) and *Operations Manual* on indigenous people (F3/BP & F3/OP, 25 Sept. 2006). Accordingly, "An IPDF is a policy and procedural framework for IPDPs that are developed for subprojects, components, or investments, and that are to be approved during loan implementation. An IPDF sets out the indigenous peoples policy together with the screening and planning procedures, which apply to subprojects, components, or investments that are to be approved during loan implementation" (Paragraph 9, F3/OP). ADB policy recognizes the potential vulnerability of indigenous people in all development processes and aims to ensure that they have opportunities to participate in and benefit equally from development. The Bank's policy requirement is that development efforts should ensure that initiatives affecting indigenous people are effective and sustainable. Initiatives should be compatible in substance and structure with the affected people's culture and social and economic institutions, and commensurate with the needs, aspirations and demands of the affected people. Planning of initiatives should take place in informed consent of the affected communities, and include respect for indigenous people's dignity, human rights and cultural uniqueness. ADB notion of *indigenous people* is basically comparable with the Vietnamese definition of *ethnic minorities*. The latter term will be used in all the Project documentation to substitute the term *indigenous people*.

14. ADB policy requires that each stage of a project will be screened in order to ascertain its impact on ethnic minority people. In project preparation, an Initial Poverty and Social Analysis (IPSA) is required to determine likely affects of the project on ethnic minorities and identify what level of planning is to be needed to address impact during the project preparation. If a project is likely to have significant positive or negative impacts on ethnic minority people, an EMDF and/or EMDP is required to avoid negative impacts and ensure appropriate benefits.

15. The impacts of a project on ethnic minority people will be considered significant if it is expected positively or negatively (i) affect their customary rights of use and access to land and natural resources; (ii) change their socioeconomic status; (iii) affect their cultural and communal integrity; (iv) affect their health, education, livelihood, and social security status; or (v) alter or undermine the recognition of indigenous knowledge.

16. According to ADB policy all project interventions affecting ethnic minority people must be:

- (i) Consistent with the needs and aspirations of affected ethnic minority people;
- (ii) Compatible in substance and structure with affected ethnic minority people's culture and social and economic institutions;
- (iii) Conceived, planned, and implemented with the informed participation of affected communities;
- (iv) Equitable in terms of development efforts and impact; and
- (v) Not imposing the negative effects of development on ethnic minority people without appropriate and acceptable compensation.

17. EMDF is applicable for the RERC Project, as ethnic minorities are present in the Project area, they will be affected by the Project and be major beneficiaries of it. EMDF provides a framework for the necessary consultation process and information dissemination for preparation of a specific EMDP for each subproject in the Northern provinces.

18. ADB's Policy on Indigenous Peoples is followed in parallel with other Bank policies. Accordingly, the concern for ethnic minority people is integrated into all applied policies and project components, into all steps of project planning, implementation and monitoring.

### **C. Selection of Subprojects under Component I and II**

19. The selection criteria for subprojects under Component I at this stage have been based on global values on energy cost level, amount of energy to be produced, the number of beneficiary households and the attraction factor. No assessment of any subproject specific social effects or any ethnic minority factors have been considered in the preliminary selection of potential subprojects. The highest ranked subprojects will be assessed in detail through a feasibility study to be conducted during the subproject preparation. Subprojects under Component II are part of the existing governmental rural electrification program.

20. Full social impact assessment will be prepared during the feasibility study by an international consultancy team on each planned subproject, assessing the magnitude of positive and negative impacts on all the affected and beneficiary ethnic minority households. It will follow ADB requirements for social analysis. No subproject that would lead to such negative impacts on ethnic minority people that cannot be alleviated, mitigated or compensated properly will be selected for implementation. After preparation of each EMDP for subprojects under Component I and the Provincial subproject EMDPs under Component II these EMDPs will be sent to ADB for approval.

### **D. Strategy for Ethnic Minority People's Participation**

21. Great majority of the population in the Project provinces are ethnic minority people, and a subproject specific Ethnic Minority Development Plan, EMDP will therefore be prepared for every planned subproject under Component I and every province with district having 20% ethnic minority population under Component II, based on the project EMDF. EMDP will ensure culturally appropriate implementation of the subproject and proper social and economic benefits for the involved ethnic minority people. It will:

- (i) Ensure that the benefits from the subproject for ethnic minority people are proper and culturally appropriate;
- (ii) Avoid potentially adverse impacts on ethnic minority people; and
- (iii) Minimize, mitigate or compensate for such effects when they cannot be avoided.

22. The EMDP will also be connected to the Project's: (i) *Consultation and Participation Strategy* which will provide guidelines for proper involvement of the affected people throughout the Project, in all Project planning and implementation activities; (ii) *Resettlement and Compensation Plan* if a subproject will lead to any relocation or loss of houses, land, or other assets; (iii) *HIV/AIDS and Human Trafficking Prevention Program*; and (iv) *Gender Strategy* similar to core subproject to ensure women's involvement and the benefit of the Project to women.

#### **1. Principles for Project Ethnic Minority Development**

23. The principles to guarantee that the project implementation will have positive development effects for involved ethnic minority communities include:

- (i) Social impact analysis on each planned subproject;
- (ii) Participatory strategy for social, poverty and gender analysis;
- (iii) Participation of ethnic minorities in all project activities is encouraged to guarantee that they will benefit from the project in a culturally appropriate way;

- (iv) Negative impacts on ethnic minority people should be avoided or minimized by investigating all alternative viable options for project implementation;
- (v) Preparation of resettlement and compensation plans to address negative impact of loss of land and asset;
- (vi) Preparation of EMDPs that will be carried out with full participation of the ethnic minority people involved in each subproject; and
- (vii) Schedule, budget and institutional responsibilities for EMDPs implementation will be included in each subproject plan.

## **2. Principles for Ensuring Participation of the Affected Ethnic Minority People**

24. For subproject specific planning and preparation of EMDP under Component I and II, all the ethnic minority people and different ethnic minority groups in the project areas will be identified. The major project beneficiaries will be recognized, and the scope of the project impacts on each ethnic minority group defined. Both the anticipated opportunities for improving living standards and livelihoods and reducing poverty, and the potential risks for ethnic minority people will be properly assessed. Environmentally sensitive issues like forest ownership and utilization and socially critical issues like increasing presence of people from other ethnic and cultural backgrounds in the local setting will be identified and measures how these will be assessed in project implementation will be given. The potential risk of HIV/AIDS and Human Trafficking will be assessed in each subproject location and accordingly a prevention program will be included in the EMDP.

25. Ethnic minority people involved in the project will be consulted in their own ethnic language and in a culturally proper manner and at a level that is understandable for them. They will be given adequate information of the project, its design, expected positive and negative impacts, and implementation schedule and activities, in order to ensure proper understanding and make it possible for ethnic minority people to participate and benefit from the project in an appropriate way throughout the project planning and implementation.

26. Ethnic minority people's opinions, needs and aspirations will be made clear and recorded during the consultation process, and be brought into the project implementation plan and into preparing the EMDP.

## **3. Preparation of Subproject Specific EMDP**

27. An EMDP will be prepared for each hydropower subproject under Component I and each ethnic minority province under Component II. According to the ADB Operations Manual on Indigenous People, an acceptable EMDP should address<sup>2</sup>:

- (i) Aspirations, needs, and preferred options of the affected ethnic minority people (men and women);
- (ii) Local social organization, cultural beliefs, ancestral territory, and resource use patterns among the affected ethnic minority people;
- (iii) Potential positive and negative impacts on ethnic minority people (men and women);
- (iv) Measures to avoid, mitigate, or compensate for the adverse project effects;
- (v) Measures to ensure project benefits will accrue to indigenous peoples strategy;
- (vi) Measures to ensure Project benefit will accrue to women and children;
- (vii) Measures to strengthen social, legal, and technical capabilities of government institutions to address ethnic minority issues;
- (viii) Possibility of involving local organizations and non governmental organizations with expertise in ethnic minority issues;
- (ix) Budget allocation; and

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<sup>2</sup> OMS-F3/OP:12

(x) Monitoring.

28. The subproject specific EMDP for each of the Component I and II subproject involving ethnic minorities to a significant extent will accordingly assess these issues, based on the project EMDF.

29. The Social Impact Assessment (SIA) including Social, Gender and Poverty Analysis that will be conducted during the subproject feasibility study, will deliver a Summary Social Analysis with special attention to social organization, cultural habits, and land and resource use among the affected ethnic minority people. It will also justify the purpose of the subproject specific EMDP. The SIA will assess all the potential and expected positive and negative impacts on ethnic minorities, suggest measures to avoid, mitigate and compensate the negative impacts and measures to ensure the benefits for all ethnic minority people involved in the project. Preparation of the subproject specific plans and actions according to the project *Consultation and Participation Strategy*, *Gender Strategy* and *HIV/AIDS and Human Trafficking Prevention Program* will also build upon the SIA including the Social, Gender and Poverty Analysis. Subproject specific *Resettlement and Compensation Plan* will also be based on the findings and recommendations of the SIA.

#### 4. Consultation and Participation Strategy

30. All project activities that will potentially impact on ethnic minority people will be consulted with them and conditions will be prepared for their full participation in all project phases, following the *Project Consultation and Participation Strategy*. The Provincial Unit of Project Management Board (PMB) will be responsible for implementing the Strategy. Consultations will be arranged with formal commune and village leaders and any existing community-based organizations at the specific location. Participatory village meetings will be organized in order to ensure that all the involved people have full awareness and understanding about the project content. These meetings will be regular and scheduled to follow set milestones throughout the project phases. It is crucial to invite all villagers to the meetings, and especially encourage participation of women and of the most vulnerable households.

31. Many ethnic minority people in remote communes, especially women, are not fluent in the Vietnamese language and their reading skills are limited. It is therefore important that all information and communication with ethnic minority people will take place in their own ethnic language and in a way and at a level that will enable low educated ethnic minority people to understand the content. All information and communication with ethnic minority people has to take place using participatory methodology and with emphasis on pictorial instead of written information.

32. Provincial Unit of PMB will set up routines for regular dialogue with community leaders or with a group of representatives for the affected people chosen by the villagers at a village meeting. Communication will be supported by the province level Ethnic Minority Office or the district level officials dealing with local ethnic minority issues in order to ensure that all concerns, conflicts and grievances can be expressed and assessed in a timely manner.

33. The aim of the consultations is that all the ethnic minority people who are expected to be affected by the project will be properly and timely informed about the project, its scope, implementation schedule and activities, as well as of expected impacts on the local community. They will learn about the benefits and opportunities of electrification, and what kind of support is available (such as micro credits) for them to take new appearing opportunities. Proper and timely information is a prerequisite for the ethnic minority people to fully understand and participate in the project in all different phases and be able to benefit from electrification.

34. If the subproject implementation will lead to land losses, loss of assets, and/or relocation, the affected people have to receive timely information about the planned procedures. The

Province Unit of PMB will provide the affected people with assistance to fully understand their rights to compensation and grievances, as well as of the compensation and grievances procedures. Individual consultations will be arranged with each affected household, their losses will be identified and their expectations brought into the detailed relocation and compensation planning. This planning as well as the implementation of land compensation allocations and resettlement will be conducted in full participation with the affected people.

## 5. Potential Negative Impacts of the Project and their Mitigation

35. **Land acquisition and relocation.** Implementation of subproject may imply that ethnic minority people will lose land and/or assets and be relocated from the project area. In such cases, following informed consultations with the affected people, a subproject specific *Resettlement and Compensation Plan* will be prepared, following ADB *Policy on Involuntary Resettlement* and mitigation and compensation implemented accordingly.

36. **Loss of work and income generation opportunities due to changes in production techniques.** Electrification will enable increasing mechanization in agricultural and forest production. However, it is difficult for very poor ethnic minority people to take any new opportunities due to lack of knowledge and lack of funds. Often the better-off households take the available new opportunities, which easily for the poorest ones lead to loss of manual work opportunities and income. This kind of potential development will be countered under Component I through (i) special support for the poor and marginally poor households to plan how to improve their income and access micro credits from the Social Policy Bank and the mass organizations for income generation activities; (ii) technical support to poor and marginally poor households for improving production and income generation with electrification; and (iii) building up an affordable production machines leasing system benefiting the poor and marginally poor. This support will be implemented through the Project component *Promoting productive use of electricity*.

37. **Marginalization of ethnic minority people.** Electrification will open up for new production and income generation opportunities in low-productive areas. Potentially new people, especially from the majority population, will find opportunities for resource utilization and income generation in the remote newly-electrified locations. If the available opportunities are taken by outsiders and the majority population, the gap between the poorest ethnic minority people and the better-off people risk to further augment. Cost of electricity may moreover constitute an obstacle for poorest ethnic minority households for utilizing electricity to improve their living standards and income generation. This kind of potential development will be countered by free electricity connection. Under Component I access to micro credit will be facilitated for poor ethnic minority households for improving their income earning opportunities.

