

External Social Monitoring Report

Semi-Annual Report
January – June 2020

May 2021

Viet Nam: Urban Environment and Climate Change
Adaptation Project
Hoi An City, Quang Nam Province

Prepared by Quang Nam Provincial Project Management Unit for Transport Works for the Asian
Development Bank

ABBREVIATIONS

ADB	:	Asian Development Bank
AHs	:	Affected Households
PMU	:	Project Management Unit
MONRE	:	Ministry of Natural Resources and Environment
GAP	:	Gender Action Plan
PAPs	:	Project Affected People
REMDP	:	Resettlement and Ethnic Minority Development Plan
RP	:	Resettlement Plan
TOR	:	Terms of Reference
EMC	:	External Monitoring Consultant
PC	:	People's Committee
VND	:	Vietnam Dong

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Cộng hòa xã hội chủ nghĩa Việt Nam

Độc lập - Tự do - Hạnh phúc

BIÊN BẢN LÀM VIỆC

Giám sát độc tài định cư đợt 1. - Dự án Mới: tương đối thi và thích ứng
với biến đổi khí hậu - Điều chỉnh thành phố Hội An

1. Thời gian họp:ngày 7 tháng 7 năm 2020
2. Địa điểm họp: UBND xã Điện Phước.....
3. Thành phần tham dự:

Đại diện Ban quản lý dự án.....

- Ông/ bà:..... Chức vụ:.....
- Ông/ bà:..... Chức vụ:.....
- Ông/ bà:..... Chức vụ:.....

Đại diện Đơn vị TVGS tái định cư:

- Ông/ bà: Trinh Thị Hương Chức vụ: Trưởng học.....
- Ông/ bà: Đặng Thị Nga Chức vụ: Cán bộ hồ sơ.....
- Ông/ bà: Trần Thị Thuý Duyên Chức vụ: Chuyên viên phát triển cộng đồng.....
- Ông/ bà:..... Chức vụ:.....
- Ông/ bà:..... Chức vụ:.....
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Đại diện các bên liên quan:

- Ông/ bà: Trần Văn Đình Chức vụ: CT UBND xã.....
- Ông/ bà:..... Chức vụ:.....
- Ông/ bà:..... Chức vụ:.....
- Ông/ bà:..... Chức vụ:.....
- Ông/ bà:..... Chức vụ:.....

4. Nội dung thảo luận:

Thảo luận về công tác bồi thường GEMIS của hợp phần
HA/W4 Nâng cấp, tái tạo đường QL608 đi qua thôn Nhì
Đình 2
Tăng số 49 ha, đã chi trực song.....

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NOTE

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I. OVERVIEW

1. Objectives of the project

1. The “Urban Environment and Climate Change Adaptation Project” funded by ADB will construct and upgrade the infrastructure facilities to improve urban environmental conditions, water supply systems and sewerages, waste and water treatment facilities, and flood control in order to reduce environmental pollution, improve urban environment and climate change adaptation for two coastal cities, namely Dong Hoi (Quang Binh) and Hoi An (Quang Nam).

2. The project is in line with the Viet Nam's Socio-Economic Development Plan (SEDP), 2011-2015, which aims to create a foundation for the country to be an industrialized country by 2020. The SEDP accords high priority to construction of urban infrastructure, taking into account environmental protection, in which special importance is attached to traffic networks, water supply systems and sewerages, waste and water treatment facilities, facilities for collection, transport, treatment and burial of waste, especially hazardous waste in urban areas and industrial zones. The water supply and other municipal infrastructure services is one of the key priority areas identified in the Asian Development Bank's (ADB) country and partnership strategy (CPS), 2012 - 2015.

3. Therefore, the project will contribute to comprehensive socio-economic development with the objectives of increasing urban population, reducing poverty in urban and rural areas, solving social security problems, improving the quality of life, developing and integrating suburbs, promoting tourism and services, creating a competitive environment for Dong Hoi and Hoi An.

2. Information of components

4. At the time of project preparation 2013 and 2014, five (5) components have been proposed under “Urban Environment and Climate Change Adaptation Project” in Hoi An city, Quang Nam province. These components are expected to the objectives of the project include (i) Climate proofed urban development and (ii) Improved water supply management and resilience for Hoi An City, Quang Nam province. The details of subprojects are follows:

- (i) **Construction of Access Road to Cua Dai Bridge:** The total length of this dual carriage way road (4 lanes) will be 4.86 km, commencing in Lac Long Quan Road and linked to the Cua Dai Bridge which is currently being constructed. This is designed to ensure a southern connectivity to Tam Ky from Hoi An, which is currently lacking.
- (ii) **Improvement of Provincial Road 608 Sections:** The road sections that will be improved including the sections in Dien Phuong, Dien Nam Dong commune (Dien Ban town) and in Hoi An City. The main objective of this component is to create a flood evacuation route on the south-west side of Hoi An City as opposed to the Cua Dai new road and bridge on the north-east side of Hoi An.
- (iii) **Construction of Co Co River New Urban Development Area:** The main objective of this component is to reinforce the Hoi An City Master Plan developed in 2005 to render Hoi An more eco-friendly and also more recently to promote Vietnam's Green Growth Strategy.
- (iv) **Improvement of Lai Nghi Reservoir and Intake:** This component involves the dredging of the Lai Nghi Reservoir to ensure more and better quality water is available for unmet demand in Hoi An.
- (v) **Improvement of Phap Bao Lake:** This component is linked to the detention of storm-water in the ancient city that is often impacted upon by river-based surface flooding during storms and the management of upstreamsewage.

