

Social Monitoring Report

Semestral External Social Monitoring Report (Jan to Jun 2021)

July 2021

Viet Nam: Northern Mountain Provinces Transport Connectivity Project

Prepared by External Monitoring Consultant of Project Management Unit 2 under Ministry of Transport for the Asian Development Bank (ADB).

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CURRENCY EQUIVALENS

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

Exchange rate on 10th July 2021: \$1 = VND 23,080

ABBREVIATIONS

| | |
|---------|--|
| ADB | Asian Development Bank |
| AH(s) | Affected households |
| AP(s) | Affected person |
| BIM | Built-in model |
| CPC | Commune People's Committee |
| DARD | Department of Agriculture and Rural Development |
| DCARC | District Compensation, Assistance and Resettlement Council |
| DCLDF | District (City) Central Land Development Fund |
| DD | Detailed design |
| DFAT | Australian Department of Foreign Affairs and Trade |
| DMS | Detailed measurement survey |
| DOC | Department of Construction |
| DOLISA | Department of Labor, Invalids and Social Affairs |
| DONRE | Department of Natural Resource and Environment |
| DOF | Department of Finance |
| DOT | Department of Transportation |
| DPC | District People's Committee |
| EA | Executive Agency |
| EMC | External Monitoring Consultant for Resettlement |
| EMDPs | Ethnic Minority Development Plan |
| (C)-EMP | Contractor's Environmental Management Plan |
| FGD | Focus Group Discussion |
| FS | Feasibility Study |
| GAP | Gender Action Plan |
| GOA | Australian Government |
| GOV | Vietnamese Government |
| GRM | Grievance Redress Mechanism |

| | |
|--------|---|
| HH(s) | Household |
| ICB | International Competitive Bidding |
| IEE | Initial Environment Examination |
| ILRPs | Income and Livelihood Restoration Program |
| IR | Involuntary Resettlement |
| MOT | Ministry of Transportation |
| NCB | National Competitive Bidding |
| NMPTCP | Northern Mountain Provinces Transport Connectivity Project |
| NH | National Highway |
| NTP | Note to proceed |
| PMC | Project Management Contractor |
| PMU.2 | Project Management Unit/Project Management Unit 2 – Ministry of Transport |
| PPC | Provincial People's Committee |
| PPTA | Project preparation technical assistance |
| PR | Provincial Road |
| PID | Project Implementation Division |
| RP | Resettlement Plan |
| SAP | Social Action Plan |
| TCQM | Construction Quality Control and Management Division |
| TCVN | Vietnamese national standard |
| TOR | Terms of Reference |
| TOT | Training for Trainers |

GLOSSARIES

- Displaced person (DP)** - Means any person or persons, household, firm, private or public institution that are fully or partially, permanently or temporarily physically displaced (relocated, lost residential land, or lost shelter) and/or economically displaced (lost land, assets, access to assets, income sources or means of livelihood) due to (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas. AHs could be of three types: (i) persons with formal legal rights to land lost; (ii) persons who have claims to such lands that are recognized or recognizable under national laws; and (iii) persons who have neither formal legal rights nor recognized or recognizable claims to the lost land. In the case of a household, the term DP includes all members residing under one roof and operating as a single economic unit, who are adversely affected by a project or any of its components.
- Compensation** - Means payment in cash or in kind to replace losses of land, housing, income and other assets caused by the Project. All compensation is based on the principle of replacement cost, which is the method of valuing assets to replace the loss at current market rates, plus any transaction costs such as administrative charges, taxes, registration and titling costs.
- Cut-off date** - Means the date of project land acquisition announcement by competent agency. The AHs will be informed of the cut-off date for each project component, and any person who settled or assets created in the project area after the cut-off date will not be entitled to compensation and assistance under the project.
- Detailed Measurement Survey (DMS)** - Based on the approved detailed engineering design, this activity involves the finalization of subproject land acquisition and resettlement impacts, including final cost of resettlement. This is the process where all fixed assets (i.e., lands used for residence, commerce, agriculture, including ponds; dwelling units; stalls and shops; secondary structures, such as fences, tombs, wells; trees with commercial value; etc.) and sources of income and livelihood inside the Project right-of-way (project area) are identified, measured, their owners identified, their exact location pinpointed, and their replacement costs calculated. Additionally, the severity of impact to the affected assets and the severity of impact to the livelihood and productive capacity of AHs will be determined.
- Ethnic Minority (EM)** - Any ethnic group of VietNam, except the dominant Kinh Group, who has the following characteristics at different levels - living in

| | |
|--|---|
| | the rural and remote area or having ancestor's territory in the project area and depending on natural resources of these area and territory, and having a social or cultural identity distinct from that of the dominant group (Kinh-Viet). |
| Entitlement | - A range of various activities including compensation, assistance in income restoration, shift in occupation, relocation... etc, provided to affected people based on the type and level of impact which aims to restore their socio-economic conditions. |
| Income Restoration Program | - A program designed with various activities that aim to support affected persons to recover their income / livelihood to pre-project levels. The program is designed to address the specific needs of the affected persons based on the socio-economic survey and consultations. |
| Land acquisition | - Refers to the process whereby an individual, household, firm or private institution is compelled by a public agency to alienate all or part of the land it owns or possesses to the ownership and possession of that agency for public purposes in return for compensation at replacement costs |
| Rehabilitation | - This refers to additional support provided to APs losing productive assets, incomes, employment or sources of living, to supplement payment of compensation for acquired assets, in order to achieve, at a minimum, full restoration of living standards and quality of life |
| Relocation | - This is the physical relocation of an AP from her/his pre-project place of residence and/or business. |
| Resettlement and Ethnic Minorities Development Plan (REMDP) | - A plan for resettlement of an ethnic minority population, combining the resettlement plan with specific ethnic minority concerns and cultural sensitivity for the specific needs of the ethnic minority groups. |
| Replacement Cost | - The amount needed to replace an affected asset net of transaction costs such as administrative charges, taxes, registration and titling costs |
| Replacement Cost Survey | - This refers to the process involved in determining replacement costs of affected assets based on empirical data |
| Resettlement | - This includes all measures taken to mitigate any and all adverse impacts of a project on AP property and/or livelihoods, including compensation, relocation (where relevant), and rehabilitation as needed. |
| Severely affected household (SAH) | - This refers to affected households who will (i) lose 10% or more of their total productive land and/or assets, (ii) have to relocate; |

and/or (iii) lose 10% or more of their total income sources due to the subproject.

Stakeholders

- Individuals, groups, or institutions that have an interest or stake in the outcome of a project. The term also applies to those potentially affected by a project. Stakeholders include land users, country, regional and local governments, implementing agencies, project executing agencies, groups contracted to conduct project activities at various stages of the project, and other groups in the civil society which may have an interest in the project.

Vulnerable group

- These are distinct groups of people who might suffer disproportionately or face the risk of being further marginalized by the effects of resettlement and specifically include: (i) female headed households with dependents, (ii) disabled household heads or having disable members, (iii) households falling under the generally accepted indicator for poverty, (iv) children and the elderly households who have no other means of support, (v) landless, (vi) ethnic minorities and (vii) Benefited social policy families.

WEIGHTS AND MEASURES

| | | |
|-----------|----------|------------------|
| km | - | kilometer |
| kg | - | kilogram |
| ha | - | hectare |
| m | - | meter |

NOTES

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TABLE OF CONTENT

| | |
|--|-----------|
| CURRENCY EQUIVALENS | 2 |
| ABBREVIATIONS | 2 |
| GLOSSARIES | 4 |
| I. PROJECT OVERVIEW | 10 |
| 1.1. General | 10 |
| 1.2. The scope of project impacts as DMS results | 13 |
| 1.3. Rational, objectives and scope of work of the Consulting Service | 14 |
| 1.3.1. The rational of external monitoring /evaluation..... | 14 |
| 1.3.2. Main Objectives and tasks of External Monitoring Service..... | 15 |
| 1.3.3. Monitoring Indicators | 15 |
| 1.3.4. Organization of monitoring..... | 19 |
| 1.3.5. Monitoring methods..... | 20 |
| 1.4. Difficulties met | 24 |
| 1.5. Follow – up pending issues of the previous report..... | 24 |
| II. MONITORING FINDINGS | 25 |
| 2.1. Overview of implementation organization | 25 |
| 2.2. Evaluation on project documents in terms of land acquisition | 26 |
| 2.3. Preparation and concurrence of ADB on social safeguard documents | 26 |
| 2.4. Information dissemination, community consultation and stakeholder engagement..... | 27 |
| 2.5. Detailed measurement survey process..... | 28 |
| 2.6. Preparation and approval for the compensation plans..... | 29 |
| 2.7. Approval of Compensation Plan and payment progress | 29 |
| 2.8. Relocation and Resettlement | 29 |
| 2.9. Status of handing over land to project and conformity between land acquisition and construction activities | 30 |
| 2.10. Grievance Redress and Mechanism..... | 30 |
| 2.11. Re-adjustment the LURC for remaining land of AHs after land acquisition | 30 |
| 2.12. IRP implementation | 30 |
| 2.13. EMDP implementation..... | 30 |
| 2.14. Assessment of the levels of satisfaction of the project affected households | 31 |
| 2.15. Obstructions and pending issues in RP/EMDP implementation | 31 |

| | |
|---|-----------|
| 2.16. Compliance levels of RP/EMDP implementation | 32 |
| III. CONCLUSIONS AND RECOMMENDATIONS..... | 36 |
| 3.1 Conclusions | 36 |
| 3.2 Recommendations | 37 |
| APPENDIX..... | 41 |
| <i>Appendix 1. Meeting and consultation.....</i> | <i>41</i> |
| <i>Appendix 2. Photos of consultation meetings</i> | <i>48</i> |
| <i>Appendix 3. Documents collected during monitoring.....</i> | <i>51</i> |
| <i>Appendix 4. The interview forms</i> | <i>53</i> |
| <i>Appendix 5. List of interview.....</i> | <i>60</i> |
| <i>Appendix 6. Project information booklet (PIB).....</i> | <i>76</i> |

LIST OF TABLES

| | |
|---|----|
| Table 1. The Project's existing roads and upgrading roads | 11 |
| Table 2. Construction packages information and progress | 12 |
| Table 3. Project impact scope (Package 8 and Package 9)..... | 14 |
| Table 4. The monitoring indicators..... | 15 |
| Table 5. Summary of group discussion information | 21 |
| Table 6. The number of households in each area (Package 8 and Package 9) | 23 |
| Table 7. The participation of affected households in the project activities | 27 |
| Table 8. Obstructions and pending issues..... | 31 |
| Table 9. The compliance with the RPs/EMDPs implementation..... | 33 |
| Table 10. Shortcomings and recommendations of the Consultant | 37 |

LIST OF FIGURES

| | |
|--|----|
| Figure 1: The project roads map (two red lines)..... | 10 |
|--|----|

I. PROJECT OVERVIEW

1.1. General

1. The Northern Mountain Provinces Transport Connectivity Project (NMPTCP) is implemented by the Government of Vietnam (GOV) through a Loan funded by the Asian Development Bank (ADB) under the MOT's management. The project aims to enhance the access to the Greater Mekong Sub-region (GMS) corridors in the north-western region thank to upgrading national and provincial highways to: (i) provide reliable access to basic social services such as education, health care, job training, and emergency disaster relief; (ii) increase economic and employment opportunities for people of the north-western provinces, especially poor ethnic minorities; (iii) provide further opportunities of cross- border trade with the People's Democratic Republic of Lao and the People's Republic of China; (iv) save travel time and costs, hence reducing fuel consumption and carbon dioxide emissions; and (v) ensure consistency of standards over the entire road stretches, including road safety and climate resilience features.

2. The Project involves in the improvement and upgrading of two national highways and two provincial roads with approximately 199 kilometers (km) long that will connect several towns/districts in the provinces of Lai Chau, Lao Cai and Yen Bai to Noi Bai - Lao Cai Expressway.

3. The Project includes 02 following roads as illustrated in Figure 1: Location Map.

- Route 1: From Bao Ha to Lai Chau city, the road section is 147 km long.
- Route 2: From Mau A to Nghia Lo town, the road section is 52 km long.

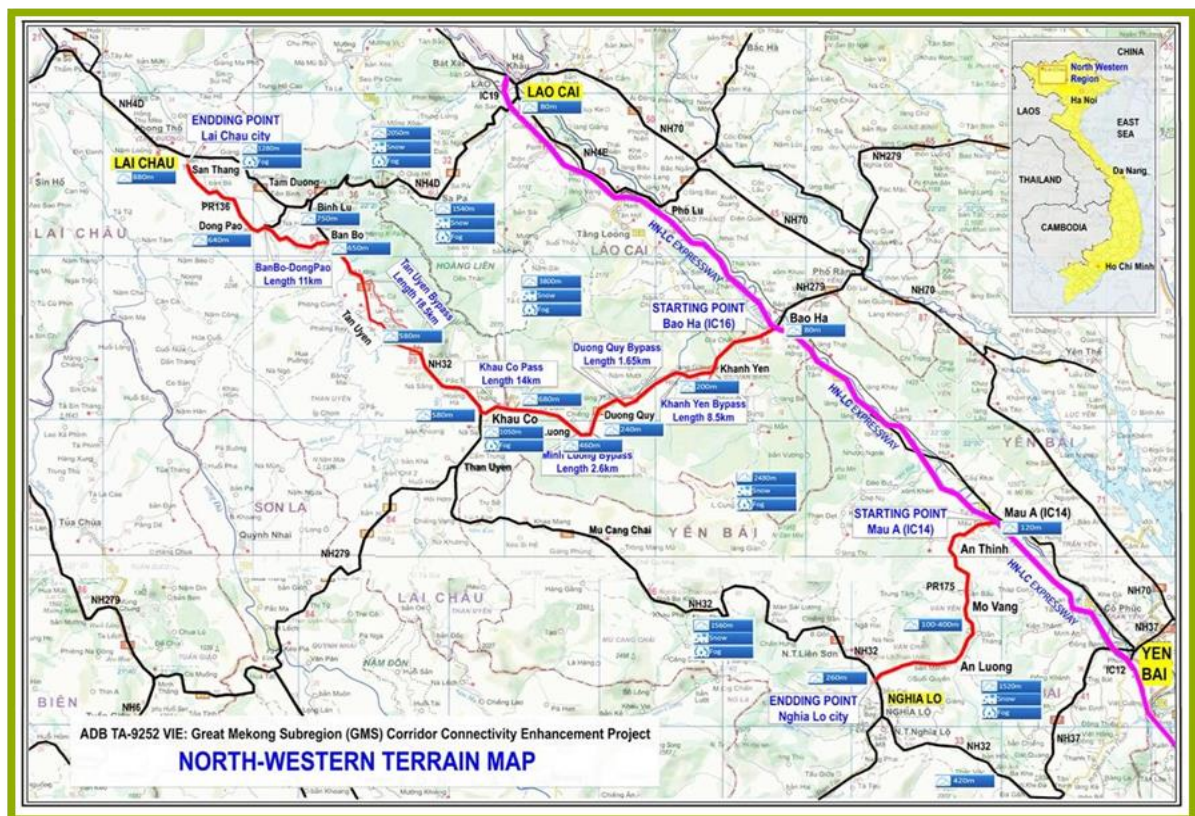


Figure 1: The project roads map (two red lines)

4. Project scale:

- The road connecting Lai Chau with Noi Bai - Lao Cai expressway: The road is designed with the scale of mountainous grade III road in accordance with TCVN 4054: 2015, design speed $V_{tk} = 60\text{km/h}$; sections passing Khau Co pass and Khe Lech pass are designed with the scale of mountainous grade IV road in accordance with TCVN 4054: 2015, design speed $V_{tk} = 40\text{km/h}$; section passing Hoang Lien - Van Ban nature reserve (Km52 + 000 - Km63 + 444.68) is designed with the scale of mountainous grade V road (in accordance with Decision No.2276/QĐ-BTNMT by the Ministry of Natural Resources and Environment dated July 18, 2018). Total length of the route: $L = 146.6\text{ km}$.

- The road connecting Nghia Lo with Noi Bai - Lao Cai expressway: The road is designed with the scale of mountainous grade IV road in accordance with TCVN 4054: 2015, design speed $V_{tk} = 40\text{km/h}$. Total length of the route: $L = 52.73\text{ km}$.

Table 1. The Project's existing roads and upgrading roads

| No. | Road Section – By Pass | Length (km) | Bridges | Current Road Class | Upgraded Road Class |
|---|------------------------|-------------|----------------------------------|--------------------|---------------------------------|
| Route 1: Bao Ha to Lai Chau city | | | | | |
| 1. | NH 279 | 69 | 8 existing & 5 new | IV | III (IV, V in steep section) |
| 1b | Duong Quy (Bypass) | 2.03 | | | III |
| 1c | Minh Luong (bypass) | 1.69 | | | III |
| 2. | NH 32 | 44 | 18 existing & 5 new (2 viaducts) | IV | III (IV in steep section) |
| 3. | PR 136 | 19 | 5 existing & 1 new | V | III |
| 3a | Ban Po-Dong Pao Bypass | 10.8 | | | III |
| Route 2: Mau A to Nghia Lo town | | | | | |
| 4. | PR 175 | 52 | 2 existing & 3 new | - | IV |

Source: Feasibility study report approved.

5. The project is divided into 11 construction packages information and progress are as follows:

Table 2. Construction packages information and progress

| No. | Package name | From Km to Km | District/ Province | Status of the design | Status of award of civil works contracts | Land acquisition progress | Civil works progress |
|-----|---------------|--|---|---|--|--------------------------------|---|
| 1 | Package XL-01 | Km0+00 to Km18+500 (including replanting the forest) belong to the road connecting to Lai Chau | Van Ban District, Lao Cao Province | Ongoing | QIV/2021 | Expected to start in QII/2021 | Expected to start at the end of QIV/2021 |
| 2 | Package XL-02 | Km18+500 to Km40+000 belong to the road connecting to Lai Chau | Van Ban District, Lao Cao Province | Ongoing | QIV/2021 | Expected to start in QII/2021 | Expected to start at the end of QIII/2021 |
| 3 | Package XL-03 | Km40+000 to Km63+446 belong to the road connecting to Lai Chau | Van Ban District, Lao Cao Province | Ongoing | QIV/2021 | Expected to start in QII/2021 | Expected to start at the end of QIII/2021 |
| 4 | Package XL-04 | Km64+272 to Km84+554 belong to the road connecting to Lai Chau | Than Uyen & Tan Uyen Districts, Lai Chau Province | Ongoing | QIV/2021 | Expected to start in May, 2021 | Expected to start at the end of QIII/2021 |
| 5 | Package XL-05 | Km84+554 to Km107+757 belong to the road connecting to Lai Chau | Tan Uyen District, Lai Chau Province | Ongoing | QIV/2021 | Expected to start in May, 2021 | Expected to start at the end of QIII/2021 |
| 6 | Package XL-06 | Km107+757 to Km120+600 belong to the road connecting to Lai Chau | Tam Duong & Tan Uyen Districts, Lai Chau Province | Ongoing | QIV/2021 | Expected to start in May, 2021 | Expected to start at the end of QIII/2021 |
| 7 | Package XL-07 | Km120+600 to Km128+040 belong to the road connecting to Lai Chau | Tam Duong District, Lai Chau Province | Ongoing | QIV/2021 | Expected to start in May 2021 | Expected to start at the end of QIV/2021 |
| 8 | Package XL-08 | Km128+040 to Km146+540 (including replanting the forest) belong to the road connecting to Lai Chau | Tam Duong District and Lai Chau City, Lai | Completed and submitted to MOT for approval | QIII/2021 | Started in November 06, 2020 | Expected to start at the end of QIII/2021 |

| No. | Package name | From Km to Km | District/ Province | Status of the design | Status of award of civil works contracts | Land acquisition progress | Civil works progress |
|-----|---------------|--|--|---|--|-------------------------------|---|
| | | | Chau Province | | | | |
| 9 | Package XL-09 | Km00+000 to Km20+667 (including replanting the forest) belong to the road connecting to Nghia Lo | Van Yen District, Yen Bai Province | Completed and submitted to MOT for approval | QIII/2021 | Started in October 21, 2020 | Expected to start at the end of QIII/2021 |
| 10 | Package XL-10 | Km20+667 to Km38+252 belong to the road connecting to Nghia Lo | Van Yen and Van Chan Districts, Yen Bai Province | Ongoing | QIV/2021 | Expected to start in May 2021 | Expected to start at the end of QIII/2021 |
| 11 | Package XL-11 | Km38+252 to Km54+069 belong to the road connecting to Nghia Lo | Van Chan District, Yen Bai Province | Ongoing | QIV/2021 | Expected to start in QII/2021 | Expected to start at the end of QIV/2021 |

1.2. The scope of project impacts as DMS results

6. At the monitoring time, only 02 packages including Package 8 and Package 9 have completed the DED and the compensation documents for site clearance are being prepared. Other packages have not yet completed the DEDs, so the DMS has not started.