38. **Increasing vulnerability of women.** Poor ethnic minority women are currently the most disadvantaged group as to living standards and economic development in Vietnam. They typically live in the most isolated and unprivileged areas, many of them cannot read and write or communicate fluently in the Vietnamese language, which make them isolated with few contacts outside their own ethnic group. They have little ability to take any new available opportunities or change their traditional patterns in production or housework, which easily may lead to their increasing marginalization in income generation and production activities following electrification. They are also vulnerable to be utilized by potential immigrating male workers following project implementation. *Gender Strategy* has been prepared for the core subproject and similar strategies will be prepared for other subprojects as relevant. Targeted actions to prevent negative and enhance positive impacts on women will be implemented through the national HIV prevention program and human trafficking program. The program will provide information especially to women on the risks and prevention of HIV, STDS, abuse and trafficking of girls and women. Under Component I information and support on safe and efficient use of electricity and support on productive use of electricity and income generation development will be



provided as detailed in the Project component *Productive use of electricity*. All these measures will focus on preventing negative and enhancing positive impacts of the Project on women.

## **6. Measures for Promoting Ethnic Minority Households' Connection to Electricity and Productive Use of Electricity**

39. The goal of the project is to provide infrastructure for household electrification in currently non-electrified remote areas. Most project beneficiaries are extremely poor ethnic minority households with poor preparedness for electricity and willingness to pay for it. Poverty households both lack motivation for electrification and have no knowledge on how to utilize electricity in daily life or in production. Many poor households receive free kerosene from the government, and currently have none or very low costs for lightning. The Project therefore will create motivation for electrification among poor targeted ethnic minority households, and provide them understanding of safe use of electricity. Under Component I support will also be provided in skills and capacity to utilize electricity through access to micro credits.

40. Connection costs and electricity tariffs consequently will constitute an obstacle for poor households to benefit from the electricity provision provided by the project. The Project will provide subsidized grid connection to the poor ethnic minority households in provinces under the Government's Special Program. In other provinces, the PCs will seek additional grant funding with the assistance of ADB to provide subsidized grid connections. The poor households will receive a subsidy of \$40 for or half of the actual connection cost, whichever is the lower. The house wiring for electricity bulbs and electricity socket shall also be undertaken for such poor households by the PCs as part of electricity connection. Poor ethnic minority households in any subproject location will be ensured that they receive subsidized grid connection. All households will pay for electricity as per law.

41. Electricity is expected to improve conditions for household income generation and make possible new kinds of income bringing activities. However, local ethnic minority people may not take the available new opportunities due to limited knowledge and financial capacity. The first prerequisite for ethnic minority households to benefit from electricity is for them to learn to use electricity in a proper way and to hinder accidents. In order to promote productive use of electricity, an NGO will be engaged by the project under Component I to support the existing micro credit channels (Social Policy Bank and Women's Union) and provide technical support in subproject areas for ethnic minority people. During the project implementation the beneficiary households will be assisted by the Project NGO in identifying sustainable income generation opportunities with electricity, accessing micro credits and supported with technical capacity building to utilize credit in an efficient way for improving household income and reduce poverty, through e.g. utilization of agricultural machines like threshers, slicing machines, grinders and through other productive activities. This support is outlined and will be implemented under the Project component Promoting productive use of electricity.

## **7. Mechanism for Grievances and Conflict Resolution**

42. One of the aims of the consultation process and regular meetings is to minimize incidences of dissatisfaction among the project-affected people. Local stakeholders' opinions and concerns will be part of the project planning and implementation. The participatory approach will encourage people to raise any concerns before conflicts may appear. However, if any beneficiaries of the project are not satisfied with deliveries or compensation received or any other issue, village leaders will make a grievance through the Community Management Board (CMB) to the PMB. The CMB has a representative from each ethnic minority village and each ethnic minority group. The complaint will be assessed and negotiated into a solution between PMB and CMB, with support from Commune People's Committee (CPC). However, if the conflict is not solved amicably, it will be taken to the Project Steering Committee (SC) under the MOIT.

## **8. Disclosure**

43. It is crucial that all communication concerning the Project with ethnic minority people will take place at an appropriate manner. Information will be delivered in their own ethnic language and in a culturally proper way. Among ethnic minorities many people, especially elder persons and women, are not fully literate and their knowledge in the Vietnamese language is limited. Therefore public meetings will be arranged in villages, using participatory methodology and ethnic minority language. Information will be posted in a central public location like in the village leader's house in each village and be mostly pictorial in order to guarantee accessibility of the information for ethnic minority people with poor literacy skills.

44. Local people's opinions will be recorded in an appropriate way through minutes from the village meetings. Notes also will be taken from all regular meetings between PMB and village leaders or village representatives chosen at village meetings. All the concerns from involved people will be recorded this way and brought into the project planning and for making necessary adjustments in the activities throughout the project phases whenever needed. Any concerns or claims brought up in village meetings or other consultations will be recorded in the same way. EMDP will be disclosed at district level in a public meeting including all relevant stakeholders. The EMDPs will be web-posted as part of ADB's Public Communication Policy.

### **E. Institutional and Procedural Arrangements under Component I and Component II**

45. Implementation of each subproject specific EMDP will be the responsibility of the Provincial Unit of the Project Management Board (PMB). PMB will also be responsible for monitoring that all the activities throughout the Project are taking place in a culturally appropriate way for the involved ethnic minority people. Under Component I, PMB will be supported by the Project NGO. Under Component II the PMB and the Project NGO will also cooperate with the Committee for Ethnic Minorities (CEM) and the district offices dealing with ethnic minority issues in preparation and implementation of the EMDP.

46. To facilitate community level planning, implementation and monitoring of the Project activities especially for motivational work, awareness on proper and safe use of electricity, productive use of electricity for income generating activities, at the commune level a Community Management Board (CMB) will be formed. The CMB will consist of Commune leader, village leaders (men and women), representatives from mass organizations and the field staff of the Project NGO. The task of the CMB will include assisting PMB and the consultancy team with community involvement in planning of subprojects, preparation of social assessment and social impact assessment, motivational and awareness work in the community, planning of income generating activities for individual households and enterprises through micro credits from the Social Policy Bank and Women's Union, and implementation of HIV/AIDS and Human Trafficking Awareness program. In case of resettlement in a sub-project, the CMB will also assist Provincial Unit of PMB in planning and implementing the Resettlement and Compensation Plan. The CMB will conduct community level monitoring of motivational work, households connection to electricity, productive use of electricity for income generation, and of HIV/AIDS and Human Trafficking Awareness Program. The Project NGO will develop capacity of the CMB to perform its task effectively. The NGO will also work with CMB to implement the micro credit scheme for productive use of electricity, motivational work on use of electricity and other relevant Project work.

### **F. Budget and financing**

47. A cost estimate for implementation of each EMDP for Component I subprojects and Component II Province EMDP will be integrated into the project budget with potential land acquisition, resettlement and compensation costs. Funds to implement the activities and measures defined in the EMDP will be included in the Executing Agency budget. A project NGO to be engaged for facilitation and supporting the planning and implementation of the EMDP, of

capacity building of the relevant staff in the province, and of the Productive use of electricity component under Component I will have a separate budget under the TA.

## **G. Monitoring and Evaluation**

48. The goal of the EMDF is to ensure that: (i) the Project will benefit the involved ethnic minority communities, (ii) that negative impacts are avoided to the greatest extent possible, and (iii) when negative impacts are unavoidable, these are mitigated and compensated properly. The impacts of each subproject on ethnic minorities will be documented using community-based participatory impact monitoring according to the *Consultation and Participation Strategy* of the Project. The subproject specific EMDP will identify and include specific indicators for monitoring the impacts of the project on involved ethnic minority people. It will be the responsibility of each Provincial Unit of the PMB to set up routines for internal supervision and monitoring of activities against the set goals during the project implementation in order to monitor the success of the project in reaching the set goals after the project implementation. Added to the internal monitoring, an external monitoring and evaluation will be conducted by an independent consultant specialized in ethnic minority and rural livelihoods development.

49. Monitoring indicators will deliver information on:

- (i) Number/percentage of ethnic minority households (including poor and female-headed households) with subsidized grid connection;
- (ii) Number of ethnic minority households including the poor and female headed households received free energy savings bulb;
- (iii) Number/ percentage of ethnic minority households (including poor and female-headed households) utilizing electricity in production/income generation;
- (iv) Number/percentage of poor ethnic minority households accessing micro credits and receiving project technical support for efficient utilization of credit for income improvement with electrification;
- (v) Number of labourers displaced (men and women) due to mechanization of production process; Number of outsiders who have established business in the ethnic minority villages;
- (vi) Number of households that have transferred land lease rights, mortgage rights, inheritance rights, bonus (present) rights;
- (vii) Number of HIV/AIDS cases found;
- (viii) Number of young and adult (men and women) migrated outside the villages, districts and other provinces; and
- (ix) Number of human trafficking cases.

50. An independent body will be engaged for doing external monitoring of the Project. The external monitoring will evaluate the Project impacts also by comparing the development in the Project communes with a non-electrified reference commune. A baseline social assessment will be conducted in such a commune for comparison and followed parallel with the monitoring of the Project communes.

**Annex 3**

**Socio-Economic Survey Results**



### **APPENDIX 3:**

#### **RESULTS OF SOCIO - ECONOMIC SURVEY IN THE PROJECT AREAS**

##### **1. The community of ethnic minority in the project site**

- 1.1. According to Provincial Statistical Yearbook 2011, Soc Trang province has natural area is 3,311.6 km<sup>2</sup>, including: Soc Trang city, Vinh Chau town and 09 districts with 87 communes, 12 town-ships and 14 wards. The total population of Soc Trang province (to December 31, 2011) is 1,303,700 people (in rural areas is 964,400 people, urban areas is 339,300 people), in which male is 647,900 people (account for 49.7%) and female is 655,800 people (account for 50.3%); population density is 394 people/km<sup>2</sup>.
- 1.2. The statistics of project affected area as Table 1.2a below:

*Table 1.2a. Statistics of project affected area*

No.	Units	Total in Province	In project area
1	City	1	1
2	Town	1	1
3	District	9	9
4	Ward	14	10
5	Town-ship	12	3
6	Commune	87	38

Above table shows most of the communes/ districts of Soc Trang province are affected by the project. The number of households in project areas and number of affected HHs as table 1.2b below:

*Table 1.2b. Statistics of project affected households*

No.	District, city, town/ Commune, ward, town-ship	Total HHs	HHs in project area	Surveyed HHs
<b>1</b>	<b>Châu Thành</b>			
1.1	Phú Tân	3,461	552	53
1.2	Hồ Đắc Kiên	3,204	172	62
	<i>Sub-total 1</i>	<i>6,665</i>	<i>724</i>	<i>115</i>
<b>2</b>	<b>Kế Sách <sup>(*)</sup></b>			
2.1	An Lạc Tây	2,286	227	79
2.2	Xuân Hòa	5,247	411	212
2.3	An Mỹ	3,402	63	42

No.	District, city, town/ Commune, ward, town-ship	Total HHs	HHs in project area	Surveyed HHs
2.4	Ba Trinh	3,370	80	26
	<i>Sub-total 2</i>	<i>14,305</i>	<i>781</i>	<i>359</i>
<b>3</b>	<b>Mỹ Tú</b>			
3.1	Mỹ Hương	2,748	179	209
3.2	Phú Mỹ	3,446	140	26
3.3	Long Hưng	2,991	261	19
	<i>Sub-total 3</i>	<i>9,185</i>	<i>580</i>	<i>254</i>
<b>4</b>	<b>Ngã Năm</b>			
4.1	TT. Ngã Năm	3,109	47	39
4.2	Vĩnh Biên	2,024	370	152
4.3	Tân Long	2,098	282	45
4.4	Vĩnh Quới	2,672	61	26
4.5	Long Tân	4,242	121	74
	<i>Sub-total 4</i>	<i>14,145</i>	<i>881</i>	<i>336</i>
<b>5</b>	<b>Thạnh Trị</b>			
5.1	TT. Hưng Lợi	2,933	17	29
5.2	Vĩnh Lợi	1,297	76	46
5.3	Lâm Tân	1,868	175	242
5.4	Thạnh Tân	2,545	75	34
5.5	Thạnh Trị	2,229	47	13
	<i>Sub-total 5</i>	<i>10,872</i>	<i>390</i>	<i>364</i>
<b>6</b>	<b>Sóc Trăng city</b>			
6.1	Ward 2	5,262	30	16
6.2	Ward 3	5,508	31	6
6.3	Ward 4	3,075	20	5
6.4	Ward 5	3,393	238	17
6.5	Ward 6	2,965	39	2
6.6	Ward 7	1,896	123	20
6.7	Ward 8	3,106	57	4
6.8	Ward 10	1,121	7	9
	<i>Sub-total 6</i>	<i>26,326</i>	<i>545</i>	<i>79</i>