5. Due to project delay, there are several parts of roads in Hoi An constructed under provincial own budget and the master plan of Co Co new urban area need to be revised. Therefore, the number of subprojects have been changed, in details: The Co Co new urban area subproject will not be implemented and instead by two new subprojects are proposed including (i) Dredging of Co Co River and (ii) Upgrading the access road south of Cua Dai Bridge. Besides, the component improvement of provincial road 608 is also changed for some sections of investment by ADB support, thus a total of 6 components have been approved by ADB until 2019 in detail as follows:

- (i) **Construction of Access Road to Cua Dai Bridge:** The total length of this dual carriage way road (4 lanes) will be 4.86 km, commencing in Lac Long Quan Road and linked to the Cua Dai Bridge which is currently being constructed. This is designed to ensure a southern connectivity to Tam Ky from Hoi An, which is currently lacking.
- (ii) **Improvement of Provincial Road 608 Sections:** The road sections that will be improved including the 4 sections including (i) From Hoang Dieu road to flyover over NH1 (Km1 + 090 to Km1 + 494); (ii) From flyover over NH1A to Lai Nghi (Km1 + 494 to Km4 + 753); (iii) From the end of Hoang Dieu street to DH14 bridge of Dien Ban (Km0 to Km1 + 394 of DH14 route in Dien Ban town) and (iv) From DH14 in Dien Ban town to new DT609 (Km1 + 874 to Km3 + 100 of old DT609 road).
- (iii) **Improvement of Lai Nghi Reservoir and Intake:** This component involves the dredging of the Lai Nghi Reservoir to ensure more and better quality water is available for unmet demand in Hoi An.
- (iv) **Improvement of Phap Bao Lake:** This component is linked to the detention of storm-water in the ancient city that is often impacted upon by river-based surface flooding during storms and the management of upstreamsewage
- (v) **Dredging of Co Co river of 5km:** Total length of Co Co River Dredging in Quang Nam Province is about 19 km, in which dredging of the first section of 14 km (Km 0 to Km 14) is proposed to use government funding and dredging of the second section of 5 km (Km 14 to Km 18+900) is proposed to use ADB financing.
- (vi) **Access Road to connect with Cua Dai bridge – South of Hoi An of 36.5km:** The Southern access road to Cua Dai bridge going to Tam Ky is planned with total length of 36.5 km, including 4 roadway lanes of 4 x 3.5 m, shoulder of 2 x 2.5 m, safety strips of 2 x 0.75 m, and sidewalk of 2 x 7.5 m and central reserve 2.5m.

6. All Six (6) proposed components are not completely new construction projects, most of them are upgrading and improving for the existing facilities. According to the results of the site survey and evaluation of the components in terms of social impacts and land acquisition issues, most components have partially or wholly completed land acquisition by local authorities and following the regulations of the Government of Vietnam on compensation, support and resettlement. Details of the current land acquisition status of specific sub-projects are as follows:

Table 1: The subproject works

No.	Name of Subproject (SP)	Main works and status	Status of land acquisition
1	Construction of Access Road to Northern Cua Dai Bridge	Construction 4,86 Km from Lac Long Quan street to Cua Dai bridge.	Land acquisition is started since late 2009, early 2010, compensation is made in 2011, however the completion is October 2014 due to delay in allocating the resettlement land plots for relocating households
2	Improvement of Provincial Road	Total of length is 6,62 km;	Of the total 6,62 Km to be upgraded, Section from Km1 + 090 to Km1 + 494

No.	Name of Subproject (SP)	Main works and status	Status of land acquisition
	608 Sections	of which	has no any impact; Section from <u>Km1 + 494 to Km4 + 421</u> has completed for land acquisition since 2013; the remaining sections need to acquire land. More details of each sections are described as below
2.1	Section 1	From Hoang Dieu road to flyover over NH1 (Km1 + 090 to Km1 + 494)	This is an existing road long time ago and there is not any impact on land acquisition or impact on local people
2.2	Section 2	From flyover over NH1A to Lai Nghi (Km1 + 494 to Km4 + 753).	<p>This section is existing road long time ago. In 2011, this road was planned to be upgraded and expanded, so the land acquisition to expand the road was implemented. However, due to lack of funds to implement the project, therefore the implementation of land acquisition has conducted only for the section from <u>Km1 + 494 to Km4 + 421</u></p> <p>In addition, according to the detailed design approved in Dec 2019, some locations need to be additionally acquired to widen the road from Km4 + 421 to Km4 + 753, and other locations to expand intersections with residential roads, bus stops, intersections with irrigation canals, weight checking station. (Please see more details of additional land acquisition locations in the Annex 1)</p>
2.3	Section 3	From the end of Hoang Dieu street to DH14 bridge of Dien Ban (Km0 to Km1 + 394 of DH14 route in Dien Ban town)	This section is not existing road, currently there are about 48 houses and productive land of about 150 households in Vinh Dien ward, Dien Ban town. Accordingly, these households will be affected by land acquisition and relocation to implement the project
2.4	Section 4	From DH14 in Dien Ban town to new DT609 (Km1 + 874 to Km3 + 100 of old DT609 road)	This section is an existing road, the implementation of this segment will not impact on houses and no one must to relocate, but some land areas belongs to households who are living along the route will be checked to provide support due to restriction on land use and the compensation will be paid for affected assets that includes fences, gates, walls, etc. or trees
3	Improvement of Lai Nghi Reservoir and Intake	Reinforcement for the embankments, replacing motorized regulating sluices, installing pump stations, installing water collection and drainage	The activities of this component will impact on numbers of households and their productive land

No.	Name of Subproject (SP)	Main works and status	Status of land acquisition
		systems	
4	Improvement of Phap Bao Lake	Dredging about 50,000m ³ of sediment in the lake	The activities of this component will impact on numbers of households and their productive land
5	Co Co river dredging	Dredging 5.05 km of Co Co River and building a bridge with a length of 180 m to complete the remaining 5.05 km (km 14 - km19) of interregional waterway traffic in Da Nang - Quang Nam	The section from km 14 to km 19 (which ADB will invest). However, in this section, there are 2 sections that have been compensated: Km14 to Km 16 and Km17.2 to Km 18.9
6	Construction of access road to southern Cua Dai bridge	Upgrading 36.5 km of existing roads	Land acquisition has been completed in 2012

Source: Monitoring results in July 2020

3. Scope and scale of impacts on land acquisition and resettlement of the subproject

7. Because two components including (i) Improvement of provincial road 608 sections and (ii) Construction of access road to southern Cua Dai bridge are new components in comparison with the proposed components at the time of PPTA. Therefore, by the time of this report, there is no information of impacts by these components. The data of these components will be updated when DMS and DDR is completed.

