

Social Monitoring Report

External Social Monitoring Report (January to June 2022)
July 2022

Viet Nam: Northern Mountain Provinces Transport Connectivity Project

Prepared by Project Management Unit 2 (PMU2) under Ministry of Transport (MOT) for Asian Development Bank (ADB).

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CURRENCY EQUIVALENS

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

Exchange rate on 15th July 2022: \$1 = VND 23,080

ABBREVIATIONS

| | |
|---------|--|
| ADB | Asian Development Bank |
| AH(s) | Affected households |
| AP(s) | Affected person |
| BIM | Built-in model |
| CAP | Corrective Action Plan |
| 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 |
| DMS | Detailed measurement survey |
| DOC | Department of Construction |
| DOF | Department of Finance |
| DOLISA | Department of Labor, Invalids and Social Affairs |
| DONRE | Department of Natural Resource and Environment |
| DOT | Department of Transportation |
| DPC | District People's Committee |
| EM/ IP | Ethnic minority or indigenous people (IP) community |
| 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 |
| ILRP(s) | Income and Livelihood Restoration Program |
| IR | Involuntary Resettlement |
| MARD | Ministry of Agriculture and Rural Development |
| MOC | Ministry of Construction |
| MOF | Ministry of Finance |
| MOLISA | Ministry of Labor, Invalids and Social Affairs |
| MONRE | Ministry of Natural Resource and Environment |
| 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 – MOT |
| PPC | Provincial People's Committee |
| PPTA | Project preparation technical assistance |
| PID | Project Implementation Division |
| PR | Provincial Road |
| RF | Resettlement Framework |
| RP | Resettlement Plan |
| RS | Resettlement Site |
| SAP | Social Action Plan |
| SMEC | Project technical support consulting |
| TCQM | Construction Quality Control and Management Division |
| TCVN | Vietnamese national standard |
| TOR | Terms of Reference |
| TOT | Training for Trainers |

GLOSSARIES

| | |
|---|---|
| Affected Households (AHs) | - 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 displaced person 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. |
| Displaced person (DPs) | |
| Consent of affected ethnic minority (EM) or indigenous people (IP) community | - This refers to a collective expression by the affected EM Peoples communities, through individuals and/or their recognized representatives, of broad community support for the project activities. Such broad community support may exist even if some individuals or groups object to the project activities. The consent from the affected EM communities will include the formal agreements reached with EM Peoples communities and/or EM Peoples' organizations. |
| 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.

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.

Ethnic Minority (EM) - The term ethnic minority or indigenous people is used in a generic sense to refer to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees:

- self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;
- collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories;
- customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture;
- a distinct language, often different from the official language of the country or region.

In the case of Viet Nam, there is a high degree of consistency between the Vietnamese definition of ethnic minorities and ADB's definition of Indigenous People. The main point of divergence is that, in the case of ADB's policy, a group that has lost collective attachment to geographically distinct habitats or ancestral territories in the project area because of forced severance remains eligible for coverage. National legislation, customary law, and any international conventions to which Viet Nam is a party are taken into account for application of the ADB policy.

Ethnic Minorities Development Plan (EMDP) - A plan for an ethnic minority population with specific ethnic minority concerns and cultural sensitivity for the specific needs of the ethnic minority groups.

Income restoration - This is the re-establishment of sources of income and livelihood of the affected persons to approximate or exceed the level it was before the development project.

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.

| | |
|---------------------------------|--|
| Involuntary Resettlement | Occurs when affected person do not have the right to refuse land acquisition and are displaced, which may result in long-term hardship and impoverishment as well as social stress. |
| Land acquisition | <ul style="list-style-type: none">- 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 |
| Meaningful consultation | <ul style="list-style-type: none">- A process that<ul style="list-style-type: none">- begins early in the project preparation stage and is carried out on an ongoing basis throughout the project cycle;- provides timely disclosure of relevant and adequate information that is understandable and readily accessible to DPs;- is undertaken in an atmosphere free of intimidation or coercion;- is gender inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and- enables the incorporation of all relevant views of DPs and other stakeholders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues. |
| Rehabilitation | <ul style="list-style-type: none">- 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 | <ul style="list-style-type: none">- This is the physical relocation of an AP from her/his pre-project place of residence and/or business. |
| Resettlement | <ul style="list-style-type: none">- This includes all measures taken to mitigate any and all adverse impacts of a project on AP property and/or livelihoods, including compensation, relocation (where relevant), and rehabilitation as needed. |
| Resettlement Plan (RP) | <ul style="list-style-type: none">- A time-bound action plan that includes objectives, principles, entitlements, specific activities, responsibilities of concerned agencies, groups and individuals, and budget for addressing the displacement of people from assets, sources of incomes, homes, and communities towards reconstructing their disrupted lives and improving or restoring their standards of living to at least pre-displacement levels. |

- 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
- 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 include:
- (1) female headed households with dependents: Poor widows, with children under 16 years of age, breadwinner, or those whose husbands are in state of poor health
 - (2) disabled household heads: Household with members with a disability. The level of disability significantly affects the income earning capacity of the household either directly on ability to engage in work or indirectly due to need to provide high level of care to disabled household member. Type of disabilities include: disability caused by sickness/ill health, war invalids, soldiers in poor health, Agent Orange victims will be certified by the Commune/Ward People's Committee about the level of disability and considered granting the certification by Commune/ Ward/ Town under Government Decree No. 28/2012/ND-CP dated 10 April 2012;
 - (3) households falling under the generally accepted indicator for poverty: Should have Certificate of Poor Household issued by DPC. (Includes poor and near poor.)
 - (4) children and the elderly households who are landless and with no other means of support: Children under 16 years old or younger as the household heads (Under the Law No. 25/2004/QH11 on Protection, Care and Education of Children and Children Law 102/2016/QH13 dated 05 April 2016 which will become effective from 1 June, 2017) will be certified by the

CPCs and the elderly from 60 years old and above who are household heads (under the Elder Law No. 39/2009/QH12 dated 23 November, 2009).

- (5) Indigenous people or ethnic minorities: Husband and/or the Wife are/is ethnic minority or Family Book specified that the household belongs to the ethnic minority household. To be considered vulnerable the household should specifically be ethnic minority households (i) still being involved in traditional/shifting farming, subsistence agriculture or communal forest activities; or (ii) living in areas considered as having hard conditions; or (iii) living in a community still governed by traditional (*gialang*) patriarchs.
- (6) landless households include households without LURC or not eligible to get LURC or rural households who lost all their productive land or left with productive land which is below the average productive land in the area (i.e. no longer viable)
- (7) policy beneficiary households: Other households with persons falling within the Government criteria of social assistance beneficiaries as set out in National Decree 136/2013/ND-CP dated 21/10/2013

WEIGHTS AND MEASURES

km - kilometer

kg - kilogram

ha - hectare

m - meter

NOTES

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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.

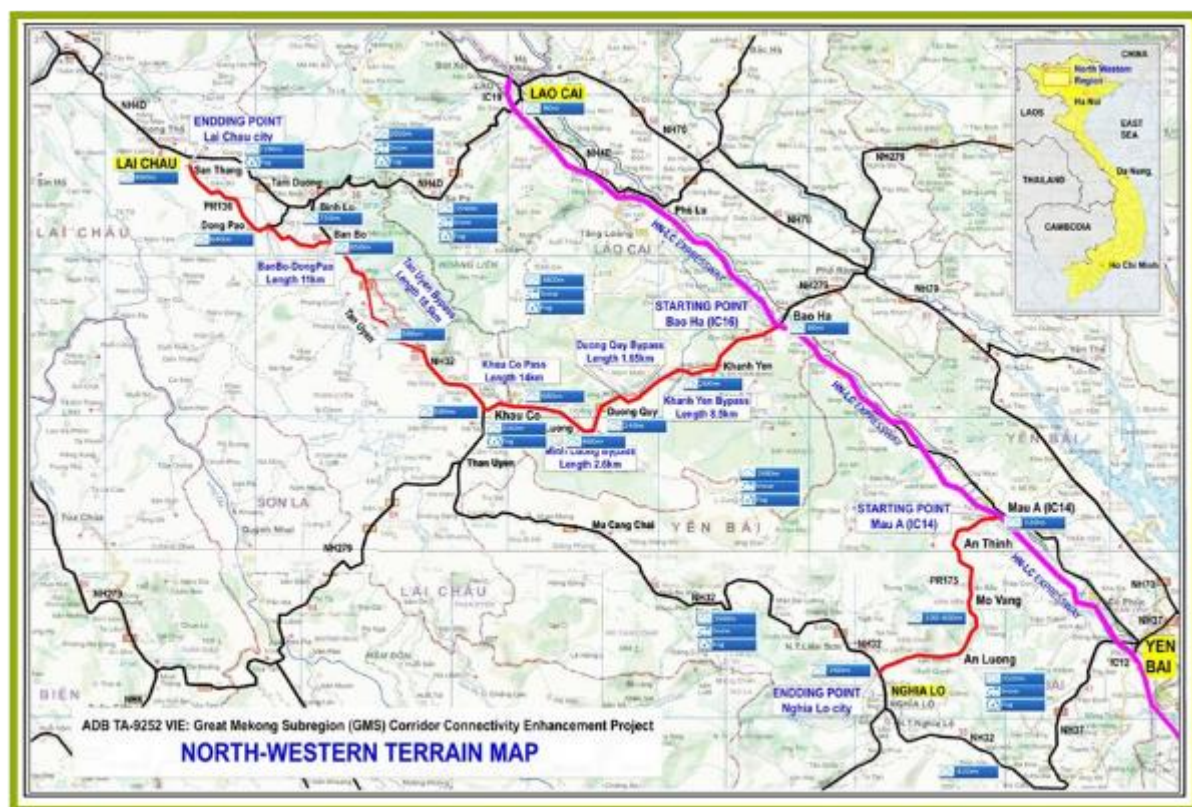


Figure 1: The project roads map (two red lines)