No.	District, city, town/ Commune, ward, town-ship	Total HHs	HHs in project area	Surveyed HHs
<b>7</b>	<b>Long Phú</b>			
7.1	Tân Thạnh	2,550	382	123
7.2	Trường Khánh	3,724	290	74
7.3	Tân Hưng	3,078	80	21
	<i>Sub-total 7</i>	<i>9,352</i>	<i>752</i>	<i>218</i>
<b>8</b>	<b>Cù Lao Dung</b>			
8.1	An Thạnh 1	2,076	289	112
8.2	An Thạnh 2	2,022	191	56
8.3	An Thạnh Đông	2,225	166	107
8.4	Đại Ân 1	2,370	54	(**)
	<i>Sub-total 8</i>	<i>8,693</i>	<i>700</i>	<i>275</i>
<b>9</b>	<b>Trần Đề</b>			
9.1	Thạnh Thới Thuận	2,199	147	81
9.2	Lịch Hội Thượng	1,574	266	69
	<i>Sub-total 9</i>	<i>3,773</i>	<i>413</i>	<i>150</i>
<b>10</b>	<b>Vĩnh Châu town</b>			
10.1	Khánh Hòa ward	2,622	229	120
10.2	Vĩnh Phước ward	5,218	75	74
10.3	Vĩnh Hiệp	2,034	379	138
10.4	Vĩnh Tân	3,536	40	57
10.5	Lai Hòa	4,577	106	92
	<i>Sub-total 10</i>	<i>17,987</i>	<i>829</i>	<i>481</i>
<b>11</b>	<b>Mỹ Xuyên</b>			
11.1	TT. Mỹ Xuyên	4,698	40	(**)
11.2	Gia Hòa 1	2,064	646	384
11.3	Gia Hòa 2	2,054	498	256
11.4	Hòa Tú 2	2,784	803	473
11.5	Đại Tâm	4,090	18	12
11.6	Tham Đôn	3,843	8	10
11.7	Thạnh Quới	5,400	60	28
11.8	Thạnh Phú	5,319	6	(**)



No.	District, city, town/ Commune, ward, town-ship	Total HHs	HHs in project area	Surveyed HHs
11.9	Ngọc Đông	2,527	40	22
11.10	Ngọc Tổ	2,469	25	54
	<i>Sub-total 11</i>	<i>35,248</i>	<i>2,144</i>	<i>1,239</i>
	<b>Grand total</b>	<b>156,551</b>	<b>8,739</b>	<b>3,870</b>

Notes: (\*) The power lines traverse Nhon My and Thoi An Hoi communes of Ke Sach district only for supply electricity to the subproject other communes, so do not conduct surveys.  
(\*\*) The subproject only impact on public land, not impact on land/croops/trees of HHs.

- 1.3. The characteristics of ethnic minority communities based on a rural communities background; the form of organization is nearly like to the Kinh, the area of cultivation, area of residence with institutions society.
- 1.4. The big residential part has the production process followed the sort plan by local authorities, people's intellectual level is low, there exists many customs, habits are backward.
- 1.5. Although they have their own language, cultural traditions, customs and habits, lifestyles separate but simultaneously is in many ways that they socialize harmony with the Kinh.
- 1.6. Most of their children study in schools with Kinh children; they participate in most common cultural activities, share the available economic opportunities and enjoy the public benefits.
- 1.7. In minority communities, Khmer and Chinese have own language but common language is the Kinh (Viet). In total of 3,907 HHs affected by the project, HHs of Khmer are majority (16.64%), HHs of Kinh (80.83%) and HHs of Hoa and other (2.53%). Detailed statistics of project affected HHs (by ethnicity) as table 1.7 as follows:

*Table 1.7. Statistics of project affected households by ethnicity*

No.	District/town/city	Total HHs interviewed (HH)	HHs interviewed by ethnicity		
			Kinh (HH)	Khmer (HH)	Hoa + others (HH)
1	Châu Thành	115	63	51	1
2	Kế Sách	396	370	19	7
3	Mỹ Tú	254	228	26	
4	Ngã Năm	336	320	12	4

No.	District/town/city	Total HHs interviewed (HH)	HHs interviewed by ethnicity		
			Kinh (HH)	Khmer (HH)	Hoa + others (HH)
5	Thạnh Trị	364	247	115	2
6	Sóc Trăng city	79	46	28	5
7	Long Phú	218	142	74	2
8	Cù Lao Dung	275	255	20	
9	Trần Đề	150	117	33	
10	Vĩnh Châu town	481	232	188	61
11	Mỹ Xuyên	1,239	1,138	84	17
	<b>Total</b>	<b>3,907</b>	<b>3,158</b>	<b>650</b>	<b>99</b>

- 1.8. As table 1.7 shows, mostly affect community of Khmer ethnic in project areas. Therefore, the contents of this report also focus on the issues that affected Khmer communities.

## 2. Situation and Development of the project areas

- 2.1. As mentioned above, Soc Trang province has natural area is 3,311.7 km<sup>2</sup> administrative units includes Soc Trang city, Vinh Chau town and 09 districts with 87 communes, 12 town-ships and 14 wards. Soc Trang town is the socio-economic and political center in Soc Trang province.
- 2.2. At present, in area villages, towns, project of regional transportation development is very convenient for the travel, exchange of goods, etc but the awareness of people on economic development is different. It leads to lifestyle of ethnic Khmer is different from Kinh. The level education of ethnic minorities as well as points of departure, they generally still low compared with Vietnam.
- 2.3. The ethnic Khmer households in the project area live in group hamlet, village, transport and travel to each village is also the difficult. The rhythm of catching up with speed of living standards of Kinh people is difficult because of the economy depends on their awareness, applied technical qualification to cultivation and breeding, etc and the production development is still mainly depends on natural factors (weather), the exits of self-sufficient economy, however, the flow of goods is quite developed (system transport services by car). Until now, children of ethnic minorities go to school with Kinh children, the same conditions.
- 2.4. On the other hand, the learning experience in producing and raising awareness, experience science and technology is a popular trends in the communes of the

project area, through which ethnic minorities gain many benefits as raising awareness of economic - society, enhanced labor skills and production. Attention to ethnic minorities to ensure that they have fairly treatment and the interest from the project corresponds to its economic and society help them to identify the objectives and benefits of the project for the development of socio-economic of the country, since they understand the problems economic development of their society.

### **3. Right of using land**

Under the the land laws in 2003 the Republic of Socialist Vietnam, the ethnic minorities have rights as Kinh to own the land. They are certificates right of using land.

### **4. Production situation**

- All affected the ethnic minorities in the corridor safety line in the communes of the project area is agricultural production: key to cultivation (rice growing, flower color, aquaculture) and animal husbandry.
- The food is mainly rice, maize, cassava, beans and some vegetable colors.
- Long plants mainly fruit trees: cashew, mango, ...
- Aquaculture: shrimp, fish marijuana, fish batra, ...
- Livestock mainly include buffaloes, cows, pigs, goats,... and types of poultry (chickens, ducks ,...) is the traditional animal husbandry. Livestock development in a form of development in small communities.

### **5. Living and living conditions**

#### **• *Infrastructure and social services***

- 100% of traffic in communes, towns, regional projects have almost road for car, lead to the center, the main village road links with other roadway are also in development to serve for travelling and transportation, agricultural products and goods circulation between the provinces.
- Public: in the communes, towns, regional projects with ethnic minorities live have kindergartens, primary schools, post offices and points of cultural service educational needs and cultural activities to serve people..
- Health Care: 100% of communes, towns, regional projects with ethnic minorities living with clinic staff nurses and doctors to serve examined and initial treatment for people.
- Make business services: Exchange, trading by the traders of the small and the collecting agricultural products.
- Mainly income by people in town and regional projects with ethnic minority live mainly agricultural products (cultivation and animal husbandry). Average income is 9,200,000 VND / per/ year



- ***Living conditions***

- Facilities: In general, many households have (70.5%) motorcycles for travel, most households have (57.9%) television or tape to serve entertainment needs; households have water pumps for irrigation in producing less.
- Use water: few of minorities use cleaned water (5.5%) for service living activities from drilling water wells (60.7%) or wells and (12.4%) use water from other source as rain, river, stream, etc...; many households use water for service mainly activities by ethnic minorities to use river water, spring water nor use of ravine.
- Use of electricity: about 80.7% of households in the communes of the project area were used electricity grid. However, only have about 17.4% household purchase directly electricity from the Electricity Company and 82.6% household use from company's contract with commune, so electricity service has a high cost from 1.5 to 2 bill regulation of Government.

## **6. Healthcare - Education**

- ***Health care systems***

- Most districts in the project area have one hospital at the district centre and one health station in each commune.
- Communal Health Station provides services for health checking and treating for minor illness and child delivery for women in communes. District hospital will provide health service for serious diseases and health protection activities for the community. However, health service for the labours and the poor are not ensured due to lack of necessary equipments.

- ***Education systems***

According to them the situation in Vietnam and Soc Trang provinces, ethnic minority villages in the project area enjoy policy priorities in the education system, including education free and reduced priority in the recruitment test university colleges. Traffic in town, in general, is so favorable rate to the age Pupils go to school is quite high. The rate of illiterate children is low, are gradually removed illiterate. However, the level of illiterate adults is quite high.

System of education in the district concerned; other primary schools, kindergarten was built near the area live concentrated ethnic minorities, children of ethnic minorities are encouraged to go to school right age on most of them are stealing the school, the rate of Pupils leave school decreased.

According to statistics in 2010, numbers of pupils are ethnic Khmer 66,990 children, in which:

- Kindergartens: 9,435 children occupied 14.1 %
- Primary schools: 37,941 pupils occupied 56.6 %



- Secondary schools: 14,437 pupils occupied 21.6 %
- High schools: 5,177 pupils occupied 7.7 %

The Khmer language is taught in 160 schools with 1,635 classes/37,909 students (reached 65.8% of total Khmer students), and around 4,218 teachers at all educational levels in Soc Trang province. There are 1,464/2,335 Khmer graduated students from high school (62.69%). 80 Khmer students are recruited to University.

## **7. Information gathering from community meetings**

Socio-economic surveys, population and occupation statistics in the project affected area were conducted by the consultants and supported by the local authorities at all levels during July – August 2012. The tasks completed in the process of conducting the surveys include:

- Statistics on number of all APs of the project,
- Surveys on the state of houses (wholly or partially affected) in the project area;
- Investigation to determine trees/ crops of the affected households inside and outside the area of the route corridor of the project, or under the electricity transmission line possibly affected by its magnetic field, as regulated in Decree No. 106/2005/ND-CP issued on August 17, 2005;
- Investigation to determine public utilities, assets, and farms;
- Investigation to determine the land area currently being used and with lawful documents;
- Investigation to determine the land area currently being temporarily appropriated ;
- Investigation to determine other assets affected by the project.

Each investigation is organized with the participation of 2 – 3 local staff. Each commune has from 01 to 03 surveying groups. The surveying groups conduct inventory of impacts for 100% households in the route corridor and socio-economic surveys for 100% APs to determine affecting level for each household and for the surrounding households, statistics on population, houses, economic activities and quality of life of each affected household, etc.

## **8. Socio-economic survey of the affected areas**

Socio-economic survey to collect accurate data, that regarding the impacts of the project supplying electricity to 50 communes/wards/town-ships in 11 districts/city/town of Soc Trang Province as well as gather information about living condition of local residents. This is information about living standard, average incomes and socio-economic conditions of each households living in the project affected areas. The main objective of the socio-economic survey is to identify fundamental features of the affected areas, assess population growth, data of houses, socio-economic conditions and other impacts on local people. These survey data will be used to facilitate preparation of the resettlement policy and rehabilitation for project affected people and gather related information.





## 9. Socio - economic information of the project areas

### 9.1. Characteristics of the population and local households

It is noted that the socio-economic surveys will not be conducted in the following locations:

- (i) Dai An 1 commune of Cu Lao Dung district: new construction of 1.6 km of low voltage lines only traverse along commune's public road and
- (ii) My Xuyen town-ship and Thanh Phu commune of My Xuyen district: new construction of 0.3 km of low voltage lines only traverse along commune's public road.