8. According to IOL results and DDR for “Construction of Access Road to Northern Cua Dai Bridge” conducted by PPTA consultant in 2014, the implementation of the construction of 4 remaining components will affect 1,073,938.6 m² of land and 770 households, of which 69 households will lose houses and relocation (including relocating on the remaining land and relocating to another location), 200 households will lose more than 10% of their productive land and 29 households belong to vulnerable groups. The following table summarizes the impacts by components:

Table 2: Summary of impacts by Components

TT	Sub-project	Total of affected Land (m ²)	Total of AHs			
			Total	HHs lost >10%	Relocating HHs	Vulnerable HHs
1	Construction of Access Road to Northern Cua Dai Bridge	238,099.0	235	82	66	12
2	Improvement of Provincial Road 608 Sections	-	-	-	-	-
3	Improvement of Lai Nghi Reservoir and Intake	37,072.0	25	21	-	14
4	Improvement of Phap Bao Lake	13,750.0	11	11	-	-
5	Co Co river dredging 5.05km from km14-km19	785,017.6	499	86	3	3
6	Construction of access road to southern Cua Dai	-	-	-	-	-

bridge					
Total	1,073,938.6	770	200	69	29

Source: Internal Monitoring Report - June 2020

II. METHODS OF MONITORING AND EVALUATION

2.1. Monitoring objectives

- The independent resettlement monitoring is to provide independent monitoring and evaluation on the implementation of the objectives set out in the resettlement plan.
- Consideration of the compliance with the procedures, compensation, support, resettlement established in the RP, which were approved.
- Consideration of changes in living standards and employment, restoration of income and social infrastructure of affected people as well as effectiveness, sustainability and relevance of the resettlement.
- Assessment of AHs' satisfaction on the implementation of compensation, support and resettlement.
- Assessment of the level of achievement of the objectives of the compensation, support and resettlement specified in the RP and the RPF and recommendation of measures, adjustments (if needed).

2.2. Monitoring methodology

2.2.1. Monitoring method

1. The Consultant used a combination of different methods for the first monitoring to collect qualitative and quantitative information. The main methods are group discussion, questionnaire survey, document study and in-depth interview. The Consultant also combined observations to find out more about the living conditions of affected households and the actual implementation progress at site etc.

2.2.2. Documentary study

2. Study of internal monitoring reports, detailed measurement survey reports (DMS), compensation plans, decisions of Quang Nam People's Committee relating to compensation and resettlement as well as meeting minutes with affected households to assess the compliance of the implementation of resettlement with the RP provisions. Specifically, assess the accuracy of the compensation plan against the inventory records, the adequacy of disclosure, regular internal monitoring and documentation files. In addition, the consultant also checks community consultation minutes, project information disclosure and citizen complaints, if any.

2.2.3. Sampling method

3. This method is used as a primary tool for collecting information on affected households relating to their demographic characteristics, income and living standards, production conditions, levels of satisfaction with the compensation, levels of satisfaction with the terms and the implementation of the resettlement action plan; assessing the effectiveness and sustainability of entitlements and income rehabilitation measures for affected households; assessing ability of affected people to restore/rebuild their livelihoods and living standards.

4. The Consultant conducted a random survey of the affected households in 03 monitored communes. In order to collect multi-dimension information, the three communes selected in this monitoring stage that have been paid all compensation and support for affected. Total number

of households selected for the survey includes 109 affected households that have received compensation and support money.

2.2.4. Group discussions

5. The Consultant conducted group discussions with the officers in charge of compensation and site clearance of the PMU, District Land Fund Development Center to collect the site clearance progress and to find out advantages, difficulties and solutions for the implementation of the Resettlement Plan; problems and causes of pending issues; next deployment plans; suggestions and solutions to overcome pending issues etc.

6. In addition, in the first monitoring, the Consultant conducted one group discussion with the affected homeowners who received compensation in each commune during the monitoring process.

2.2.5. In-depth interview

7. Affected households, project executives and persons responsible for the resettlement process were interviewed based on the prepared guideline. During the first monitoring, the Consultant conducted 05 in-depth interviews (including 03 in-depth interview with CPC leaders, 02 in-depth interviews with affected households which received compensation money. The purpose of in-depth interviews with staff is to learn more about the compensation and site clearance process in the sub-projects, difficulties and problems in the implementation process, the level of people's participation, Site clearance progress compared to project construction progress and corrective actions have been taken for problems arising in the compensation and site clearance process. The purpose of in-depth interviews with affected households is to find out more information about the participation of people in the compensation process, the level of people's satisfaction with the information dissemination process, DMS, the process of establishing the compensation plans and compensation payment. For relocated and resettled households, in-depth interviews to determine the level of livelihood restoration and stability of life after relocation. Recommendations, if any, of households for resettlement areas and supports for life recovery. The information from the indepth-interviews is used to supplement the information obtained from the questionnaire survey and the document analysis process.