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 work packages Construction packages information and progress (Updated to the end of June 2022) are in Table 2 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 No.01 | Km0+00 to Km18+500 (including replanting the forest) belongs to the road connecting to Lai Chau | Van Ban, Lao Cai | DecisionNo.291/QD-BQLDA2 dated Oct. 28, 2021 | QII/2022 | Handover of site clearance landmarks on 13/9/2021 | Expected to start at the end of QIII/2022 |
| 2 | Package No.02 | Km18+500 to Km40+000 belong to the road connecting to Lai Chau | Van Ban, Lao Cai | DecisionNo.318/QD-BQLDA2 dated Nov. 18, 2021 | QII/2022 | Handover of site clearance landmarks on 13/9/2021 | Expected to start at the end of QIII/2022 |
| 3 | Package No.03 | Km40+000 to Km63+446 belong to the road connecting to Lai Chau | Van Ban, Lao Cai | Expected in 01/2022 | QII/2022 | Handover of site clearance landmarks on 20/7/2021 | Expected to start at the end of QIII/2022 |
| 4 | Package No.04 | Km64+272 to Km84+554 belong to the road connecting to Lai Chau | Than Uyen & Tan Uyen, Lai Chau | Decision No.288/QD-BQLDA2 dated Oct. 25, 2021 | QII/2022 | Handover of site clearance landmarks on 15, 16/7/2021 | Expected to start at the end of QIII/2022 |
| 5 | Package No.05 | Km84+554 to Km107+757 belong to the road connecting to Lai Chau | Tan Uyen, Lai Chau | DecisionNo.298/QD-BQLDA2 dated Nov. 02, 2021 | QII/2022 | Handover of site clearance landmarks on 04/8/2021 | Expected to start at the end of QIII/2022 |
| 6 | Package No.06 | Km107+757 to Km120+600 and Km137+040 to Km137+960 belong to the road connecting to Lai Chau | Tam Duong & Tan Uyen Lai Chau | Decision No.238/QD-BQLDA2 dated Sep. 28, 2021 Bidding documents were released on 05/01/2022 | QII/2022 | Handover of site clearance landmarks on 18, 19/8/2021 | On June 27, the DCLDF handed over the site with a length of 1.1 km to the PMU and Contractor 568 |
| 7 | Package No.07 | Section 1: Km120+600 to Km128+040 belong to the | Tam Duong, Lai Chau | Not Yet approved | QII/2022 | Handing over of landmarks Section 1 on 14/10/2021 (Section Km120+600 - | Expected to start at the end of QIII/2022 |

Northern Mountain Provinces Transport Connectivity Project (NMPTCP)

| 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 |
|-----|---------------|--|---------------------------------------|---|--|---|---|
| | | road connecting to Lai Chau Province | | | | Km123+700). It is expected to hand over the remaining site clearance landmarks by the end of January 2022 | |
| 8 | Package No.08 | Km128+040 to Km146+540 and Km137+960 to Km146+540 (including replanting the forest) belong to the road connecting to Lai Chau Province | Tam Duong and Lai Chau City, Lai Chau | Decision No.91/QD-BQLDA2 dated May. 27, 2021 Bidding documents were released on October 01, 2021 | Q4/2021 | Handover of site clearance landmarks on November 06, 2020 | Started on December 27, 2021 |
| 9 | Package No.09 | Km00+000 to Km20+667 (including replanting the forest) belong to the road connecting to Nghia Lo | Van Yen, Yen Bai | Decision No.103/QD-BQLDA2 dated June 18, 2021 Bidding documents were released on October 01, 2021 | Q1/2022 | Handover of site clearance landmarks on October 22, 2020 & August 5, 2021 | The commencement ceremony on 23/6/2022 |
| 10 | Package No.10 | Km20+667 to Km38+252 belong to the road connecting to Nghia Lo | Van Yen & Van Chan, Yen Bai | Decision No.263/QD-BQLDA2 dated Oct. 11, 2021 Bidding documents were released on Dec. 25, 2021, expected to open the bid on January 28, 2022 | QII/2022 | Handover of site clearance landmarks on August 05, 2021 | Expected to start at the end of QII/2022 |
| 11 | Package No.11 | Km38+252 to Km54+069 belong to the road connecting to Nghia Lo | Van Chan, Yen Bai | Expected by the end of January, 2022 | QII/2022 | Handover of site clearance landmarks on June 07, 2021 | Expected to start at the end of QIII/2022 |

6. At the time of this report preparation, in June 2022, the PMU handed over the site clearance landmarks of 10/11 packages to the localities.

1.2. Scope of implementation and impact studied in this report.

a. Impact on AHs

7. The project is implemented in 03 provinces: Lai Chau, Lao Cai and Yen Bai. The project's routes pass through 6 districts and 21 communes/wards/towns. The project consists of 11 construction packages, of which 10/11 packages have completed the detailed technical design, except Package 7. Of which, the DMS is completed for the AHs within right of way (ROW) of the packages; CW-4; CW -05; CW-6; CW-8, CW-9, CW-10 and, while the DMS is being conducted for package CW -01; CW -02 CW -03 and CW 11. General impact informations of 10 packages are as bellows:

- **Impact on land:** the implementation of 6 packages¹ have impacted on a total of 2,271,684 m2 are affected by land acquisition for the construction packages. Of which, 51,993 m2 are classified as residential land; 84,529 m2 are classified as paddy land; 253,194m2 is annual crops land; 524,409 m2 are classified as perennial trees land, 51,293m2 are classified as up land; 23,882 m2 are classified as aquaculture land and 226,301 m2 of forest land;
- **Impacts on houses and secondary structures:** according to DMS results the land acquisition implementation for 06 packages has impacted on a total of 27,100 m2 of houses. In addition, the land acquisition also impacted on privately-owned secondary structures, namely: bathroom/toilet (3,110 m2); 3,773 m2 of shed; 18,448 m2 of yard; 37,344 m of water pipe and 99 graves
- **Impacts on crops and trees:** Regarding affected crops and trees, the land acquisition for 06 packages has impacted on 83,821 m2 of paddy; 41,726 m2 of crops including cassava and vegetable. In addition, 214,052 of timber; 41,848 of fruit tree and 85,212 other trees are also cut by land acquisition implementation for the construction of 06 packages.

8. As results of DMS by June 2022, the land acquisition for 06 packages has impacted on a total of 4,243 AHs and 37 organizations. Of which, 224households have been entirely impacted on houses and must to relocate, 317 households are considered as severely affected households due to losing of 10% or more their productive landholdings and 2,212 households are considered as vulnerable households and most of vulnerable are ethnic minority.

¹ The DMS is being conducted for packages CW- 1; CW - 2 and CW-03, the DMS is not conducted for package CW-07 due to the DD is not approved yet.

Table 3. Project impact scope

| Packages number | Total AHs | Displaced AHs | Number of AHs losing more than 10% of their total arable land | Households belonging vulnerable group | | | | | | | | Affected organizations |
|-----------------|--------------------------------|---------------|---|---------------------------------------|----------------------------------|----------|--------------|------------|----------------------|---------|-------------------|------------------------|
| | | | | EM ² s | Female headed AHs and dependents | Poor AHs | Disabled AHs | Policy AHs | AHs do not have land | Orphans | AH of the elderly | |
| No.01 | Will be updated in next report | | | | | | | | | | | |
| No.02 | | | | | | | | | | | | |
| No.03 | | | | | | | | | | | | |
| No.04 | 760 | 17 | 71 | 411 | 11 | 34 | 0 | 5 | 3 | | | 6 |
| No.05 | 703 | 6 | 60 | 334 | 4 | 1 | | | | | | |
| No.06 | 782 | 70 | 24 | 443 | 27 | 40 | 14 | 2 | 0 | 2 | 9 | 12 |
| No.07 | Will be updated in next report | | | | | | | | | | | |
| No.08 | 582 | 36 | 3 | 347 | 1 | 32 | 1 | 0 | | | 0 | 9 |
| No.09 | 925 | 23 | 121 | 215 | 28 | 7 | 6 | 15 | | | 1 | 2 |
| No.10 | 491 | 72 | 62 | 462 | 54 | 75 | 2 | 5 | | | | 8 |
| No.11 | | | | | | | | | | | | |
| Total | 4,243 | 224 | 317 | 2,212 | 125 | 189 | 23 | 27 | 3 | 2 | 10 | 37 |

Source: PMU.2 and DCLDFs, provided on 6/2022

² EM households are belonging to 1 or 2 vulnerable groups (poor households, policy households, displaced households...), therefore the total number of EM households is 3,794 households covering all vulnerable groups according to the regulated classification.