7. However, DMS are being implemented for the package 8 and 9 so the final data of DMS was not available. The remaining DMS for An Thinh and Mo vang communes will be completed by 20 July 2021 and therefore the final data will be updated by next report. As indicated in the below table, the difference data between RP and DMS is quite large due to a number of main as follows:

- At the time when the RP was made, the detailed technical designs were incomplete, so the identification of impacts on HHs, acquired land and assets on the land was inaccurate.
- The detailed technical designs are included with details of routes, bridges and culverts, so the impact identification is complete and more accurate.
- The RP was made in 2018, so when the DMS is implemented in 2021, there are many fluctuations.

Table 3. Project impact scope (Package 8 and Package 9)

| Impact types (Number of households ¹) | Package 8 (Lai Chau City, Tam Duong District, Lai Chau Province) | | Package 9 (Van Yen District – Yen Bai Province) | |
|---|---|----------------------|--|----------------------|
| | According to approved RPs | According to the DMS | According to approved RPs | According to the DMS |
| Total number of affected HHs and organizations | 137 | 633 | 93 | 911 |
| Affected land | 92 | 520 | 87 | 911 |
| Affected assets | 24 | 241 | 16 | 650 |
| Relocated households | 0 | 12 | 0 | 30 |
| HHs affected more than 10% of productive land | 39 | 75 | 13 | 45 |
| Vulnerable households and EM | 94 | 348 | 44 | 70 |

Source: DCLDF, provided on 6/2021

Note: Only DMS information of package No.8, No.9 was available. While, the DMS is not conducted for others, therefore, information of other packages will be updated in the next monitoring report.

1.3. Rational, objectives and scope of work of the Consulting Service

1.3.1. The rational of external monitoring /evaluation

8. The project is identified and categorized as A for involuntary resettlement. As a result, external monitoring/evaluation is required from the start of DMS implementation until the end of resettlement activities, as per ADB requirements. The overall goal of the external monitoring program is (i) to ensure that affected households' living standards are restored and improved; (ii) to monitor the overall resettlement objectives; (iii) to assess the adequacy of rehabilitation and compensation measures; (iv) to identify problems and risks, and (v) to find solutions to address them.

9. The external monitoring consultant will undertake two periodic monitoring phases per year (every six months). It is expected that there will be six (6) periodic monitoring phases and one (1) assessment after completion of resettlement. Monitoring Report No.1 (Baseline monitoring report) was conducted on April 12, 2021 and this report is first monitoring report in terms of land acquisition and ethnic minority development. Once every 6-12 months, after all resettlement activities of the project have been finished, a post-resettlement evaluation will

¹ The official No. of AHs will be updated based on final DMS results and approved uRP.

be conducted to determine the extent to which resettlement goals have been met and any forms of assistance that should be offered and extended.

1.3.2. Main Objectives and tasks of External Monitoring Service

10. The main objectives/tasks of the external monitoring service is to periodically review and evaluate the resettlement implementation (i) to verify internal monitoring information; (ii) to verify if the overall project resettlement objectives are being met in accordance with the RP, and to propose counter measures to address changes in living standards and livelihoods (if the objectives are not met); (iii) to assess which extent that the RP implementation⁶ is consistent with the ADB's Social Safeguard Policy Statement (SPS, 2009); (iv) to identify problems or potential problems; and (v) to identify emergency methods for mitigation issues and consult with MOT; (vi) to verify if the livelihoods and living standards of affected people, including livelihoods of displaced persons without land title certificates, are restored or improved; and (v) to identify the need for additional mitigation measures.

11. The main objectives/tasks of the external monitoring of the EMDP are to periodically and independently review and evaluate (i) to verify the information of the internal monitoring; (ii) to verify if the operational objectives are met in accordance with the EMDP and RP, and if not, corrective actions should be recommended; (iii) to evaluate the effectiveness of the project's consultation activities to ensure communication and consultation opportunities for ethnic minorities, including specific purposes for people with less fluent reading and writing of the Vietnamese language; (iv) to assess the effectiveness and accessibility of the GRM for people with less fluent reading and writing of the Vietnamese language; (v) to assess the level of participation of ethnic minorities in the mitigation measures and project benefits; (vi) to identify gaps in the participation of ethnic minorities, identify remedial measures, consult with ethnic minority people in the project area, community leaders and the Committee on Ethnic Minority Affairs; and (vii) to identify problems or potential problems.

1.3.3. Monitoring Indicators

12. The independent monitoring indicators on resettlement and ethnic minority development are presented in below table.

Table 4. The monitoring indicators

| Kind of indicators | Monitoring indicators | Examples of variables |
|---------------------------|------------------------------|--|
| PROCESS INDICATORS | Consultation, participation | Number of consultation and engagement programs organized with different stakeholders |
| | Procedures in operation | Census process and property verification/quantitative in place Efficiency of the compensation distribution system Number of land transfers affected Coordination between implementing agencies and other agencies |

| Kind of indicators | Monitoring indicators | Examples of variables |
|---------------------------|---------------------------------|---|
| OUTPUT INDICATORS | Civil works | Quantity, types and sizes of private houses/structures to be acquired Number, types and sizes of community buildings to be acquired. |
| | Trees and plants | Quantity and types of private trees to be acquired Number and types of trees of the local government/community to be acquired Quantity and types of crops affected by area, types and number of owners. |
| | Compensation and Restoration | Number of affected households (land, houses, trees, crops) Number of owners compensated by types of loss Amount of compensation by types and owners Amount of payment paid by types and owners |
| IMPACT INDICATORS | Changing the status of women | Participation in community-based programs Participation in project construction Participation in commercial enterprises Participation in Income Restoration Program |
| | Changing the status of children | School attendance rate (male / female) Participation in project construction |
| | Solution and Population | Growth in number and sizes of growth settlements in market regions |
| | Compensation and Restoration | Number of affected households (for land, houses, trees, crops); Number of owners compensated by type of loss; Amount of compensation by types and owners; Quantity and number of allowances paid; Number of replacement homes built by relevant owners; Number of alternative businesses built by relevant owners; Number of owners requesting assistance to purchase replacement land and number of purchase times made; Number of individual areas and the level of development of the areas; |

| Kind of indicators | Monitoring indicators | Examples of variables |
|--|---------------------------|---|
| | | <p>Number of benefits entitled; number of benefits used by those affected;</p> <p>Relevancy of benefits for affected households according to the target of resettlement plan;</p> <p>Number of EM and female households relocated in the same villages and communes;</p> <p>Houses in resettlement sites built by affected EM households and female-headed households of their choice;</p> <p>Number of unaffected households receiving replacement land; and</p> <p>Number of severely affected, very poor or other vulnerable households receiving special support and participating in Income Restoration Program.</p> |
| The monitoring indicators of EMDP/ uEMDP | | |
| Implementation of EMDP mitigation measures and beneficial measures | Process indicators | <ul style="list-style-type: none">• The progress of implementing mitigation/beneficial measures of the EMDP.• Number of activities done/completed - rural road construction, livelihood development activities, HIV and human trafficking awareness and prevention, and road safety awareness.• The model farms developed under the Livelihood Restoration Program are accessible to unaffected households in those communities.• The percentage of affected ethnic minority households are involved in the activities protected under HTAP.• Raising awareness and knowledge related to HIV, human trafficking and traffic safety.• The percentage of affected ethnic minority households are involved in the Livelihood Restoration Program. |
| | Result indicators | <ul style="list-style-type: none">• Increase the participation in the jobs to be paid.• Improve the access to markets and services for communities in the areas served by rural roads constructed by the project. <p>(Raising awareness on HIV and human trafficking issues and road safety prevention will be monitored and measured separately by</p> |

| Kind of indicators | Monitoring indicators | Examples of variables |
|--------------------------------|---------------------------|--|
| | | the HTAP and the Road Safety Awareness Program in their M&E operations). |
| Consultation and participation | Process indicators | <ul style="list-style-type: none"> • Number of consultation and engagement programs organized with different stakeholders. • Number of consultation and participation activities taking place - meetings, information dissemination, brochures; flyers, training. • The percentage of indigenous women as participants; number of separate meetings with indigenous women. • The percentage of vulnerable indigenous groups representing / attending meetings; numbers of meetings are dedicated for vulnerable indigenous groups. • Language used at meetings. • Consultation and participation schedule as planned. |
| | Result indicators | <ul style="list-style-type: none"> • Awareness of ethnic minority issues in the stakeholder engagement. • Awareness of EMDP mitigation and benefit measures of the recipients. • Perceptions of the project details of the stakeholders. • Ethnic minority perceptions of the effectiveness, cultural relevance and inclusiveness of the consultation measures. • Attending consultation and participation activities. • The extent to which indigenous people and their representatives are involved in the project design, consultation and participation. • Communication methods that are accessible, effective and easy to understand. |
| Changing the position of women | Process indicators | <ul style="list-style-type: none"> • % of participants in the EMDP community-based programs are women. • % of unskilled workers in the project construction areas are women. • Equal participation of women in the Livelihood Restoration Program. |
| | Result indicators | <ul style="list-style-type: none"> • Increase the participation in the jobs to be paid. |

| Kind of indicators | Monitoring indicators | Examples of variables |
|----------------------|-----------------------|--|
| | | (Raising awareness on HIV and human trafficking issues and road safety prevention will be monitored and measured separately by the HTAP and the Road Safety Awareness Program in their M&E operations). |
| Operating procedures | | <ul style="list-style-type: none"> • CEMA and women's unions engaging in the GRM and implementing the HTAP and Community Traffic Safety programs. • GRM is accessible to ethnic minorities, and appropriate supports are provided by the legal services of CEMA, CPC, DPC and PPC. • GRM responds to ethnic minority complaints regarding any project-related issues, including those related to the EMDP, in a culturally appropriate and timely manner. |

1.3.4. Organization of monitoring

13. In each monitoring stage, the Consultant conducts a questionnaire sampling survey by interviewing of severely affected households (households losing from 10% of their agricultural land and relocated, and vulnerable households) and 20% (randomly selected) of slightly other affected households. Based on the TOR, the EMC will conduct 05 periodic monitoring stages and survey 100% severely AHs and vulnerable households (poor households, female headed households, households with disabled, landless, elderly helpless people and orphans, policy households, ethnic minority households belonging to very unpopulated groups in the project area) and 20% of lightly affected households. The total number of samples will be allocated to each periodic monitoring based on the progress of the RP implementation. The total survey sample will be accumulated over the monitoring periods and will complete the survey of 100% of severely AHs and vulnerable households (poor households, female headed households, households with disabled, landless, elderly helpless people and orphans, policy households, ethnic minority households belonging to very unpopulated groups in the project area) and 20% of lightly affected households at the fifth monitoring stage.

14. In addition, the Consultant organize in-depth interviews or focus group discussions with a number of target groups such as women-headed households with dependents, affected poor groups, leaders of PMU.2, District Compensation, Assistance and Resettlement Council (DCARC), District (City) Central Land Development Fund (DCLDF), and all officers directly in charge of site clearance etc to get further information. These methods are combined with the statistical comparisons to evaluate the implementation of the resettlement plans and livelihoods restoration as well as the satisfaction of the affected persons.

15. The field monitoring and preparing this report took place from March to the end of June 2021, with mains activities are as below:

- At the Consultant's office, the experts developed monitoring tools, including instructions for in-depth interviews and group discussions, RPF, RPs, EMDPs and other documents related to the project compensation.

- Between March 12, 2021 and early of April 30, 2021, the EMC conducted the field monitoring, and group discussions (some households that participated in group discussions were also interviewed by questionnaires) and interviewed by questionnaires with 254 AHs, included: 36 relocated HHs, 100 severely affected on productive land (lose equal or more than 10% of productive land), 124 vulnerable HHs (included EM HHs) and 36 marginal AHs. During this time, the EMC worked with the representatives of the DCARCs, the DCLDFs and the concerned CPCs/WPCs to collect necessary information.

- On April 6, 2021, the Consultant worked with PMU.2 to collect relevant documents and to agree on a monitoring schedule.

- From May 15, 2021 to the end of June, 2021, after the field monitoring, the EMC contacted PMU.2 and the DCLDFs to update information and exchange the monitoring contents and findings.

1.3.5. Monitoring methods

16. In this monitoring stage, the project has just been in the process of issuing land acquisition notices, meeting to disseminate project information, and implementing the DMS, therefore, the making compensation plans, publicizing compensation plans, and payment of compensation have not yet implemented. Accordingly, the field monitoring methods of EMC are involved in the following:

a. Document study

17. This method is to collect all available documents. The collection and analysis of available documents will: (i) help the Consultant to get a better understanding of the project and the subproject construction investments; (ii) understand the progress and the implementation of the social safeguard policies; (iii) identify discrepancies between subproject regulations and actual practices based on reviewing documents; and (iv) the document study results will assist the Consultant's field monitoring.

18. During the monitoring, in addition to the available legal documents of the project such as the Loan Agreement, the RPF, the RPs, the Ethnic Minority Development Plans (EMDPs), and the Environmental and Social Impact Assessment (ESIA), the Consultant collects progress reports, subproject implementation plans, RP implementation plans, writing compensation and site clearance assignments, dossiers/documents, unit price and compensation policies of Lai Chau, Yen Bai and Lao Cai province. The document study will help the EMC identify major issues that needs to be clarified during the field monitoring. Specifically, the minutes of the consultation meetings should be supplemented with information about the total number of participants, men, women, ethnic minorities, etc. EMC were reviewed DMS records (draft one only because no any final one were completed), minutes of public consultation meetings. The replacement cost survey report is incomplete, so the EMC will review and comment in the next monitoring stage.

19. The EMC also considered the rights and entitlements of the affected persons by comparing the provisions outlined in the RPs with the current policies and the unit prices of Lai Chau and Yen Bai provinces. Some differences were pointed out and discussed with PMU.2 and DCLDFs of Lai Chau, Tam Duong (Lai Chau), Van Yen (Yen Bai). The decisions on compensation policies and unit prices issued by the people's committees of Lai Chau province and Yen Bai province have been considered by the EMC.

b. In-depth interviews and group discussions

20. In this monitoring stage, because the project has just in the process of issuing land acquisition notices, meeting to disseminate project information and implementing the DMS, the EMC conducted in-depth interviews (Direct interviews) with representatives of (i) PMU.2 (10 persons); and (ii) the DCLDFs of Lai Chau city (02 persons), Tam Duong district (01 persons), Van Yen district (05 persons). At the same time, we conducted 06 group discussions (56 persons) in 06 wards and communes of 03 districts/cities under Package 8 and Package 9 . The participants to the group discussions include: Leaders of the ward/commune people's committees, the ward/commune cadastral officers, the ward/commune fatherland fronts, the ward/commune women's unions, the heads of residential groups/villages, and the affected households. The in-depth interviews and group discussions also provided the EMC with further information on the issues that need to be discussed and explained. Below is a summary of the group discussions conducted in the First monitoring stage.

Table 5. Summary of group discussion information

| No. | Locations | Time | No. of APs | | Discussion topics |
|-----------|-----------------------------------|------------|------------|----------|---|
| | | | Male | Female | |
| | PID5 – PMU2 | | 7 | 3 | 10 |
| I | Team of implementing staff | | 14 | 5 | 19 |
| 1 | Lai Chau DCLDF | 13/04/2021 | 1 | 1 | - Organizational structure, implementation personnel and experience in implementing loan projects. |
| 2 | Tam Duong DCLDF | 14/04/2021 | 1 | | |
| 3 | Van Yen DCLDF | 16/04/2021 | 3 | 2 | |
| 4 | Dong Phong ward | 13/04/2021 | 3 | 1 | - Implementation progress to date. |
| 5 | Ban Giang commune | 15/04/2021 | 2 | | |
| 6 | Ban Hon Ban Hon | 15/04/2021 | 4 | 1 | - Complaint and complaint settlement. - Difficulties. |
| II | Ethnic minority group | | 17 | 6 | 23 |
| 1 | Sang Thàng Commune | 14/04/2021 | 4 | 3 | - Project information, information dissemination of the project's RP, EMDP. - The rights of ethnic minorities are disseminated. - Expectations of ethnic minority group about the implementation of site clearance. |
| 2 | Đại Sơn Commune | 16/04/2021 | 13 | 3 | |

| No. | Locations | Time | No. of APs | | Discussion topics |
|-----|---------------------------------|------------|------------|--------|--|
| | | | Male | Female | |
| III | Affected female household group | | | 22 | |
| 1 | Sang Thàng Commune | 14/04/2021 | | 4 | - Some features about women in life in the region. |
| 2 | An Thịnh Commune | 16/04/2021 | | 12 | - Information about RP, EMDP implementation. |
| 3 | Đại Sơn Commune | 16/04/2021 | | 6 | - Women's concerns, aspirations and participation related to the site clearance. |

Source: EMC's survey data in 4/2021

21. The in-depth interviews and group discussions were carried out through the following tools: (i) Guidelines for in-depth interviews; and (ii) guidelines for group discussions. The in-depth interview tool is in **Appendix 4**

c. Questionnaire survey

22. In the monitoring process, this method is used as the primary tool to collect information of the AHs concerning about 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 RPs, the effectiveness and sustainability of the benefits and income restoration measures, and their ability to restore/rebuild their livelihoods and living standards. The survey questionnaire is in Appendix 5.

23. In the First monitoring stage, the EMC interviewed 254 households by questionnaires in 6 communes/wards in Package 8 and Package 9 included: 36 relocated HHs, 100 severely affected households on productive land (lose equal or more than 10% of productive land), 124 vulnerable HHs (included EM HHs) and 36 marginal AHs. However, the information provided by the interviewers is not much and incomplete upon the contents of the questionnaire because in the first monitoring phase, the works focus on meeting to discuss the implementation of the policy and DMS. The details of the number of households interviewed in each commune/ward are shown in Table 5. Based on the project progress, the site clearance progress in the districts/cities, and the progress of PMU.2's selection of construction contractors, the Consultant worked with the DCLDF of Lai Chau city, the DCLDF of Tam Duong district (Lai Chau province) and the Compensation Committee of Van Yen district (Yen Bai province) on the RP implementation, classifying AHs according to the project policy. The survey sample was stratified according to each group of AHs in each commune/ward and randomly selected including 254 AHs out of the total AHs of the sample (The list of AHs interviewed is in **Appendix 5 - 5.1**. The number of households in each area is shown in the following table.