2.2.6. Direct observation method

8. When gathering information in the field, the EMC directly met and interviewed AHs at their homes and observed their living conditions and amenities which help to better understand the context that the information and data are collected to clarify positive issues and limitations of the subproject in the compensation and site clearance. In addition, the consultant also observes the affected assets in reality to assess the accuracy of the DMS profile compared to the affected reality of the households. At the construction sites, observe the construction scope to assess the additional effects in the construction process on the household's property.

2.3. Implementation organization

9. From 06/7/2020 to 10/7/2020: The resettlement specialists carried out the preparatory works and the project monitoring. Based on the project progress, in the first monitoring, the Consultant conducted field monitoring in 03 communes, including Dien Minh, Dien Phuong and Dien Phuoc.

Table 3: Number of AHs involved in in-depth interview and questionnaire interview

No.	Locality	Joining	Types of households
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			Resettled households	Poor households	Vulnerable households (female headed households, disabled headed household ...)	Affected household
1	Dien Minh	Number of households interviewed by questionnaires	1	1		42
		Number of households involved in in-depth interviews				1
		Number of households consulted in group discussion				5
2	Dien Phuoc	Number of households interviewed by questionnaires	2	2		44
		Number of households involved in in-depth interviews				1
		Number of households consulted in group discussion				4
3	Dien Phuong	Number of households interviewed by questionnaires				23
		Number of households involved in in-depth interviews				1
		Number of households consulted in group discussion				4
	Total	Number of households interviewed by questionnaires	3	3		109
		Number of households				3

		involved in in-depth interviews				
		Number of households consulted in group discussion				13

Source: Survey results of July 2020

Note: There are some households who both participated in in-depth interviews and questionnaire interviews

III. MONITORING RESULTS ON RESETTLEMENT PLAN IMPLEMENTATION

3.1. The progress of resettlement implementation (up to monitoring time of July, 2020)

10. Most of the components have not been approved for detailed design at present except Components of Construction of Access Road to Northern Cua Dai Bridge and Improvement of Provincial Road 608 Sections.

11. By the time of the first monitoring, only one among six components has been completed for all 100%) compensation plans since its land acquisition has completed before ADB support. Besides, the component of Improvement of provincial road 608 sections has also approved at 20% of compensation plans as section from Km1+494 to Km4+421 has completed for land acquisition since 2012.

12. At present, the formulation of compensation plans for the remaining project affected households is being coordinated by the PMU in close coordination with the District's FPDG to accelerate the progress.

3.2. Evaluation of document monitoring results in office

13. The Monitoring Consultant reviewed records archived at the office of Quang Nam Province Traffic Investment and Construction Project Management Unit, Dien Ban district LFDC and Hoi An town LFDC. The documents include: Decisions on the establishment of the Compensation and Site Clearance Board; decisions on the establishment of the DMS group; Internal monitoring reports; List of households receiving compensation; DMS of affected assets (signed for certification by affected household heads or representatives); detailed compensation and support plans for each household; Minutes of public listing; Minutes of closing the listing of compensation, assistance and site clearance plans; Notice of land acquisition; Minutes of synthesis of comments and resolutions; meeting minutes to disseminate project policy information and complaint letter if have any...

14. Quang Nam Province Traffic Investment and Construction Project Management Unit (PMU) has closely coordinated with Dien Ban district LFDC and Hoi An town LFDC to compensate for the project. In general, the compensation process has been implemented in accordance with the regulations.

15. Documents of inventory, measurement, approved compensation plans, list of land acquisition decisions, list of receiving compensation... are fully archived at Dien Ban district LFDC and Hoi An town LFDC. DMS records with full signatures of all participants and representatives of affected households are stored at Dien Ban district LFDC and Hoi An town LFDC.

16. **Conclusions:** (i) With regard to the organization of implementation: Dien Ban district LFDC, Hoi An town LFDC, and the DMS working group have been established. The participants are experienced in organizing and implementing domestic projects, ensuring the project's capacity to implement compensation, assistance and resettlement; (ii) The project's internal monitoring reports have been systematic, fully demonstrating the implementation progress, shortcomings and solutions to overcome; (iii) the compensation and assistance records are fully archived systematically.

3.3. Dissemination of information

17. The first time of dissemination of information and community consultation was organized by Hoi An PMU and design consultant during the FS process in 2013 & 2014 and then many consultation meetings and information disclosures have been conducted by Hoi An PMU, LFDCs, CPCs and social safeguards consultants during preparation the RPs and DDRs for components in 2014 to 2019. The information dissemination through consultation meetings was conducted with communal authorities and representatives of affected HHs in their communes. In addition, as for ADB's requirement, the approved RPs have also been disclosed to all affected

households and other stakeholders, besides the copies of these RPs that were placed in the commune/and villages. The information disclosure process covers the following topics: (i) The technical design of subproject, AHs eligible for compensation and resettlement assistance; (ii) Principle of compensation payment; (iii) Consulting on the replacement cost, compensation payments and other entitlements of AHs as well as on additional assistance and allowances to the severely affected households, affected vulnerable group; (iv) Information on the Grievance Redress Mechanism.

18. The monitoring results show that the PMU has closely coordinated with the LFDCs of the districts and the CPCs to disseminate information and compensation policies to affected households right from the beginning of resettlement activities. The information dissemination has been carried out throughout the project cycle and in compliance with the regulations on information dissemination and public consultation as specified in the resettlement plans.

19. It was shown through consultation with local authorities and affected households, the PMU together with the district agencies informed the local authorities of the wards/communes of the project implementation and the work-plans with the affected households. In areas with a large number of affected households, the consultation was conducted in the residential areas/villages. People received information relating to the project, information about measurement and consultation about compensation plans.

20. The survey results show that 100% of the interviewed affected people confirmed that they had attended the meetings and heard about the subproject information. 90.4% of the respondents said they received the subproject information from local authorities. 95.5% of the respondents said they received information from PMU staff.