9. Up to June, 2022, DMS is only conducted for AHs within the right of way (ROW) of the packages. When relocation of public facilities is implemented, DMS result will be updated and these AHs are eligible to receive fully compensation/allowance as project policy.

b. Impacts on public facilities

10. There are public facilities to be affected by packages that include electric line; water pipeline and telephone poles needs to be relocated. All these facilities will be compensated at replacement cost and must be restored before taking the land to ensure the services are always available for the people.

11. As project policy, compensation payment is only applied for the Owners of public facilities (excluding works for which the owner has committed to self-relocate and does not claim compensation) out of right of way (ROW) and these works are out of commitment of self relocation. Below table 4 presents the volume of public facilities will be affected by the land acquisition for each package.

Table 4. The volume of affected public facilities

| Packages | Name of affected public facilities | Name of the owners |
|---|---|--|
| Package CW-01 (in ROW of existing national road 279) | Electric line: (i) 35 Kv transmission line (TL): 02 location at Km 17+ 860 to Km 17+900 (207m in length) and (ii) Son Thuy 3 station at Km 9+642 and Nam Thai station at Km 15+420; | Lao Cai electric company |
| | - Electric line: (i) 35 Kv T/L: 10 locations from Km 18+700 to Km 40+000 - Low voltage (LV) T/L: 135 locations from Km 0+000 to Km 18+250 (6878 m in length) | |
| | Telecommunication: (i) 267 locations of VNPT telecommunication from Km 0+000 to Km 18+500 (15360m in length) and 7886 m in length at underground line from Km 8+800 to Km 16+450; (ii) 118 locations of Viettel telecommunication from Km 0+000 to Km 18+500 and (iii) 7 locations of Mobifone telecommunication from Km 14+160 to Km 14+642 (315 m in length) | Lao Cai VNPT brand Lao Cai Viettel brand Northern network centre- Branch of Mobifone telecommunication cooperation |
| | Water line - Khanh Yen town: length of 437 from Km 15+530 to Km 15+962; - Lang Giang commune: length of 2329 from Km 17+761to Km 18+626; | - Lao cai water supply company |
| Package CW-01 (out of ROW of existing national road 279) | Electric line: (i) 35 Kv T/L: 18 location from Km 2+690 to Km 15+420 (5643 m in length)and (ii) Viettel station at Km 4+120 and (iii)Low voltage T/L: 2 locations from Km 4+120 (48m in length)and 14 location from Km 9+600 to Km 11+650 (298m in length) | i. Lao Cai PC ii. Vietel lao cai branch iii. Vietel lao cai branch and Lao Cai PC |

| Packages | Name of affected public facilities | Name of the owners |
|---|---|---|
| Package CW-02 (in ROW of existing national road 279) | Electric line: 35 Kv transmission line (TL): 01 location at Km 37+ 350 | Minh Luong development company- Minh Luong hypo power |
| | - Electric line: - (i) 35 Kv T/L: 10 locations from Km 18+700 to Km 40+000 and (ii) Hoa Mac 3 station at Km 24+880 and Hoa Mac 6 station at Km 26+380; - LV T/L: 116 locations from Km 18+650 to Km 38+843 | Lao Cai electric company |
| | Telecommunication: (i) 260 locations of VNPT telecommunication from Km 18+500 to Km 40+000 and (ii) locations of Viettel telecommunication from Km 18+500 to Km 40+000 | Lao Cai VNPT brand Lao Cai Viettel brand |
| | Water line - Lang Giang commune: total length of 357 from Km 18+500 to Km 40+626; - Hoa Mac commune: total length of 3194 from Km 21+885to Km 23+331; - Tham Duong commune: total length of 3446 from Km 33+284to Km 36+683; -Tham Duong commune: total length of 3440 from Km 36+486 to Km 37+732 | - Lao cai water supply company - Hoa Mac CPC Tham Duong CPC |
| Package CW-02 (out of ROW of existing national road 279) | Electric line: - 35 Kv T/L: 25 locations from Km 18+780 to Km 39+684 (10206 m in length) and 1 location from Km 18+700 to Km 40+000 and - Minh Luong Thuong 1 hydropower station at Km 38+750 and Duong Quy 2station at Km 32+155; Low voltage T/L: 17 locations from Km 19+650 to Km 38+800 (533m in length) | - Lao Cai PC and Minh Luong Thuong hydropower. - Minh Luong Thuong hydropower and Lao Cai PC Lao Cai PC |
| Package CW-03 (in ROW of existing national road 279) | - Electric line: (i) 35 Kv T/L: 2 location from Km 41+623 to Km 42+166 (142 m in length)and (ii) Minh Luong 2 station at Km 46+530 and (iii)Low voltage T/L: 64 locations from Km 41+450 to Km 49+300 (2426m in length) | Lao Cai electric company |
| | Telecommunication: (i) 120 locations of VNPT telecommunication from Km 40+000 to Km 49+320 (7795 m in length)and (ii) 347locations of Viettel telecommunication from Km 40+000 to Km 63+446 (21377 m in length) | Lao Cai VNPT brand Lao Cai Viettel brand |
| | Water line - Minh Luong commune: total length of 5400 from Km 45+937 to Km 48+082; - Nam Xe commune: total length of 3570 from Km 48+948to Km 49+004; | - Minh Luong CPC - Nam Xe CPC |
| | Electric line: | Lao Cai PC |

| Packages | Name of affected public facilities | Name of the owners |
|--|--|---|
| Package CW-03 <i>(out of ROW of existing national road 279)</i> | <ul style="list-style-type: none"> - 35 Kv T/L: 5 locations from Km 41+500 to Km 45+700 (1,737 m in length) - Pom Khen station at Km 4+510; - Low voltage T/L: 18 locations from Km 41+510 (18 m in length) | |
| | Pom Khen kinder and primary school: 02 class with total square of 39.5 m; wall fence and ground will be affected by project | |
| Package CW-04 <i>(in ROW of existing national road 279)</i> | Than Uyen district <ul style="list-style-type: none"> - Electric line: (i) 35 Kv T/L: 8 locations (1,073 m in length); (ii) LV TL: 64 locations (2200 m in length) and (iii) 02 stations. - Telecommunication (i) TL of VNPT telecommunication includes underground line of 6.150 m in length and 121 polars with length of 5.807m and(ii) TL of Viettel telecommunication includes 150 polars with length of 7438m - Water supply line: total length of 7154 m | <ul style="list-style-type: none"> - Lai Chau PC - Lai Chau VNPT brand - Lai Chau Viettel brand - CPC |
| | Tan Uyen district <ul style="list-style-type: none"> - Electric line: (i) 35 Kv T/L: 6 locations (3032 m in length); (i) LV TL : 45 locations (2023 m in length) - Telecommunication: (i)TL of VNPT telecommunication includes underground line of 5403 m in length and 101 polars with length of 4956 and (ii) TL of Viettel telecommunication includes 89 polars with length of 6078m - Water supply line: total length of 8000 m | <ul style="list-style-type: none"> - Lai Chau PC - Lai Chau VNPT brand - Lai Chau Viettel brand CPC |
| Package CW-05 <i>(in ROW of existing national road 279)</i> | Tan Uyen district <ul style="list-style-type: none"> - Electric line: (i) 35 Kv T/L: 20locations (4,000 m in length); (ii) LV TL : 132 locations (6857 m in length) and (iii) 03 stations - Light system: there are 53 affected polars and total length of 2.503m - Telecommunication: (i)TL of VNPT telecommunication includes underground line of 13163 m in length and 312polars with length of 15507m and (ii) TL of Viettel telecommunication includes 244 polars with length of 12.229m - Water supply line: total length of 20625 m | <ul style="list-style-type: none"> - Lai Chau PC - Lai Chau VNPT brand - Lai Chau Viettel brand CPC |
| Package CW-06 <i>(in ROW of existing</i> | Tan Uyen district <ul style="list-style-type: none"> - Electric line: (i) (i) 35 Kv T/L 750 m and (ii) LV TL: 2220 m | <ul style="list-style-type: none"> - Lai Chau PC - Lai Chau VNPT brand - Lai Chau Viettel brand |