However, the socio-economic surveys will be conducted in Nhon My commune and Thoi An Hoi commune of Ke Sach district due to the DLs traverse 02 above communes to supply electricity to the subproject other communes.

Therefore, the socio-economic surveys have been conducted in 50 communes/wards/townships of 11 city/town/districts of Soc Trang province. Results as follows:

*Average of family size:* 3.59 persons/HH

*Male/Female ratio (%)*

- Male: 54.3 %
- Female: 45.7 %

*Age:*

- 1-17 years old 21.4 %
- 18-60 years old 64.6 %
- Over 60 years old 14.0 %

Details of affected households are as follows:

*Table 9.1.1: Statistics of affected households by gender and religion*

*Unit: HHs*

No.	District/town/city	Total HHs interviewed	Male-headed HHs	Female-headed HHs	Religion		
					Buddhist	Catholic	Other or None
1	Châu Thành	115	88	27	28		87
2	Kế Sách	396	305	91	104		292
3	Mỹ Tú	254	201	53	129	6	119
4	Ngã Năm	336	282	54	125		211
5	Thanh Trị	364	285	79	284	10	70
6	Sóc Trăng city	79	52	27	48	1	30
7	Long Phú	218	150	68	218		

No.	District/town/city	Total HHs interviewed	Male-headed HHs	Female-headed HHs	Religion		
					Buddhist	Catholic	Other or None
8	Cù Lao Dung	275	208	67	2		273
9	Trần Đề	150	122	28	113		37
10	Vĩnh Châu town	481	393	88	449	1	31
11	Mỹ Xuyên	1,239	1,053	186			1,239
	<b>Total</b>	<b>3,907</b>	<b>3,139</b>	<b>768</b>	<b>1,500</b>	<b>18</b>	<b>2,389</b>

Table 9.1.2: Statistics of affected households by occupation

No.	District/town/city	Affected households by head's occupation								Average age of head (years)
		Wage earners	Retired	Handicraft	Agriculture	Aquaculture/ fishing	Small trading/ business	Unstable jobs	Others	
1	Châu Thành	53			39		5	13	5	47,7
2	Kế Sách	42	1	2	285	7	13	33	13	52,6
3	Mỹ Tú	35	3	10	125	36	17	8	20	50,1
4	Ngã Năm	42		1	211	32	5	38	7	46,0
5	Thạnh Trị	49	1	3	271	26	9	3	2	53,7
6	Sóc Trăng city	47	3		13		4	9	3	46,7
7	Long Phú	87		3	65		18	23	22	47,6
8	Cù Lao Dung	84	3	1	129	4	11	27	16	47,2
9	Trần Đề	65			65	3	10	4	3	45,8
10	Vĩnh Châu town	54	3	3	50	255	16	67	33	46,1
11	Mỹ Xuyên	122	2	4	173	860	33	21	24	48,2
	<b>Total</b>	<b>680</b>	<b>16</b>	<b>27</b>	<b>1,426</b>	<b>1,223</b>	<b>141</b>	<b>246</b>	<b>148</b>	<b>48,3</b>

The table above shows almost of the number of HHs head engaged agriculture (36.5%) and aquaculture/fishing (31.3%). This is consistent with the general structure of occupation in local; because of Soc Trang's production structure is mainly agricultural.

Most of HHs head have graduated high schools. Percentage of illiterate HHs head only 6.55% and household has a university/ college degree is only about 0.5%. Detailed data regarding to the Education of HH heads and Using languages show in Table 9.1.3:

Table 9.1.3: Education of HH heads

No.	District/town/city	Education of HH head					
		Illiterate	Reading/Writing	Elementary school	Secondary school	High school	Colleges/University
1	Châu Thành	22	54	26	2	9	2
2	Kế Sách	34	118	151	55	37	1
3	Mỹ Tú	34	70	63	60	26	1
4	Ngã Năm	17	126	89	69	33	2
5	Thạnh Trị	43	77	133	73	37	1
6	Sóc Trăng city		8	17	29	20	5
7	Long Phú	12	150	25	16	13	2
8	Cù Lao Dung	28	83	80	58	24	2
9	Trần Đề	14	56	40	23	15	2
10	Vĩnh Châu town	34	118	160	112	54	3
11	Mỹ Xuyên	18	92	315	724	88	2
	<b>Total</b>	<b>256</b>	<b>952</b>	<b>1,099</b>	<b>1,221</b>	<b>356</b>	<b>23</b>

About using language, all HHs head use a common language is Vietnamese. In additional, head of ethnic HHs also use language themselves. This also is consistent with the data in Table 9.1.4. Detailed data regarding to the Using languages shows in Table 9.1.4

Table 9.1.4: Using languages of HH heads

No.	District/town/city	Language of HH head		
		Vietnamese	Khmer	Chinese

No.	District/town/city	Language of HH head		
		Vietnamese	Khmer	Chinese
1	Châu Thành	63	51	1
2	Kế Sách	370	19	7
3	Mỹ Tú	228	26	
4	Ngã Năm	320	12	4
5	Thạnh Trị	247	115	2
6	Sóc Trăng city	46	28	5
7	Long Phú	142	74	2
8	Cù Lao Dung	255	20	
9	Trần Đề	117	33	
10	Vĩnh Châu town	232	188	61
11	Mỹ Xuyên	1,138	84	17

Table 9.1.5: Statistics of poor, elderly, disabled HHs

District/town/city	Poor HHs (HHs)	Non-poor HHs (HHs)	HHs with disable, elderly people (HHs)	Percentage of HHs with disable, elderly people (%)
Châu Thành	16	99		
Kế Sách	155	241		
Mỹ Tú	21	233		
Ngã Năm	67	269		
Thạnh Trị	7	357	4	1.10
Sóc Trăng city		79		
Long Phú	53	165		
Cù Lao Dung	97	178	2	0.73
Trần Đề	52	98	1	0.67
Vĩnh Châu town	191	290		

District/town/city	Poor HHs (HHs)	Non-poor HHs (HHs)	HHs with disable, elderly people (HHs)	Percentage of HHs with disable, elderly people (%)
Mỹ Xuyên	74	1,165	1	0.08

- Monthly income of households**

- Lower than 1 million VND/Month	1.1 %
- From 1 to 3 million VND/month	51.0 %
- From 3 to 5 million VND/month	38.7 %
- Over 5 million VND/month	9.3 %

- Family's main income source**

- Agriculture	36.5 %
- Fishery and aquaculture	31.3 %
- Wage earners	17.4 %
- Small trading/business	3.6 %
- Handicraft	0.7 %
- Retired	0.4 %
- Unstable jobs	6.3 %
- Others	3.8 %

Detailed of the HHs' income as table 9.1.6 below:

Table 9.1.6: Income sources of HHs

No.	District/town/city	Main income source (million VND/month)							
		Wage earners	Retired	Handicraft	Agriculture	Aquaculture/ fishing	Small trading/ business	Unstable jobs	Others
1	Châu Thành	132.6			97.6		12.5	32.5	12.6
2	Kể Sách	114.1	2.7	5.4	774.4	19.0	35.3	89.7	35.4
3	Mỹ Tú	123.6	10.6	35.3	441.3	127.1	60.0	28.2	70.6
4	Ngã Năm	133.9		3.2	672.9	102.1	15.9	121.2	22.4
5	Thanh Trị	188.4	3.8	11.5	1,041.7	99.9	34.6	11.5	7.8
6	Sóc Trăng city	247.2	15.8		68.4		21.0	47.3	15.8



No.	District/town/city	Main income source (million VND/month)							
		Wage earners	Retired	Handicraft	Agriculture	Aquaculture/fishing	Small trading/business	Unstable jobs	Others
7	Long Phú	273.1		9.4	204.0		56.5	72.2	69.1
8	Cù Lao Dung	191.8	6.9	2.3	294.6	9.1	25.1	61.7	36.4
9	Trần Đề	135.3			135.3	6.2	20.8	8.3	6.4
10	Vĩnh Châu town	117.0	6.5	6.5	108.3	552.3	34.7	145.1	71.4
11	Mỹ Xuyên	355.4	5.8	11.7	504.0	2.505.5	96.1	61.2	70.0

Table 9.1.7: Average income per year of affected HHs

No.	District/town/city	Average income of affected HHs (million VND/HH/year)
1	Châu Thành	30.0
2	Kế Sách	32.6
3	Mỹ Tú	42.4
4	Ngã Năm	38.3
5	Thạnh Trị	46.1
6	Sóc Trăng city	63.1
7	Long Phú	37.7
8	Cù Lao Dung	27.4
9	Trần Đề	25.0
10	Vĩnh Châu town	26.0
11	Mỹ Xuyên	35.0

Table 9.1.8: Average income of Affected Household by ethnicity

No.	District/town/city	Average income of affected HHs (million VND/HH/year)		
		Kinh	Khmer	Hoa + Others
1	Châu Thành	22.70	39.20	24.00

No.	District/town/city	Average income of affected HHs (million VND/HH/year)		
		Kinh	Khmer	Hoa + Others
2	Kế Sách	31.92	44.04	38.06
3	Mỹ Tú	42.01	45.42	
4	Ngã Năm	37.91	49.30	34.29
5	Thanh Trị	46.34	45.54	54.00
6	Sóc Trăng city	65.06	57.47	76.80
7	Long Phú	38.15	36.99	28.20
8	Cù Lao Dung	28.18	17.43	
9	Trần Đề	25.19	24.25	
10	Vĩnh Châu town	25.28	27.52	23.97
11	Mỹ Xuyên	35.21	32.21	31.84

• **Annual expense of households on average**

-	Food and foodstuff:	38.1 %
-	Travel expense:	7.8 %
-	Festivities, ceremonies:	7.4 %
-	Funerals, weddings:	6.1 %
-	Electricity:	2.7 %
-	Education:	2.3 %
-	Health/illness treatment:	2.2 %
-	Clothes and footwear:	2.0 %
-	Furniture:	1.8 %
-	House/vehicle repair:	1.1 %
-	Water:	0.1 %
-	House renting:	0.1 %
-	Taxes/fees	0.1 %
-	Others	6.5 %

Table 9.1.9a: Annual expense of affected households (million VND/HH/year)

No.	District/town/city	Food and foodstuff	Electricity	Water	House renting	Education	Travel	Clothes and footwear	Health/illness treatment	Taxes/fees	Others
1	Châu Thành	8,94	0,21	0,10		1,53	1,87	0,21	0,21	0,01	2,26
2	Kế Sách	10,79	1,03	0,01		0,42	2,24	0,06	0,56	0,01	2,07
3	Mỹ Tú	14,49	0,99	0,03	0,14	0,95	1,92	0,36	0,77	0,06	1,59
4	Ngã Năm	9,92	0,88	0,01	0,02	0,48	1,80	0,25	0,56	0,01	0,97
5	Thạnh Trị	19,44	1,09	0,02	0,01	0,31	3,45	0,31	0,15	0,01	4,66
6	Sóc Trăng city	10,15	1,28	0,32	0,17	5,27	3,37	0,62	0,37	0,12	1,75
7	Long Phú	13,07	0,45				2,95		0,75		2,94
8	Cù Lao Dung	9,48	0,28		0,05	0,48	1,35	0,61	0,47	0,04	1,57
9	Trần Đề	7,88	1,05	0,14		0,33	0,94	0,19	0,49	0,07	2,50
10	Vĩnh Châu town	7,59	0,59	0,03	0,02	0,74	2,21	0,75	0,51	0,02	1,03
11	Mỹ Xuyên	9,32	1,36	0,00	0,00	1,07	3,96	1,49	1,42	0,03	1,50

Table 9.1.9b: Annual expense of affected households (continue)

No.	District/town/city	Festivities, ceremonies	Funerals	Furniture	House repair	Vehicle, boat repair	Others
1	Châu Thành	1,63	0,40	0,15	0,07	0,07	0,13
2	Kế Sách	1,12	0,66	0,59	0,09	0,11	0,65
3	Mỹ Tú	1,63	0,43	0,58	0,07	0,15	0,16
4	Ngã Năm	0,96	0,47	0,45	0,15	0,22	0,44
5	Thạnh Trị	1,45	1,96	0,83	0,01	0,25	0,82
6	Sóc Trăng city	1,16	0,87	0,20	0,18	0,21	0,14
7	Long Phú	1,86	0,76	0,89			0,75
8	Cù Lao Dung	1,14	0,09	0,28	0,05	0,04	0,36

No.	District/town/city	Festivities, ceremonies	Funerals	Furniture	House repair	Vehicle, boat repair	Others
9	Trần Đề	1,84	1,05	0,33	0,23	0,14	0,26
10	Vĩnh Châu town	0,77	0,45	0,47	0,04	0,01	0,16
11	Mỹ Xuyên	2,25	0,85	0,86	0,14	0,62	0,32