Table 4: Sources of information provided by the project to affected households

No.	Project information source	%
1	PMU/LFDC staff	95.5
2	Local authorities	90.4
3	Ward/commune meetings	85.1
4	Friends, neighbors	55.8
5	Local loud speakers	99%

Source: Survey results of July 2020

21. Regarding the content of information dissemination, 91% of surveyed households said that they have been informed of the project's compensation policy, 87% said that they know about the project's construction items and 95% said that they know about the GRM of the project.

22. 100% of surveyed households confirmed that they were satisfied with the project information received.

23. Up to the monitoring time, the dissemination of information about the subproject to the people has been implemented by the PMU and the Compensation Committees in accordance with the process as stated in the subproject RP.

24. Consultation meetings are usually held at the ward/commune People's Committees. As noted by the EMC, most of the meetings were coordinated by the PMU/LFDC staff with local authorities to organize with affected households.

25. The heads of AHs are usually the participants in consultation meetings. Many of the household heads are male, therefore, the number of men in meetings is often higher than that of women.

General comment

26. Information dissemination to the affected people has been implemented relatively well

by the PMU/LFDCs, People's Committees of affected wards/communes. At the consultation meetings, PMU staff informed and disseminated to the affected people/households the basic contents of the subproject, entitlements of the affected households, grievance redress mechanism and income restoration for affected people. Affected households were fully informed of the policies and grievance redress mechanism as well as the DMS schedule, keeping DMS records, compensation plans for their family affected assets.

27. The consultation and information dissemination for affected people ensured the publicity and transparency in the consultation process.

3.4. Detailed measurement survey of affected assets (DMS)

28. The component of construction of access road to northern Cua Dai bridge has completed by 100% for DMS as its land acquisition completed since 2014. As findings of DDR conducted in 2014, the DMS has been conducted by LFDC with the supports from Wards/CPCs. At the beginning of the DMS process, the LFDC have announced the DMS planning to Wards/CPCs and affected households. All affected households have participated in the DMS process. The result of DMS of households were publicly posted at the office of communes as the regulations. 100% affected HHs are provided the copy of the DMS records after signing on the DMS minutes done by the LFDC.

29. During this time of the report, as reported by LFDC the component of Improvement of provincial road 608 sections has completed by 100% of DMS works. All affected households have participated in the DMS process. The result of DMS of households were publicly posted at the office of communes as the regulations. 100% affected HHs are provided the copy of the DMS records after signing on the DMS minutes done by the LFDC. The progress of other remaining components is zero percentage due to detailed technical designs for these components are just approved on 6th July 2020 or not approved yet. The table below presents the progress of DMS of subprojects

Table 5: Implementation process of DMS

No	Name of Subproject (SP)	DMS status	Notes
1	Construction of Access Road to Northern Cua Dai Bridge	100%	Land acquisition is completed before ADB funding
2	Improvement of Provincial Road 608	100%	
3	Improvement of Lai Nghi Reservoir and Intake	0%	Detailed Design is not approved
4	Improvement of Phap Bao Lake	0%	Detailed Design is not approved
5	Co Co river dredging 5.05km from km14 - km19	0%	Detailed Design is not approved
6	Construction of access road to southern Cua Dai bridge	0%	Although the construction activities of this component is proposed on the existing road foundation only, but the detailed design has not been approved, therefore, it has not been determined whether land acquisition or not.

Source: The reports of the LFDC by July 2020

30. The assessment of the satisfaction levels of the surveyed AHs shows that (results of interviewing affected households with questionnaires) 91.7% of the total (100 households) are pleased and 8.3% (9 households) accepted the DMS, and there is no household displeased with

the DMS results.

Table 6: Assessment of the affected people on DMS

No.	Indicators	Respondents	%
1	Very pleased	0	0
2	Pleased	100	91.7
3	Acceptable	9	8.3
4	Unpleased	0	0
5	Very unpleased	0	0
	Total	109	100%

Source: Survey of affected households in July 2020

31. Assessing the accuracy of the DMS results and the DMS transparency, 95.8% (104 households) of the respondents said that the DMS results are accurate, 100% considered transparent and publicly, no one answered that it was not transparent.

Table 7: Evaluation of accuracy, openness and transparency in DMS

Accuracy	104	95.8%
Transparency	109	100%
Inaccuracy	0	0%
Not transparency	0	0%
Do not know because not participating	0	0%

Source: Survey of affected households in July 2020

Note: A person can choose multiple options to answer.

Conclusion: the household inventory of affected land and assets has been conducted publicly, transparently and in accordance with the government regulations and the ADB's policy.

3.5. Making and approving compensation plans

32. The compensation plans have been prepared based on the final DMS results and the replacement cost issued by Quang Nam PPC. The draft compensation plans were publicly posted at the office of communes as the regulations. The LFDC and CPCs also organized a public meeting with the AHs to finalize the compensation plans. After approving the compensation plans by Districts, these approved compensation plans were again publicly posted at the office of communes as the regulations.

33. At the time of report preparation, compensation plans have been completed for only one among six components since its land acquisition has completed before ADB support. Besides, the component of Improvement of provincial road 608 sections has also approved at 20% of compensation plans as section from Km1+494 to Km4+421 has completed for land acquisition since 2012. According to ADB safeguards policies, SPS 2009 is required when the land acquisition activities have been carried out or completed in anticipation of ADB support. Therefore, a due diligence report (DDR) has been prepared for this section (Km1+494 to Km4+421) in March 2020. The DDR show that all compensation and allowance policies of section from Km1+494 to Km4+421 of the component "Improvement of provincial road 608 sections" are applied in compliance with regulation of GoV and ADB's principles. Therefore, it is not necessary to prepare and implement a corrective action plan for the section from Km1+494 to Km4+421 of the component "Improvement of provincial road 608".(Please see details in the

DDR for this section). The data on the status of preparation and approval of compensation plan is presented in the Table below.