Table 6. The number of households in each area (Package 8 and Package 9)

| Packages/areas | Number of surveyed AHs ² | | | | | Total No. of AHs | Percentage of AHs interviewed |
|---|-------------------------------------|------------------------------------|---------------------------|-----------|---------------------------|------------------|-------------------------------|
| | Relocated AHs | AHs lost >10% of agricultural land | Vulnerable AHs and EM AHs | Other AHs | Total No. of surveyed AHs | | |
| 1. Package 8 | 12 | 60 | 109 | 17 | 161 | 633 | |
| 1.1. Dong Phong ward, Lai Chau city, Lai Châu Province. | 0 | 0 | 20 | 10 | 30 | 63 | 50% |
| 1.2. San Thang commune, Lai Chau city, Lai Châu Province. | 03 | 0 | 20 | 07 | 30 | 168 | 18% |
| 1.3. Ban Giang commune – Tam Duong district, Lai Châu Province. | 01 | 30 | 34 | 0 | 49 | 135 | 36% |
| 1.4. Ban Hon commune – Tam Duong district, Lai Châu Province. | 08 | 30 | 35 | 0 | 52 | 267 | 19% |
| 2. Package 9 | 24 | 40 | 15 | 19 | 93 | 911 | |
| 2.1. An Thinh commune, Van Yen district, Yen Bai province. | 10 | 20 | 5 | 10 | 42 | 690 | 6% |
| 2.2. Dai Son commune, Van Yen district, Yen Bai province. | 14 | 20 | 10 | 09 | 51 | 221 | 23% |

Source: EMC survey data in 4/2021

d. Field observation

24. In addition to studying office files/documents, focus group discussions and in-depth interviews with the stakeholders, the EMC conducted field visits in April 2021 in 06 project communes/wards (Dong Phong ward, San Thang commune of Lai Chau city; Ban Hon

² One household may belong to one or more different groups, so it is unable to add up horizontally.

commune, Ban Giang commune of Tam Duong district, Lai Chau province; An Thinh commune, Dai Son commune, Van Yen district, Yen Bai province) to survey the route, determine the scope of site clearance, the adjustment sections of the route, the work items that need to be shrunken and detoured to minimize impacts of land acquisition, compensation and other social impacts.

1.4. Difficulties met

25. During the preparation of this report, EMC met some difficulties in the implementation of monitoring and data collecting as follows:

- Since DMS is on progress and DMS documents were not collected in the DCLDFs office, so information was not sufficient.
- The total schedule of the project is delayed so the monitoring activities have only been focused on the packages No.8 and No.9.
- Update RP and EMDP were not completed so no final legal base for reviewing and assessing the final result of compensation.
- The route is long, and not in good condition so travelling and finding HHs are difficult and take much time.

1.5. Follow – up pending issues of the previous report

26. Due to this is first monitoring report, therefore the status of actions for following up the pending issues will be updated in the next monitoring report.

II. MONITORING FINDINGS

2.1. Overview of implementation organization

27. The people's committees of the project provinces are the project owners of the compensation, assistance and resettlement. The people's committees of the provinces assigned the compensation and site clearance to the district/city counterparts. At the first monitoring stage, the DCARCs of the project districts have been established and consolidated, and the Land Fund Development Centers (DCLDFs) were assigned. Members of the DCARCs and the DCLDFs fully participated in the training courses on project RP conducted by the SMEC. For Package 8, the compensation and site clearance are carried out by the centers for land fund development (DCLDFs) of Lai Chau city and Tam Duong district, Lai Chau province. For Package 9, this task is carried out by the DCARC and the working group that assists the DCARC. Members of the DCARC and the DCLDF are relevant commune-level officials and they were consulted by the SMEC in 2020 for training on the compensation policy, the process of land clearance, including: Lai Chau province (25/8 – 28/8/2020), Lao Cai province (18/9/2020), Yen Bai (19/8/2020 and 21/8/2020).

28. Internal and external monitor:

- In order to ensure the compliance of the project with regard to the implementation of safeguard policies of ADB, since the beginning time of project preparation stage, the PMU2 has assigned officers to take responsible for social safeguard policy issues, including social, ethnic minority and land acquisition and environment with support of the Project Implementation Supervision Consultant (PISC). The contract between PISC and PMU2 is under negotiating for signing contract. During the time waiting for the mobilization of consultant, PMU 2 implemented the internal monitoring.

- An external monitoring agency (EMA) on social and resettlement was also recruited due to the project's category A for involuntary resettlement as requirement of ADB SPS 2009. External Monitoring Agencies (EMA) was mobilized in Quarter III 2020. The first report were completed and submitted to ADB in July 2021.

29. **Assessment:** The arrangement and organization of the RP/EMDP implementation in the project provinces is consistent with the implementation institution of the RP/EMDP approved by the ADB. The staffs at the DCLDFs have experienced in implementing the land acquisition, compensation, support and resettlement of the WB projects and domestic projects but they are not experienced in implementing ADB loan projects. However, with their existing experience and the project policy training by PMU2/SMEC since 2020 and working with the concerned consultants, they can be able to understand the project's RP/EMDP implementation requirements.

30. In June 2021, PMU.2 guided DCLDFs to prepare the periodical reports on land acquisition. The first periodical report were sent to PMU.2 by the districts by the end of June 2021. These reports already include quite detailed data and information for management of site clearance activities and still need to be updated and supplemented depending on the actual situation. However, the report should include the note that the RP/EMDP implementation plan and awarding of construction contracts are more appropriate and feasible.

Some consultation activities need to be disaggregated by gender and attached with internal reports.

31. Regarding the consultant, it should be noted that the recruitment and management of consultants by a third party as a result of using a grant from DFAT had a significant influence on the implementation of social safeguard policies for the project, the PMU.2 could not actively work with the supporting consultant (SMEC) to promptly resolve issues related to social safeguard policies. In addition, the SES survey for AHs was not carried out according to the right procedure, leading to the need to conduct an additional survey after completing the DMS. This has significantly affected the progress and cost of the project.

2.2. Evaluation on project documents in terms of land acquisition

32. Social safeguard instruments were fully prepared in the preparing stage by the consultant such as RF, RPs and EMDPs. Those documents were fully collected and used by PMU2 and DCLDFs. However, the update RP and EMDP are not collected due to the delay in the preparation of these documents.

33. The guidance for compensation relevant to the project was issued by Lai Chau and Yen Bai PPCs, collected and used by DCLDFs.

34. The decisions of the PPCs for compensation unit price was not ready for preparing compensation plan; DMS document was not collected in the DCLDFs office (DMS is under the completing process at the site).

35. **Assessment:** Records and documents related to land acquisition are not fully and systematically archived at the related agencies.

2.3. Preparation and concurrence of ADB on social safeguard documents

36. The RPs and EMDPs prepared for each province in 2018 got reviews and comments in writing of the Provincial People's Committee. The RPs of the provinces were approved by the ABD with no-objection letters on August 20, 2018 and for the EMDPs on August 22, 2018. The SMEC consultant contracted in November 2019 to perform detailed technical design services and update RPs, EMDPs (11 URPs, 3 uEMDPs). At the report time, no any uRP, uEMDPs were approved by the ADB. PMU.2 expected to submit uRP for the contract package No.8,9 in October 2021.

37. In 2020 and the first 6 months of 2021, SMEC consultant has carried out a series of training activities on the ADB's Social Safeguard Policies, the Project's Resettlement Policy Framework, gender equality and social integration. The SMEC consultant also updated the PIB information based on the available PIB of the RPs and introduced the contents of the RPs and EMDPs to the relevant district departments and committees (district people's committee offices, divisions of natural resources and environment, divisions of labor, invalids and social affairs, divisions of ethnic minority affairs, centers for land fund development, divisions of economic infrastructure, fatherland fronts, women's unions, district inspectors...), commune officials (leaders of commune people's committees, fatherland fronts, cadastral, justice, women's unions, farmers' unions, youth unions...) and held meetings to disseminate information about RPs, EMDPs to affected households, distribute PIBs in project-affected communes/wards/towns (attached to **Appendix 6**)

2.4. Information dissemination, community consultation and stakeholder engagement

38. Public consultation and disclosure activities during the preparation of RPs and EMDPs have been fully implemented by the Consultant and detailed in these documents.

39. PMU2 and localities confirmed that the RPs, EMDPs, after being approved by ADB, have been publicly announced in their localities. SMEC who is the consultant supporting the project implementation in this period has carried out activities to disseminate information about RP and EMDP to the community in 03 provinces. In addition, training activities were also organized for local compensation officers. During this time, the households received the project's PIB and the RPs and EMDPs were published at the headquarters of the Commune People's Committee (details are shown in the periodic reports of SMEC).

40. Through collecting relevant documents, EMC confirmed that localities (Lai Chau city, Tam Duong district, Van Yen district) have fully implemented information disclosure activities such as: HHs meeting to announce information cadastral survey information, information disclosure and land acquisition announcement, detailed DMS schedule announcement.

41. During the development of the RPs and the EMDPs, the general information about the project and the main contents of the RPs and the EMDPs such as compensation and assistance policies, Income Restoration Program, Grievance Redress Mechanism, EMDPs... were informed to the affected households through consultation meetings held by the PMU in collaboration with the SMEC. 100% of the households participating in the in-depth interviews and group discussions said that they consulted and understood this information. 100% of the interviewed households said that they received the project information booklets (PIB). The main information contents include: (i) introduction of the project; (ii) potential project impacts and mitigation measures; (iii) RP/EMDP implementation plan of the project; (iv) principles and policies on compensation, support and benefits of affected people; (v) roles and responsibilities of the stakeholders on compensation, support, resettlement, ethnic minorities and livelihood restoration; (vi) the grievance redress mechanism, including steps to resolve complaints directly related to contractor's construction activities; PAPs can access ADB's accountability mechanism at: <https://www.adb.org/site/accountability-mechanism/main>; (vii) address and contact persons, including contact information, phone number, etc.

Table 7. The participation of affected households in the project activities

| No. | Content ³ | Yes | | No | |
|-----|--|-----|-----|----|---|
| | | N | % | N | % |
| 1 | Did your family receive a project information booklet (PIB) | 254 | 100 | | |
| 2 | Did your family participate in the dissemination meetings about compensation | 254 | 100 | | |

³ Because at the monitoring time, the activities have been to the DMS, so the Consultant could not take following questions about compensation prices, compensation documents ...

| | | | | | |
|---|---|--|------|----|------|
| | and entitlements of the project affected households | | | | |
| 3 | Was your family informed about the DMS plans to measure and survey your affected property | 238 | 93.7 | 16 | 6.3 |
| 4 | Did your family participate in the DMS to measure and survey your affected property | 221 | 87 | 33 | 13 |
| 5 | Was the measurement of affected land and houses accurate? | 212 | 83.4 | 42 | 16.6 |
| 6 | Did your family review and sign in the DMS records and minutes? | As the DMS records and minutes are not finalized, this step has just begun | | | |

Source: EMC survey data in 4/2021

42. About 93.7% of the households participating in the interviews, discussions and surveys said that they were informed of the DMS schedule for the measurement and inventory of their affected assets. About 6.3 % said that they did not know the DMS schedule because they did not pay attention or maybe someone else in their family received the information.

43. **Assessment:** With the collected information, EMA assessed that at the section of package 8,9 Information dissemination, community consultation was implemented in compliance with approved RP, EMDP.

2.5. Detailed measurement survey process

44. Before carrying out the detailed measurement survey of affected land and properties, the DCARCs or the DCLDFs, through the commune people's committees, sent a notice of land acquisition to each affected household. The DMS schedule was informed to the affected households by the DCLDF staff or village heads. According to the DCLDF, the DMS working group usually includes DCLDF representative, commune people's committee leaders, cadastral officials, village heads, and affected persons. During the period from March to June 2021, meetings in the communes were also organized by the DCLDFs to inform more specifically about the project, consult with the households about the DMS process, and plan the compensation.

45. About 13% of the surveyed households said they did not participate part of the DMS, mainly because their affected quantity was small. All HHs reviewed DMS form after DMS. In case the DMS had deficiencies or errors, they would inform the DMS groups - DCLDF for checking again.

46. At the monitoring period at the site, 42 households (16.6%) informed they asked DMS team to explain and/or check the DMS data before they sign the DMS form. DCLDFs also confirmed with the Monitoring team to work with all those cases for finalizing the DMS.

47. At the monitoring period, over the entire scope of Package 8 and Package 9, the DMS documentation is in progress. There are DMS records being reviewed again at the request of the affected households. The identification and classification of displaced households, households affected by 10% or more their productive landholdings, vulnerable households,

etc. are being implemented. The progress of these activities is still slow in comparison to the schedule and should be accelerated in the coming time. The delay is because of slow detailed design, slow cadastral measurement and site clearance demarcation, slow handover of site clearance landmarks to the localities, Human resources of DCLDFs are not enough and a part of from the impact of Covid-19 pandemic.

48. **Assessment:** The DMS on the affected assets was pursuant to the state process as well as stated in the RPs. The implementation progress is still slow, which needs more human resources from the Department of Natural Resources and Environment, the Department of Infrastructure Economics, the Department of Finance, the cadastral officials of the communes/wards/towns to speed up the progress in time.

2.6. Preparation and approval for the compensation plans

49. **Legal framework and applicable policy.** At the report time, Compensation unit prices were not fully issued by PPC; Support documents to identify the relocated HHs, Vulnerable HHs were not fully collected by DCLDFs so compensation plan could not be completed.

50. **Replacement costs:** The Independent Replacement Cost Consultant have been mobilized for Package 8 and Package 9 to survey and set up replacement cost (included for land, asset, trees and crops) to apply for compensation and assistance for site clearance of the project. Particularly, for Lai Chau City and Tam Duong district, Lai Chau province, the Independent Replacement Cost Consultant completed the RCS report and got approved by Lai Chau PPC for land compensation. The EMC is collecting RCS and relevant documents and will have detail comments on procedure, consultation and feedback from HHs in the next report.

51. For Van Yen - Yen Bai province, the Independent Replacement Cost Consultant completed the RSC reports but still waiting for cadastral maps, so it is not appropriate to submit them to the Yen Bai PPC for approval.

52. **Assistances:** Compensation plans just started process. EMC will review and report on the next report.

53. **Approval Compensation plans:** At the report time, no any Compensation plans were approved.

54. **Assessment:** The mobilization of the Independent Replacement Cost Consultant to survey and set up the compensation and assistance replacement cost for affected land and property followed the provisions of the RPs. However, the process in Yen Bai province is still slow and needs to be accelerated in the coming time. The delay of issue compensation unit prices will affect to compensation schedule and project schedule.

55. Detail Assessment on procedure, legal basis of compensation unit prices, compensation plan will be provided in the next report.

2.7. Approval of Compensation Plan and payment progress

56. At the report time, no any compensation plans were approved. The EMC will update the information in the following reports.

2.8. Relocation and Resettlement

57. At the report time, relocated HHs was not identified. The EMC will update the information in the following reports.

2.9. Status of handing over land to project and conformity between land acquisition and construction activities

58. At the report time, no any activities related to hand over the land were done. The EMC will update the information in the following reports.

2.10. Grievance Redress and Mechanism

59. To ensure that all complaints of the affected persons regarding any aspect of the project land acquisition, compensation and resettlement are resolved timely and satisfactorily and the affected persons can freely raise their grievances and questions, a Subproject Grievance Redress Mechanism (GRM) was established as agreed between ADB and PMU.2 including the complaint and grievance redress procedure and made available to the communities and the affected persons.

60. The DMS and other activities have just been implemented for Package 8 and Package 9. The DMS finalization for making compensation plans is being implemented for these 02 packages. During the DMS process, those who think that the DMS is incorrect can inform to the DCLDFs, and the DCLDFs will check in collaboration with the wards/commune's PC and the residential/village leaders. DMS minutes/records only complete when AHs satisfy with DMS data and sign to the DMS form. By the field visit time of the first monitoring, DMS was implementing and no any formal complaints were recorded.

61. **Assessment:** GRM was established as project requirement. Local authorities and affected HHs were informed about GRM of project. Although GRM were informed to local authorities, AHs and no formal complaints are recorded, PMU.2, DCLDFs and affected communes still need to consolidate GRM to be sure whether the GRM is functional prior to the commencement of any land acquisition or resettlement activities. Activities should be consolidating are: (i) Arrange staff to be responsible for GRM (ii) Establish the database for recording and following complaints (iii) DCLDFs should record all questions or requests from AHs in the DMS process for timely resolve.

2.11. Re-adjustment the LURC for remaining land of AHs after land acquisition

62. At the report time, no compensation was paid, no land was acquired. This activity will be updated in the next report.

2.12. IRP implementation

63. At the report time, no any activities related to IRP were done. EMC will update in the next report.

2.13. EMDP implementation

64. During project preparation, the EMDPs were prepared for each project province and approved by ADB. However, the people's committees of the provinces have not yet approved or issued written approvals for them in this stage. The project provinces are giving priority to the compensation and site clearance.

65. At the monitoring period, the socio-economic surveys and consultations have been handled by the SMEC to update the EMDPs and the RPs. Accordingly, the proposed activities for the EMDPs should be based on the consultations with the affected EMs and appropriate to their cultures, local characteristics, and their economic conditions. The appropriate attention to the severely affected and vulnerable ethnic minorities and gender factor in the EMDPs, etc. should be paid also.

66. Like the RPs, the EMDPs need to be completed and updated soon to submit to the ADB for review and clearance for the publicity and implementation. The EMDP update schedule is being parallel with the RP update schedule by the SMEC.

67. Except for the activities related to the DMS process such as identification of EM households, consultation, dissemination of information on the project and compensation policy, other activities have not been carried out. The reason is due to the delay in updating the EMDP and localities are focusing on completing the compensation plan

2.14. Assessment of the levels of satisfaction of the project affected households

68. The interviewed households were aware of the importance and benefits of the project implementation. The group discussions and interviews with the affected households mostly indicated that they were satisfied with the DMS process, community consultation and project information dissemination. They also said that the loan projects are stricter and more transparent and they go to these meetings more often.

69. The affected households as well as local people and communities living in the project area understand that the construction of the road will provide better infrastructure to meet the increasing transportation demand for agricultural production development, urban development and exchange of goods and meet the wishes of the affected households to have a better living standard, poverty alleviation and sustainable development in the northern mountainous region. This motivates them to fully support the project implementation.