• **Current condition of infrastructure and services**

a. *Main water sources for domestic use*

- Tap – water : 5.6 %
- Drilled wells: 60.7 %
- Dug well: 12.4 %
- Rain water: 8.7 %
- Others : 12.6 %

(Pond, lake, river, stream)

Details of main water sources for domestic use shows as table 9.1.10 below:

Table 9.1.10: Main water sources

No.	District/town/city	Main water source of HHs (%)				
		Tap – water	Drilled wells	Dug well	Rain water	Others
1	Châu Thành	0.56	0.13			2.25
2	Kế Sách	0.20	4.81			4.00
3	Mỹ Tú	0.44	3.07	0.15	1.59	2.15
4	Ngã Năm	0.15	5.66	0.08	1.62	2.48
5	Thạnh Trị	0.56	6.34	0.13	0.51	0.44
6	Sóc Trăng city	1.88	1.53	0.05	0.13	0.13
7	Long Phú		5.58			
8	Cù Lao Dung		6.53		1.05	0.46
9	Trần Đề	0.92	2.53	0.23	0.33	0.61

No.	District/town/city	Main water source of HHs (%)				
		Tap – water	Drilled wells	Dug well	Rain water	Others
10	Vĩnh Châu town	0.67	9.13	0.15	2.26	0.10
11	Mỹ Xuyên	0.18	15.35	11.65	1.23	

*b. Fuel used in cooking*

Details of fuel for cooking of affected HHs as table 10:

Table 9.1.11: Fuel for cooking of HHs

No.	District/town/city	Fuel for cooking of HHs (%)					
		Electricity	Gasoline	Wood	Charcoal	Oil	Others
1	Châu Thành			2.87			
2	Kế Sách	0.61	1.02	9.83	0.05		0.03
3	Mỹ Tú	0.46	0.77	5.73	0.20	0.03	
4	Ngã Năm	0.64	2.51	7.99	0.74	1.18	0.03
5	Thạnh Trị	2.64	4.63	7.99	0.03	0.05	
6	Sóc Trăng city	1.48	1.59	1.77			
7	Long Phú			5.58			
8	Cù Lao Dung	0.18	1.43	6.71			
9	Trần Đề	0.10	0.23	3.74	0.08		
10	Vĩnh Châu town	0.26	1.59	11.57	0.13	0.36	
11	Mỹ Xuyên	0.03	1.07	31.25	0.10		

Table 9.1.11 shows:

- Electricity 6.4 %
- Gasoline 14.9 %
- Wood 95.0 %
- Charcoal 1.3 %
- Oil: 1.6 %

- Others: 0.1 %

*c. Type of lighting*

- Electrical light: 71.5 %
- Oil lamp: 19.4 %
- Battery used light 2.8 %
- Others: 0.2 %

Detail of lighting sources of affected HHs as table 9.1.12:

*Table 9.1.12: Lighting sources of HHs*

No.	District/town/city	Lighting source of HHs (%)			
		Electrical light	Oil lamp	Battery used light	Others
1	Châu Thành	0,69	2,25		1,02
2	Kế Sách	9,55	0,51	0,05	0,53
3	Mỹ Tú	6,22	0,23	0,05	0,53
4	Ngã Năm	5,22	2,92	1,20	0,80
5	Thạnh Trị	7,78	0,56		1,03
6	Sóc Trăng city	1,95	0,69		
7	Long Phú	2,84	2,74		1,34
8	Cù Lao Dung	2,56	4,04	0,74	0,45
9	Trần Đề	3,53	0,31		1,41
10	Vĩnh Châu town	5,02	1,69		1,50
11	Mỹ Xuyên	26,16	3,56	0,79	1,60

*Notes:* HHs can use more than one lighting source

*d. Source of electricity*

The results of socio-economic survey show that HHs mainly use electricity by tapping from their neighbours account for 81.01%, HHs supplied directly from the power company only 17.4% (including national grid, Power Company and/or hydropower).

- National grid: 17.4 %
- Collectives: 0.4 %
- Tapping from neighbours: 81.0 %
- Others 1.2 %





Detail of electricity sources of affected HHs as table 9.1.13:

*Table 9.1.13: Electricity Sources*

No.	District/town/city	Source of electricity of HHs (%)			
		National grid	Collectives	Tapping from neighbours	Others
1	Châu Thành	0.69		8.43	
2	Kế Sách	3.71		5.22	0.64
3	Mỹ Tú	0.05		6.17	
4	Ngã Năm	0.26		4.97	0.24
5	Thạnh Trị	1.79	0.08	6.94	0.05
6	Sóc Trăng city	3.34		5.62	
7	Long Phú	2.84		3.5	
8	Cù Lao Dung	0.59	0.07	4.74	0.10
9	Trần Đề	0.03		3.35	0.13
10	Vĩnh Châu town	0.49	0.23	10.24	
11	Mỹ Xuyên	3.58		21.83	0.08
	<b>Total</b>	<b>17.37</b>	<b>0.38</b>	<b>81.01</b>	<b>1.24</b>

- Housing Condition**

Vietnam Construction Standards provide construction specifications for civil and industrial projects. Based on these specifications – houses are classified into four categories and an additional temporary category. According to actual survey in the subproject area, housing conditions are as follows:

*Table 9.1.14: Types of houses*

No.	District/town/city	Types of houses			
		Three storey house upward (cat. 2)	Two storey house (cat. 3)	One storey house (cat. 4)	Temporary houses
1	Châu Thành			89	26
2	Kế Sách			161	235

No.	District/town/city	Types of houses			
		Three storey house upward (cat. 2)	Two storey house (cat. 3)	One storey house (cat. 4)	Temporary houses
3	Mỹ Tú	1	4	130	119
4	Ngã Năm			168	168
5	Thạnh Trị			363	1
6	Sóc Trăng city			79	
7	Long Phú			193	25
8	Cù Lao Dung			268	7
9	Trần Đề		1	131	18
10	Vĩnh Châu town		8	454	19
11	Mỹ Xuyên			1,26	113
	<b>Total</b>	<b>1</b>	<b>13</b>	<b>3,162</b>	<b>731</b>

The table above shows that a majority percentage of houses are made of wood, bamboo with leaf roof. Each house consists of auxiliary structures such as cattle cages, fish pond and garden or ornamental tree area.

- **Sanitation Condition**

Number of HHs with toilet outdoor are majority (more than 50% each district). Detail of HHs' toilet type see table 9.1.15 below:

*Table 9.1.15: Toilet Type*

No.	District/town/city	Toilet type %		
		Indoor	Outdoor	none
1	Châu Thành	6.96	86.96	6.08
2	Kế Sách	9.60	68.69	21.71
3	Mỹ Tú	11.42	50.39	38.19
4	Ngã Năm	8.04	42.86	49.10
5	Thạnh Trị	21.43	10.99	67.58



No.	District/town/city	Toilet type %		
		Indoor	Outdoor	none
6	Sóc Trăng city	11.39	88.61	
7	Long Phú		15.60	84.40
8	Cù Lao Dung	15.64	39.27	45.09
9	Trần Đề	9.33	48.00	42.67
10	Vĩnh Châu town	18.30	20.37	61.33
11	Mỹ Xuyên	6.78	90.72	2.50

### • Family amenities

Results showed that the percentage of households is now using electric facilities are quite large. This rate will increase after the project completion because then the number of households using electricity will increase by the cost of electricity will be lower than current.

Details of HHs' amenities as below:

-	Car:	0.2 %
-	Motorbike:	70.5 %
-	Boat:	35.6 %
-	Bicycle:	43.9 %
-	Television:	57.9 %
-	Personal computer	1.8 %
-	Refrigerator:	2.6 %
-	Washing machine:	0.4 %
-	Electronic (disk player, radio):	11.2 %
-	Telephone (fix, mobile):	32.2 %
-	Tractor:	0.5 %
-	Gas stove:	14.9 %
-	Others:	0.1 %

### • Status housing ownership of households

According to the results of survey, all affected households owned their own houses (100%).

### • Level of impacts of the project



The project will engender negative impacts to HHs in the project areas. A resettlement plan (RP – Volume 2) has been prepared to compensation for land lost, impacts of houses/structures, trees/crops and other assets affected by the project. Assistance policies, income restoration programs for HHs and procedure for complaint and resolve complaint has mentioned in this material.



**Annex 4**

**Proposal Action Plan**



## **ANNEX 4:**

### **PROPOSAL ACTION PLAN**

#### **1. General problems**

- ✓ EMDP is not just for ethnic minority people who directly affected by land loss, but also for the ethnic minority people who are living in the project affected areas. The EMDP Report is prepared based on results of community consultation, the participation of ethnic minorities and local authorities.
- ✓ The provisions of compensation, assistance ensuring consider the interests of ethnic minority people on the different issues and their legal entitlements under laws.
- ✓ Through the consultation with participation of local authorities and the ethnic minorities in the affected areas, their feedback about the potential negative impacts of the subproject as follows :
  - Risk of electric shock.
  - Accidents during working time.
  - The gathering of workers and construction can disturb public order in the project area.
- ✓ All feedback has been integrated into this EMDP along with the measures to mitigate environmental impacts.

#### **2. Policy Framework**

Based on the Government's laws and ADB's policy on ethnic minorities (*The ADB's Policy on Indigenous People* (April 2008) and *Operation Manual* on indigenous people (F3/BP & F3/OP, 25 Sept. 2006)) and the *Ethnic Minority Development Framework* approved by the Ministry of Industry and Trade in letter 1472/QD-BCT dated 23 march 2009.

#### **3. Measures to mitigate negative impacts**

##### Potential negative impacts:

- Permanent land acquisition for pole/tower foundations; Temporary land acquisition within ROWs during construction of power lines and installation of poles/towers; temporary impacts on trees and crops.
- Accidents in the use of electrical equipment in the family as the lights, TV, fan, husking machines, ...
- Prices activities and local food locally can increase the concentration of many workers during construction

##### Minimize measures:





Information from socioeconomic surveys for ethnic minorities affected households and ethnic minorities community will be the Project Engineer design, speed up construction and methods of construction for sub-projects and estimates for work needed.

Included:

- a. Proposal to change the line, column location, methods of construction and progress of construction for sub-projects to meet the needs and priorities of ethnic minorities community:
  - Corresponding in the during design of the road here, location pillars with priority consideration for community ethnic minorities in the project area
  - . Highway construction speed will be considered to avoid seasonal time. Although the time required for construction projects is estimated as 24 months, but consider increasing the workforce of 02 to do the work can begin immediately after harvest and completed before to start sowing the seeds for later.
  - Temporary compensation is at market prices.
- b. Identify areas of ecological, spiritual, cultural, special sensitivity should be considered in the design and construction.
  - The sensitive areas are carefully considered during design.
  - With this project the sensitive areas far from the safety corridor.
- c. Develop a contact information program, information and education for minority communities in affected areas of electrical safety, health and social issues.
  - Advocacy programs, special training for community ethnic minorities in affected areas are outlined as follows:
  - Communicating, training electricity safety for villagers and students in the project area.
  - Training to use credit card of social policies bank (if they have credit).
  - Training develops program for ethnic minorities in the project area (when households are affected seriously).
- d. Revoke and compensation: land of the ethnic minorities for the project has to ensure that their rights are not trespass with their culture. Compensation policy will be compensation. Resettlement for people affected by the project. Head of village (or village) will support consult the affected households and the compensation

- All affected ethnic households have certificates of land used rights for the total land owned by them.
- The ethnic minorities also have right to appealing, monitoring the project.

#### **4. Policy support credit**

Support to ethnic minorities farmers seriously affected to loan credit preferential small scale. Support financially also includes 1 training program on how the application, use and management of loans, the capital.

Until now, to complete the preparation for a report from the project have not found the ethnic minority people lost more than 10% of the total land area producing property.

However, in the period following implementation, if the technical design necessary adjustments cause serious impact on ethnic minorities is how this support will be applied. Souththern Power Project Management Board, Soc Trang Power Company in coordination with People's Committees of the communes/districts within the project determine the groups affected, the categories affected, research needs a loan of their credit, discussions with social policies Bank for the ethnic minorities are affected to loans credit small scale, and training on basic processes loan regulations of request, the useful management of loans.