Table 8: Progress of preparation and approval of compensation plan

No.	Name of Subproject (SP)	Status of preparation the compensation plans	Notes
1	Construction of Access Road to Northern Cua Dai Bridge	100%	Compensation plans have been approved before ADB funding
2	Improvement of Provincial Road 608	20%	Section from Km1+494 to Km4+421 have been completed for land acquisition since 2012.
3	Improvement of Lai Nghi Reservoir and Intake	0%	Detailed Design is not approved
4	Improvement of Phap Bao Lake	0%	Detailed Design is not approved
5	Co Co river dredging 5.05km from km14 -km19	0%	Detailed Design is not approved
6	Construction of access road to southern Cua Dai bridge	0%	Although this component is proposed for construction activities on the existing road foundation only, but the detailed design has not been approved, therefore, it has not been determined whether land acquisition or not.

Source: The reports of the LFDC by July 2020

34. The monitoring results show that the compensation plans are guaranteed to comply with the applicable Vietnamese Government laws and regulations and the ADB's Safeguard Policy Statement (2009). Affected households were provided with assistance and compensation for loss of land and assets in cash to restore their stable life according to the regulations.

3.6. Progress of Compensation and assistance payment

35. As above mentioned, only two components (i) Construction of access road to northern Cua Dai bridge and (ii) Section from Km1+494 to Km4+421 of Component Improvement the provincial road 608 have completed for land acquisition before ADB loan process. According ADB SPS 2009, two DDRs have been prepared for these components, a total of VND **113,058,601,348** has paid to AHHs as the findings of DDR conducted in 2014 by PPTA consultant and DDR for component of improvement the provincial road 608 (section from Km1+494 to Km4+421) conducted in March 2020 by PISC. The details of payment information are as follows.

Table 9: Implementation status of compensation payment

No.	Components	Number of AHHs (HH)	Number of AHHs have received compensation (HH)	Compensation and assistance amount paid to affected AHHs (VND)	Notes
1	Construction of Access Road to Northern Cua Dai Bridge	235	235	108,167,732,000	This payment is made since 2014 -results of DDR

2	Improvement of Provincial Road 608 Sections	989	264	4,890,869,348	This payment is made since 2012- results of DDR
	Resettlement Site	63	-	-	-
3	Improvement of Lai Nghi Reservoir and Intake	NA			
4	Improvement of Phap Bao Lake	NA			
5	Co Co river dredging 5.05km from km14- km19	NA			
6	Construction of access road to southern Cua Dai bridge	NA			
	Total	1,287	499	113,058,601,348	

Source: The reports of the LFDC by July 2020

36. When asked about the compensation prices for agricultural land and trees/crops (respondents were surveyed by questionnaires in Dien Minh, Dien Phuoc and Dien Phuong communes during the first monitoring), it was found that 98.1% of the respondents said that the compensation price for agricultural land was close to the market price and acceptable, only 1.9% said that it is slightly lower than the market price; 89.6% of respondents respectively accepted the prices of trees and crops. The rest said that the compensation prices of all kinds were little lower than the market prices (accounting for 10.4%).

Table 10: Assessment of the surveyed affected people on compensation prices

Prices	Close to market price	Acceptable	Slightly lower	Much lower
Agricultural land	0 0%	107 98.1%	2 1.9%	0 0%
Plants/crops	0 0%	97 89.6%	12 10.4%	0 0%

Source: Survey of affected households July 2020

37. The compensation, support and resettlement for households affected by Hoi An city subproject with regard to 02 items (Construction of Access Road to Northern Cua Dai Bridge and Improvement of Provincial Road 608 Sections) was from 2012 and 2014 which was public, transparent and complete in accordance with the regulations of the Government of Vietnam. The External Monitoring Consultant reviewed compensation payment documents of these two items and noted that the compensation, support and resettlement were implemented as prescribed in the Resettlement Plan. The DDR report as required by the Donor for the compensation payment for these two items affirmed that the compensation for the affected households completed in compliance with the Donor's policy.

3.7. Process of resettlement and site clearance

38. Due to land acquisition for component of Access road to northern Cua Dai bridge has been completed since 2014 as above mentioned, therefore, all AHs have also received fully compensation and assistance. Accordingly, all 238,099.4 m² of affected land have been handed over to the project for construction activities since 2014. In addition, as above mentioned, the section from Km1+494 to Km4+421 of component "improvement the provincial road 608" has been completed for compensation since 2012, therefore, the acquired land with an amount of 32,421.2 m² is also handed over to subproject as findings of the DDR conducted in March

2020. So far, total of 270,520.6m² has been handed over. For other components, the data is not available because the compensation plans (CPs) are being prepared for households affected by component improvement the provincial road 608 and the Detailed Technical Designs are not approved yet for others. Please see more details in the following table.

Table 11: Process of resettlement and site clearance

No.	Name of subprojects	Total Affected Land Area (m ²)	Total of handed over land area (m ²)	Notes
1	Construction of Access Road to Northern Cua Dai Bridge	238,099.4	238,099.4	Construction being completed
2	Improvement of Provincial Road 608	163,028.0	32,421.2	CPs is being prepared for new acquisition of DT608
3	Improvement of Lai Nghi Reservoir and Intake	NA	NA	Detailed Design is not approved yet
4	Improvement of Phap Bao Lake	NA	NA	Detailed Design is not approved yet
5	Co Co river dredging 5.05km from km14 -km19	NA	NA	Detailed Design is not approved yet
6	Construction of access road to southern Cua Dai bridge	NA	NA	Detailed Design is not approved yet
	Total	401,127.4	270,520.6	

Source: The reports of the LFDC by June 2020; NA = Not Available

3.8. Resettlement and relocation

39. For component of “Construction of Access Road to Northern Cua Dai Bridge”, as findings of DDR conducted by PPTA consultant in 2014, 66 AHs out of 235 AHs will be totally affected on their houses and these AHs had to relocate. The project owner had arranged for these households the land plots in a relocation site that was invested by Government and it was not only for the affected households by the component but also for AHs by different projects in the communes. Basic infrastructures of the relocation site such as street-lighting system, electricity, water system, access roads, drainage system... have been constructed and well operated. The area of a plot is 100 – 150 m² depending on the area of affected residential land. Cost for the land plots in the relocation site that the households had to pay is equal to compensation rate paid for the affected residential land. All 66 relocating households have received their land plots in this relocation site, built the new houses and stabilized their life.