2.15. Obstructions and pending issues in RP/EMDP implementation

Table 8. Obstructions and pending issues

| No. | Pending issues/ Obstructions | Nature of issues | Status of issues |
|------------|--|--|--|
| 1 | Delay of technical design leads to the delay of resettlement activities in Package 9 | Delay of design process of SMEC consultant | PMU.2 continues to supervise and speed up |
| 2 | Late issuance of compensation unit price by Van Yen | Consultant waited for the completion of DMS to complete the report – This method of consultant/local process is not appropriate. | PMU.2 continues to supervise and speed up. PMU2 requests for the unit price to be |

| No. | Pending issues/ Obstructions | Nature of issues | Status of issues |
|------------|--|---|--|
| | | | submitted to the PPC soon. |
| 3 | Delay in updating RP, EMDP | The delay of DMS affected the activities of consultant | Localities speed up the DMS process |
| 4 | Identification of relocated HHs and vulnerable HHs | DCLDFs are delay in their process | DCLDFs are requested to speed up their process |
| 5 | Delay in finalization the DED for CW11 | There was a dispute related to the land acquisition for the Thac Ca Dam and Hydro Project – specifically at the are near An Luong Bridge (CW11), 47 AHs are disputing entitlements and claiming a rice allocation (which they aren't entitled to). These HHs are not relocating and are only marginally affected. The same land will be required for the construction of the An Luong Bridge under the current alignment. In addition, the CW11 has other issues related to engineering design. SMEC team is asked to delay work in this area until the dispute is resolved | This issue is being resolved by local authorities and it is expected to have resolution of the dispute by end of November 2021 |

2.16. Compliance levels of RP/EMDP implementation

Table 9. The compliance with the RPs/EMDPs implementation

| Areas | Project policies | Actual Implementation by provinces | Compliant assessment | Proposed Solutions |
|--|---|---|----------------------|--|
| Information disclosure, public consultation, participation of local people | Information disclosure, public consultation, participation of local people activities follows requirement of RP, EMDP | Information disclosure, public consultation was conducted at preparing and implementing stages of RPs, EMDPs as requested | Compliant | |
| Detailed measurement survey | Inform clear information on affected areas, DMS schedule; HHs participate and agree (sign) in DMS form | Implement as requested. HHs still has question and request of checking DMS before signing in to the form. | Compliant | Explanation and checking DMS as requested of HHs still delay and should be improved. |
| Replacement costs | Independent monitoring consultants should be mobilized to establish compensation unit prices at replacement cost | Independent monitoring consultants were mobilized for package No.8, 9. Result will be assessed by the next report | Compliant | |
| Payment of compensation, assistance | N/A | N/A | | To be updated in next monitoring report |
| Relocation and Resettlement | N/A | N/A | | To be updated in next monitoring report |

| Areas | Project policies | Actual Implementation by provinces | Compliant assessment | Proposed Solutions |
|---|---|---|-----------------------------|---|
| Impact on income/livelihood due to losing production land | N/A | N/A | | To be updated in next monitoring report |
| Allowance for vulnerable households | N/A | N/A | | To be updated in next monitoring report |
| Gender issues | N/A | N/A | | To be updated in next monitoring report |
| EM issues | N/A | N/A | | To be updated in next monitoring report |
| Grievance redress | GRM will be established, informed to HHs and other stakeholders and easy to access. Complaint should be resolved on time. | GRM will be established, informed to HHs and other stakeholders. No any formal complaints were received by PMU.2 or local authorities. | Compliant | |
| Fund for land acquisition and resettlement activities | Fund for land acquisition and resettlement activities ready for implementation | MOT and PMU.2 arranged enough fund for land acquisition | Compliant | |
| Monitoring and evaluation | Internal and External monitoring | Internal monitoring Consultant is being mobilized. During the time waiting for the | Compliant | |

| Areas | Project policies | Actual Implementation by provinces | Compliant assessment | Proposed Solutions |
|--------------|-------------------------|--|-----------------------------|---------------------------|
| | | mobilization of Consultant, PMU directly implemented the internal monitoring. External consultant was mobilized and implemented | | |

III. CONCLUSIONS AND RECOMMENDATIONS

3.1 Conclusions

70. The Northern Mountain Provinces Transport Connectivity Project (NMPTCP) has been implementing the land acquisition activities since Q2/2020. According to the Policy Framework (RPF) the Prime Minister approved and the Resettlement Plans (RPs), the provincial people's committees act as the project owners of the compensation, assistance and resettlement subprojects. The provincial people's committees authorized and assigned the people's committees of the districts/cities to carry out the compensation, assistance and resettlement in the local areas under their administration.

71. The people's committees of the districts/cities established the district compensation, assistance and resettlement councils (DCARCs) to direct the implementation and assigned the DCLDFs to organize the implementation of compensation, assistance and resettlement in accordance with the provisions the Project's RPs. However, the progress of the design and design approval and the installation of site clearance landmarks in the packages are still slow, leading to the delay in handing over the site clearance landmarks to local authorities to continue the next steps.

72. At the first monitoring, the DCARCs were established and consolidated and the DCLDFs were assigned the works. Members of the DCARCs and the DCLDFs fully participated in the training courses on the Project's RPs conducted by the social safeguard experts of the Technical Assistance Consultant (SMEC).

73. The dissemination of information and consultation with the affected households and the stakeholders have strictly followed as provided in the approved RPs. However, more detailed on the measures to restore livelihoods and income in the future as outlined in the RPs should be consulted for the severely affected households.

74. The DMS of the affected quantity of the households was according to the state procedures as described in the RPs. However, the progress is still slow and should be accelerated in the coming time. During the DMS process, many AHs requested re-checking their quantity of affected property in DMS minutes. There requests were received by DCLDFs and the DCLDFs planned to check to explain to them in order that they agree and sign in the DMS minutes.

75. For the replacement cost survey for Package 8 and Package 9, the External Consultant has been mobilized to survey and set up the replacement cost to be applied for the compensation and assistance for site clearance. In Lai Chau city and Tam Duong district, Lai Chau province, the compensation and support prices have been approved by the Provincial People's Committee. For Van Yen - Yen Bai province, the External Consultant has not completed the reports to submit for approval, which should be accelerated in the coming time.

76. Till the first monitoring, severely and vulnerable AHs have not yet been classified according to the project policies; no more detailed consultations on livelihood and income restoration measures as outlined in the RP has been organized; and the RPs/EMDPs have not updated.

77. The EMDP and livelihood restoration have not yet been implemented. The Grievance Redress Mechanism was disseminated and made widely to affected people and stakeholders. Therefore, it needs to consolidate to help affected people and stakeholders to access and implement the project's GRM well.

78. Project Implementation Supervision Consultant (PISC) has not been mobilized yet. During the time waiting for the mobilization of consultant, PMU 2 implemented the internal monitoring. In June 2021, PMU.2 issued guidance on the periodic report form for the provinces to ensure that the collected information is synchronized, complete and detailed as a basis for PMU.2 to prepare internal monitoring reports every 3 months, to submit to the ADB on schedule with higher quality.

79. Besides, regarding the An Luong Bridge (CW11), there was a dispute related to the land acquisition for the Thac Ca Dam and Hydro Project – specifically, 47 AHs are disputing entitlements and claiming a rice allocation (which they aren't entitled to). These HHs are not relocating and are only marginally affected. The same land will be required for the construction of the An Luong Bridge under the current alignment. In addition, the CW11 has other issues related to engineering design. Accordingly, the local authorities expected to have resolution of the dispute by end of November 2021 and asked the SMEC team to delay work in this area until the dispute is resolved.

3.2 Recommendations

80. Based on the progress of the Project implementation and the implementation results of the RPs/EMDPs up to the 1st monitoring, the recommendations are presented in the following table.

Table 10. Shortcomings and recommendations of the Consultant

| No. | Issues/Findings | Recommendations | Responsible/ coordinating | Timeline |
|------------|--|---|----------------------------------|--------------------|
| 1 | The progress of design and site clearance demarcation of the packages (except for Packages: 8 & 9) is still slow) | PMU.2 directs and coordinates with the Consultant to accelerate the implementation progress | PMU.2, DED consultant | July, August, 2021 |
| 2 | Many DMS records of households are being checked according to requests of households (the summarization of these requests is | The requests of the AHs should be resolved promptly with their participation. | DCLDFs/ DCARCs | July, 2021 |

| No. | Issues/Findings | Recommendations | Responsible/ coordinating | Timeline |
|------------|--|---|--|-----------------------|
| | provided in Appendix 1) ⁴ . | | | |
| 3 | The replacement cost survey for the project has been carried out but still slow at Van Yen district, Yen Bai province. | PMU.2 needs to contact and work directly with the leaders of the PPCs, departments and agencies that are members of the Price Appraisal Councils of the provinces, to discuss and agree on the submission and approval procedure of the replacement cost to ensure the progress of preparation and approval of compensation plans. Special, update RP to the ADB review and approved before payment to AHs. | PMU.2, provincial people's committees, departments/people's committees of districts and cities/DCLDFs/DCA RCs. | July, 2021 |
| 4 | Till the 1st monitoring, not any RPs/EMDPs have been updated. | PMU.2 have to order the SMEC Consultant to accelerate the implementation of the detail design and updating the RP/EMDP. | PMU.2/ SMEC | Before quarter 3/2021 |
| 5 | Livelihood activities and EMDP have not been prepared and implemented. | PMU.2 should work with the SMEC to accelerate the technical design and RP/EMDP update schedule, implementation of livelihood activities and EMDP. | PMU.2/ SMEC | Before 12/2021 |
| 6 | PMU2's quarterly internal reports | It is necessary to supplement sufficient information to compare the actual data with the RP data. The consultation activities should be | PMU2/ DCLDFs, CPC/ WPC | Quarterly |

⁴ At the time of conducting the interview, the DMS is being implemented by the DCLDF in the early stage. According to the process, after the DMS is completed, the DMS minutes will be sent back to the households for review. All the unclear and inconsistent contents will be checked, verified and supplemented by the DCLDF in a timely manner. All complaints of households have been fully recorded and explained by the DCLDF staff under their authorization. The EMC will continue to monitor and update these results in the next reports after the final DMS data are provided (expected by the end of July 2021).

| No. | Issues/Findings | Recommendations | Responsible/ coordinating | Timeline |
|-----|--|---|---|-----------------------------------|
| | | disaggregated according to the gender of the participants. | | |
| 7 | Implementation of the project's GRM | Recommended for the APs and stakeholders to well implement the project's GRM. PMU.2, DCLDFs and affected communes need to consolidate GRM to be sure whether the GRM is functional prior to the commencement of any land acquisition or resettlement activities. Activities should be consolidating are: (i) Arrange staff to be responsible for GRM (ii) Establish the database for record and follow complaints (iii) DCLDFs should record all questions or requests from AHs in the DMS process for timely resolve. | PMU2/ DCLDFs, CPCs/ WPCs | During the project implementation |
| 8 | Severely AHs and vulnerable AHs have not been classified according to the project policies ⁵ . More detailed consultation on livelihood and income restoration measures as outlined in the RPs has not been made. | It is necessary to classify severely AHS and vulnerable AHs according to the project policy. More detailed consultation on livelihood and income restoration measures as outlined in the RPs has not been made. | DCLDF, Commune /ward people's committees. | Before 6/2021 |
| 9 | The section will pass through the primary and secondary school and affects about 3m. If the | It is recommended that PMU2 discusses with the Detailed Design Consultant to survey and study the adjustment of the | PMU2/Detailed Design Consultant | As soon as possible |

⁵ At the monitoring, DMS activities are being carried out, including the determination of vulnerable groups, determination of households that are relocated, and comparison with land records to determine the rates of land loss... Therefore, the EMC recommends to monitor and update this information in the next period report.

| No. | Issues/Findings | Recommendations | Responsible/ coordinating | Timeline |
|------------|--|---|--------------------------------------|-----------------------|
| | land is acquired, it may affect the structure of the entire works of the school. The structures have just been completed and handed over to use in 2020. | route to the People's Committee of Ban Hon commune. | | |
| 10 | The SES survey was not carried out according to the right procedure, therefore, it did not cover all severely AHs and vulnerable households | Addition SES survey should be conducted to cover 100% of severely AHs and vulnerable households | PMU2/ Consultant | Once DMS is completed |
| 11 | Mobilize PISC to support PMU on internal monitoring | It is recommended that PMU.2 should speed up progress to Mobilize PISC for supporting PMU on internal monitoring | PMU2/ | As soon as possible |
| 12 | The PMU.2 could not actively work with the support consultant (SMEC) to promptly resolve issues related to social safeguard policies | PMU.2 should develop a mechanism to improve the collaboration among related agencies | PMU2/SM EC/DEFA T | As soon as possible |
| 13 | Resolve the issue of technical detailed design for CW11 | PMU.2 and SMEC should work closely with the local authorities to update the situation of dispute related to land acquisition and finalize the technical detailed design | PMU 2/ SMEC | Nov 2021 |

APPENDIX

Appendix 1. Meeting and consultation

1.1. Summary of group discussion

| No. | Content | Time | Notes |
|-----------|--|-------------------|-------|
| I | Lai Chau city DCLDF | 13/04/2021 | |
| 1 | <p>The process of implementing the ODA projects which are ADB loans: The DCLDF has followed the training content and closely coordinated with PMU2 during the implementation process.</p> <p>The DCLDF has been experiencing in the site clearance of domestic projects and a number of small-scale ODA projects.</p> | | |
| 2 | <p>The DMS process for making compensation plans was implemented pursuant to the regulations of Lai Chau Provincial People's Committee and the Project's RP.</p> <p>Summary of impacts:</p> <ul style="list-style-type: none"> - Sang Thang commune: there are about 168 affected households; 5.8 hectares of land will be acquired. - Dong Phong ward: there are about 63 affected households; 2.1 hectares of land will be acquired. <p>About 03 households must be relocated; a dispersed resettlement plan is proposed.</p> <p>Summary of implementation process:</p> <ul style="list-style-type: none"> - The dissemination of the project information and project activities was conducted in coordination with the SMEC. - The cadastral measurements to determine the acquired land area of each household were completed and signed and certified by the affected households. - The DMS for affected households was completed. The DMS minutes were sent to affected households to check and review within 10-15 days. The review, supplement and revision (if any) upon affected households' opinions was implemented. The list of affected households was made public at the offices of the DCLDF and the people's committees of the wards/communes. - The replacement cost surveys and reports on land and land-attached assets was conducted. <p>+ For compensation land prices: the Provincial People's Committee authorized the City People's Committee and the City People's Committee approved the compensation land prices.</p> <p>+ For compensation property prices: Will be approved in May 2021.</p> | | |
| 3 | Complaints and complaint settlement: Following the procedures outlined in the Project RP. At the present, no complaints have been received. Inquiries about the DMS after the households reviewed the DMS minutes, if any, were checked, reviewed and supplemented by the DCLDF on time. | | |
| 4 | <p>Pending issues.</p> <p>Approve replacement cost/specific prices for properties on land: the Provincial People's Committee is considering for approval.</p> | | |
| II | Dong Phong ward | 13/04/2021 | |
| 1 | <ul style="list-style-type: none"> - The route crosses here about 1km. There are about 70 affected households. The impact is not large, mainly agricultural land and fences. - The information was provided to the affected households in 2017. - The DMS measurement was transparent and people took part in full. | | |

| No. | Content | Time | Notes |
|------------|--|-------------------|-------|
| | <ul style="list-style-type: none"> - We request completely dismantling the entire structures for the cases that half of roofs and parts of structures are affected. The DCLDF explained and the households will check the compensation plans when they are finalized. - The Ward People's Committee will supervise to ensure that the policies announced are implemented. | | |
| 2 | <ul style="list-style-type: none"> - For the opinions that some measurement positions were not accurate and benchmarks and impact scope were changed, the DCLDF staff recorded and will check and solve with the affected people before asking the households to sign in the DMS records. - It is recommended to consider impacts during the construction process on the households doing business (not being cleared). The DCLDF took notes and announced and resolved this in detail. - For the request on making clearly the difference in the supports for Kinh people and other ethnic people. The DCLDF explained based on the RP/ EMDP. | | |
| III | San Thang commune | 14/04/2021 | |
| | <ul style="list-style-type: none"> - Local leaders support the project implementation and coordinate well with the DCLDF to organize meetings, propagate and mobilize people about the project. - The project information has fully provided to people through meetings, radio broadcast in the commune. - The DMS is being implemented and some families have signed to confirm the affected quantity. - We expect that the project will be implemented soon to develop the local economy. - We expect that the compensation prices must be reasonable – the DCLDF explained that the Provincial People's Committee is considering and approving the compensation prices. - For the request about considering the compensation for crops and trees close to the road edge that can't develop, the DCLDF will check each case specifically. - Regarding the resettlement, it needs more consultation on how and location with people. - In the coming time, the Commune People's Committee will coordinate with the concerned parties to well implement the project works. - For the case of Mr. Tran Van Va, who asked about the leveling for his remaining land, the DCLDF took notes to check again. - Regarding the available local source of untrained labor, it is necessary to share and notify the village heads or the Commune People's Committee leaders about the need for labor recruitment. | | |
| IV | Tam Duong DCLDF | 14/04/2021 | |
| 1 | <p>Notices of land acquisition and DMS:</p> <ul style="list-style-type: none"> - Notices of land acquisition to each household in Bang Giang and Ban Hon were sent. - The DMS was done publicly and transparently through many stages to minimize future complaints. - The DCLDF has been experiencing in the site clearance of domestic projects and a number of small-scale ODA projects. | | |
| 2 | The DCLDF will provide the data on the levels of impact and vulnerability at the request of the monitoring team upon completion. | | |
| 3 | <p>Other issues:</p> <p>Solving inquiries of households: The DCLDF working groups are standing in the communes to promptly record and solve household</p> | | |

| No. | Content | Time | Notes |
|-----------|--|-------------------|--|
| | questions about surveying and counting to timely explain and provide solutions to receive the consensus of the people. To date, no letters of complaints from households have been received ever. | | |
| 4 | Some problems: Replacement cost/specific prices for property on affected land: Like the city, the district is waiting for the Provincial People's Committee to issue the decision on this. | | |
| V | Ban Hon commune | 15/04/2021 | |
| 1 | <p>The project proposal has been approved since 2018 but due to the influence of Covid-19 epidemic, the project is slow.</p> <ul style="list-style-type: none"> - There are 06 villages along the route and they are affected. - The commune leaders have coordinated with the DCLDF to organize people's meetings. + Disseminate guidelines and policies of the project. + Organized a consultation conference; survey form has been obtained. + Publicly disseminated the policy regime in the conference to the fellows. + Integrated project information into village meetings in order that people can get the information, + The 1st DMS: completed the property records on affected land; after completing the DMS, the DMS minutes and records were sent through the village leaders for people to check and review. - Trouble, difficulty: + Regarding the survey: There are 2 cemetery sites in the area. The commune leaders proposed the route alignment. However, currently the route still encroaches the cemetery sites about 7m. The cemetery sites are mainly for children's graves with quite thick density. It is recommended that the project to continue to consider and align the route (if possible). + Method of relocation of graves: the compensation is 4 million VND/grave; the families move on their own or have their graves removed by a service. + The primary and secondary school is encroached about 3m. If their land is acquired, the structure of the whole school will be affected. The school has just been built and handed over in 2020. + The construction company should pay attention to the sluice irrigation that serve 1.5ha of field (Ban Tham Bridge bypass). - It is suggested the DCLDF to consider for acquiring all areas of some cases where the remaining area is too small. | | PMU.2 and DCLDF took note for settlement |
| VI | Ban Giang commune | 15/04/2021 | |
| | <p>General issues:</p> <ul style="list-style-type: none"> - The project receives good attention from the leaders of the District People's Committee. The Chairman of the District People's Committee has established a Zalo group to regularly exchange and direct the implementation of the site clearance of the project (the Zalo group includes the Chairman of the District People's Committee and the commune leaders and relevant agencies). - Generally, opinions and recommendations of people in the DMS process were fully and promptly answered by the DCLDF, which received the consent of the people. <p>Some pending issues:</p> <ul style="list-style-type: none"> - It needs to settle drainage culverts of some households, which are near Mr. Ly A Mau's house, to avoid affecting people's houses. | | |

| No. | Content | Time | Notes |
|-------------|---|-------------------|----------------------|
| | <ul style="list-style-type: none"> - Expand the road intersection to the Commune People's Committee to ensure traffic safety. - 02 households that are relocated should be considered for suitable resettlement plans. - Living in the commune are mainly Day people (60%), so the project affected households are 99% of Day people. However, their customs and habits are quite close to the customs and habits of Kinh people. - The local untrained labor resource is available and can participate in the project construction activities. | | |
| VII | Van Yen District Compensation Committee | 16/04/2021 | |
| | <p>Ms. Le Thi Hang – Standing Vice President – Deputy Director of the DCLDF:</p> <p>a. The activities of the district to be implemented till now:</p> <ul style="list-style-type: none"> - The site clearance landmarks for Package 9 were handed over and the measurements are taking place. It is planned to be handed over in the second quarter of 2021. <p>b. The current legal basis of the district:</p> <ul style="list-style-type: none"> - The decision of the Ministry of Transport. - The Policy Framework and Resettlement Plan of the Project. <p>c. The questions and exchanges of the delegation:</p> <ul style="list-style-type: none"> - The district, in collaboration with the Consultants and PMU2, has been implementing the project information and the project policy framework. There is a list of participants and minutes of meetings. - The notices of land acquisition were distributed to the affected households in Dai Son commune. - Replacement cost: <ul style="list-style-type: none"> + The contract with the survey consultant was signed and they are conducting the replacement cost survey. + This activity carried out together with the cadastral measurement and valuation to each land plot, so it is slow. - Organization: <ul style="list-style-type: none"> + The establishment of the compensation committee includes 54 members. + Professional staff are mainly from the DCLDF and other departments according to their expertise. - Progress: <p>The work is ongoing in Dai Son commune; the problems are still within the local ability to solve.</p> <ul style="list-style-type: none"> - Local recommendations: <ul style="list-style-type: none"> + Request to speed up the project progress to soon settle travel difficulties of people. - The compensation committee members understood the project and have experiences in implementing the ADB Project (Hanoi - Lao Cai). | | |
| VIII | An Thinh commune | 16/04/2021 | |
| | <p>Information disclosure:</p> <ul style="list-style-type: none"> + The project information has been disseminated to local people for more than 04 years but the project implementation is still slow. The project information should be updated to local people. | | |
| | <p>Geodetic and cadastral survey:</p> <ul style="list-style-type: none"> + The measurement of land area to be acquired was implemented and the affected households agreed and signed to confirm the results. | | The DCLDF took notes |

| No. | Content | Time | Notes |
|-----------|---|-------------------|--|
| | <ul style="list-style-type: none"> + Relevant documents and records were provided to the district working group. + Some land in the gating area needs to be assigned to the owner soon to make compensation. | | |
| | <p>About the DMS:</p> <ul style="list-style-type: none"> + The DMS is being implemented and the affected households are coordinating with the local leaders to do it. + Please pay attention the counting and compensation and support for affected land and properties in the traffic right of way. + The district is requested to arrange resettlement for the households that must be suitable and close to their old place of residence. | | The DCLDF took notes |
| | <p>Compensation and support:</p> <ul style="list-style-type: none"> + The compensation prices must be appropriate and timely paid to people to avoid devaluation and price escalation. + The construction impact on the economy of trading households along the road should be considered. + Locations of sewers, if they affect the land and property of people outside the scope of acquisition, should be considered. | | The DCLDF took notes |
| IX | Dai Son commune | 16/04/2021 | |
| | <ul style="list-style-type: none"> + The project information has been disseminated many times to local people. Local authorities and people support and expect the project to be implemented soon. + The DMS measurement is being carried out and people are fully involved in the process and received land acquisition notices. + Out of the total of about 200 affected households, about 10 households have houses affected. <p>Some difficulties:</p> <ul style="list-style-type: none"> + The site clearance benchmarks are too sparse, leading to difficulties in determining the extent and area of affected land. + The compensation price for cinnamon trees should be considered in detail. | | |
| | Mr. Ban Kim Tien: It is requested to re-check the measurement results | | The commune leaders recorded to report the DCLDF |
| | <p>Mr. Ly Huu Thien:</p> <ul style="list-style-type: none"> + The value of our residential land at the current price is VND 300 million, now it is affected a half, will it be acquired for the whole plot? + How to calculate the pay for excavation of soil? | | The DCLDF explained |
| | <p>Mr. Vu Dinh Tan, Mr. Quy, Mr. Tu</p> <ul style="list-style-type: none"> + How is the resettlement land arranged and where? + How self-claimed land or leased land from forestry farm is supported? | | The DCLDF explained |
| | <p>Mrs. Tam</p> <ul style="list-style-type: none"> + How we will be compensated if our house is partially demolished? + Is the compensation for old houses and new houses alike? | | The DCLDF explained |