Souththern Power Project Management Board, Soc Trang Power Company Reference Bank policies of social engineering to support ethnic minorities in the application for a loan, including:

1. The objective of the loan credit.
2. Those who enjoy this program: the loans are ethnic minority people affected by serious income.
3. The lender: Social policies bank will provide capital for credit through the banking network at present, based on records approved by the loan program loan credit. Capital will move from Soc Trang social policies bank to social policies bank of the district, since this loan is directly transferred to the ethnic minorities as eligible loans for legal or through organizations authorized. The transfer of capital loans must be specifically stated since the beginning of the project.
4. Return on investment: the application for a loan to summary information of the main characteristics, economic status of the loan or capabilities available to pay debt and savings lan.
5. Condition of loan: A loan eligible legal farmers are ethnic minority people lost more than 10% of production and want a loan. Clear how many loans, loan purpose, loan period, interest rates, loan terms (loan 1 times or more first, how many times, when).
6. Implementation: Souththern Power Project Management Board, Soc Trang Power Company involved right from the start as a medium to connect the social policies bank



for ethnic minorities affected. Then, a loan of this household contact with a network of credit by banks, the loan process is conducted in accordance with regulations. Then responsible for implementing the management of capital is a clear bank, with consultation of affected ethnic minority and the provinces.

7. Costs and budget: The total cost of the credit program consists of 2 parts:
  - Up costs, support and credit monitoring programs.
  - Cost credit management.
  - The costs to comply with the strict regulations of the Bank and in costs for loans.
8. Monitoring and evaluation:

Souththern Power Project Management Board, Soc Trang Power Company responsible for internal monitoring, organizations of ethnic minorities is responsibility for monitoring the implementation of this program, support for resolving problems to arise.

## 5. Training Activities

### ❖ Training, advocacy for safety grid

Most people in the project area have been provided electricity to local electricity network. Ethnic minorities have knowledge of electrical safety are limited, so to ensure an overall need to conduct propaganda, dissemination of information on electrical safety for ethnic minority villages in the project.

To organize the training effective, Souththern Power Project Management Board, Soc Trang Power Company cooperation with the People's commune / ward / town within the project to identify training needs on safety electric grid for the ethnic minorities and other ethnic households (if required).

Training on electrical safety include:

- The leaflets to households, schools, common to the safety of high-pressure grid, how to recognize the danger signs of high pressure lines and measures to guide people with emergency power.
- Guiding local people and pupils in level 1, level 2 identify the scope of corridor safety grid and high-pressure method is the emergency power
- Advocacy for people on how to identify and scope of the safety corridor high pressure line, hat is done and not done under safe corridor grid high voltage.

### ❖ Training on agriculture development (Planting, feeding)

- The ethnic minorities households seriously affected to income, so they may need support on necessary techniques to restore capability production because most of



income sources from agricultural activities (cultivation). Specialized topics, the content of the development of agriculture program is defined in the implementation of project, based on consultation with the participation of ethnic minorities, the representatives and local government.

- In the period of organization, the project have not identified the seriously affected (as analyzed above), so the project does not conduct training in development of agricultural.

## **Annex 5**

# **Impacts of The Subproject**



## **ANNEX 5:**

### **IMPACTS OF THE SUBPROJECT ON ETHNIC MINORITY COMMUNITIES**

#### **3.1 Land Lost and Resettlement Issues**

The project provides electricity for the households not electric that mainly is Khmer people in Soc Trang province, basically does not cause serious impact and extensive for the accommodation and the production activities of ethnic minorities. As the scale of the project and the residents of Soc Trang, the project impact (clay area, production and land plants flower with small-scale) to ethnic minorities community of 45 communes/wards/town-ships on the total 50 wards/communes/town-ships are affected by the project. But they will bring great benefits to increase electricity supply ability and lighting for production around 13,181 households in 51 communes/ towns of 09 districts, Vinh chau town and Soc Trang city of Soc Trang province.

According to survey results, in 13,181 households affected by the subproject (of which 650 Khmer households), no household affected heavy (moving, resettlement, loss of land to product affecting livelihoods). Therefore, the projects must not conduct resettlement, resettlement for households affected. The details of resettlement plan (RP) in the project.

According to the policy framework and resettlement, the project will pecuniary compensation by money according to cost for replacement land, home, structure and forage crops affected. According to the survey results and counseling, the affected households have aspirations to compensate for the land, forage crops, thing of structure on the land affected to arrange land, land producing appropriate the specific circumstances of each household.

On the other hand, as stipulated by Decree No. 106/2005/ND-CP dated 17 August 2005 of the Government of Vietnam and the Abuse of design, line 22kV; 0.4 KV designed hanging wire at safety and health activities of people.

#### **3.2 Project Impacts on Khmer Ethnic Minorities**

Total 650 household ethnic minority of Khmer people with the demographics are 2,541 people affected by the project due to loss land (temporary and permanent), the influence of home, work and structure (temporary and permanently) and affected to forage crops. All of the ethnic minorities households have the right to use the land for long-term land affected. No of ethnic minorities household have been affected seriously to resettlement, or lost more than 10% of production land or loss of business location. Without prejudice to worship the land and location sensitive.



*Table 1. Statistics of project affected households by ethnicity - Soc Trang Province*

No.	District/Town/City	Total HHs interviewed (HHs)	HHs interviewed by ethnicity		
			Kinh ethnic (HHs)	Khmer ethnic (HHs)	Chinese + other ethnic (HHs)
1	Châu Thành	115	63	51	1
2	Kế Sách	396	370	19	7
3	Mỹ Tú	254	228	26	
4	Ngã Năm	336	320	12	4
5	Thạnh Trị	364	247	115	2
6	Sóc Trăng city	79	46	28	5
7	Long Phú	218	142	74	2
8	Cù Lao Dung	275	255	20	
9	Trần Đề	150	117	33	
10	Vĩnh Châu town	481	232	188	61
11	Mỹ Xuyên	1,239	1,138	84	17
	<b>Total</b>	<b>3,907</b>	<b>3,158</b>	<b>650</b>	<b>99</b>

### *3.2.1 Scope of project*

The investment planning build distribution grid to supply electricity for 51 communes/wards/town-ships in Soc Trang province, it includes:



Table 2. The sites expand project

No.	District/town / city	Number of communes	Number of affected people	Number of beneficiaries *	Number of beneficiaries **
1	Châu Thành	2	396	724	471
2	Kế Sách	4	1,551	781	148
3	Mỹ Tú	3	985	580	103
4	Ngã Năm	5	1,222	881	281
5	Thạnh Trị	5	1,372	390	277
6	Sóc Trăng city	8	274	545	57
7	Long Phú	3	923	752	745
8	Cù Lao Dung	4	919	700	105
9	Trần Đề	2	586	413	742
10	Vĩnh Châu town	5	1,824	829	1132
11	Mỹ Xuyên	10	3,971	2,144	381
	<b>Total</b>	<b>51</b>	<b>14,023</b>	<b>8,739</b>	<b>4,442</b>

notes: (\*) Beneficiaries who directly benefit from subproject by connecting to new power lines.

(\*\*) Beneficiaries who connect to existing power lines.

### 3.2.2 Khmer communities in the affected communes

Results of the survey showed that in 45 communes / wards / town-ships of 51 communes / wards / town-ships under 11 districts/towns/city in the project area of Soc Trang province, Khmer households are impacted on agricultural land, trees and crops (temporarily and permanently).

Table 3. Inventory of project affected households/people in districts/communes

No.	District/Commune	Affected households (HH)	Affected Khmer people (person)
<b>1</b>	<b>Châu Thành</b>		
1.1	Phú Tân	44	178
1.2	Hồ Đắc Kiên	7	21
	<i>Sub-total 1</i>	<i>51</i>	<i>199</i>
<b>2</b>	<b>Kế Sách</b>		
2.1	Nhơn Mỹ	2	5
2.2	An Lạc Tây	1	4

No.	District/Commune	Affected households (HH)	Affected Khmer people (person)
2.3	Xuân Hòa	2	7
2.4	Thới An Hội		
2.5	An Mỹ	14	62
2.6	Ba Trinh		
	<i>Sub-total 2</i>	<i>19</i>	<i>78</i>
<b>3</b>	<b>Mỹ Tú</b>		
3.1	Mỹ Hương	7	31
3.2	Phú Mỹ	18	68
3.3	Long Hưng	1	5
	<i>Sub-total 3</i>	<i>26</i>	<i>104</i>
<b>4</b>	<b>Ngã Năm</b>		
4.1	TT. Ngã Năm	4	21
4.2	Vĩnh Biên	5	16
4.3	Tân Long		
4.4	Vĩnh Quới	1	3
4.5	Long Tân	2	6
	<i>Sub-total 4</i>	<i>12</i>	<i>46</i>
<b>5</b>	<b>Thạnh Trị</b>		
5.1	TT. Hưng Lợi	16	64
5.2	Vĩnh Lợi		
5.3	Lâm Tân	96	376
5.4	Thạnh Tân	1	3
5.5	Thạnh Trị	2	9
	<i>Sub-total 5</i>	<i>115</i>	<i>452</i>
<b>6</b>	<b>Sóc Trăng city</b>		
6.1	Ward 2	2	6
6.2	Ward 3	3	11
6.3	Ward 4	1	4
6.4	Ward 5	9	29
6.5	Ward 6		
6.6	Ward 7	7	28
6.7	Ward 8	2	8

No.	District/Commune	Affected households (HH)	Affected Khmer people (person)
6.8	Ward 10	4	12
	<i>Sub-total 6</i>	28	98
<b>7</b>	<b>Long Phú</b>		
7.1	Tân Thạnh	10	36
7.2	Trường Khánh	47	226
7.3	Tân Hưng	17	76
	<i>Sub-total 7</i>	74	338
<b>8</b>	<b>Cù Lao Dung</b>		
8.1	An Thạnh 1	5	15
8.2	An Thạnh 2	12	35
8.3	An Thạnh Đông	3	10
	<i>Sub-total 8</i>	20	60
<b>9</b>	<b>Trần Đề</b>		
9.1	Thạnh Thới Thuận	1	5
9.2	Lịch Hội Thượng	32	112
	<i>Sub-total 9</i>	33	117
<b>10</b>	<b>Vĩnh Châu town</b>		
10.1	Khánh Hòa ward	32	120
10.2	Vĩnh Phước ward	41	169
10.3	Vĩnh Hiệp	24	94
10.4	Vĩnh Tân	11	52
10.5	Lai Hòa	80	349
	<i>Sub-total 10</i>	188	784
<b>11</b>	<b>Mỹ Xuyên</b>		
11.1	Gia Hòa 1	7	19
11.2	Gia Hòa 2	4	11
11.3	Hòa Tú 2	39	132
11.4	Đại Tâm	3	11
11.5	Tham Đôn	7	25
11.6	Thạnh Quới	22	61
11.7	Ngọc Đông	1	3
11.8	Ngọc Tổ	1	3

No.	District/Commune	Affected households (HH)	Affected Khmer people (person)
	<i>Sub-total 11</i>	<i>84</i>	<i>265</i>
	<b>Grand total</b>	<b>650</b>	<b>2,541</b>

Details of impacts are as follows:

*Table 4. Impacts on land of Khmer households*

No.	District/Commune	HHs	Total land holding (m <sup>2</sup> )	Permanently affected (m <sup>2</sup> )			Temporarily affected(m <sup>2</sup> )		
				Paddy	Crops	Garden	Paddy	Crops	Garden
<b>1</b>	<b>Châu Thành</b>								
1.1	Phú Tân	44	260,220	268		48	2,189		395
1.2	Hồ Đắc Kiên	7	72,880	4		60	170		507
	<i>Sub-total 1</i>	<i>51</i>	<i>333,100</i>	<i>272</i>		<i>108</i>	<i>2,359</i>		<i>902</i>
<b>2</b>	<b>Kế Sách</b>								
2.1	Nhơn Mỹ	2	10,900			20			268
2.2	An Lạc Tây	1	3,520			4			10
2.3	Xuân Hòa	2	7,890			16			226
2.4	Thới An Hội								
2.5	An Mỹ	14	104,982	16		132	320		3,112
2.6	Ba Trinh								
	<i>Sub-total 2</i>	<i>19</i>	<i>127,292</i>	<i>16</i>		<i>172</i>	<i>320</i>		<i>3,616</i>
<b>3</b>	<b>Mỹ Tú</b>								
3.1	Mỹ Hương	7	22,060	8		24	70		173
3.2	Phú Mỹ	18	145,898	40	4	76	456	36	710
3.3	Long Hưng	1	2,720			4			20
	<i>Sub-total 3</i>	<i>26</i>	<i>170,678</i>	<i>48</i>	<i>4</i>	<i>104</i>	<i>526</i>	<i>36</i>	<i>903</i>
<b>4</b>	<b>Ngã Năm</b>								
4.1	TT. Ngã Năm	4	64,250	32			267		280
4.2	Vĩnh Biên	5	35,450	36		24	293		330
4.3	Tân Long								
4.4	Vĩnh Quới	1	3,650			24			237
4.5	Long Tân	2	10,190	20			161		
	<i>Sub-total 4</i>	<i>12</i>	<i>113,540</i>	<i>88</i>		<i>48</i>	<i>721</i>		<i>847</i>
<b>5</b>	<b>Thạnh Trị</b>								