40. For “Component of improvement the provincial road 608”, as the DMS results, a total of 32 households will be totally affected on house and must relocate. Of which, one household will rebuild their house on the remaining land, because the remaining land area is sufficient to rebuild their houses according to the regulations of the Quang Nam PPC. 31 remaining households must relocate to the resettlement site. According to Quang Nam PPC, these 31 AHs are entitled to take 61 land plots in the resettlement site (*Due to there are more than one family is living together in affected land plot*).

41. On 27th September 2019 the People’s Council of Dien Ban Town has issued a letter with regards to approval of investment and construction a resettlement site in Dien Minh commune, Dien Ban town with a total area of 3.57 ha. This resettlement site will be also used for the

arrangement of resettlement land to AHs who are affected by other projects in Dien Ban Town. The resettlement site will be developed by Dien Ban town PC. In this resettlement site, total number of resettlement land plots is 170 plots with many different areas. The smallest land plot is 100m² and the largest land plot is 186 m², the width of resettlement land plots is from 5m to 6.5m. The basic infrastructure of the resettlement site includes access road, internal roads, drainage system, electrical system, clean water supply system and landscape trees.

42. Under the regulations of the Project as well as of the People's Committee of Quang Nam province, the unit price of resettlement land will be equal to or lower than the compensation unit price for acquired residential land. In case, the unit price of resettlement land is higher than the compensation unit price for acquired land, the relocating AHs will be assisted for different corresponding to the acquired area.

43. By the end of July 2020 (until the 1st monitoring), only 66 relocated households have been allocated the land plots, remaining relocating households has not been allocated for the land plots yet, due to the DMS of component improvement the provincial road 608 is just completed by June 2020. The information of relocating households are as following table.

Table 12: Progress of land plots allocation in RS to relocating households

No.	Subproject	AHs required to relocate	Number of relocated AHs	% progresses
1	Construction of Access Road to Northern Cua Dai Bridge	66	66	100%
2	Improvement of Provincial Road 608	32	0	0
	Resettlement Site	31	0	0
3	Improvement of Lai Nghi Reservoir and Intake			
4	Improvement of Phap Bao Lake			
5	Co Co river dredging 5.05km from km14 -km19			
6	Construction of access road to southern Cua Dai bridge			
Total		129	66	

Source: The reports of the LFDC by July 2020

44. The arising impacts on these relocated households will be updated in the next monitoring report.

3.9. Restoration of AHs' livelihoods, rehabilitation and vulnerable groups.

45. Besides compensation for affected land and property, the project has adopted adequate policies to support affected households in ensuring the interests of the people and help them to restore their stable livelihood. In term of restoration the livelihood for the AHs, especially the severely affected households and vulnerable groups, some supporting activities to be implemented for the households affected by this subproject such as cash allowance for life stabilization will be provided to SAHs with amount equivalent to 30 kg of rice per month (or VND500,000 for each household member for 3 months (AHs losing from 10% to 15%), 4 months (AHs losing from 15% to 30%), 6 months (AHs losing from 30% to 70%), 12 month if

losing more than 70% and allowances for job changing/creation will also be provided to AHs with amount equivalent to 3 times of land price for affected land area. In case the affected households are classified as poor household by Molisa's regulations additional support will be provided to AHs in cash with amount of 2,000,000 VND if poor households are insignificantly affected households and 5,000,000 VND if poor households are significantly affected households. For other vulnerable groups, the households will be entitled to get additional support in cash by VND 2,000,000 per HH.

46. In addition, during subproject implementation, HAPMU will request the contractors for this component must prioritize the recruitment of local labor that meets the skill requirements of the civil works. If affected persons want to work for the subproject, they can directly apply for jobs with contractors or through the HAPMU which will transfer their name to the contractors. The HAPMU will negotiate with construction contractors to provide appropriate employment for APs in need of a job.

47. HAPMU will work closely with the authorities of Dien Ban town to find out the existing programs which are suitable with the affected households. Accordingly, HAPMU will coordinate with the Dien Ban town to facilitate for these affected households to take a part of these programs, in order to restore their livelihood/income. HAPMU and PISC will regularly engage with these affected households to monitor their ability in order to recover their livelihoods and income. Accordingly, HAPMU will have additional supporting measures when the affected households have demands, to ensure that the income and livelihoods of the affected households are restored at least as before project.

48. In addition to supports as above mentioned, HAPMU will develop and implement the income restoration program for affected households by Component of improvement provincial road DT608 as regulations and criteria of project policy and ADB SPS 2009.

3.10. Complaints and grievance redress

49. There is no separate grievance mechanism for land acquisition activities of the project, but there is an existing grievance and redress mechanism for resolving all local people's grievances or complaints as regulated by the Government of Vietnam. Accordingly, affected people are fully informed about the process and steps to submit and resolve their complaints/grievances in term of land acquisition and resettlement. By the time of this report, there is not any grievance or complaints relating to land acquisition implementation for the project.