| Packages | Name of affected public facilities | Name of the owners |
|---|---|---|
| national road 279) | <ul style="list-style-type: none"> - Telecommunication: (i)TL of VNPT telecommunication is 2430 m in length and (ii) TL of Viettel telecommunication has length of 2430 m - Water supply line is used for households, including pipe, water clock and relevant | CPC |
| | Tam Duong district <ul style="list-style-type: none"> - Electric line: (i) LV TL : 74locations (2201 m in length) and (ii) 1station - Telecommunication: (i)TL of VNPT telecommunication includes underground line of 9168 m in length and 109 polars with length of 8205 m and (ii) TL of Viettel telecommunication includes 109 polars with length of 8205 m - Water supply line: total length of 6325 m | <ul style="list-style-type: none"> - Lai Chau PC - Lai Chau VNPT brand - Lai Chau Viettel brand CPC |
| Package CW-07 | N/A | |
| Package CW-08 (in ROW of existing national road 279) | Lai Chau city <ul style="list-style-type: none"> - Electric line: (i) 22kv TL: 23locations (37001 m in length) and (ii) 99 LV polars - Water supply line: total length of 2500 m - Light electricity 02 polars - Telecommunication: TL of VNPT telecommunication has length of 3500 m in length and 60 polars. | <ul style="list-style-type: none"> - Lai Chau PC - Lai Chau VNPT brand - Lai Chau Viettel brand CPC |
| | Tam Duong district <ul style="list-style-type: none"> - Electric line: (i)35 kv TL: 35 locations with total length of 6543m; (ii) LV TL : 49 locations (2264 m in length) and (ii) 3station2 - Telecommunication: (i)TL of VNPT telecommunication has length of 13195m and (ii) TL of Viettel telecommunication has length of 4533 m - Ban Hon CPC: Ban Hon secondary school has affected 2-storey classroom and secondary works | <ul style="list-style-type: none"> - Lai Chau PC - Lai Chau VNPT brand - Lai Chau Viettel brand - Ban Hon CPC |
| Package CW-09 (in ROW of existing national road 279) | <ul style="list-style-type: none"> - Electric line: (i)35 kv TL and (ii) LV TL - Telecommunication: (i)TL of VNPT telecommunication - Light electricity - Water supply line of An Thinh CPC | <ul style="list-style-type: none"> - Van Yen PC - Van Yen VNPT brand - Van Yen Viettel brand - An Thinh CPC |
| Package CW-10 (in ROW of existing national road 279) | <ul style="list-style-type: none"> - 110 kV power line: 3 power poles; - Medium and low voltage power lines: 65 power poles - Telecommunication cable: 95 poles | - |
| | | |

| Packages | Name of affected public facilities | Name of the owners |
|---------------|------------------------------------|--------------------|
| Package CW-11 | N/A | |

(Source: Reports of PMU2, April, 2022, N/A= Not Available)

c. Temporary land acquisition during construction time

12. Information of disposal site: There are 58 disposal sites in 03 project provinces, in which 18 disposal sites of Lao Cai; 21 disposal sites of Lai Chau and 19 disposal sites of Yen Bai. The total area of 58 disposal sites is about 150 ha, there is no need permanent land acquisition for these disposal sites because mostly sites are public vacant land which were cleared already by local authorities and reserved for construction of industrial zone and local infrastructure. Table 5 presents location of disposal sites in project area.

Table 5. Information on disposal sites

| Package | Decision |
|---------------|---|
| Package CW-1 | Lao Cai PPC issued Document No 6089/UBND-QLDA dated December 31, 2020 on approving the quantity and location of 18 dumping sites in Van Ban district for constructing of the project (the total volume of 18 dumping sites is 49.9 ha |
| Package CW-2 | |
| Package CW-3 | |
| Package CW-4 | Based on the meeting minute of DONRE of Lai Chau and PMU 2 dated December 25, 2020, there are 21 dumping sites, in which: |
| Package CW-5 | |
| Package CW-6 | |
| Package CW-7 | |
| Package CW-8 | |
| Package CW-9 | Based on the agreement minute with CPCs there are 19 dumping sites, in which 5 dumping sites of Mo Vang, 4 of Dai Son; 2 of An Thinh and 8 of An Luong, |
| Package CW-10 | |
| Package CW-11 | |

13. In the process of construction time, need of material gathering as well as disposal is necessary to ensure construction method as well using disposal for filling in as request of local authorities. The activities of transportation and disposal ensure not cause broken-down for

technical infrastructure system and production and living activities of local people, comply with legal regulation on environmental protection and other regulation.

14. After that completing disposal, PMU2/Constructors have to hand over clearance to ensure high level and provide clearance for local authorities and people.

15. In process of DD preparation; PMU2 worked with PPCs, DONREs and DOTs to identify suitable land fund for disposal sites.

- On November 13, 2020, PMU2 worked with Lao Cai DOT, DONRE, Van Ban DPC to get agreement on location of 18 disposal sites. Mostly 18 disposal sites are non-use land.
- On December 13, 2020, PMU2 worked with Lai Chau DONRE to get agreement on location of 21 disposal sites.

16. In order to meet the requirement of PPCs on disposal sites, when construction activities start, PMU2 will have meetings with stakeholders to re-identify location of disposal sites.

17. Up to this report preparation, based on actual demand and construction method, there is change in location of waste disposal site, construction contractors identify proper locations, after that, they work with local authorities and people to reach agreement on waste dumping sites. They will prepare a technical record and submit to DONRE for acceptance and a final record will be sent to Construction Supervision Consultant for appraisal/approval together with confirmation document of DONRE. Below is updated information on disposal site of Package CW-06, CW -8 and CW -9.

- Package CW-08, contractor prepared the record of disposal site (Letter No .745/KT/BT/XL-08- LC dated 07 July, 2022) and submitted to CS consultant for acceptance (attached with *Document No 313a/UBND-TNMT dated 21 March issued by Tam Duong DPC*). There are 10 disposal sites with total stock capacity of 309,000 m³. The land used for 10 waste dumping site is agricultural, annual plant of AHs. The CS consultant sent Document to PMU.2 on request for approval of waste dumping site dated 21 July, 2022. *Refer Annex 2. Legal documents (Document No 313a/UBND-TNMT dated 21 March issued by Tam Duong DPC and Document issued by CS 1 sent to PMU.2 on request for approval of waste dumping site dated 21 July, 2022.)*
- 02 packages of CW- 6, CW -9: the contractors have been prepared technical documents and worked with the DONRE of districts for approving location of disposal site.

18. Information of hiring contracts of 10 disposal sites (under Package CW-08) and other disposal sites will be updated in next report.

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

1.3.1. The rational of external monitoring/ evaluation

19. In the preparation phase, the Project was identified as Category A relating to involuntary resettlement and Category B for EMs. However, during the RP & EMDP update for Package CW-8 and CW-9, the ADB identified the project as the Indigenous Peoples group because impacts on indigenous peoples were determined to be large. Therefore, the Project is classified as Category A relating to both involuntary resettlement and indigenous peoples. Accordingly, as required by the ADB, independent monitoring/evaluation are required from the beginning of the DMS implementation until the end of resettlement and EM activities.

20. 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.

21. 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 (01) assessment after completion of resettlement. The first monitoring report was submitted on July, 2021; The second monitoring report was submitted in January 2022; and this report is third 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 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

22. The main objectives/tasks of the external monitoring service of Resettlement Plan (RP) 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 implementation 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.

23. The main objectives/tasks of the external monitoring of the Ethnic Minorities Development Plan (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 EMDPs and RPs, 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

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

Table 6. 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 |
| 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 |

| Kind of indicators | Monitoring indicators | Examples of variables |
|---|---------------------------------|---|
| 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; Number of benefits entitled; number of benefits used by those affected; Relevancy of benefits for affected households according to the target of resettlement plan; Number of EM and female households relocated in the same villages and communes; Houses in resettlement sites built by affected EM households and female-headed households of their choice; Number of unaffected households receiving replacement land; and Number of severely affected, very poor or other vulnerable households receiving special support and participating in Income Restoration Program. |
| The monitoring indicators of EMDP/ uEMDP | | |
| | Process indicators | |

| Kind of indicators | Monitoring indicators | Examples of variables |
|--|-----------------------|---|
| Implementation of EMDP mitigation measures and beneficial measures | | <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 is involved in the Livelihood Restoration Program. |
| | | <p>Result indicators</p> <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 the HTAP and the Road Safety Awareness Program in their M&E operations).</p> |
| Consultation and participation | | <p>Process indicators</p> <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. |
| | | <p>Result indicators</p> <ul style="list-style-type: none"> • Awareness of ethnic minority issues in the stakeholder engagement. |

| Kind of indicators | Monitoring indicators | Examples of variables |
|--------------------------------|--|--|
| | | <ul style="list-style-type: none"> • 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 | <p>Process indicators</p> <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. <p>Result indicators</p> <ul style="list-style-type: none"> • Increase the participation in the jobs to be paid. <p>(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).</p> | |
| 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

25. In each monitoring stage, the EMC conducts a questionnaire sampling survey by interviewing of severely affected households (households losing from 10% of their agricultural land and relocated, and vulnerable AHs) and 20% (randomly selected) of slightly other AHs. Based on the TOR, the EMC will conduct 05 periodic monitoring stages and survey 100% severely AHs and vulnerable AHs (poor AHs, female headed AHs, AHs with disabled, landless, elderly helpless people and orphans, policy AHs, ethnic minority AHs belonging to very unpopulated groups in the project area) and 20% of lightly AHs. 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 AHs (poor AH, female headed AHs, AHs with disabled, landless, elderly helpless people and orphans, policy AHs, ethnic minority AHs belonging to very unpopulated groups in the project area) and 20% of lightly AHs at the fifth monitoring stage.

26. 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.

27. In order to carry out the monitoring of the 3rd monitoring stage, GreenViet Consulting and Development Joint Stock Company arranged a team with 7 members (04 key experts and 03 surveyors) as requested in the contract. The field monitoring and preparation of this report took place from January 2022 to June 2022 with the following main activities:

- At the Consultant's office, the experts reviewed monitoring tools, including in-depth interview guideline and focus group discussion, RPF, RP, EMDP, uRP, uEMDP, DDR (Package 8 and 9), uRPs, uEMDPs (packages: CW-4, CW-5, CW-6, CW-8, CW-9 and CW-10) and other documents related to the project's compensation and support activities.