1.2. Sample of Minutes of meeting and consultation

Translation the minute

SOCIALIST REPUBLIC OF VIETNAM

Independence - Freedom - Happiness

Tam Duong April 14, 2021

CONSULTATION MINUTE

(Social supervision and development of ethnic minorities)

NORTHERN MOUNTAIN PROVINCES TRANSPORT CONNECTIVITY PROJECT

I. CONSULTATION TIME AND PLACE

1. Consultation time 14:00 pm, April 14, 2021.
2. Consultation location: Tam Duong District Land Fund Development Center

II. PARTICIPANTS

1. Project Owner

Mr. Nguyen Trung Kien Position: Specialist

2. Land Fund Development Center

Mr. Pham Hai Trieu Position: Director

2. People's Committee of Ban Giang commune

Mr. Lo Van Cheo Position: Vice chairman

Mr. Nguyen Van Phong Position: Cadastral officer

3. Consulting team

Mr. Nguyen Nhat Quang Position: Team leader

Mr. Vu Xuan Son Position: Support staff

Mr. Bui Thanh Dat Position: Support staff

Total number of participants: 6 people (according to the list of consulting members attached to this minute).

Of which: Male: 6; female: 0

Ethnic minority: 0; Male: 0; female: 0

III. CONSULTATION CONTENT

1. The consultation content presented by the Consulting team

- General project introduction and the mission of the Consulting team
- Roles, responsibilities and participation of the stakeholders during the implementation process, advantages and disadvantages
- Consult compensation, support and resettlement issues
- The Grievance Redress Mechanism of the project.

2. Discussion and opinions of the participants

The affected households are invited to ask questions that are unclear when the consultants presented and the consultants answered and explained the questions clearly.

Mr. Pham Hai Trieu - Land Fund Development Center, presents difficulties in the project implementation:

- The land acquisition and compensation in two villages, Ban Giang and Ban Hon has been progressing.
- The inventory and measurement of assets (DMS) have been made public for several times to be able to answer questions and re-survey for the cases which are in questions or the DMS is deemed as inaccurate to complete the work and minimize later complaints.
- There is difficulty in the approval of the replacement cost and the LFDC has requested the PMU to request the Provincial People's Committee to issue a guiding document regarding the acceptance and application of the replacement cost developed by the Independent Consultant.
- The project overlaps with Provincial Road 121 project where some sections were cleared in 2008 – 2009, therefore, it was difficult to compensate for the structures affected by the project on the cleared sections that were paid by PR121 policy.
- The Provincial People's Committee has not approved the resettlement plan.

Mr. Nguyen Nhat Quang - Consulting team, advises on the project policies.

Mr. Pham Hai Trieu - Land Fund Development Center provides data on affected households, vulnerable affected households, relocated affected households updated to this present time.

Mr. Pham Hai Trieu's opinions:

- People's questions have been completely answered and explained. Most of the people are satisfied with the settlement.
- The replacement costs are clearly built.
- In Ban Giang village, affected Day EM people are mainly.
- In Ban Hon village, affected Lu EM people are mainly.

IV. CONCLUSION

The meeting ends on 4:00 pm of the same day. The content was accepted by the participants.

PMU 2

LAND FUND DEVELOPMENT CENTER

Pham Hai Trieu

Consulting team

Appendix 2. Photos of consultation meetings



Meeting with the centers for land fund development of the districts/cities



Meeting with the Commune people's committees and representatives of households



Site survey



Questionnaire survey with affected households

Appendix 3. Documents collected during monitoring

Minutes of meeting of the DCLDFs about the compensation and site clearance

Translation

SOCIALIST REPUBLIC OF VIETNAM

Independence - Freedom - Happiness

MINUTES OF THE MEETING

on the notification of land acquisition for the site clearance of the Northern Mountain Provinces Transport Connectivity Project funded by the Asian Development Bank (ADB) and the Australian Government in Ban Giang commune.

Today at 20:30 p.m. on April 10, 2021 at the village's cultural house of Ban Na village, Ban Giang commune, Tam Duong district.

I. Participants

1. Land Fund Development Center

| | |
|---------------------|--------------------|
| Mr. Pham Hai Trieu | Position: Director |
| Mr. Nguyen Van Hung | Position: officer |
| Ms. Dao Thi Binh | Position: officer |

2. People's Committee of Ban Giang commune

| | |
|----------------------|-----------------------------|
| Mr. Lo Van Cheo | Position: Vice chairman |
| Mr. Nguyen Van Phong | Position: Cadastral officer |

3. Fatherland Front of Ban Giang commune

| | |
|---------------------|-------------------------|
| Mr. Giang Van Nhung | Position: Vice chairman |
|---------------------|-------------------------|

4. Households with affected land: in Coc Da and Na Bo villages

- Total number of households present:

II. MEETING CONTENT

1. Opinions of Tam Duong Land Fund Development Center

Package 8 of the Northern Mountain Provinces Transport Connectivity Project passes through the territory of Ban Giang commune 5.5 km long; the total site clearance area is 12.2 hectares; there are 144 organizations, households and individuals affected.

To protect the rights and entitlements of the land-users, whose land is acquired, according to current policies, Mr. Pham Hai Trieu, the Director of the Center for Land Fund Development presents about:

1. The cadastral surveying map of the construction work provided by the Natural Resources and Environment Technology Application Joint Stock Company with the scale of 1/1000 in Ban Giang commune, Tam Duong district.

2. Notices of land acquisition for the implementation of the Northern Mountain Provinces Transport Connectivity Project funded by the Asian Development Bank (ADB) and the Australian Government for Package 8 in Ban Giang commune. The Notices from 174 to 319/TB-UBND dated April 8, 2021 and April 9, 2021 (households are made into lists and notices are issued for each household).

2. Opinions of the People's Committee of Ban Giang commune

- The People's Committee of Ban Giang commune (CPC) will appoint staff to coordinate with the Land Fund Development Center in making the declaration, measurement and tallying of affected

assets on the land, preparation of compensation, support and resettlement plans to comply with the provisions of the laws and the project schedule.

- The CPC will confirm the origin of land and assets on land of organizations, households, and individuals that are acquired in accordance with the provisions of the current laws.
- The CPC will strictly manage the land fund and mobilize the households whose have assets on land affected that are not built encroaching or new trees are planted on land after the cut-off date.

3. Opinions of the Fatherland Front Committee of Ban Giang Commune

- The Fatherland Front Committee of the commune will coordinate with the people and relevant agencies to ensure the full realization of the legitimate rights, entitlements and interests of the affected subjects.
- The Fatherland Front Committee will coordinate with the agencies, sectors and mass organizations to propagate and answer people's questions and recommendations about the land acquisition, compensation, support and resettlement regimes and policies.

4. Opinions of the households

100% of the households present at the meeting agreed with the land acquisition policies for the project implementation, agreed with the approved implementation plans, committed to the good cooperation with the implementation agencies when carrying out the DMS.

III. CONCLUSION

With the consent of all individual households in Ban Giang village, the compensation and site clearance team is set up, including the following representatives:

- + The Land Fund Development Center
- + People's Committee of Ban Giang Commune
- + The DMS company: Natural Resources and Environment Technology Application Joint Stock Company.
- + The village leaders.

They will:

- + Release the declaration of inventory of the current state of land, assets and structures on affected land to each organization, household or individual that has land and assets on land acquired by the State.
- + Notify the status of inventory according to the declaration, the inspection team is responsible for checking the declared contents and carrying out the current inventory according to the regulations. If any organization, household or individual refuse to execute the DMS, the State will apply the compulsory DMS in accordance with the laws.

The time and place of DMS shall be announced with the attached list of households.

The minute of meeting is closed at 22:00 of the same day, read again for all participants to hear and sign in.

CENTER FOR LAND FUND DEVELOPMENT

**FOR AND ON BEHALF OF THE PEOPLE'S
COMMITTEE**

Nguyen Van Hung

**COMMUNE'S FATHERLAND FRONT
COMMITTEE**

CADASTRAL OFFICER

Giang Van Nhung

Nguyen Van Phong

Representatives of households

Appendix 4. The interview forms

4.1. In-depth/flexible interview form

Guiding in-depth interview/flexible interview questions with officers in charge of land acquisition, compensation, support and resettlement of DCARCs/ DCLDFs, communes/wards/towns, and AHs.

| No. | Subjects | Interview questions |
|-----|--|--|
| 1 | Officers of DCARCs/ DCLDFs | <ul style="list-style-type: none"> - Capacity and experience in implementing ODA projects, and the resources for the project implementation. - The compensation order and progress of the DCLDFs; Advantages and disadvantages in the process of performing tasks; Survey and approval of replacement cost? Identify vulnerable groups; Identification of severely affected households according to the project policies; Identification of participants in the Income Restoration Program? - The arrangement of funding for the site clearance of the project? - The GRM and grievance redress of the DCLDFs; - The coordination mechanism of the PMU and localities with the DCLDFs in the process of site clearance... |
| 2 | Local officials (commune/ward/town) | <ul style="list-style-type: none"> - Progress of the site clearance in communes/wards: Current difficulties and problems; - Proposing local plans for these issues; - The GRM and grievance redress of the communes/wards: Difficulties and problems in the process of the site clearance; - The level of people's satisfaction with the site clearance. |
| 3 | Affected households | <ol style="list-style-type: none"> 1. What information about the project did you receive? 2. In your opinion, was the information provided sufficiently and appropriately? Why? 3. Were you involved in the inventory of affected assets? If yes, what is the level of participation? If not, why? 4. What types of affected assets do you have? 5. Was the number of assets corresponded with the actual affected assets? If not, what did you feedback? 6. How were you paid with compensation and support (where were you paid, who paid, total amount, time of payment...)? |

| | | |
|--|--|--|
| | | <ol style="list-style-type: none"> 7. Do you have any questions about compensation payment? 8. What is your assessment of the project information dissemination? 9. What is your assessment of the inventory of affected assets? 10. What is your assessment of the payment of compensation and support? 11. What are your recommendations for the project's compensation, support and resettlement? <p><i>For resettled households: ask more questions as follows:</i></p> <ul style="list-style-type: none"> - The project's support for displaced households? - How are the infrastructure in the resettlement site? - How is your income/life at the new place? - How about the LURC certification for resettlement land lots? - Household needs/desires for the project? - The project's support for vulnerable households? - Household needs/desires for the project? <p><i>For vulnerable households, ask more questions as follows:</i></p> <ul style="list-style-type: none"> - The project's support for vulnerable households? - Household needs/desires for the project? |
|--|--|--|

4.2. Sample of Group Discussions

Guiding in-depth interview/flexible interview questions with officers in charge of land acquisition, compensation, support and resettlement of DCARCs/ DCLDFs, communes/wards/towns, and AHs.

| No. | Subjects | Interview questions |
|-----|--|---|
| 1 | Officers of DCARCs/ DCLDFs | <ul style="list-style-type: none"> - Implementation process and internal coordination? Assign internal tasks of DCLDF? - Project policy training? Project policy exchange? - Deal with difficulties and problems related to DMS, determining the origin of land, time of land use, determining types of impacts according to the project policies, survey procedures and approval of replacement cost? - Receive and answer questions and complaints? - Resettlement arrangement and livelihood implementation? - Funding source for implementation? |
| 2 | Local officials (commune/ward/town) | <ul style="list-style-type: none"> - Progress of the site clearance in the wards: Current difficulties and problems? - How were the local plans proposed for these issues? - How was the coordination mechanism of the PMU and localities with the DCLDFs in the process of the site clearance? - The level of people's satisfaction with the site clearance? |
| 3 | Affected households | <ol style="list-style-type: none"> 1. How many meetings about the project have been held in the neighborhood group? 2. What was the content of the meeting? Were people in the neighborhood group informed in advance? 3. Was there a meeting to implement the DMS plan? If the DMS was not accurate, how could the affected persons request additional tally? 4. What activities did the project have to support women's participation? 5. Effectiveness of the implementation of support activities for AHs; Were the activities consistent with the community's mode of production? |

| | | |
|--|--|--|
| | | <p>6. What was your assessment of the level of environmental pollution caused by the construction process?</p> <p>7. What is your assessment of the relationship between the staff and workers of the construction units and local people?</p> <p>8. What are your recommendations for the project construction?</p> <p><i>For resettled households: ask more questions as follows:</i></p> <ul style="list-style-type: none"> - The project's support for displaced households? - How are the infrastructure in the resettlement site? - How is your income/life at the new place? - How about the LURC certification for resettlement land lot? - Household needs/desires for the project? <p><i>For vulnerable households, ask more questions as follows:</i></p> <ul style="list-style-type: none"> - The project's support for vulnerable households? - Household needs/desires for the project? |
|--|--|--|

4.3. Interview questionnaire

NORTHERN MOUNTAIN PROVINCES TRANSPORT CONNECTIVITY PROJECT (NMPTCP)

Questionnaire for compliance monitoring interview

Code

| | | | | |
|--|--|--|--|--|
| | | | | |
|--|--|--|--|--|

| | | |
|-----------------|--|--------------------------|
| Types of impact | Entirely affected and relocated to resettlement site | <input type="checkbox"/> |
| | Entirely affected and self-managed resettlement | <input type="checkbox"/> |
| | Severely affected by loss from 10% of land | <input type="checkbox"/> |
| | Belonging to vulnerable groups | <input type="checkbox"/> |
| | Others | <input type="checkbox"/> |

A - INTERVIEWING HOUSEHOLDS WHOSE LAND IS ACQUIRED

I. Household general information

1. Respondent's full name:
 Age: Gender: Male ☐1 Female ☐2 Education:.....
 Occupation: Relationship with household head:
2. Household head full name:
 Age: Gender: Male ☐1 Female ☐2
 Education:..... Occupation:.....
 Address:.....
3. Number of people living with the household head:
 In which: Male: persons; Female: persons
 Number of people working with income:
 - Before the project implementation, there werepersons, in which: Male:
persons; Female:persons;
 - After the project implementation, there arepersons, in which: Male:
persons; Female:persons;
4. Ethnicity of household head?
 Kinh ☐1 Hoa ☐2 Other ☐3 (specify):
5. Is the family entitled to a social subsidy?
☐1 Yes ☐2 No

6. Types of affected household (Note that 1 household may belong to several affected categories)

| | |
|--|--|
| <input type="checkbox"/> 1 Residential land | <input type="checkbox"/> 6 Services, business and trade |
| <input type="checkbox"/> 2 Agricultural land (...% agricultural land lost/total) | <input type="checkbox"/> 7 Living facilities/accomodations |
| <input type="checkbox"/> 3 Plants | <input type="checkbox"/> Severely affected |
| <input type="checkbox"/> 4 Houses and other constructures | <input type="checkbox"/> Vulnerable groups |
| <input type="checkbox"/> 5 Constructures leased from the State | <input type="checkbox"/> Others |

II. Dissemination of project information

7. Do you have any information about the project?

☐1 Yes

☐2 No

8. From which of the following sources did you get this information?

☐1 Flyers

☐4 Local officials

☐2 Bulletins

☐5 Project officers

☐3 Mass media (newspapers, radio...)

☐6 Residential meeting

☐7 Other souces (specify)

9. Do you fully understand the content of the compensation plan and the benefits you are entitled to through the propaganda campaigns?

☐1 Yes

☐2 No

If not, then why:

☐1 Unclear propaganda

☐3 Don't know who to ask

☐2 Due to not minding

☐4 Other, specify:.....

10. Do you hear the information dissemination and offer to donate land and property to implement the project?

☐1 Yes

☐2 No

11. Do you agree with the policy of donating land and assets to implement the project?

☐1 Yes

☐2 No

If not, then why?.....

III. Detailed Measurement Survey (DMS):

12. Were you informed in advance about the DMS?

☐1 Yes

☐2 No

13. Did you present in the DMS of your affected assets?

☐1 Yes

☐2 No

14. To date, have you seen any assets that are still uncounted for?

☐1 Yes

☐2 No

If so, what is it?.....

15. Did you agree with the DMS results?

☐1 Yes

☐2 No

If not, why didn't you disagree?

| |
|--------------------------|
| <input type="checkbox"/> |
| <input type="checkbox"/> |
| <input type="checkbox"/> |
| <input type="checkbox"/> |
| <input type="checkbox"/> |
| <input type="checkbox"/> |

Short inventory of affected assets

Land classification is not correct

House classification is not correct

Classification of plants/crops is not correct

Determining the origin of the land is not correct

Other (specify).....

16. Did you review and sign the DMS minute?

☐1 Yes

☐2 No

17. Did you keep 1 DMS minute?

☐1 Yes

☐2 No

VI Comments:

Would you give some comments and suggestions about the project (how beneficial is the project, is there any change in the life of your family before and after the project implemented? if yes, how does it change, do you agree with the implementation of the project?)

.....

.....

.....