No.	District/Commune	HHs	Total land holding (m <sup>2</sup> )	Permanently affected (m <sup>2</sup> )			Temporarily affected(m <sup>2</sup> )		
				Paddy	Crops	Garden	Paddy	Crops	Garden
5.1	TT. Hưng Lợi	16	213,640	116		12	932		78
5.2	Vĩnh Lợi								
5.3	Lâm Tân	96	905,940	444		188	5,386		1,456
5.4	Thạnh Tân	1	10,150	12			90		
5.5	Thạnh Trị	2	41,000	28		4	233		30
	<i>Sub-total 5</i>	<i>115</i>	<i>1,170,730</i>	<i>600</i>		<i>204</i>	<i>6,641</i>		<i>1,564</i>
<b>6</b>	<b>Sóc Trăng city</b>								
6.1	Ward 2	2	3,800			8			32
6.2	Ward 3	3	14,200			12			48
6.3	Ward 4	1	1,200			4			20
6.4	Ward 5	9	24,600	4		36	38		126
6.5	Ward 6								
6.6	Ward 7	7	22,900	16		24	95		106
6.7	Ward 8	2	4,400			8			36
6.8	Ward 10	4	14,000			16			52
	<i>Sub-total 6</i>	<i>28</i>	<i>85,100</i>	<i>20</i>		<i>108</i>	<i>133</i>		<i>420</i>
<b>7</b>	<b>Long Phú</b>								
7.1	Tân Thạnh	10	53,940	60			443		
7.2	Trường Khánh	47	206,900	288			2,117		
7.3	Tân Hưng	17	83,050	144			1,187		
	<i>Sub-total 7</i>	<i>74</i>	<i>343,890</i>	<i>492</i>			<i>3,747</i>		
<b>8</b>	<b>Cù Lao Dung</b>								
8.1	An Thạnh 1	5	21,620		16	8		137	140
8.2	An Thạnh 2	12	65,065		48			475	236
8.3	An Thạnh Đông	3	9,620		12			107	69
	<i>Sub-total 8</i>	<i>20</i>	<i>96,305</i>		<i>76</i>	<i>8</i>		<i>719</i>	<i>445</i>
<b>9</b>	<b>Trần Đề</b>								
9.1	Thạnh Thới Thuận	1	7,280	12			4		
9.2	Lịch Hội Thượng	32	137,910	236			1,813		260
	<i>Sub-total 9</i>	<i>33</i>	<i>145,190</i>	<i>248</i>			<i>1,817</i>		<i>260</i>
<b>10</b>	<b>Vĩnh Châu town</b>								
10.1	Khánh Hòa ward	32	145,770	128	24	4	759	156	53

No.	District/Commune	HHs	Total land holding (m <sup>2</sup> )	Permanently affected (m <sup>2</sup> )			Temporarily affected(m <sup>2</sup> )		
				Paddy	Crops	Garden	Paddy	Crops	Garden
10.2	Vĩnh Phước ward	41	163,467	160	44	16	918	267	140
10.3	Vĩnh Hiệp	24	89,670	96	20	4	499	83	40
10.4	Vĩnh Tân	11	50,806	44			305		
10.5	Lai Hòa	80	295,509	144	192	4	843	1,192	15
	<i>Sub-total 10</i>	<i>188</i>	<i>745,222</i>	<i>572</i>	<i>280</i>	<i>28</i>	<i>3,324</i>	<i>1,698</i>	<i>248</i>
<b>11</b>	<b>Mỹ Xuyên</b>								
11.1	Gia Hòa 1	7	41,400	24		8	141		31
11.2	Gia Hòa 2	4	21,300	16			252		40
11.3	Hòa Tú 2	39	112,000	84		112	947		1,131
11.4	Đại Tâm	3	13,400	8		12	58		72
11.5	Tham Đôn	7	19,560			28			478
11.6	Thanh Quới	22	61,650	80		32	369		140
11.7	Ngọc Đông	1	1,300			4			38
11.8	Ngọc Tổ	1	2,300	4			30		
	<i>Sub-total 11</i>	<i>84</i>	<i>272,910</i>	<i>216</i>		<i>196</i>	<i>1,797</i>		<i>1,930</i>
	<b>Grand total</b>	<b>650</b>	<b>3,603,957</b>	<b>2,572</b>	<b>360</b>	<b>976</b>	<b>21,385</b>	<b>2,453</b>	<b>11,135</b>

### 3.3 The positive impacts of the Subproject

- With the poverty reduction program, the Vietnamese government are looking for support on international. The project *Supply electricity for unelectrified Khmer households in SocTrang province* funded by ADB aims to improve living conditions in rural areas, while have the poverty and most difficult households, through the provision of basic infrastructure – electric power, these are supporting factors strengthening of socio-economic activities in the project site.
- According to a consultation and discussion focused by groups. The Khmer ethnic households such as Kinh people have expressed their opinion that they completely support the investment projects, even if they loss a number of cultivation land. According to their comments, the power source was enhanced to bring many benefits, a positive influence to the life and economic conditions rather cause negative effects (the fact is very small).

**Annex 6**

**Expected Impacts of Electrification**





## **ANNEX 6:**

### **SUMMARY OF EXPECTED IMPACTS OF ELECTRIFICATION IN SOC TRANG**

Below the anticipated positive and negative effects from electrification after the Project implementation in Soc Trang are summarized and described in short, and the major stakeholder groups benefiting or suffering from the impacts are defined. Comments are provided to further describe the specific consequences.

Sector	General Impact	Impact Description	Comments	Major Stakeholders
<b>Income and economic activities</b>				
Agriculture	Machines to improve production will be possible to use	<ul style="list-style-type: none"> <li>• Some small-scale agricultural machines</li> </ul>	<ul style="list-style-type: none"> <li>• Use will depend on HH economic and skills capacity</li> <li>• Supportive systems needed (funds, training)</li> </ul>	<ul style="list-style-type: none"> <li>• Local farming households</li> </ul>
Production development	Machinated production will be possible	<ul style="list-style-type: none"> <li>• Making clothes with electric sewing machines</li> <li>• Food processing with milling</li> <li>• Small-scale local wood processing</li> </ul>	<ul style="list-style-type: none"> <li>• Expected impacts on household level</li> <li>• Market access lacking to have significant income improvement effect</li> <li>• Supportive systems needed (funds, training)</li> </ul>	<ul style="list-style-type: none"> <li>• Some local households</li> </ul>
Trade and business	Trading of new consumer goods  Wood processing industry development potential	<ul style="list-style-type: none"> <li>• Electricity enables demand of new consumer goods</li> <li>• Electricity enables development of wood products processing</li> </ul>	<ul style="list-style-type: none"> <li>• Magnitude depends on local HHs economic capacity to invest in new consumer goods</li> <li>• Wood processing depends on access to microcredit</li> <li>• Outsiders may take the new opportunities so little local benefit will appear</li> </ul>	<ul style="list-style-type: none"> <li>• Local and external traders</li> <li>• Those capable of taking new opportunities</li> <li>• Local and external labor force</li> </ul>
<b>Governmental sector</b>				
Public services	Improved quality of health care and education services, governmental offices	<ul style="list-style-type: none"> <li>• Time for availability of services increase with lighting</li> <li>• Electricity enables better equipment and medical supplies in health care</li> </ul>	<ul style="list-style-type: none"> <li>• Positive impact depends on commune economic and staff capacity</li> </ul>	<ul style="list-style-type: none"> <li>• All commune inhabitants</li> <li>• School students</li> </ul>



Sector	General Impact	Impact Description	Comments	Major Stakeholders
		• Potential for computers		
Sector	General Impact	Impact Description	Comments	Major Stakeholders
		and internet improve communications, and knowledge level		
Inhabitants, households				
Households living standards	Enhanced security and comfort	<ul style="list-style-type: none"> <li>• Lighting enable evening time activities like studying</li> <li>• Consumer goods like TV, karaoke machines, CD-players, computers etc. may increase</li> </ul>	<ul style="list-style-type: none"> <li>• Household labor will be easier</li> <li>• Access to information and knowledge potentially improve</li> <li>• Electricity use depends on HH economic resources, so poor HHs access to electricity should be ensured</li> </ul>	<ul style="list-style-type: none"> <li>• Households using electricity</li> <li>• Households that can afford buying machines, consumer goods</li> </ul>
Social life	More activities and evening time activities will be possible	<ul style="list-style-type: none"> <li>• Evening time activities like study groups, meetings may increase</li> </ul>	<ul style="list-style-type: none"> <li>• Access to information and knowledge potentially improve</li> </ul>	<ul style="list-style-type: none"> <li>• All inhabitants</li> </ul>



**Annex 7**  
**TOR for NGOs**



## **ANNEX 7:**

### **TERMS OF REFERENCE FOR PROJECT NGO**

1. The NGO chosen for the task is required to have wide experience in community development work among ethnic minorities and working with ethnic minority women, as well as knowledge in microcredit organization and procedures, experience and competence in supporting microcredit schemes, and in capacity building. The organization needs to have available staff with relevant experience and technical capacity in supporting various production and income generation activities, focused on ethnic minority settings in remote locations, staff with gender expertise, and with capacity for promoting prevention and awareness program on HIV and human trafficking. The NGO needs to be familiar with the mass organizations and their work at different levels, be co-operative and establish a good working relationship with PMB and Community Management Board (CMB), Committee for Ethnic Minorities (CEM), Social Policy Bank, mass organizations, and authorities at different levels and especially CPC at each subproject location.

2. The overall tasks for the Project NGO are:

- (i) To work with the Province Unit of PMB and implementation of Ethnic Minority Development Plan (EMDP); To provide relevant capacity building training of the Province Unit of PMB in planning and implementing the Project activities following the social guidelines, as given in the *Communication and Participation Strategy*, *Ethnic Minority Development Framework* and *Gender Strategy* and other relevant social documents of the Project;
- (ii) To provide capacity building training for the CMB to implement the subproject specific EMDP and undertake other relevant tasks;
- (iii) To facilitate implementation of the National HIV/AIDS Prevention Program with the District Health Center and Commune Health Clinic, District Committee for Social Evil and Protection Human trafficking prevention program;
- (iv) To implement the Project specific Gender Strategy as outlined in the EMDP;  
accordingly ensure that gender issues are addressed in all relevant Project activities and that ethnic minority women are provided relevant support to participate and benefit from the Project;
- (v) To undertake motivational work for improving ethnic minority households' awareness of safe electricity use and possibilities in utilizing electricity;
- (vi) To work with Social Policy Bank, Commune level Loan Operation Committee, CMB in capacity building of the Committee, CMB for their role on loan operation, social preparation for the borrowers, need assessment for micro-credit schemes for the ethnic minority households for women and men; Identify loan schemes for men and women; Prepare proposal with the men and women borrowers to secure loan from Social Policy bank,



- women's union and other Mass organizations;
- (vii) To develop a credit program on farm (agriculture, tree plantation, livestock) and non-farm activities. To provide borrowers with technical support for efficient utilization of the loans for households' income improvement through electricity; to develop a village level livestock extension training for para-veterinary services; and
  - (viii) Conduct on-going monitoring of the activities at the commune and village level together with CMB; Prepare monitoring reports of the EMDP activities on a quarterly basis.