- From June 27, 2022 to July 1, 2022, the EMC conducted field monitoring and group discussions and questionnaire interviews with 179 AHs (some households participating in the group discussion were also interviewed by questionnaire), including: (i) Package CW-6: 22 AHs in Phuc Khoa commune, Tan Uyen district, Lai Chau province; (ii) 157 AHs in 2 packages CW-2 and CW-3 in Van Ban district, Lao Cai province. Of which, 40 AHs are relocated households; 70 severely AHs and 173 EMs (the details are presented in Table 6 of this Report). During this period, the EMC worked with representatives of the DCARCs, DCLDFs and relevant commune/ward people's committees to collect the necessary information (the details are shown in Table 5 of this Report).

- From July 4-8, 2022, after field monitoring, the EMC contacted PMU.2 and DCLDFs via email/phone (and direct meeting with PMU) to update information, exchange monitoring contents and results.

1.3.5. Monitoring methods

28. Accordingly, the field monitoring methods of EMC are involved in the following:

a. Document study

29. 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.

30. 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 Impact Assessment (EIA), uRP/ uEMDP of the packages approved by the ADB, Compliance Review Report (DDR). The EMC collected progress reports, subproject implementation plans, RP implementation plans, writting compensation and site clearance assignments, dossiers/documents, unit price and compensation policies of Lai Chau, Yen Bai and Lao Cai province, results of replacement cost survey. 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. The DMS minutes do not fully show the benefits under the RP, such as determining the rate of land acquisition, vulnerable groups, etc. However, the DCLDFs said that they often make separate lists for the communes/ward.

31. 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

32. During this monitoring period, the EMC conducted in-depth interviews (direct interviews) with representatives of (i) PMU.2 (07 people); and (ii) DCLDFs: Tan Uyen district (02 people), Van Ban district (06 people), Van Yen district (04 people) and Tam Duong district (04 people). At the same time, we conducted 15 group discussions (121 people) in 08 wards/communes of 03 districts/city accordingly to Package CW-1, Package CW-2, Package CW-3, Package CW-6 and Package CW-8. The participants in the group discussion include: Leaders of CPC, ward/commune cadastral officials, ward/commune fatherland fronts, ward/commune women's unions, village/hamlet leaders and AHS. The in-depth interviews also provided the EMC with additional information on issues that need to be discussed and explained. Below is the information about the stakeholders engaging in the interview and discussion process.

Table 7. Summary of group discussion information

| No. | Locations | Time | No.of APs | | Discussion topics |
|-----|-----------------------------|-----------|-----------|--------|---|
| | | | Male | Female | |
| I | PID5 – PMU.2 | | 6 | 1 | 7 |
| II | Team of implementing staff | | 32 | 15 | 47 |
| 1 | Văn Yên DCLDF | 27/6/2022 | 2 | 2 | - Organizational structure (for Van Chan District), implementation personnel and experience in implementing loan projects. |
| 2 | Văn Bàn DCLDF | 27/6/2022 | 5 | 1 | |
| 3 | Tân Uyên DCLDF ³ | 28/6/2022 | 2 | 2 | |
| 4 | Tam Duong DCLDF | 29/6/2022 | 3 | 1 | |

³ The mission was split into 2 teams to carry out field activities.

| No. | Locations | Time | No.of APs | | Discussion topics |
|------------|--|------------|-----------|-----------|---|
| | | | Male | Female | |
| 5 | Làng Giàng commune | 28/6/2022 | 2 | 1 | - Implementation progress to date. |
| 6 | Hòa Mạc commune | 28/6/2022 | 4 | 2 | - Resettlement |
| 7 | Thảm Dương commune | 29/6/2022 | 3 | 2 | - Replacement cost - Using capital of DCLDF |
| 8 | Dương Quỳ commune | 29/6/2022 | 2 | 2 | - Plan to hand over the site to the construction contractor |
| 9 | Minh Lương commune | 30/6/2022 | 3 | 1 | - Income restoration program - Information dissemination: uRP, uEMDP, DDR; |
| 10 | Nậm Xé commune | 30/6/2022 | 2 | 1 | - Implement EMDP |
| 11 | Phúc Khoa commune | 28/6/2022 | 3 | | - HIV and traffic safety communication activities; - Labor recruitment - Complaint and complaint settlement. - Difficulties. - Recommendations in the previous monitoring report. |
| 12 | Bản Hòn commune | 30/6/2022 | 1 | | |
| II | Ethnic minority group | | 7 | 7 | 14 |
| 1 | Sang Thành Commune | 04/01/2022 | 3 | 2 | - Project information, information dissemination of the project's RP, EMDP. |
| 2 | Đại Sơn Commune | 06/01/2022 | 2 | 3 | - The rights of ethnic minorities are disseminated. - Expectations of ethnic minority group about the implementation of site clearance. |
| 3 | Bản Giang commune | 05/01/2022 | 2 | 2 | |
| III | Affected female household group | | | 13 | 13 |
| 11 | Phúc Khoa Commune | 28/6/2022 | | 3 | - Some features about women in life in the region. |
| 2 | Minh Lương Commune | 29/6/2022 | | 2 | |

| No. | Locations | Time | No. of APs | | Discussion topics |
|-----|--------------------|-----------|------------|--------|--|
| | | | Male | Female | |
| 3 | Hòa Mạc Commune | 28/6/2022 | | 5 | - Information about RP, EMDP implementation. - Women's concerns, aspirations and participation related to the site clearance. |
| 4 | Thảm Dương Commune | 29/6/2022 | | 3 | |

Source: EMC's survey data in 6/2022

33. 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 5.

c. Questionnaire survey

34. 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 6.

35. In the 3rd monitoring, the EMC interviewed 179 AHs by questionnaires in 08 communes/wards under the packages: CW-2, CW- 3 and CW-6, including: 46 displaced AHs, 92 AHs lost >10% of agricultural land and 173 vulnerable AHs (including ethnic minority AHs). The details of the number of households interviewed in each commune/ward are shown in Table 6.

36. 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 EMC worked with the DCLDFs in Van Ban district (Lao Cai province), Tan Uyen district, and Tam Duong district (Lai Chau province) and the Compensation Council of Van Yen district (Yen Bai province) on the implementation of the RP, classifying affected households according to project policies. The survey sample is stratified according to each group of affected objects in each commune/ward and a convenient random sample is selected for 179 households in the total sample (The list of AHs interviewed is in Appendix 4). The number of households in each area is shown in the following table.

Table 8. The number of HHs in each area (Package CW-2, CW- 3, and CW-6)

| Packages/areas | Number of surveyed AHs ⁴ | | | | | 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 | | |
| Total | | | | | 179 | | |
| 1. Package CW-2 | 37 | 59 | 122 | | 128 | | |
| Làng Giàng commune | | 17 | 30 | | 31 | 171 | 18.13 |
| Thăm Dương commune | 6 | 12 | 22 | | 23 | 161 | 14.29 |
| Dương Quý commune | 25 | 17 | 46 | | 47 | 230 | 20.43 |
| Hòa Mạc commune | 6 | 13 | 24 | | 27 | 220 | 12.27 |
| 2. Package CW-3 | 9 | 11 | 29 | | 29 | | |
| Minh Lương commune | 9 | 11 | 23 | | 23 | 323 | 7.12 |
| Nậm Xé commune | | | 6 | | 6 | 114 | 5.26 |
| 3. Package CW-6 | | | 22 | | 22 | | |
| Phúc Khoa commune | | 22 | 0 | 0 | 15 | 389 | 24% |

Source: EMC survey data in June, 2022

d. Field observation

37. In addition to studying documents in office and focus group discussions and in-depth interviews with the stakeholders, in June 2022, the EMC conducted field visits to 08 project communes/wards (Ban Ban Hon commune in Tam Duong district, Lai Chau province; Lang Giang commune, Tham Duong commune, Duong Quy commune, Minh Luong commune, Nam Xe commune and Hoa Mac commune in Van Bai district, Lao Cai province; Phuc Khoa commune, Tan Uyen district, Lai Chau province) for the socio-economic surveys; visit the resettlement sites of the project; inspect the road sections under construction to supplement more information for the preparation of the report.

1.4. Difficulties met

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

- The general schedule of the project is delayed so the monitoring activities have only been focused on the packages CW-1, CW-2, CW-3; CW-6; CW-8 and CW-9.
- The route is long, and not in good condition so travelling and finding HHs are difficult and take much time.

⁴ One household may belong to one or more different groups, so it is unable to add up horizontally.

1.5. Follow – up pending issues of the previous report

39. The results of the implementation of the recommendations of the working group during the previous monitoring period are shown in the following table.