DD MM 2021

Interviewer

Appendix 5. List of interview

5.1. In-depth/flexible interview list

| No. | Name | Address |
|-----|------------------|---------------------------|
| 1 | Lưu Thanh Đào | DCLF - Lai Châu City |
| 2 | Phạm Hải Chiêu | DCLF - Tam Đường District |
| 3 | Lê Thị Hằng | DCLF - Văn Yên District |
| 4 | Nguyễn Văn Tường | Bản Hòn Commune |
| 5 | Ngô Thị Tám | Đại Sơn Commune |
| 6 | Đặng Tồn Tư | Đại Sơn Commune |
| 7 | Mai Thị Ly | Yên Thịnh Commune |
| 8 | Bàn Kim Tiến | Đại Sơn Commune |

5.2. List of Group Discussions

| No. | Name | Address |
|-----------|---|---------------------------|
| I | Group of implementation officers | |
| 1 | Ngô Xuân Đông | DCLF - Lai Châu City |
| 2 | Lưu Thanh Đào | DCLF - Lai Châu City |
| 3 | Phạm Hải Chiêu | DCLF - Tam Đường District |
| 4 | Lê Thị Hằng | DCLF - Văn Yên District |
| 5 | Đỗ Quang Trung | DONRE - Văn Yên District |
| 6 | Hoàng Thanh Liêm | DONRE - Văn Yên District |
| 7 | Bùi Thị Hương Giang | DOJ Văn Yên District |
| 8 | Trần Thế Thuật | DOCI - Văn Yên District |
| 9 | Hoàng Duy Luyến | Đông Phong Ward |
| 10 | Nguyễn Tiến Đăng | Đông Phong Ward |
| 11 | Nguyễn Văn Đăng | Đông Phong Ward |
| 12 | Lê Thị Linh | Đông Phong Ward |
| 13 | Đoàn Văn Nhưông | Bản Giang Commune |
| 14 | Phạm Văn Quang | Bản Giang Commune |
| 15 | Nguyễn Văn Tường | Bản Hòn Commune |
| 16 | Nguyễn Văn Thuận | Bản Hòn Commune |
| 17 | Lò Văn Lả | Bản Hòn Commune |
| 18 | Đặng Thị Hoa | Bản Hòn Commune |
| 19 | Tào Văn Bun | Bản Hòn Commune |
| II | EM Group | |
| 1 | Vừ Thị Đáy | Sang Thành Commune |
| 2 | Vàng Văn Cao | Sang Thành Commune |
| 3 | Trần Văn Và | Sang Thành Commune |
| 4 | Trần Quang Vinh | Sang Thành Commune |
| 5 | Vàng Văn Bán | Sang Thành Commune |
| 6 | Lê Thị Lai | Sang Thành Commune |
| 7 | Sùng Thị Thoa | Sang Thành Commune |
| 8 | Bàn Kim Tiến | Đại Sơn Commune |
| 9 | Bàn Hữu Hưng | Đại Sơn Commune |
| 10 | Đặng Tồn Tư | Đại Sơn Commune |
| 11 | Lý Hữu Thiện | Đại Sơn Commune |

| No. | Name | Address |
|------------|----------------------|--------------------|
| 12 | Bàn Phúc An | Đại Sơn Commune |
| 13 | Lý Thị Sĩ | Đại Sơn Commune |
| 14 | Lý Tồn Năm | Đại Sơn Commune |
| 15 | Lý Xèo Chúng | Đại Sơn Commune |
| 16 | Lý Văn Thắng | Đại Sơn Commune |
| 17 | Đặng Nho Thu | Đại Sơn Commune |
| 18 | Giàng A Thụ | Đại Sơn Commune |
| 19 | Trần Thị Biên | Đại Sơn Commune |
| 20 | Đặng Thị Phạm | Đại Sơn Commune |
| 21 | Đặng Phúc Hiến | Đại Sơn Commune |
| 22 | Đặng Thị Lan | Đại Sơn Commune |
| 23 | Lý Văn Liêm | Đại Sơn Commune |
| III | Women group | |
| 1 | Vừ Thị Đáy | Sang Thành Commune |
| 2 | Vũ Thị Hương Giang | Sang Thành Commune |
| 3 | Lê Thị Lai | Sang Thành Commune |
| 4 | Sùng Thị Thoa | Sang Thành Commune |
| 5 | Nguyễn Thị Sơn | An Thịnh Commune |
| 6 | Đỗ Thị Phương | An Thịnh Commune |
| 7 | Hoàng Thị Khơi | An Thịnh Commune |
| 8 | Lê Thị Vân | An Thịnh Commune |
| 9 | Nguyễn Thị Ngọt | An Thịnh Commune |
| 10 | Đỗ Thị Hằng | An Thịnh Commune |
| 11 | Trần Thị Lý | An Thịnh Commune |
| 12 | Mai Thị Ly | An Thịnh Commune |
| 13 | Trần Thị Quyền | An Thịnh Commune |
| 14 | Nguyễn Thị Mến | An Thịnh Commune |
| 15 | Nguyễn Thị Hồng Diệp | An Thịnh Commune |
| 16 | Nguyễn Thị Tám | An Thịnh Commune |
| 17 | Ngô Thị Tầm | Đại Sơn Commune |
| 18 | Lý Thị Sĩ | Đại Sơn Commune |
| 19 | Đặng Thị Thu | Đại Sơn Commune |
| 20 | Phạm Thị Bắc | Đại Sơn Commune |
| 21 | Trần Thị Biên | Đại Sơn Commune |
| 22 | Đặng Thị Phạm | Đại Sơn Commune |
| 23 | Đặng Thị Lan | Đại Sơn Commune |

5.3. List of respondents who know project information

| No. | Content | Yes | | No | |
|-----|--|--|------|----|------|
| | | N | % | N | % |
| 1 | Did your family receive a project information booklet (PIB) | 254 | 100 | | |
| 2 | Did your family participate in the dissemination meetings about compensation and entitlements of the project affected households | 254 | 100 | | |
| 3 | Was your family informed about the DMS plans to measure and survey your affected property | 238 | 93.7 | 16 | 6.3 |
| 4 | Did your family participate in the DMS to measure and survey your affected property | 221 | 87 | 33 | 13 |
| 5 | Was the measurement of affected land and houses accurate? | 212 | 83.4 | 42 | 16.6 |
| 6 | Did your family review and sign in the DMS records and minutes? | As the DMS records and minutes are not finalized, this step has just begun | | | |

| No. | Name | Address | 1 | 2 | 3 | 4 | 5 | 6 | Note |
|-----|---------------------|---------------|------|------|-------|-------|-------|---|------|
| | | | 100% | 100% | 93,7% | 87,0% | 83,4% | | |
| I | Đông Phong ward | Lai Châu City | | | | | | | |
| 1 | Bùi Văn Lâm | Group 24 | X | X | X | X | X | | |
| 2 | Đào Thị Hồng Chuyên | Group 24 | X | X | X | X | X | | |
| 3 | Đinh Văn Trung | Group 24 | X | X | X | X | X | | |
| 4 | Đỗ Văn Đức | Group 24 | X | X | X | X | X | | |
| 5 | Đỗ Văn Thanh | Group 24 | X | X | X | X | | | |
| 6 | Hằng A Chu (Thông) | Group 24 | X | X | X | X | X | | |

Northern Mountain Provinces Transport Connectivity Project (NMPTCP)

| No. | Name | Address | 1 | 2 | 3 | 4 | 5 | 6 | Note |
|-----|----------------------------------|----------|------|------|-------|-------|-------|---|------|
| | | | 100% | 100% | 93,7% | 87,0% | 83,4% | | |
| 7 | Hằng A Dua (Lệ) | Group 24 | X | X | X | X | X | | |
| 8 | Hoàng Thị Phương | Group 24 | X | X | X | | X | | |
| 9 | Hoàng Thị Thanh Hiền | Group 24 | X | X | X | X | X | | |
| 10 | Lại Công Hoan | Group 24 | X | X | X | X | X | | |
| 11 | Lê Thị Hồng Doan | Group 24 | X | X | X | X | X | | |
| 12 | Lê Thị Thuyền | Group 24 | X | X | X | X | X | | |
| 13 | Nguyễn Khánh Hòa (Nguyễn Bá Lực) | Group 24 | X | X | | | | | |
| 14 | Nguyễn Ngọc Dũng | Group 24 | X | X | X | X | X | | |
| 15 | Nguyễn Quỳnh Giang | Group 24 | X | X | | | | | |
| 16 | Nguyễn Thanh Hải | Group 24 | X | X | X | X | X | | |
| 17 | Nguyễn Văn Hải | Group 24 | X | X | X | X | | | |
| 18 | Nguyễn Văn Tiến | Group 24 | X | X | X | X | X | | |
| 19 | Nguyễn Việt Thương | Group 24 | X | X | X | X | X | | |
| 20 | Nguyễn Viết Toàn | Group 24 | X | X | X | X | X | | |
| 21 | Nguyễn Xuân Tình | Group 24 | X | X | X | X | X | | |
| 22 | Phạm Văn Thờ | Group 24 | X | X | | | | | |
| 23 | Sùng Thị Mộng Dung | Group 24 | X | X | X | X | X | | |
| 24 | Tần A Pao | Group 24 | X | X | X | X | X | | |
| 25 | Tần A Sun | Group 24 | X | X | X | X | X | | |
| 26 | Tổng Văn Đức | Group 24 | X | X | X | X | | | |

| No. | Name | Address | 1 | 2 | 3 | 4 | 5 | 6 | Note |
|-----------|---------------------------|--------------------------|------|------|-------|-------|-------|---|------|
| | | | 100% | 100% | 93,7% | 87,0% | 83,4% | | |
| 27 | Triệu Khánh Dư | Group 24 | X | X | X | X | X | | |
| 28 | Vàng A Chiếu | Group 24 | X | X | X | X | X | | |
| 29 | Vũ Hoa Kết | Group 24 | X | X | X | X | X | | |
| 30 | Vũ Thị Hương | Group 24 | X | X | X | X | X | | |
| II | Đông Phong Commune | Lai Châu City | X | X | | | | | |
| 1 | Bùi Thị Huế | Group 9, Tân Phong ward | X | X | X | X | X | | |
| 2 | Bùi Thị Mến | Group 11, Đoàn Kết ward | X | X | X | X | X | | |
| 3 | Bùi Văn Điệp | | X | X | X | X | X | | |
| 4 | Đào Văn Chiêu | Group 1, Tân Phong ward | X | X | X | X | X | | |
| 5 | Đinh Thị Đào | Group 4, Đoàn Kết ward | X | X | X | X | X | | |
| 6 | Đỗ Trọng Hải | Group 4, Tân Phong ward | X | X | X | X | X | | |
| 7 | Vàng A Chiếu | Village Phan Chu Hoa | X | X | | | | | |
| 8 | Đỗ Văn Đức | Group 1, Đoàn Kết ward | X | X | X | X | X | | |
| 9 | Đỗ Văn Khiêm | Group 14, Tân Phong ward | X | X | X | X | | | |
| 10 | Dương Công Chính | Group 11, Đoàn Kết ward | X | X | X | X | X | | |
| 11 | Giàng A Hảng, Vàng Thị Mỹ | Village Lao Tỷ Phùng | X | X | X | X | X | | |
| 12 | Giàng Văn Chính | Tân Phong ward | X | X | X | X | X | | |
| 13 | Hảng A Lồng | Village Phan Chu Hoa | X | X | X | X | | | |
| 14 | Hoàng Mạnh Hạnh | Group 18, Tân Phong ward | X | X | X | X | X | | |
| 15 | Hoàng Văn Lân | Village Tả Xin Chải 1 | X | X | X | X | X | | |

| No. | Name | Address | 1 | 2 | 3 | 4 | 5 | 6 | Note |
|------------|-----------------------------|---------------------------|------|------|-------|-------|-------|---|------|
| | | | 100% | 100% | 93,7% | 87,0% | 83,4% | | |
| 16 | Hoàng Văn Mạnh | Group 16, Tân Phong ward | X | X | | | | | |
| 17 | Lù A Dầu | Village Tả Xin Chải 1 | X | X | X | X | X | | |
| 18 | Sùng A Nhà | Village Sì Miền Khan | X | X | X | X | X | | |
| 19 | Sùng A Say | Village Phan Chu Hoa | X | X | X | X | X | | |
| 20 | Sùng A Thanh | Village Huổi Lùng | X | X | X | X | X | | |
| 21 | Sùng Thị Vừ | Group 1, Đoàn Kết ward | X | X | X | X | X | | |
| 22 | Trần A Ny | Village Cắng Đẳng | X | X | X | X | X | | |
| 23 | Lý A Hảng | Village Cắng Đẳng | X | X | X | X | X | | |
| 24 | Trần Văn Tinh | Village Cắng Đẳng | X | X | X | X | X | | |
| 25 | Trần Văn Và | Village Cắng Đẳng | X | X | X | X | X | | |
| 26 | Vàng A Chiêu | Village Phan Chu Hoa | X | X | X | X | X | | |
| 27 | Vàng A Sang | Village Tả Xin Chải 2 | X | X | X | X | X | | |
| 28 | Vàng Văn Mảo | Village Phan Lìn | X | X | X | X | X | | |
| 29 | Vàng Van Say | Village San Thàng | X | X | X | X | X | | |
| 30 | Vùi Thị Đầy | Village Tả Xin Chải 1 | X | X | X | X | X | | |
| III | Bản Giang Commune | Tam Đường District | X | X | | | | | |
| 1 | Đỗ Tuấn Anh, Hoàng Thị Loan | Village Hon | X | X | X | X | X | | |
| 2 | Lổng A Tấn | Village Nà Bỏ | X | X | X | X | X | | |
| 3 | Nguyễn Bá Hợp | Village Hon | X | X | X | X | X | | |
| 4 | Nguyễn Thanh Quang | Village Nà Bỏ | X | X | X | X | X | | |

| No. | Name | Address | 1 | 2 | 3 | 4 | 5 | 6 | Note |
|-----|------------------------------------|---------------|------|------|-------|-------|-------|---|------|
| | | | 100% | 100% | 93,7% | 87,0% | 83,4% | | |
| 5 | Tao Văn Khăm, Dững | Village Hon | X | X | X | X | X | | |
| 6 | Vàng Văn Pầu | Village Hon | X | X | X | X | X | | |
| 7 | Vàng Văn Phất, Tao Thị Kiêng | Village Hon | X | X | | | | | |
| 8 | Vũ Đình Bền | Village Hon | X | X | X | X | X | | |
| 9 | Vũ Quang Khiết | Village Nà Bỏ | X | X | X | X | X | | |
| 10 | (Lèng Văn Giáp) Nguyễn Duy Khải | Village Nà Bỏ | X | X | X | X | X | | |
| 11 | (Lò Thị Há) Phan Văn Mẩn | Village Nà Bỏ | X | X | X | X | X | | |
| 12 | (Lò Văn Len) Lò Văn Seo | Village Nà Bỏ | X | X | X | X | | | |
| 13 | (Lù Văn Hoàn) Lù A Lìn | Village Nà Bỏ | X | X | X | X | X | | |
| 14 | (Lương Văn Ngon) Lương Văn Lành | Village Nà Bỏ | X | X | X | | X | | |
| 15 | (Lương Văn Ngon) Lương Văn Nhuận | Village Nà Bỏ | X | X | X | X | X | | |
| 16 | (Lương Văn Ngon) Nguyễn Văn Luyến | Village Nà Bỏ | X | X | X | X | X | | |
| 17 | (Nguyễn Đình Sử) Nguyễn Đình Xuyên | Village Nà Bỏ | X | X | X | | X | | |
| 18 | (Nguyễn Đình Sử) Vũ Đình Bền | Village Nà Bỏ | X | X | X | X | X | | |
| 19 | (Nguyễn Đình Sử) Vũ Văn Tụ | Village Nà Bỏ | X | X | X | X | X | | |
| 20 | (Phan A Soỏng) Phan Văn Pây | Village Nà Bỏ | X | X | X | X | X | | |
| 21 | (Phan Thị Diêm) Trần Thị Huệ | Village Nà Bỏ | X | X | | | | | |
| 22 | (Phan Thị Diêm) Vàng A Sảo | Village Nà Bỏ | X | X | X | X | X | | |
| 23 | (Phan Văn Mẩn) Nguyễn Văn Hương | Village Nà Bỏ | X | X | X | X | X | | |
| 24 | (Sẻ A Tường) Sẻ Văn Lát | Village Nà Bỏ | X | X | X | X | X | | |

| No. | Name | Address | 1 | 2 | 3 | 4 | 5 | 6 | Note |
|-----|------------------------------|----------------|------|------|-------|-------|-------|---|------|
| | | | 100% | 100% | 93,7% | 87,0% | 83,4% | | |
| 25 | (Trần A Cuốn) Phan Văn Sinh | Village Giang | X | X | X | X | X | | |
| 26 | (Trần A Cuốn) Trần Văn Phụng | Village Giang | X | X | X | X | X | | |
| 27 | (Vàng A Tấn) Vàng A Chương | Village Nà Bỏ | X | X | X | X | X | | |
| 28 | (Vàng A Tấn) Vàng A Chương | Village Nà Bỏ | X | X | X | | X | | |
| 29 | (Vàng Văn Chun) Vàng Văn Hồn | Village Giang | X | X | X | X | X | | |
| 30 | (Vàng Văn Chun) Vàng Văn Sĩ | Village Giang | X | X | X | X | X | | |
| 31 | (Vây A Nghi) Vây Văn Tiến | Village Nà Bỏ | X | X | X | X | X | | |
| 32 | Đặng Văn Quảng | Village Nà Bỏ | X | X | X | X | X | | |
| 33 | Dầu Văn Đức | Village Giang | X | X | X | X | X | | |
| 34 | Giàng Văn Tâu | Village Cốc Pa | X | X | | | | | |
| 35 | Lâm Văn Lạng | Village Giang | X | X | X | X | X | | |
| 36 | Lèng A Păn | Village Nà Bỏ | X | X | X | X | X | | |
| 37 | Lèng A Tấn | Village Nà Bỏ | X | X | X | | X | | |
| 38 | Lèng Văn Bằng | Village Nà Bỏ | X | X | X | X | X | | |
| 39 | Lò Văn Len | Village Nà Bỏ | X | X | X | X | X | | |
| 40 | Lò Văn Phù | Village Giang | X | X | X | X | X | | |
| 41 | Lò Văn Quý | Village Giang | X | X | X | X | X | | |
| 42 | Lò Văn Xanh, Bun | Village Hon | X | X | X | X | X | | |
| 43 | Lống A Chăng | Village Nà Bỏ | X | X | X | X | X | | |
| 44 | Lống A Pa | Village Nà Bỏ | X | X | X | X | X | | |

| No. | Name | Address | 1 | 2 | 3 | 4 | 5 | 6 | Note |
|-----------|--------------------------|---------------------------|------|------|-------|-------|-------|---|------|
| | | | 100% | 100% | 93,7% | 87,0% | 83,4% | | |
| 45 | Lổng Văn Hiếu | Village Nà Bỏ | X | X | X | X | | | |
| 46 | Lổng Văn Pây | Village Nà Bỏ | X | X | X | X | X | | |
| 47 | Lổng Văn Vương | Village Nà Bỏ | X | X | X | X | X | | |
| 48 | Lý A Mẩn (Thào Thị Tâm) | Village Nà Bỏ | X | X | X | X | X | | |
| 49 | Nụng Văn Đức | Village Nà Bỏ | X | X | X | X | X | | |
| IV | Bản Hòn commune | Tam Đường District | X | X | | | | | |
| 1 | Lò Văn Chấn, Tao Thị Vần | Village Chấn Nuôi | X | X | X | X | X | | |
| 2 | Lò Văn Ến, Tao Thị Xeng | Village Chấn Nuôi | X | X | X | X | X | | |
| 3 | Lò Văn Giọt, Chen | Village Nà Khum | X | X | X | X | X | | |
| 4 | Lò Văn Hiền | Village Hòn | X | X | X | X | X | | |
| 5 | Lò Văn Kéo, Pầu | Village Thảm | X | X | X | X | X | | |
| 6 | Tao Văn Phà, Cham | Village Nà Khum | X | X | | | | | |
| 7 | Lò Văn Khảm, Lò Thị Xeng | Village Chấn Nuôi | X | X | X | X | X | | |
| 8 | Lò Văn Khảm, Tao Thị Pêm | Village Đông Pao 1 | X | X | X | X | X | | |
| 9 | Lò Văn Lả, Ban | Village Nà Khum | X | X | X | X | X | | |
| 10 | Lò Văn Khảm, Chấn | Village Nà Khum | X | X | X | X | X | | |
| 11 | Lò Văn Pêng, Chay | Village Nà Khum | X | X | X | X | X | | |
| 12 | Lò Văn Pêng, Pín | Village Thảm | X | X | X | X | X | | |
| 13 | Lò Văn Phà, Soạn | Village Nà Khum | X | X | X | X | X | | |
| 14 | Lò Văn Phúm, Nội | Village Nà Khum | X | X | | | | | |