3. TOR for NGO for Subproject Implementation:

- (i) Work with the Province Unit of PMB and implementation of Ethnic Minority Development Plan (EMDP); Provide relevant capacity building training of the Province Unit of PMB in planning and implementing the Project activities;
- (ii) Conduct training needs assessment and conduct relevant capacity building support to CMB in each subproject location in facilitating community participation and implementation of the EMDP and when relevant, the Resettlement and Compensation Plan;
- (iii) Propose needed and relevant awareness raising support to local households in subproject locations in using and utilizing electricity;
- (iv) Work with Social Policy Bank, Commune level Loan Operation Committee, CMB in capacity building of the Committee, CMB for their role on loan operation, social preparation for the borrowers, need assessment for micro-credit schemes for the ethnic minority households for women and men; Identify loan schemes for men and women; Prepare proposal with the men and women borrowers to secure loan from Social Policy bank, women's union and other Mass organizations;
- (v) Investigate if there are any ongoing projects or governmental initiatives at district and province level relevant for the Component; propose how project cooperation with these will be arranged;
- (vi) Identify suitable optional activities for production and income generation improvement with electricity in each subproject location.
- (vii) Identified income generation improvement for individual households and/or groups of households and facilitate access to credit from SPB;
- (viii) Work with the poor households and identify relevant potential activities for them for micro-credit program;
- (ix) Develop a credit program on farm (agriculture, tree plantation, livestock) and non-farm activities; to provide borrowers with technical support for efficient utilization of the loans for households' income improvement through electricity;  
Develop a village level livestock extension training for para-veterinary in the subproject villages.
- (x) Identify the technical capacity building needed for households to be able to undertake the identified income generation improvement activities in

- an efficient way; make a plan how the identified technical capacity building will be provided;
- (xi) Assess the capacity and capacity building needs of relevant health care staff and WU to participate in implementing the national *HIV/AIDS and trafficking prevention program* in each subproject location; Facilitate implementation the of National HIV/AIDS Prevention and Human Trafficking prevention program;
  - (xii) Include gender strategy from the EMDP of core subproject (Hua Bum) in HIV/AIDS and STDs and Human Trafficking Program, Productive use of Electricity ( micro-credit), Safe of use of electricity campaign in all subproject locations and activities;
  - (xiii) Propose monitoring indicators to evaluate the impact of the planned activities; support the community-based monitoring by CMB and the internal monitoring by Province Unit of PMB through capacity building and other relevant assistance;
  - (xiv) Supporting the Province Unit of PMB in all project planning and implementation tasks and activities as needed.

**Annex 8**

**Participation Strategy**





## **ANNEX 8:**

### **CONSULTATION AND PARTICIPATION STRATEGY FOR THE PROJECT IMPLEMENTATION**

#### **A. Purpose of the Consultation and Participation (C&P) Strategy**

1. According to ADB requirements, the borrower/client is required to involve the communities, groups, or persons who are expected to be affected by a proposed project through information disclosure, consultation and informed participation. The scope of this consultation and participation (C&P) should be in proportion to the expected risks and impacts on the affected communities.

2. If the project will potentially have impacts on ethnic minority people, the borrower/client has to *undertake free, prior and informed consultation with affected people to obtain their broad community support of the project, and their informed participation in (a) designing, implementing, and monitoring measures to avoid adverse impact on them, or when avoidance is not feasible, to minimize, mitigate, and compensate for such effects; and in (b) tailoring project benefits that accrue to them in a culturally appropriate manner. Free, prior and informed consultation is an ongoing process and will be started as early as possible in the project cycle so that views of affected people can be taken into account in the project design.*<sup>2</sup>

3. C&P is a process through which stakeholders' influence and share control over development initiatives and the decisions and resources that affect them. Sufficient C&P is based on an understanding of who the different stakeholder groups are, and systematic engagement of these groups through a C&P plan. Thus, an adequate C&P requires conducting stakeholder analysis and developing a C&P plan. Accordingly, a C&P plan defines which stakeholders should be engaged and how deeply at each stage of the project cycle, taking into account time and resource constraints.

4. The goal of the Consultation and Participation Strategy is to provide a framework for preparing subproject specific C&P plans, in order to ensure the involvement of different stakeholders in all phases of the project planning, implementation and monitoring. It will guarantee that all groups of people who are expected to be involved and affected in the project are informed, that their interests, concerns and needs will be assessed in the project, and that the vulnerability of project affected people will be considered in all project activities.

5. Consultation and participation will be an integral part of the Project, and the costs will be included in the Project Implementation Support and Capacity Building budget of the loan. A subproject specific plan for consultation and participation of stakeholders, based on the Project Consultation and Participation Strategy, has to be formulated during each subproject preparation, parallel with the technical design. The extent of the C & P plan is



dependent on the subproject scale and the scope of the expected impacts and benefits from the project. Most of the subprojects under the loan are expected not to lead to significant negative impacts such as relocation, however, when a subproject has such effects, resettlement and compensation planning with affected households will be a central part of consultation and participation.

## **B. Steps for Preparing the Subproject C&P Plan**

6. Subproject specific C&P Plan will be prepared following the subsequent steps of:

- a. Identification and analysis of different stakeholder groups:
  - Interests of different stakeholder groups
  - Most important stakeholder groups
  - Who are the vulnerable stakeholders?
  - How different stakeholders will benefit from the project
  - Which stakeholders will be negatively affected by the project?
  - Capacity and resources of different stakeholders
  - Mandates or formal authority of different stakeholders
- b. Defining which stakeholder groups will be engaged in C&P process based on the identification
- c. Defining which decisions need to be made through the C&P and how
- d. Planning extent of stakeholder engagement at each stage of the project cycle
- e. Planning methodology of C&P for involving the different stakeholder groups at each stage of the project cycle
- f. Planning timeline for C&P
- g. Defining roles and responsibilities for conducting C&P
- h. Defining expected outputs and recording of C&P
- i. Cost plan and budgeting for C&P implementation

## **C. Identification of different stakeholder groups**

7. During the detailed design phase of each subproject, a stakeholder analysis will be conducted in order to identify all the different stakeholder groups, initially define their vulnerability profiles, and estimate project impacts, both positive and negative, on each group of stakeholders. This analysis will ensure that all groups of people that are significantly affected by the project are included in the detailed C&P plan, and that the plan is designed to meet the needs and capacity of the major stakeholder groups. Major focus in stakeholder involvement will reasonably be on the project area inhabitants who will be affected of the project implementation activities, and who also will be the major beneficiaries of electrification.

8. The Stakeholder analysis should initially assess the following potential stakeholder categories in order to ensure that all relevant groups of stakeholders are



recognized in the C&P Plan:

- (i) Village and Commune Level
  - Project affected households, both men and women, from different wealth categories; poverty, vulnerable and female-headed households need to be paid special attention to
  - Local producers and business owners from different income generation branches
  - Community-based organizations (if any)
  - Mass organizations (Women's Union, Farmers' Association, Youth Union and Fatherland Front)
- (ii) Traditional leaders
  - CPC representatives
  - Representative staff of GOV's service providers (health, education, agricultural extension) and private service providers (if any)
- (iii) District level
  - DPC
  - Representative staff from relevant Governmental offices
  - Ethnic Minority authority representative (if relevant)
  - District health care representatives, especially from Preventive health care unit
  - Mass organization representatives (Women's Union, Farmers' association, Youth Union, Fatherland Front)
  - Representatives from private business and service providers with interests in the project area
- (iv) Province level
  - PPC
  - Representative staff from relevant Governmental departments: DOIT, DPI, DARD, DONRE, DOFA
  - CEM and Ethnic Minority Office (if relevant)

#### **D. Methodology for C&P to Ensure Stakeholder Involvement**

9. Planning of the methodology and tools for a subproject C&P to ensure the full involvement of the project-affected people will be based on the identification of different stakeholder categories and an analysis of their interests, needs, roles and vulnerability as well as the anticipated project impacts on them.

10. All project activities that will potentially impact on the local communities in the project areas have to be consulted with identified local stakeholders, and conditions have to be prepared for their full participation throughout the project in all its phases. Consultations have to involve both formal commune and village leaders and the traditional



ethnic minority leaders in ethnic minority communities, as well as community-based organizations (if any exist). Participatory village meetings and focus group meetings in relevant smaller groups (for example, men, women, youth, farmers, business owners, governmental officials) will be organized in order to ensure that all local people have full awareness and understanding about the project content. These meetings need to be regular and scheduled to follow set milestones throughout the project phases. It is crucial to invite all project-affected people to the meetings, and especially encourage participation of women and of the most vulnerable households. Many ethnic minority people in remote communes, especially women, are not fluent in the Vietnamese language and their reading skills are limited. It is therefore crucial that all information and communication with ethnic minority people will take place in their own language, at a level that is understandable for them and in a manner that is culturally appropriate and will encourage their active involvement.

11. At the commune level a Community Management Board (CMB) will be formed, consisting of the Commune leader, village leaders, male and female representatives from the mass organizations and the field staff of the Project NGO. Chairpersons of the CMB will participate in regular consultations and meetings with the Province Unit of PMB during the detailed design and implementation of the project. PMB has to set up routines and a schedule for regular dialogue with set milestones with the CMB. Issues raised and decisions made at these meetings are requested to be recorded, and copies of these minutes of meetings be kept and be available for the local people in the commune office. In ethnic minority communes the province level Ethnic Minority Office and/or relevant staff dealing with ethnic minority issues at the district office may support this communication. Regular dialogue with village-level stakeholders will ensure that all concerns, conflicts and grievances can be expressed and assessed in a timely manner.

12. All the meetings with local stakeholders have to be recorded and summarized, and the results be brought into project planning and for adjusting activities whenever needed. The protocols have to be kept in the project archives.

13. All draft documents and plans, including an assessment of potential impacts that may arise during and after project implementation also have to be made permanently available for the local stakeholders through posting them up both at the commune office and in a suitable point in each involved village.

14. The aim of the consultations is that all local inhabitants who are expected to be impacted by the project will be properly and timely informed about the project, its scope, implementation schedule and activities, as well as impacts on the local community. They will gain knowledge about the benefits and opportunities of electrification, and what kind of support is available (such as micro credits) for them to take new opportunities. Proper and timely information is a prerequisite for the local people, especially in ethnic minority



communities, to fully understand and participate in the project in all different phases and also be able to benefit from the electrification effects.

15. If the subproject implementation will lead to land losses, loss of assets, and/or relocation, the affected people have to receive timely information about the planned procedures. Province Unit of PMB has to provide the affected people with assistance to fully understand their rights to compensation and grievances, as well as of the compensation and grievances procedures. Individual consultations are required to be arranged with each affected household, their losses have to be identified and their expectations brought into the detailed resettlement and compensation planning.

#### **E. Recommendations for Institutional Arrangements Enhancing Bottom-up Participation of Local Stakeholders**

16. Province Unit of PMB will have responsibility to prepare a timely subproject C&P plan, and to follow it accordingly in order to ensure that free, prior and informed consultations with all relevant and central stakeholders are carried out in all phases of the project cycle.

17. All C&P has to take place in a culturally appropriate way and to be sensitive to local culture and traditions. It is important early in the project cycle to involve local institutions and organizations, like traditional leaders, community-based organizations, mass organizations, local leaders and People's Committees. Need to clarify roles/responsibilities of each agency/individual in the C&P plan.

18. Community Management Board (CMB) will be the representative of the local people and ensure communication between the local people and the Province Unit of PMB. Funds for CMB will be included in the project budget. CMB or its representatives will participate at any relevant commune and district level meetings concerning the project, and share the information with the villagers, especially in subprojects with many and scattered villages. Province Unit of PMB and CMB are required to set up agreed routines and timeline for their regular dialogue and meetings throughout the project cycle.

#### **F. Recommendations for Community-Based Monitoring and Grievance Procedures**

19. One of the tasks of the CMB is to function as a community-based monitoring supervisory group to ensure a proper implementation of project activities according to the project plans and following the agreements with stakeholders. Province Unit of PMB will have the overall responsibility for the monitoring, and the Project NGO will ensure appropriate capacity support to CMB and the local communities for monitoring of the activities. If the subprojects are taking place through ordinary governmental budget, monitoring of project performance could be coordinated with the SEDP monitoring in cooperation with the Fatherland Front.

20. Grievance procedures have to be set up in a way that ensures local stakeholders to



take up any issues they consider no to follow the project plan and agreements in an appropriate way. If any beneficiaries of the project are not satisfied with deliveries or compensation received or any other issue, CMB should mediate in claiming through the CPC to the Province Unit of PMB. Complaints should be assessed and negotiated into a solution between the Provincial Unit of PMB and the CPC. However, if a conflict is not solved amicably, it should be taken to the Project Steering Committee (SC) under the PPC.

#### **G. Summary Checklist for Participation and Consultation of Stakeholders**

21. Involvement of stakeholders is required to be monitored throughout the different project phases. The following stepwise check-list may ensure that a proper C&P plan has been prepared and followed, and that different stakeholders have been involved in all stages of the project:

- (i) Stakeholder identification and analysis conducted?
- (ii) Consultation and participation plan prepared involving all major stakeholders?
- (iii) Methodology chosen that ensures bottom-up stakeholder involvement?
- (iv) Informed consultations conducted with all chosen stakeholder groups?
- (v) Consultations have been gender balanced so that both men and women have been consulted?
- (vi) Feedback from stakeholders brought into project planning and implementation?
- (vii) Stakeholder consultations summarized?
- (viii) Grievance procedures prepared in cooperation with stakeholders?
- (ix) Community Management Group formed in a representative way and is functional?
- (x) Monitoring of the project performance conducted involving stakeholders?