Table 9. Results of settlement of recommendations in 12/2021

| No. | Recommendations and/or shortcomings | Recommendations | Result of settlement |
|-----|---|---|---|
| 1 | The progress of design and site clearance demarcation of the packages CW-7, CW-11 is still slow) | PMU.2 directs and coordinates with the Consultant to accelerate the implementation progress | Package 7: Completed Packages 11: was not completed |
| 2 | The replacement cost survey for the project need to be completed soon with the packages except Package CW-8 and Package CW-9. | PMU.2 needs urge localities to implement | LFDCs hired appraisal consultants to implement replacement cost survey for 10/11 packages (except package CW-07) |
| 3 | The progress on updating and approving RPs/EMDPs has been slow. | PMU.2 has to order the Consultant to accelerate the implementation of the detail design and updating the RP/EMDP. | In the first 6 months of 2022, uRPs/ EMDPs of 04 packages (CW-4, CW-5, CW -6; and CW -10) were submitted to ADB in which ADB issued No objection letter to uRP, uEMDP of Package CW-4 and Package CW-6 in June 2022. For the remaining packages (CW-1, CW-2, CW-3, CW-7 and CW- 11), PMU.2 will submit in Quarter 3, 2022). |
| 4 | Livelihood activities and EMDP have not been prepared and implemented. | PMU.2 should work with the Consultant to accelerate the technical design and RP/EMDP update schedule, implementation of livelihood activities and EMDP. | The PPC of Lai Chau, Yen Bai and Lao Cai issued the document on assigning tasks to the DPCs for IRP implementation. At the time of preparing the report, the DPC of Tan Uyen District (package CW-4, CW-5, CW-6) and the DPC of Van Yen district (package CW- 9; CW-10) issued the |

| No. | Recommendations and/or shortcomings | Recommendations | Result of settlement |
|-----|--|---|--|
| | | | document on assigning tasks to the LFDCs to act as the focal point for LRP implementation. |
| 5 | Settle the payment of compensation before the uRP approval | PMU.2 and the districts need: Fast execution of CAP for Package CW-8 Agree on Package CW-9 measures with the ADB | DDRs of Package CW-8, CW- 9 were approved by ADB Payments are ongoing. Remaining activities and recommendation detailed in Recommendation of the report. |
| 6 | 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. | Implementing during implementation process |
| 7 | The section will pass through the primary and secondary school and affects about 3m. If the land is acquired, it may affect the structure of the entire works of the | It is recommended that PMU.2 discusses with the Detailed Design Consultant to survey and study the adjustment of the route to the People's Committee of Ban Hon commune. | Completed |

| No. | Recommendations and/or shortcomings | Recommendations | Result of settlement |
|-----|---|-----------------|----------------------|
| | school. The structures have just been completed and handed over to use in 2020. | | |

II. MONITORING FINDINGS

2.1. Overview of implementation organization

40. The people's committees of the project provinces are the project owners of the compensation, assistance and resettlement. The PPCs assigned the compensation and site clearance to the district/city counterparts. At the third monitoring stage, the DCARCs of the project districts have been established and consolidated, and the District 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. 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).

41. Internal and external monitoring:

- 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 PMU.2 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 first officer working on social safeguard was mobilized on January 6, 2022 and started revising the Q3/2021 internal report, preparing the Q4/2021 and Q1/2022. At the monitoring period of March 2022, the gender expert are also mobilized.

- An External Monitoring Agencies (EMA) on social and resettlement was also recruited due to the project's category A for involuntary resettlement as requirement of ADB SPS 2009. The EMA was mobilized in Quarter III 2020. Resettlement Monitoring Report No.1 was completed in July 2021; Resettlement Monitoring Report No.2 was completed in January 2022; and Resettlement Monitoring Report No.3 will be submitted in July 2022.

42. **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 PMU.2/SMEC since 2020 and working with the concerned consultants, they can be able to understand the project's RP/EMDP implementation requirements.

- There are 03 consulting units engaged in the updating, monitoring/evaluating and supporting the implementation of the social and environmental safety policies during the project implementation phase, including (i) the Consultant that updates the uRP/EMDP and SES selected by the PMU and funded from the Australia's grant; (ii) the Independent Resettlement Monitoring Consultant that conducts the 6-monthly monitoring/evaluation stages and (iii) the Social/Environmental/Gender Policy Consultant that conducts the internal quarterly monitoring reports. In the early implementation, as the coordination of the uRP/EMDP

consultant was not effective enough, the preparation of uRP/EMDP reports was very slow which significantly affected the project site clearance progress. The site clearance cost plan arranged by PMU.2 in 2021 could not be disbursed due to the very slow uRP/EMDP preparation as till the end of December 2021, only uRP/EMDP of Package 08 was approved and followed by the uRP/EMDP of Package 09 approved in early January 2022. PMU.2 has actively cooperated with the PMC and the uRP/EMDP Consultant to speed up the progress, however, in fact, this package is only provided with the internal funding for preparing reports and does not have enough funding for conducting group consultation/discussion activities to develop the uRP/EMDP, this mainly causes the slow progress of the uRP/EMDP preparation of the packages. In addition, the LFDCs face difficulties when completing a large number of forms requested by the uRP/EMDP Consultant. However, at the time of preparing this report in June 2022, the Consultant noticed a positive improvement in the coordination mechanism between PMU.2 and the uRP/EMDP and SES Consultant and the LFDCs, this contributed to speeding up the preparation of reports and the Consultant submitted 04 new uRPs/EMDPs to the ADB in May 2022 and these reports were cleared by the ADB in June 2022.

- In June 2021, PMU.2 issued the template of the internal monitoring reports. These reports include quite detailed data and information for the management of site clearance activities and still need to be updated and supplemented according to the actual implementation situation. However, it should be noted that the RP/EMDP implementation plans and awarding of construction contracts are more appropriate and feasible. Actual data on land acquisition and site clearance should be compared with the RP/EMDP data. Some consultation activities need to be disaggregated by gender and accompanied by internal reports.

2.2. Evaluation on project documents in terms of land acquisition

43. Social safeguard instruments were fully prepared in the preparing stage by the consultant such as RF, RPs and EMDPs. The updated RP and EMDP documents of packages CW-4, CW-6, CW-8 and CW-9 have been fully archived and used by PMU.2 and the DCLDFs.

44. The DCLDFs have compiled and used the project-related compensation guidelines issued by the Lai Chau PPC and Yen Bai PPC. The compensation records of the project have been stored at the headquarters of the DCLDFs' offices after completion according to the regulations. Internal quarterly reports were shared by PMU.2 with the project provinces and the DCLDFs. Due to there was no complaints, the DCLDFs have not kept records of compensation and complaints. The monitoring team also noted that the DCLDFs set up a complaint monitoring books and record oral complaints for monitoring and settlement.

45. During the implementation of the site clearance for the project, the LFDCs fully organized community meetings in accordance with the site clearance process. At the beginning of the land acquisition, the lists of affected households identified by the Land Fund Development Centers were made to draw up land acquisition maps to issue notices of land acquisition for the package. After there were notices of land acquisition sent by the local government to affected households, consultation meetings were held with the affected households to disseminate the project information including (i) publication of notices of land acquisition, (ii) publication of DMS implementation plans, and (iii) publication of compensation and support policies for the affected households as well as answering their questions about the project compensation and resettlement. After that, the LFDCs would carry out external/internal

activities to prepare compensation plans and the draft compensation plans would be publicly posted within the stipulated time for people to check and give their opinions (if necessary). People can keep copies of the DMS records for checking. In addition, to ensure that the project policies were fully assessed by the site clearance agencies as well as the local authorities and the affected people, after the uRP/EMDP documents were approved by the ADB and the Provincial People's Committee, PMU.2 provided the Vietnamese translation of the uRP documents for public posting in each commune.

2.3. Preparation and concurrence of ADB on social safeguard documents

46. The RPs and EMDPs prepared for each province in 2018 got reviews and comments in writing of the PPCs. The RP 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, 11 UEMDPs). At this report period, 4/11 uRPs/uEMDPs (packages: CW-4, CW-6, CW-8, CW-9) have been approved by the ADB; 02/11 uRPs/uREMDs (packages CW-5, CW-10) is under consideration by the ADB; and the remaining 05 uRPs/uREMDs will be submitted by PMU.2 to the ADB in the third quarter of 2022.

47. Besides, with Package CW-8, since the compensation payment was made before the uRP was approved by the ADB, the DDR was prepared, which is an appendix of the approved uRP. With Package CW-9, since the compensation payment was made before the uRP was approved by the ADB, the DDR was prepared, which is an appendix of the internal monitoring report Q1/2022 and was approved by the ADB. As of June, 2022, with the packages: CW-1, CW-2, and CW-3, the DMS has been basically completed but notices of land acquisition for 166 households in 03 communes have not yet issued due to procedures of forest landuse conversion. PMU.2 needs to work closely with the three provinces and MARD to soon complete the procedures for forest use conversion.

48. **Evaluation:** The procedure for conversion of forest land use purposes takes a long time. This affects the progress of completing the DMS for the households whose forest land is affected. Accordingly, updating RP/EMDP of packages: CW-1, CW-2, CW-3 and CW-11 could not be completed because there is no DMS results. PMU.2 needs to work with the consulting unit implementing the package to change the forest land use purpose to speed up the implementation of this item. The delay in submitting the uRPs affects the progress of land acquisition for the project implementation, especially causing negative feelings for local government and affected people because their need is to stabilize their lives asap. Currently, the design of Package CW-7 has not yet been approved, which is expected in the third quarter of 2022, to get new site clearance landmarks for the DMS implementation. This results in delay in the uRP preparation and the handover of the site for this package. It is expected that the construction of this package can be carried out until Quarter 4, 2022.