| No. | Name | Address | 1 | 2 | 3 | 4 | 5 | 6 | Note |
|-----|-----------------------------------|--------------------|------|------|-------|-------|-------|---|------|
| | | | 100% | 100% | 93,7% | 87,0% | 83,4% | | |
| 15 | Lò Văn Seng , Nhân | Village Nà Khum | X | X | X | X | X | | |
| 16 | Lò Văn Thà, Tao Thị Phùm | Village Chăn Nuôi | X | X | X | X | X | | |
| 17 | Lò Văn Thôn, Nằm | Village Nà Khum | X | X | X | X | X | | |
| 18 | Lò Văn Ún, Lò Thị Hặc | Village Chăn Nuôi | X | X | X | X | X | | |
| 19 | Tao Văn Chài (Cong) Vàng Thị Khăn | Village Đông Pao 1 | X | X | X | X | X | | |
| 20 | Tao Văn Chùm, Tao Thị Pèng | Village Chăn Nuôi | X | X | X | X | X | | |
| 21 | Tao Văn Cum, Sọn | Village Nà Khum | X | X | X | X | X | | |
| 22 | Tao Văn Đięng | Village Chăn Nuôi | X | X | X | X | X | | |
| 23 | Tao Văn Giọt | Village Hon | X | X | X | X | X | | |
| 24 | Tao Văn Hặc, Trương Thị Quy | Village Đông Pao 1 | X | X | X | X | | | |
| 25 | Tao Văn Hung, Tao Thị Đăm | Village Đông Pao 1 | X | X | X | | X | | |
| 26 | Tao Văn Ín, Tao Thị Kẻo | Village Đông Pao 1 | X | X | X | X | X | | |
| 27 | Tao Văn Kẻo, Bang | Village Nà Khum | X | X | X | X | X | | |
| 28 | Tao Văn Kẻo, Chọi | Village Nà Khum | X | X | X | X | X | | |
| 29 | Tao Văn Kẻo, Thu | Village Hon | X | X | X | X | X | | |
| 30 | Tao Văn Khăn, Hùng | Village Nà Khum | X | X | X | | X | | |
| 31 | Tao Văn Nằm, Nồn | Village Nà Khum | X | X | X | X | X | | |
| 32 | Lò Văn Nọi, Tao Thị Hiềng | Village Đông Pao 2 | X | X | X | X | X | | |
| 33 | Tao Văn Nó, Tao Thị Giọt | Village Đông Pao 1 | X | X | X | X | X | | |
| 34 | Tao Văn Ôn, Chay | Village Nà Khum | X | X | X | X | X | | |

Northern Mountain Provinces Transport Connectivity Project (NMPTCP)

| No. | Name | Address | 1 | 2 | 3 | 4 | 5 | 6 | Note |
|----------|---------------------------|---------------------------------------|------|------|-------|-------|-------|---|------|
| | | | 100% | 100% | 93,7% | 87,0% | 83,4% | | |
| 35 | Tao Văn Pá (Tao Thị Xeng) | Village Nà Khum | X | X | X | X | X | | |
| 36 | Tao Văn Pầu, Lò Thị Ún | Village Chăn Nuôi | X | X | X | X | X | | |
| 37 | Tao Văn Pèng, Tao Thị Kẻo | Village Đông Pao 1 | X | X | | | | | |
| 38 | Tao Văn Sâu, Lừu Thị Nhe | Village Đông Pao 1 | X | X | X | X | X | | |
| 39 | Tao Văn Tàn, Tao Thị Si | Village Thăm | X | X | X | X | X | | |
| 40 | Tao Văn Xanh, Seng | Village Nà Khum | X | X | X | X | X | | |
| 41 | Tao Văn Tun, Bun | Village Hon | X | X | X | X | X | | |
| 42 | Tao Văn Ún, Dinh | Village Thăm | X | X | X | X | X | | |
| 43 | Vàng Văn Ban, Tao Thị Sâu | Village Đông Pao 1 | X | X | X | X | X | | |
| 44 | Vàng Văn Chom, Kẻo | Village Hon | X | X | X | | | | |
| 45 | Tao Văn Pỉnh | Village Chăn Nuôi | X | X | X | X | X | | |
| 46 | Vàng Văn Tun, Pèng | Village Nà Khum | X | X | X | X | X | | |
| 47 | Đào Thị Hiền | Group 7, Duyên Hải ward, Lào Cai City | X | X | X | X | X | | |
| 48 | Lò Văn Seng | Village Hon | X | X | X | X | X | | |
| 49 | Tao Văn Cống, Ến | Village Nà Khum | X | X | X | | X | | |
| 50 | Tao Văn Khăn, Lò Thị Seng | Village Thăm | X | X | X | X | X | | |
| 51 | Tao Văn Ngần | Village Thăm | X | X | X | X | X | | |
| 52 | Tao Văn Thòn, Lò Thị Xum | Village Chăn Nuôi | X | X | X | X | X | | |
| V | An Thịnh commune | Văn Yên District | X | X | | | | | |
| 1 | Bùi Nhật Minh | Village An Phú. | X | X | X | X | X | | |

| No. | Name | Address | 1 | 2 | 3 | 4 | 5 | 6 | Note |
|-----|-------------------|--------------------|------|------|-------|-------|-------|---|------|
| | | | 100% | 100% | 93,7% | 87,0% | 83,4% | | |
| 2 | Bùi Thị Uy | Village Cống Trào. | X | X | X | X | X | | |
| 3 | Cao Thị Động | Village An Phú. | X | X | X | X | X | | |
| 4 | Đỗ Thúy Hòa | Village An Phú. | X | X | X | X | X | | |
| 5 | Đỗ Văn Sơn | Village Yên Thịnh. | X | X | X | X | X | | |
| 6 | Hoàng Văn Tuyên | Village Yên Thịnh. | X | X | X | X | X | | |
| 7 | Lương Văn Huynh | Village Yên Thịnh. | X | X | X | X | X | | |
| 8 | Lương Văn Nhất | Village Đồng Tâm | X | X | | | | | |
| 9 | Lý Hữu Thiên | Village Làng Mới | X | X | X | X | X | | |
| 10 | Lý Văn Bách | Village An Phú. | X | X | X | X | X | | |
| 11 | Lý Văn Trịnh | Village An Phú. | X | X | X | X | X | | |
| 12 | Mạc Văn Kiên | Village Yên Thịnh. | X | X | X | X | | | |
| 13 | Ngô Ngọc Hồng | Village An Phú. | X | X | X | X | X | | |
| 14 | Nguyễn Đức Thanh | Village Khe Cỏ. | X | X | X | X | X | | |
| 15 | Nguyễn Ngọc Thắng | Village Đồng Tâm. | X | X | X | X | X | | |
| 16 | Nguyễn Thanh Bình | Village Yên Thịnh. | X | X | X | X | | | |
| 17 | Nguyễn Thị Hằng | Village Khe Cỏ. | X | X | X | X | X | | |
| 18 | Nguyễn Thị Hiền | Village An Phú. | X | X | X | X | X | | |
| 19 | Nguyễn Út Khương | Village An Phú. | X | X | X | X | X | | |
| 20 | Nguyễn Văn Bách | Village Đại An | X | X | X | X | X | | |
| 21 | Nguyễn Văn Công | Village Tân Thịnh. | X | X | X | X | | | |

| No. | Name | Address | 1 | 2 | 3 | 4 | 5 | 6 | Note |
|-----|------------------|--------------------|------|------|-------|-------|-------|---|------|
| | | | 100% | 100% | 93,7% | 87,0% | 83,4% | | |
| 22 | Nguyễn Văn Đại | Village Đồng Tâm. | X | X | X | X | X | | |
| 23 | Nguyễn Văn Hiền | Village Đồng Tâm. | X | X | X | X | X | | |
| 24 | Nguyễn Văn Hòa | Village Đồng Tâm. | X | X | X | X | X | | |
| 25 | Nguyễn Văn Hoàn | Village Đồng Tâm. | X | X | | | | | |
| 26 | Nguyễn Văn Sỹ | Village An Phú. | X | X | X | X | X | | |
| 27 | Nguyễn Văn Tấn | Village An Phú. | X | X | X | X | X | | |
| 28 | Nguyễn Văn Tuấn | Village Cống Trào. | X | X | X | X | | | |
| 29 | Phạm Nhật Linh | Village Cống Trào | X | X | X | X | X | | |
| 30 | Phạm Thị Quyên | Village Cống Trào. | X | X | X | X | X | | |
| 31 | Phạm Thị Thạch | Village An Phú. | X | X | X | | X | | |
| 32 | Phạm Văn Nghiệp | Village Yên Thịnh. | X | X | X | X | | | |
| 33 | Phạm Văn Phúc | Village Cống Trào. | X | X | X | X | X | | |
| 34 | Phạm Văn Tám | Village Khe Cỏ | X | X | X | X | | | |
| 35 | Phạm Văn Tụng | Village Cống Trào. | X | X | X | X | X | | |
| 36 | Sầm Văn Hùng | Village Yên Thịnh. | X | X | X | X | X | | |
| 37 | Trần Ngọc Khương | Village An Phú. | X | X | X | | | | |
| 38 | Trần Quang Minh | Village Khe Cỏ. | X | X | X | X | X | | |
| 39 | Trần Thị Lý | Village Yên Thịnh | X | X | X | X | X | | |
| 40 | Trần Văn Biên | Village Tân Thịnh. | X | X | X | X | X | | |
| 41 | Trần Văn Hoan | Village Cống Trào. | X | X | X | X | X | | |

| No. | Name | Address | 1 | 2 | 3 | 4 | 5 | 6 | Note |
|-----------|------------------------|-------------------------|------|------|-------|-------|-------|---|------|
| | | | 100% | 100% | 93,7% | 87,0% | 83,4% | | |
| 42 | Vũ Thị Phương | Village Cống Trào | X | X | X | X | X | | |
| VI | Đại Sơn commune | Văn Yên District | X | X | | | | | |
| 1 | Bàn Hữu Kim | Village Đoàn Kết | X | X | X | X | X | | |
| 2 | Bàn Kim Vượng | Village Đoàn Kết | X | X | X | X | X | | |
| 3 | Bàn Phúc An | Village Đoàn Kết | X | X | X | X | X | | |
| 4 | Bàn Phúc Hiến | Village Đoàn Kết | X | X | X | X | X | | |
| 5 | Bàn Phúc Tài | Village Đoàn Kết | X | X | X | X | | | |
| 6 | Bàn Phúc Xương | Village Đoàn Kết | X | X | X | X | X | | |
| 7 | Bàn Thị Hồng Lan | Village Đoàn Kết | X | X | X | X | X | | |
| 8 | Bàn Tiến Hiến | Village Làng Mới | X | X | X | | X | | |
| 9 | Bàn Toàn Lai | Village Làng Mới | X | X | X | X | X | | |
| 10 | Bùi Văn Quân | Village Đoàn Kết | X | X | X | X | | | |
| 11 | Đặng Đăng Sơn | Village Làng Mới | X | X | X | X | X | | |
| 12 | Đặng Nguyên Minh | Village Làng Mới | X | X | X | X | | | |
| 13 | Đặng Nho Chu | Village Đoàn Kết | X | X | X | X | X | | |
| 14 | Đặng Nho Hữu | Village Đoàn Kết | X | X | X | X | X | | |
| 15 | Đặng Phúc Minh | Village Đoàn Kết | X | X | X | | X | | |
| 16 | Đặng Văn Điển | Village Làng Mới | X | X | X | X | | | |
| 17 | Đinh Trọng Thủy | Village Đoàn Kết | X | X | X | X | X | | |
| 18 | Dương Văn Đức | Village Đoàn Kết | X | X | X | X | X | | |

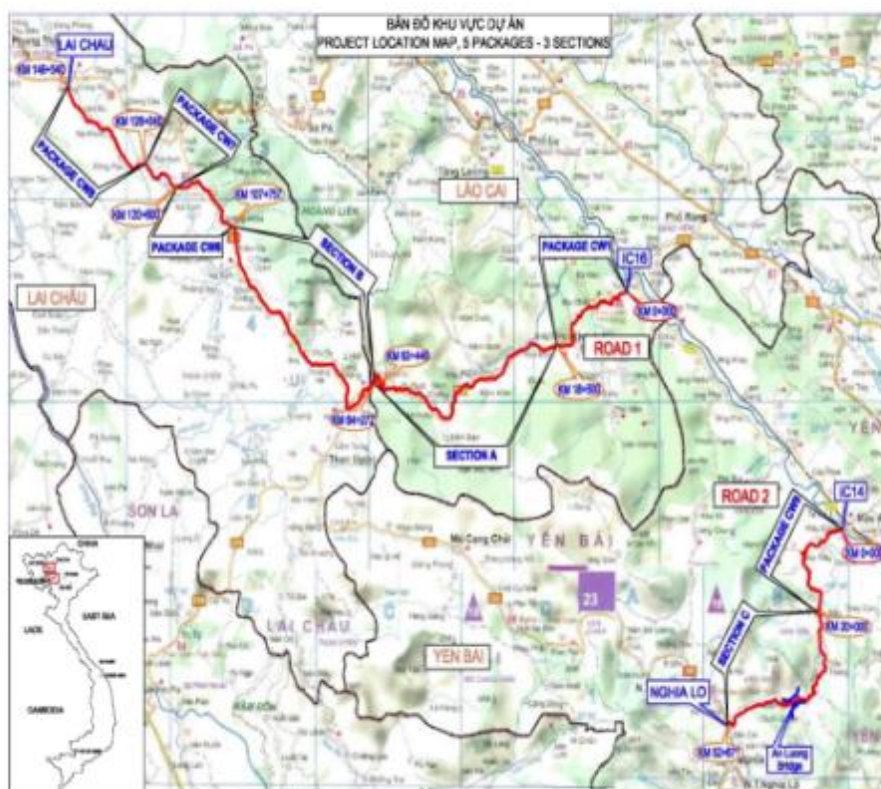
| No. | Name | Address | 1 | 2 | 3 | 4 | 5 | 6 | Note |
|-----|------------------|------------------|------|------|-------|-------|-------|---|------|
| | | | 100% | 100% | 93,7% | 87,0% | 83,4% | | |
| 19 | Giàng A Thu | Village Đoàn Kết | X | X | X | X | X | | |
| 20 | Kiều Văn Trang | Village Làng Mới | X | X | | | | | |
| 21 | Lê Thanh Quy | Village Đoàn Kết | X | X | X | X | X | | |
| 22 | Ly A Chúng | Village Đoàn Kết | X | X | | | | | |
| 23 | Lý Phúc Kiều | Village Đoàn Kết | X | X | X | X | X | | |
| 24 | Lý Phúc Lợi | Village Đoàn Kết | X | X | X | X | X | | |
| 25 | Ly Seo Bạ | Village Đoàn Kết | X | X | X | X | X | | |
| 26 | Lý Thị Sỵ | Village Làng Mới | X | X | X | | X | | |
| 27 | Lý Thị Tâm | Village Đoàn Kết | X | X | X | X | | | |
| 28 | Lý Tồn Năm | Village Làng Mới | X | X | X | | X | | |
| 29 | Lý Văn Thắng | Village Làng Mới | X | X | X | X | X | | |
| 30 | Nguyễn Thị Liên | Village Đoàn Kết | X | X | X | X | X | | |
| 31 | Nguyễn Trọng Nam | Village Đoàn Kết | X | X | X | X | | | |
| 32 | Nguyễn Văn Mạnh | Village Đoàn Kết | X | X | X | X | X | | |
| 33 | Nguyễn Văn Thạch | Village Đoàn Kết | X | X | X | X | X | | |
| 34 | Phạm Văn Toàn | Village Đoàn Kết | X | X | X | X | | | |
| 35 | Sùng A Trắng | Village Đoàn Kết | X | X | X | | X | | |
| 36 | Tạ Thị Quế | Village Đoàn Kết | X | X | X | X | X | | |
| 37 | Thào A Chùa | Village Đoàn Kết | X | X | X | X | | | |
| 38 | Thào A Tùng | Village Đoàn Kết | X | X | X | X | X | | |

| No. | Name | Address | 1 | 2 | 3 | 4 | 5 | 6 | Note |
|-----|-------------------|------------------|------|------|-------|-------|-------|---|------|
| | | | 100% | 100% | 93,7% | 87,0% | 83,4% | | |
| 39 | Trần Khánh Lợi | Village Đoàn Kết | X | X | X | X | X | | |
| 40 | Trần Trung Thành | Village Làng Mới | X | X | X | X | X | | |
| 41 | Trần Văn Hải | Village Đoàn Kết | X | X | X | X | X | | |
| 42 | Trần Văn Hổ | Village Đoàn Kết | X | X | | | | | |
| 43 | Trần Văn Thọ | Village Làng Mới | X | X | X | X | X | | |
| 44 | Triệu Tài Hiến | Village Làng Mới | X | X | X | X | | | |
| 45 | Triệu Văn Lục | Village Làng Mới | X | X | X | X | X | | |
| 46 | Vũ Đình Tân | Village Đoàn Kết | X | X | X | X | X | | |
| 47 | Vũ Hoài Châu | Village Đoàn Kết | X | X | X | X | | | |
| 48 | Hoàng Đông Thường | Village Làng Mới | X | X | X | | X | | |
| 49 | Nguyễn Thị Hạnh | Village Làng Mới | X | X | X | X | X | | |
| 50 | Triệu Văn Lý | Village Làng Mới | X | X | X | X | X | | |
| 51 | Bàn Phúc Chìu | Village Đoàn Kết | X | X | X | X | X | | |

Appendix 6. Project information booklet (PIB)



PROJECT INFORMATION BOOKLET (PIB)



NORTHERN MOUNTAIN PROVINCES TRANSPORT CONNECTIVITY PROJECT



A. PROJECT DESCRIPTION

THE NORTHERN MOUNTAIN PROVINCES TRANSPORT CONNECTIVITY PROJECT (NMPTCP) will be implemented by the government under the Ministry of Transport (MOT) through a loan from the Asian Development Bank (ADB) with the aim to enhance the access to the Greater Mekong Sub-region (GMS) corridors in the north-western region through upgrading national and provincial highways where the economic and social development conditions, the transport network, the topography and the climate change effects are the most difficult in comparison with other regions in the country. Project works involve the upgrading of Provincial Road #136, National Highway #32 in Lai Chau Province; National Highway #279 in Lao Cai Province; and Provincial Road #175 in Yen Bai Province including the upgrading of Provincial Highway #175 from intersection of NH 32 to the intersection of Provincial Road #151. The project will follow the existing alignment over a total length of 199km and the Project coverage areas are presented below:

| Province | District | Commune |
|----------|---|---|
| Lai Chau | Lai Chau city, Tam Duong, Tan Uyen, Than Uyen | Dong Phong, San Thang, Ban Giang, Ban Bo, Ban Hon, Na Tam, Tam Duong town, Binh Lu, Trung Dong, Than Thuoc, Pac Ta, Phuc Khoa, Tan Uyen town, Phuc Than |
| Lao Cai | Van Ban | Khanh Yen town, Lang Giang, Khanh Yen Thuong, Hoa Mac, Duong Quy, Tham Duong, Minh Luong, Tan Thuong, Son Thuy, Nam Xe |
| Yen Bai | Van Yen, Van Chan | Lien Son town, Son Luong, Suoi Quyen, An Luong, Mo Vang, Dai Son, An Thinh |

- The first route of 147km long, including NH279 to be upgraded from Bao Ha to Khau Co pass, NH32 to be upgraded from Khau Co to Ban Bo, PR.136 to be upgraded from Ban Bo to Dong Pao (11km of new construction), and from Dong Pao to San Thang.
 - i. Starting point at IC16 of Noi Bai - Lao Cai expressway (Km91+500 - NH279);
 - ii. End point at Km0+000 of PR136 (Lai Chau city)
- The second route is about 52km long, is the section PR175 from Mau A to Nghia Lo:
 - iii. Starting point at IC14 of Noi Bai - Lao Cai expressway (Km0+000 TL175);
 - iv. The end point at Km52+671 of PR175 (Nghia Lo town).