50. Till the first monitoring time (July 2020): No written complaints from people in the project communes have been recorded. The complaint situation will be consulted and updated in the next monitoring reports. The consultation with local authorities and people in the first monitoring phase shows that local people and authorities clearly understand the project grievance redress mechanism. According to the assessment by the EMC, the subproject grievance redress up to now has been seriously implemented and complied with the current regulations on complaints and grievances of the ADB.

IV. CONCLUSIONS AND RECOMMENDATIONS

4.1. Conclusions

51. In general, the implementation of compensation and resettlement for the Project complied with the ADB’s regulations. The coordination among the agencies in the process of compensation and resettlement was good, therefore the progress of compensation was accelerated and the AHs’ complaints were resolved in time. A compensation and resettlement database was established at the PMU as well as the District Compensation, Site Clearance and Resettlement Board to update data and information on compensation for reporting and monitoring.

52. The dissemination of information and public consultation was fully, openly and democratically. The inventory of affected assets was carried out with the participation of representatives of households. The compensation options were developed based on the policies and benefits of the AHs as set out in the resettlement plan of the Project. The compensation plans were sent to the AHs and posted publicly after were approved. The payment of compensation was publicly with the witness of the concerned stakeholders. The payment procedure was simple. The time and place of payment was informed to each AH. The payment was accurate and safe.

53. The Grievance Redress Mechanism established in the Resettlement Plan was disseminated to AHs and applied to settle grievances of AHs.

54. Internal monitoring reports have been prepared with full monitoring indicators and reflect the resettlement implementation progress as well as arising issues that need to be addressed. Resettlement data is kept at the PMU/LFDCs in both documents and on a computer database for management and reporting purposes. The PMU appointed a full-time compensation officer to coordinate with the LFDCs in implementing the compensation and site clearance for the work-items in particular and for the entire subproject in general. With this cooperation, the implementation of the subproject’s compensation and resettlement ensured accuracy, objectivity and convenience. The affected people’s proposals were promptly resolved, ensuring the resettlement implementation progress.

55. At the time of report, except for components of “Access Road to Northern Cua Dai Bridge and Improvement of provincial road 608” have been approved for Detailed Technical Designs (DED) since 2019, the DED of two components of Lai Nghi and Phap Bao are just approved on 6th July 2020 and two other components are not approved yet. Therefore, DMS and compensation plans and uRP have not been conducted yet. This may cause risk of slowing down progress of project in Hoi An in general and affecting progress of preparation and updating of social safeguards document required by ADB SPS .

4.2 Recommendations

56. HAPMU will coordinate more closely with Quang Nam PPC and relevant agencies to facilitate FS approval and Detailed Engineering Design (DED) approval processes for the project’s remaining components.

57. HAPMU will work closely with the LFDC to speed up the progress of land acquisition for component of improvement the provincial road DT608 and process the land acquisition for Lai Nghi and Phap Bao lakes.

58. The proposed actions that need to be taken over the next stages of the Project to ensure compliance with the ADB SPS or project policies are as follows:

Table 13: The shortcomings recorded at the 1st external monitoring, July 2020

Issues to be implemented	Recommendations	Settlement units
Approval the Detailed	Approval the DD for remaining components including: (i)	HAPMU Quang Nam PPC

Designs for components	Improvement of Lai Nghi (ii) Improvement of Phap Bao lakes; (iii) Dredging of Co Co river of 5km; and (iv) Access road to Sounthern Cua Dai bridge.	Quang Nam DOT
DMS	Completion the DMS for components “Lai Nghi and Phap Bao lakes”	LFDC of Dien Ban
Preparation the compensation plans and payment	Preparation the compensation plans and payment for AHs by component “Improvement of provincial road 608”	LFDC of Dien Ban
Preparation for required social safeguards documents	Preparation the uRP for components “Lai Nghi and Phap Bao”	HAPMU/ PISC

V. APPENDIX: Sample of minutes of meetings

Cộng hòa xã hội chủ nghĩa Việt Nam

Độc lập - Tự do - Hạnh phúc

BIÊN BẢN LÀM VIỆC

Giám sát độc tài định cư đợt 1 - Dự án Mỏ than đá thi và thích ứng với biến đổi khí hậu - Cầu cũ thành phố Hải An

1. Thời gian họp: ngày 7 tháng 7 năm 2020
2. Địa điểm họp: UBND xã Hiền Lương
3. Thành phần tham dự:

Đại diện Ban quản lý dự án.....

- Ông/ bà:..... Chức vụ:.....
- Ông/ bà:..... Chức vụ:.....
- Ông/ bà:..... Chức vụ:.....

Đại diện Đơn vị TVGS tái định cư:

- Ông/ bà: Trinh Thị Hương Chức vụ: Trưởng đoàn
- Ông/ bà: Đặng Thị Huệ Chức vụ: Cán bộ hồ sơ
- Ông/ bà: Trần Thị Thanh Tuyền Chức vụ: Chuyên gia phát triển cộng đồng
- Ông/ bà:..... Chức vụ:.....
- Ông/ bà:..... Chức vụ:.....
- Ông/ bà:..... Chức vụ:.....

Đại diện các bên liên quan:

- Ông/ bà: Trần Văn Đình Chức vụ: CT UBND xã
- Ông/ bà:..... Chức vụ:.....
- Ông/ bà:..... Chức vụ:.....
- Ông/ bà:..... Chức vụ:.....
- Ông/ bà:..... Chức vụ:.....

4. Nội dung thảo luận:

Thảo luận về công tác bồi thường GEMR của hợp phần HA/W4 nâng cấp, các tài chứng 01.608 đi qua thôn Nhị Đình 2
Tăng số 49 hộ, đã chi đặc song

Người dân ủng hộ chính sách và mong muốn được hỗ trợ
thường xuyên của Bộ theo đúng pháp luật.

Tồn tại của huyện đất đai, một phần đất nông nghiệp
Người dân mong muốn sớm triển khai dự án.