2.4. Information dissemination, community consultation and stakeholder engagement

49. Public consultation and information disclosure activities during the preparation of the RP & EMDP have been fully implemented by the Consultant and detailed in the quarterly internal monitoring reports. Quarterly internal monitoring reports, including: Time, location, number of people, number of men/women, number of EMs... In addition to this information, the minutes together with the list of people attending, some consultation images are also attached with the

quarterly internal monitoring reports (Refer to the internal reports of the 1st, 2nd, 3rd and 4th quarters of 2021).

50. PMU.2 and localities confirmed that the RPs, EMDPs, after being approved by the ADB, have been publicly announced in their localities. The Consultant supporting the project implementation in this phase is SMEC which has carried out the dissemination about the RPs and EMDPs 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 PIBs and the RPs and EMDPs were made public at the CPC headquarters.

51. Through collecting relevant documents, EMC confirmed that localities (packages: CW-1, CW-2, CW-3, CW-6, CW-8 and CW-9) 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.

52. 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, LRP, GRM, EMDPs... were informed to the AHs through consultation meetings held by the PMU in collaboration with the SMEC. 100% of the AHs participating in the in-depth interviews and group discussions said that they consulted and understood this information. 100% of the interviewed AHs said that they received the 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 APs; (v) roles and responsibilities of the stakeholders on compensation, support, resettlement, EM and LRP; (vi) the GRM, including steps to resolve complaints directly related to contractor's construction activities; APs 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.

53. During the implementation of the RP and EMDP, information disclosure activities are continued by the SMEC and the DCLDFs in accordance with the Project's regulations under the supervision of PMU.2. The uRPs, uEMDPs have been and are being prepared for each package that has been included in the information of these activities by the Consultant.

54. As soon as uRP, uEMDP/DDR are approved by the ADB and the PPCs, the DCLDFs will launch information disclosure activities (i) on the district's website; (ii) Posting at the headquarters of the CPCs, and (iii) Reaching affected households through the PIB (updated).

Table 10. The participation of affected households in the project activities

| No. | Content ⁵ | Yes | | No | |
|-----|----------------------|-----|---|----|---|
| | | N | % | N | % |

⁵ 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 ...

| | | | | | |
|---|--|-----|-----|--|--|
| 1 | Did your family receive a project information booklet (PIB) | 179 | 100 | | |
| 2 | Did your family participate in the dissemination meetings about compensation and entitlements of the project affected households | 179 | 100 | | |
| 3 | Was your family informed about the DMS plans to measure and survey your affected property | 179 | 100 | | |
| 4 | Did your family participate in the DMS to measure and survey your affected property | 179 | 100 | | |
| 5 | Was the measurement of affected land and houses accurate? | 179 | 100 | | |
| 6 | Did your family review and sign in the DMS records and minutes? | 179 | 100 | | |

Source: EMC survey data in June 2022

55. **Assessment:** With the collected information, EMC assessed that at the section of packages Information dissemination, community consultation was implemented in compliance with approved RP, EMDP.

2.5. Detailed measurement survey process

56. The DMS progress in each package is as follows:

Table 11. The DMS progress according to the packages till 30/06/2022

| No. | Package | DMS Start Date | DMS End Date | Notes |
|-----|---------|----------------|--------------|---|
| 1 | CW-01 | 10/01/2021 | In progress | <ul style="list-style-type: none"> - Due to the adjustment of some positions on the route, the DCLDF reviewed and is organizing additional DMS for 71 households and individuals in Son Thuy commune - 13 households are related to forest land in Son Thuy commune, so they have not announced land acquisition yet. |
| 2 | CW-02 | 11/2021 | In progress | <ul style="list-style-type: none"> - Due to the adjustment of some locations on the route, there are currently 128 households that the DMS has not yet implemented - 124 households in 04 communes are related to forest land, so they have not announced land acquisition yet. |
| 3 | CW-03 | 19/8/2021 | In progress | <ul style="list-style-type: none"> - Due to the adjustment of some locations on the route on March 2, 2022, PMU.2 has just handed over the adjustment of the total number of households that must additionally declare 100 AHs |

| No. | Package | DMS Start Date | DMS End Date | Notes |
|-----|---------|----------------|--------------|---|
| | | | | - 29 households are related to forest land, so they have not been announced about the land acquisition. |
| 4 | CW-4 | 17/9/2021 | March 2022 | |
| 5 | CW-5 | 21/1/2022 | March 2022 | |
| 6 | CW-6 | 17/9/2021 | March 2022 | |
| 7 | CW-7 | No | No | Not yet started the DMS |
| 8 | CW-8 | 24/5/2021 | June 2021 | |
| 9 | CW-9 | 29/3/2021 | October 2021 | |
| 10 | CW-10 | 12/03/2021 | March 2022 | |
| 11 | CW-11 | 15/12/2021 | In progress | Final DMS in July/2022 |

Source: DCLDFs and PMU.2 June 2022

57. DMS has been implemented for 10/11 packages (except Package CW-07 due to adjustment of DD), in which DMS of 06 packages (CW- 4; CW-5; CW -6; CW- 8; CW-9 and CW -10) were completed.

58. 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 January to June 2022, 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.

59. Quantitative survey results: The project considered the land origin, transaction history and developed compensation and support plans in line with the project's policy. The specific survey results are as follows:

- ✓ 100% of the households are informed about the DMS plan during the DMS implementation.
- ✓ 100% of the households participated in the DMS and identified affected assets and provided proof of the source of their assets.
- ✓ 100% of the households were invited to sign the DMS related to their affected property.
- ✓ 100% of the households received 01 copy of DMS results related to their affected property.
- ✓ 100% of the households agreed with the DMS results of the survey team.
- ✓ 100% of the households (179 affected households) are pleased and agreed with the DMS results and had no complaints recorded related to DMS activities.

60. At the monitoring time, over the entire scope of Package CW-6, CW-8 and CW-9, the DMS dossier has been completed. The compensation and support plans were prepared and made public in accordance with the regulations.

61. **Assessment:** The DMS on the affected assets was pursuant to the state process as well as stated in the RPs/uRPs. The implementation progress has improved a lot compared to the 2st monitoring, however, the progress of DMS is still slow, which needs more human resources from the DONRE, the Department of Infrastructure Economics, the DOF, the cadastral officials of the communes/wards/towns join with DLCDF team to speed up the progress in time.

2.6. Preparation and approval for the compensation plans

62. **Legal framework and applicable policy.** The prepared compensation plans have been applied according to the project's RF, the project's RP approved by the ADB and the decisions on compensation, support and resettlement policies when the State acquires land in Lai Chau and Yen Bai provinces. As of June 2022, the uRPs for packages: CW-4 & CW-6, have been approved by the ADB. Based on the approved uRPs, the district DCLDFs will develop compensation plans in compliance with the ADB's policy.

63. In the first 6 months of 2022, the People's Committee of Lai Chau province and the People's Committee of Yen Bai province issued the decisions to approve the levels of support under the approved uRP of the project to ensure the compliance with the ADB's policy, specifically:

- Decision No.295/QD-UBND dated March 8, 2022 of Lai Chau Provincial People's Committee stipulating the levels of support for temporary loss of income for organizations, households, and individuals with affected production and business;
- Decision No.1055/QD-UBND dated 4/7/2022 of the People's Committee of Yen Bai province on approval of objects and levels of support according to the ADB policy.

64. With packages: CW-8 and CW-9, based on the corrective action plan (CAP) approved by the ADB, the PPC issued a decision on the beneficiaries and levels of support under the uRPs to ensure the entitlements of the affected people.

65. **Replacement costs:** The project compensation prices were determined according to the replacement cost and the compensation plans applied according to the replacement cost for affected land and assets. The determination of replacement cost is carried out by an independent price appraisal company that is qualified for these activities in accordance with the regulations of the Ministry of Finance.

Table 12. Decisions on approval of replacement cost

| Provinces | Districts | Decisions |
|-----------|---------------|--|
| Lai Chau | Lai Chau city | Decision No.588/QD-UBND dated May 26, 2021; Decision No.455/QD-UBND dated May 27, 2021 and Decision No.534/QD - UBND dated May 17, 2021. |
| | Tam Duong | |
| | Tan Uyan | Decisions on land prices for compensation calculation (No.1656/QD-UBND dated November 8, 2021) and Decision No.1391/QD-UBND dated October 21, 2021 on compensation prices for property, plants and animals for Tan Uyen district and Than Uyen district. |

| Provinces | Districts | Decisions |
|-----------|-----------|--|
| | Than Uyen | Decision on land prices for compensation calculation (No.3213/QD-UBND dated September 10, 2021); Decision No.1391/QD-UBND dated October 21, 2021 on compensation price for property, crops and livestock for Tan Uyen district and Than Uyen district. |
| Yen Bai | Van Yen | Decision No.2210/QD-UBND dated October 8, 2021; Decision on land prices for compensation calculation (No.3654/QD-UBND dated October 4, 2021 for Dai Son commune; No.3702/QD-UBND dated October 8, 2021 for An Thinh commune; and No.3703/QD-UBND dated October 8, 2021 for Mo Vang commune). |
| Lào Cai | Van Ban | Decision on land prices for compensation calculation (No.4500/QD-UBND dated 24/11/2021). |

66. Through discussions with the DCLDFs, the compensation unit prices for affected land and assets on land applied to the project are appropriate and acceptable to the people. Moreover, the province has just issued a 5-year land price list for the period of 2020-2024 and a number of decisions on policies and compensation unit prices for houses, structures, crops and plants in 2021.