B. POTENTIAL IMPACTS OF THE PROJECT AND MITIGATION MEASURES

- **Positive impacts:** to improve safety and develop a climate resilient road which is passable in all seasons, reduce travel time and support the social and economic developments of local people in project area.
- **Potential adverse impacts during construction:** affect assets of local people and community (land, houses, structures, public infrastructures), road safety, social conflict, HIV/AIDS and sexually transmitted infections, human trafficking, child labour, gender based violence, gender inequality, access to social services (electricity, school, water supply, etc), interruption in production activities and livelihood.
 - According to preliminarily detailed design, the corridor of impact (COI) ranges from 10.5m to 80m. COI will be widened where there are realignment, deep excavation or high embankment, positions of culverts and bridges. The average COI is about 30m in normal section and maximum is 80m at the location of deep excavations. In high slope area, in which culverts are located, the COI varies from 40m to 60m.
- **Mitigation measures:** adverse impacts on local people, community and ethnic minority groups in the project area will be avoided/and or mitigated through the preparation and implementation of safeguards instruments in accordance with the ADB Safeguards Policy Statement 2009 and relevant policies of the government such as the Resettlement Plans (RP); Ethnic Minority Development Plan



(EMDP); Gender Action Plan (GAP)/gender equality; Environment Management Plan (EMP); awareness campaigns on HIV/AIDS and Human Trafficking and Road Safety which will be implemented by the Project Owner, MOT through the Project Management Unit Number 2 (PMU2), Contractors, Construction Supervision Consultant and local authority.

C. TENTATIVE PROJECT IMPLEMENTATION PROGRESS

| Activities | 2020 | | | | 2021 | | | | 2022 | 2023 | 2024 |
|---|------|----|----|----|------|----|----|----|------|------|------|
| | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | | | |
| Detailed design and documentation | | | | | | | | | | | |
| Issuing notification of land acquisition | | | | | | | | | | | |
| Detailed Measurement Survey/Socio-economic survey (DMS/SES) | | | | | | | | | | | |
| Start and end of the compensation & assistance plan | | | | | | | | | | | |
| Compensation payment | | | | | | | | | | | |
| Site clearance and land hand over | | | | | | | | | | | |
| Implementation of Income restoration program | | | | | | | | | | | |
| Internal monitoring | | | | | | | | | | | |
| External monitoring | | | | | | | | | | | |
| Construction/project implementation | | | | | | | | | | | |

D. PRINCIPLES AND POLICY OF COMPENSATION AND BENEFITS OF AFFECTED PERSONS/HOUSEHOLDS (AHs)

Question 1: How will the NMPTCP affect the local population?

Answer: The upgrading of the national highways to enhance connectivity of provinces in the Northwestern and Central Regions will/may require land acquisition. However, strategies are being considered in the detailed design to avoid or at least minimize the negative impacts on households and communities. The road alignments will be finalized after the public consultations taking into consideration any significant issues and concerns raised by the community.

If land acquisition is unavoidable, the Project displaced people will be properly compensated for their affected land, houses, structures, crops and/or trees. Income restoration assistance will also be provided to Displaced Persons (DPs) who will be severely affected and/or classified as eligible vulnerable groups. Details are included in the Updated RP that will be available at your commune office. Please refer to other relevant Public Information Brochures.

Question 2: What is the main objective of Updated Resettlement Plan?

Answer: The main objective of the Updated RP is to determine the actual affected assets and eligible affected persons with the corresponding compensation cost and its implementation in accordance to the current relevant policies/decrees and ADB policies to ensure that all Displaced Persons will be at least as well-off, if not better-off than they would have been in the absence of the Project.

Question 3: Can everyone in our community claim for compensation?

Answer: No. Only eligible affected/ Displaced Persons (DPs) – i.e. those persons or households that are identified and surveyed during the detailed measurement survey (DMS) activities. The DPs and local authorities will be informed of the cut-off date (the date of DMS) for the sub-project. Anyone moving into the Project area after the cut-off date will not be entitled to compensation and assistance under the Project.



Question 4: What if my land is affected by the project?

Answer: If land budget is available in the commune, your affected land will be replaced with land of equal area and productive capacity and at a location suitable and acceptable to you; or if, after being fully informed about your options, you prefer cash, compensation can be paid in cash at replacement value or current market prices, or a compensation partly in cash and partly in land might be possible.

Question 5: Do we need to have a land title to be compensated?

Answer: No, lack of formal legal rights to land does not prevent any Displaced Persons (DPs) from receiving compensation or assistance measures under category - those DPs who possess a land use rights certificate (LURC) or any other form of written or verbal agreement to utilize the land are entitled to compensation for the lost land and assets on the land provided that the assets were created on land before cut-off date and those DPs who do not have legal or temporary/lease rights for land will still be compensated for the assets on the land, such as any structures, crops and trees provided that they were created on land before cut-off date.

Question 6: If houses and structures will be affected, how will they be compensated?

Answer: Compensation will be applied for all affected assets including houses, shops and other structures as well as other fixed assets at full replacement value (current market prices for material and labour) without any deductions for building depreciation or salvageable building materials. This will ensure that the Displaced Persons are able to reconstruct houses and other structures of better or at least the same quality as before.

Question 7: If crops and trees will be affected, how they will be compensated?

Answer: Affected crops, fruit and timber trees and tree fences will be compensated in cash at current market prices. Compensation for non-harvested crops will be based on the average annual production in the past 3 years multiplied by current market prices. Compensation for trees will be based on the type, age, and productivity of trees.

Question 8: If graves will be affected, how will it be compensated?

Answer: Compensation and assistance for moving the grave will be as regulated in Decision 16/2020/QĐ-UBND of Lai Chau PPC to cover all related costs such as: exhuming, transportation, reburial, rebuilding. Fee for LURC for land of grave will be included in compensation amount. Besides the compensation for moving grave, if the ethnic minority group that does not have established customary practices for the exhumation and reburial of the grave, the EM DPs will receive the spiritual assistance for moving grave. The level of assistance will be 1,500,000 VND per grave.

Question 9: How will replacement values be determined?

Answer: A Replacement Cost Survey will be conducted during detailed measurement survey by independent appraiser consultant to establish compensation prices for land, houses and structures, crops, and trees. Lai Chau PPC will appraise and approve the results of replacement cost survey and issue the decision on compensation prices for project. If there are delays in paying compensation, prices will be updated to take inflation into consideration.

Question 10: Besides the compensation, how can the project help the DPs?

Answer: In addition to compensation for loss of land and other assets, the Project will provide rehabilitation assistance to eligible Displaced Persons (DPs) to ensure that their standard of living is maintained or improved after the Project. Eligible DPs for rehabilitation assistance include:

Severely affected households: Households that lose more than 10% of their total productive landholdings will receive an economic rehabilitation package in accordance with provisions of Decree 47/2014/ND-CP and Decision 16/2020/QĐ-UBND of Lai Chau PPC including job change allowance, stabilization allowance, and entitlement to participate in Income restoration program of project.

Households that have to relocate (house owner): Households that must be relocated to new residential land will receive a transportation allowance depending on the distance of relocation site; house rental allowance, resettlement assistance, assistance for reinstalling services (electricity, water supply,



telecommunication line), as regulated in decision 16/2020/QD-UBND of Lai Chau PPC.

Business owners that lose income while they relocate or rebuild their shops/businesses: Households with small, unregistered businesses will receive cash compensation equal to the provincial minimum wage for three months. Owners of registered businesses will receive cash compensation at maximum equal to 30% of their after-tax annual revenue and receive material transport allowance as regulated in Decision 16/2020/QD-UBND of Lai Chau PPC. Besides receiving compensation for income loss, business owners who must relocate will be entitled for participating in income restoration program of project.

Employees and hired laborers who lose their jobs: will receive cash compensation for lost salary/wages for each month they cannot work, if the loss is temporary; or, if the loss is permanent, cash compensation equivalent to the provincial minimum wage for six months or cash compensation for remaining contract period whichever is higher.

Vulnerable affected households¹: besides receiving compensation and assistance for their losses, the DPs belonging to vulnerable groups will receive specific assistance if they must relocate and entitle to participate in income restoration program of project.

Bonus for land hand over in time: an incentive bonus if DPs demolish their affected houses or structures and hand over the land in a timely manner.

Special assistance: besides compensation and assistance above, the special assistance will be provided to DPs on a case-by-case basis as regulated in Article 21 of Decision 16/2020/QD-UBND of Lai Chau PPC.

Question 11: What if I have been told to move but was not included in the survey?

Answer: During the detailed design or during construction stages of the Project, some local changes may occur. This could affect the results of original inventory of losses. These DPs will be entitled to the same compensation as all other DPs. Once the actual position and alignment of the road are known, a detailed measurement survey (DMS) will be conducted in the presence of DPs to inventory the losses for compensation and rehabilitation.

Question 12: How will DPs be consulted and informed?

Answer: Consultation and public information program will be organized in your commune to ensure that DPs receive complete and timely information about the Project. DPs will be provided information on project components, impacts, their rights and entitlements, grievance mechanism, rights of participation and consultation, resettlement activities, responsibilities of institutions and implementation schedule. DPs will participate in resettlement planning and implementation and they will also be consulted on the following issues: a) resettlement options according to their entitlement, b) training preferences in current or new occupations, c) other project aspects. This program will enable the Project to design the resettlement and rehabilitation program to meet the needs of DPs and help DPs to make informed decisions about compensation and relocation. Consultations with DPs and local authorities will reduce the potential for conflicts and minimize the risk of project delays and maximize the economic and social benefits of the Project.

Question 13: If there are any disagreements or problems about land acquisition, compensation, or other general disputes during project implementation, do DPs have the right to voice their complaints?

Answer: Yes, a Grievance Redress Mechanism will be in place where Displaced Persons (DPs) can voice their complaints (in verbal or written form) to responsible local authorities and resettlement committees. Their complaints can be filed first at the ward or commune level and can be elevated to the district and provincial level and taken to district court if the DPs are not satisfied with the decision of lower levels. DPs will be exempted from all taxes, administrative and legal fees associated with the grievance resolution process. All complaints of DPs on any aspect of land acquisition, compensation, resettlement, and implementation will be addressed in a timely, transparent, and fair manner.

Question 14: As a resident in the project area, how can I help?

Answer: We would like you to participate in all consultation meetings and other project related activities



to ensure that you are fully informed and consulted. Your active participation during DMS and implementation will allow us to determine measures to mitigate impacts, to identify problems or potential problems and to identify ways of responding immediately to solve these problems.

Question 15: What is Income Restoration Program?

Answer: All households who are severely affected and/or classified as vulnerable will be eligible to participate in the Livelihood Restoration Program (LRP), which will include training on agricultural extension, vocational training, credit access and other measures as recommended and appropriate to support livelihoods restoration to the pre-project level – as a minimum.

Question 16: How will you know if the objectives of this project are met?

Answer: PMU2 will ensure that internal monitoring in all Project activities will be undertaken. In addition, PMU2 will engage an independent external monitoring agency to conduct external monitoring of resettlement activities during Project implementation. Every 6 months, the independent monitoring agency will submit a report to PMU2 and ADB on resettlement implementation progress. A post-resettlement impact evaluation will likewise be prepared to assess whether negative impacts have been mitigated adequately and pre-project standards of living of DPs have been restored as a result of resettlement and the Project.

E. ROLES AND RESPONSIBILITIES IN COMPENSATION, ASSISTANCE AND RESETTLEMENT, ETHNIC MINORITY DEVELOPMENT AND INCOME RESTORATION

Project owner: Ministry of Transport, will allocate the budget for provinces to implement land acquisition and resettlement.

Project Implementing Agency: Project Management Unit 2 (PMU2) will transfer the money to project provinces to implement land acquisition and resettlement and monitor the implementation of land acquisition and resettlement (LAR) in provinces.

Implementation of land acquisition: PPC authorized DPCs as project owner of LAR subproject and implement LAR directly in the respective district. DPC assigns Land Fund Development Centers (LFDC) of city and district to carry out DMS and prepare compensation plans for submission to DPC for appraisal and approval.

F. GRIEVANCE REDRESS MECHANISM (GRM)

Principles for GRM about the complaints or requests related to land acquisition and resettlement as follows:

- ✓ Explanation and consultation at the commune and district level: If the PAP has any questions, requests, or complaints, he/she may contact the legal staff at the District/City or Commune People's Committee office for advice. After being instructed and explained, and the affected person is not satisfied, he/she can file a formal request or complaint, within 90 days of the administrative decision or known issue of concern.
- ✓ Settling the first complaint at the district level and the second at the provincial level

Steps for GRM about the complaints or requests directly related to land acquisition and resettlement as follows:

First time of grievance resolution:

| No. | Steps | Description |
|-----|---|--|
| 1 | Receive grievance | Complainant lodges grievance with relevant documents (if any) to People Reception Unit of DPC; |
| 2 | Acceptance of complaints for settlement | Within 10 days from the date of receiving complaint within responsibility, PMU, DPC, People Reception Unit will inform officially to complainant, if it refuses the complaint, authorized agency shall explain the reason. |



| | | |
|---|--|---|
| 3 | Verify the content of complaint | Period for verification period is 30 days |
| 4 | Issuance of first-time complaint settlement decision | The relevant District Peoples' Committees must issue the first time complaint settlement decision within 03 working days counting from the date of sending the acknowledgment to the complainants (if verification of complaint contents is not required) or from the date of completion of verification of the content of complaint (if verification of the content of complaint is required) and send the first time complaint settlement decision to the complainant and the complained subject. |
| 5 | Complain after the first decision | If complainant is not satisfied with decision of DPC, they can lodge the second time of grievance/complaint to PPC or bring it to the court as regulation. |

Second time of grievance resolution:

| No. | Steps | Description |
|-----|---|---|
| 1 | Receive grievance | Complainant lodges 2nd time grievance with decision of 1st resolution and relevant documents (if any) to People Reception Unit of PPC; |
| 2 | Acceptance of complaints for settlement | Within 10 days from the date of receiving complaint within responsibility, People Reception Unit of PPC will inform officially to complainant, if it refuses the complaint, shall explain the reason. |
| 3 | Verify the content of complaint | Period for verification is 30 days |
| 4 | Issuance of second time complaint settlement decision | The Chairman of the PPC must issue the second time complaint settlement decision within 07 working days counting from the date sending the acknowledgement to the complainant (if verification of complaint contents is not required) or from the date of completion of verification of complainant content (if verification of complainant content is required) and send the second time complaint settlement decision to the complainant, the complained subject, the first time complaint settler and the agency that has forwarded the complaint. |
| 5 | Complain after the second decision | If complainant is not satisfied with decision of PPC, they can lodge the second time of grievance/complaint to PPC or bring it to the court as regulation. |

Steps for GRM for grievances/complaints related to construction activities of contractors

| No. | Steps | Description |
|-----|--|---|
| 1 | Receiving complaints | Complainant lodges the complaint to Chairman of CPC in writing or verbal with the support of judicial officer to fill in the complaint form. |
| 2 | Verify the content of complaint | CPC reports to PMU2 about the nature of complaint, issues and pictures after checking. |
| 3 | Meeting with stakeholders to settle complaint | PMU2 shall organize meeting with Contractor, inform the meeting time and place to CPC and complainant. The meeting shall take place in convenient place so complainant can join in and content of meeting shall be recorded in minutes of meeting to mention the agreements and opinions of relevant parties (PMU shall do it). |
| 4 | Meeting with the contractors, local authorities and people for the consensus | PMU2 shall organize meeting with Contractor, inform the meeting time and place to CPC and complainant. The meeting shall take place in convenient place so complainant can join in and content of meeting shall be recorded in minutes of meeting to mention the agreements and opinions of relevant parties (PMU shall do it). |



For both categories of complaint/grievance mentioned above, if complainants are not satisfied with resolution results, complainants have the right to directly discuss their concerns or problems with ADB Vietnam Resident Mission (VRM - 3rd Floor, No.16, Phan Chu Trinh Street, Hoan Kiem District, Hanoi, Tel: 024.933.1374). If APs are still not satisfied with the responses of the VRM, they can directly contact the ADB Office of the Special Project Facilitator. The Office of the Special Project Facilitator procedure can proceed based on the Accountability Mechanism in parallel with the project implementation. Complainants can send their concerns to the Office of the Special Project Facilitator using the information at: <https://www.adb.org/site/accountability-mechanism/main>.

G. FOR FURTHER INFORMATION AND SUGGESTIONS – Please contact the PMU, LFDC where you live:

Project Management Unit No.2 (PMU2):

Address: No.18 Pham Hung road, Mai Dich Ward, Cau Giay district, Ha Noi city.

Persons in charge: Mr. Le Minh Nam, Deputy Director of PMU2; Tel: 0983312888

Mr. Duong An Hai, Head of Project Implementation Division No.5 (PID5); Tel: 0912097999

District Land Fund and Development Center (LFDC) of Lai Chau city:

Address: Land Fund Development Center – Lai Chau city.

Person in charge: Mr. Dang, Director of LFDC; Tel: 0982748866

District Land Fund and Development Center (LFDC) of Tam Duong District:

Address: Land Fund Development Center – Tam Duong Town.

Person in charge: Mr. Pham Hai Trieu, Director of LFDC; Tel: 0936241338

¹ Vulnerable groups: These are groups of people who may be disadvantaged or at risk of impacts of resettlement and especially as follows:

- (i) Female-headed households with dependents: being poor widows, having dependents who are children under 16 years of age, being the main breadwinner in families or having husbands in poor health.
- (ii) Household heads and/or household members are disabled: Households have disabled persons. The degree of disability affects household income earnings, either unable to engage in work or need special care of household members. Types of disability include: disability due to poor health, illness, wounded soldiers, sick soldiers, Agent Orange victims which are certified by the Commune/Ward People's Committees according to Government Decree No.28/2012/ND-CP dated 10/04/2012.
- (iii) Poor households: Need the poor household certification issued by the Commune/Ward People's Committees (including poor and near-poor households).
- (iv) Lonely and helpless children and elderly people: Children under 16 years of age or younger are family heads (According to Law No.25/2004/QH11 on Protection, Care and Education of Children and Law of children No.102/2016/QH13 dated April 5, 2016 effective from June 1, 2017) to be certified by the Commune/Ward People's Committees and the elderly people aged from 60 years old who are household heads (according to the Law on Elderly No.39/2009/QH12 dated 23/11/2009).
- (v) Ethnic Minority people: either husband and/or wife is an ethnic minority or household registration which states that the household belongs to ethnic minority people. In order to be recognized as a vulnerable household, a household firstly is an EM household (i) still participating in traditional farming, livestock, agricultural production or afforestation activities in the commune; or (ii) living in an area considered disadvantaged; or (iii) living in a community led by a village patriarch.
- (vi) Landless households: Including households that do not have LURCs or are not eligible to apply for LURCs or rural households that loss all of their productive land or have remaining productive land area of arable area smaller than local productive area (e.g. remaining land is not arable).
- (vii) Policy households: Other households whose members are eligible to receive social allowances as prescribed by the Ministry of Labour, Invalids and Social Affairs.