67. The interviews with the affected people show that the 81% believe that the compensation prices are in line with the market prices and they are pleased with the compensation unit prices. Some people think that they are not affected much along the route while making roads will be convenient for the economic development and trade with other provinces, and wide and beautiful roads will make easier for the children and fellows to travel faster.

68. **Assistances:** As mentioned in the monitoring report for the second half of 2021, the supports have been prepared and approved for packages CW-8 & CW-9, but they have not yet fully complied with the approved RPF/RP/uRPs the ADB cleared. Some support amounts have not been shown in the prepared and approved compensation plans are: (i) living stabilization support for the households whose production land is less than 10%; (ii) living stabilization support for the households whose production land is recovered from 10% to less than 30%; (iii) support for business affected households due to the construction period; (iv) inadequate support for vulnerable households according to the project policies. The Corrective Action Plan (CAP) has been prepared and monitored to ensure the rights of the AHs. For instructions from the Provincial People's Committee, please refer to the legal basis above.

69. **Preparing compensation plans.** The compensation plans were based on the final DMS and regulations of provinces, project policy, instructions of the province. After making, the compensation plans were made public for the households' reviews according to the regulations. The minutes of publicizing compensation plans were stored at the offices of the site clearance agencies.

70. **Assessment:** It can be said that the preparation and approval of the compensation plans for Package CW- 8 and Package CW- 9 has not been fully compliant with the RPF/RP approved by the ADB. Some supports under RPF/RP have not been fully expressed in the compensation plans prepared and approved. The approved DDRs were approved and the

EMC and the internal monitoring consultant will update the CAP implementation results in the internal monitoring reports and the independent monitoring reports.

2.7. Approval of Compensation Plan and payment progress

71. **Approval of compensation plans:** At this monitoring report, the compensation approval data of the packages are listed in the table below. The list of approval decisions is summarized in Appendix 1 of this report.

72. **Payment progress.** The compensation payment has been made for the packages: CW-6, CW-8 and CW-9. The detailed information and status of each package is as follows:

Table 13. Data on approval and payment of compensation for Package CW- 6, CW-8, CW- 9

| No. | Packages number | Total AHs according to the final DMS | Number of AHs approved in compensation plans | Approved compensation amount (Billion VND) | Number of compensation plans | Amount of compensation paid (Billion VND) |
|--------------|-----------------|--------------------------------------|--|--|---|---|
| 1 | CW- 6 | 782 | 45 | 3,418.313 | By the time of this report, 02 new compensation plans have been approved in June 2022, of which 01 compensation plan of Tam Duong district and 01 of Tan Uyen district. | 1,913.283 |
| 2 | CW-8 | 582 | 582 | 53,663.749 | By the time of this report, 05 new compensation plans have been approved in March, May and June, of which 02 compensation plans in Lai Chau city and 03 compensation plans in Tam Duong district. | 43,603.122 |
| 3 | CW- 9 | 921 | 892 | 48,759.625 | By the time of this report, 20 new compensation plans of Tam Duong district have been approved for the period from October to December 2021. | 41,062.000 |
| Total | | 2.285 | 1.519 | 105,841.687 | | 86,578.407 |

Source: DCLDFs in June 2022.

73. By the time of preparing this report, 1,519 households have received compensation relating to 03 packages (CW- 6, CW-8 & CW- 9). The Compensation Committees/LFDCs complied with the payment order/procedure in accordance with the laws. People were invited and provided with full information about the time and place of compensation. The compensation payment was made at the headquarters of the commune/ward people's

committees. Normally, for those who do not stay in the local areas, the LFDCs make announcements on radio/television speakers. After 03 times of notification when no one come to receive, the unpaid compensation amount is sent to the State Treasury for management. The survey results show that 22 households affected by Package CW- 6 are satisfied with the payment carried out by the LFDCs in June 2022.

74. The most concern of the site clearance at present is that PMU.2 has not allocated sufficient capital to pay for affected households. By the end of June 2022, 04 uRP/EDMP documents have been approved by the ADB in addition to the supports according to the ADB regulations which were approved by the provincial people's committees (Decision No.1055 of Yen Bai Provincial People's Committee and Decision No.295 of Lai Chau Provincial People's Committee). Accordingly, the LFDCs could prepare a large number of compensation plans for affected households. However, not allocating sufficient capital for the site clearance could greatly affect the psychology of site clearance staff as well as affected households. Especially with Package CW- 8, the compensation plans according to Decision No.1278/QD-UBND dated March 28, 2022 for 38 households and 03 organizations affected, with the total approved funding is VND 6,905,917,177, has not been prepared yet. With regard to the late payment of compensation, the LFDCs need to comply with the provisions of the Land Law (Section 2, Article 93 of Land Law 2013) on the payment of compensation, support and resettlement.

75. According to the document of PMU.2 sent to the Ministry of Transport on the basis of the synthesis from local documents and actual volume of site clearance of the packages, the Project needs about VND 829 billion more for the site clearance, including relocation of infrastructure works, reforestation cost, construction of resettlement sites... In this regard, the Ministry of Transport sent Document No.6173 dated June 20, 2022 requesting the Provincial People's Committee to check and review the site clearance cost on the basis of checking the construction of resettlement sites and relocate infrastructure works for the site clearance. In July 2022, PMU.2 planned to work with the People's Committee of the province and districts to review this issue.

76. The uRP and EMDP of Package CW- 6 were approved by the ADB and based on this document, the DCLDFs of Tan Uyen district and Tam Duong district completed and submitted 02 compensation plans for approval and made the compensation payment by the end of June 2022.

77. According to ADB-SPS 2009, one DDR was prepared for Package 8 in December 2021, as an addendum to the uRP of this package (Please refer to the uRP of Package 8 for more details on the DDR and the CAP).

78. With regard to Package CW- 9: In November 2021, due to the Government's policy on the capital plan management, the money allocated to the localities has not used up will be recovered to the Government's budget, but the People's Committees of the communes and local communities requested to pay the compensation to the affected households to stabilize their lives before the Lunar New Year. Therefore, the Compensation, Support and Resettlement Committee of Van Yen district disbursed the budget to pay the compensation to 184 households with the amount of VND 13,014,706,997. This payment before the uRP approval by the ADB is not in accordance with the project regulations, therefore, the DDR was required as an appendix to the internal monitoring report of Q1/2022 (Please refer to the internal monitoring report of Q1/2022 for more details on the DDR and the CAP).

79. The results of CAP implementation of packages: CW- 8 and CW- 9, are updated and presented in Appendix 1 of this report.

80. **Assessment:** The approval of compensation plans and payment of compensation for Package No.8 and Package CW- 9 before the ADB's approval of the updated uRP may lead to an inaccurate information for the households if this information must be modified after the uRP is approved. The results of monitoring implementation of corrective actions will be updated in the internal monitoring reports/periodic reports of the EMC.

81. The progress of CAP implementation of Package CW- 8 and Package CW- 9 is very slow, especially the additional supports required by the ADB. At the time of preparing this report in June 2022, the district people's committees have not approved any support amounts under the ADB policy. The supports that have not been fully paid are as follows: (i) Package CW- 8: lack of support to stabilize life for households affected less than 10% of their agricultural land according to Decision No.16 of the Provincial People's Committee and support for ethnic minority households; and (ii) Package CW- 9: lack of support stabilize life for the households affected 10-30% of their agricultural land and support for the vulnerable groups. At the beginning of July 2022, Yen Bai Provincial People's Committee released Document No.1055 to approve the support policy and it is expected that the supports of these two packages will be completed and paid in the 3rd quarter of 2022.

2.8. Source allocation of site clearance capital.

82. As of June 2022, PMU.2 has disbursed about VND 176 billion for the site clearance for 10 packages (except for Package CW-07), of which (i) period 2020-2021, the amount has been compensation is VND 173 billion and (ii) Q1/2022, the disbursed amount is VND 3.2 billion (the budget for the site clearance in 2022 is about VND 90 billion). This cost includes (i) compensation payment except for Package 08 and Package 09 and (ii) implementation cost of the DCLDFs.

83. The biggest problem at the time of preparing this report for the site clearance for the uRP-approved packages was the lack of funding to pay the compensation. The funding for site clearance in 2022 is allocated about VND 90 billion, if it is used up, the MOT will supplement about VND 47 billion.

84. In March and April 2022, the DCLDFs reported to PMU.2 about the site clearance funding for the packages. On the basis of these documents, PMU.2 has prepared Document No.82/Tr-BQLDA2 dated April 15, 2022 to the MOT proposing the adjustment of the investment policy relating to the total investment of the Project, increasing from **VND 5.339,591 billion** to **VND 6.168,602 billion**, an increase of **VND 829,011 billion**.

85. According to the document of PMU.2, the reasons for the increase in site clearance funding versus the Decision approving the capital structure of site clearance cost of the Project are as follows:

❖ About the land acquisition area and the number of affected households

+ According to the survey results of the Project Preparation Technical Assistance Consultant in 2018 (PPTA), compared with the overall site clearance plan of the approved districts, the acquired land area increases by 6.65 times (73.65 ha vs. 490.04 ha) and the number of affected households increases by 6.32 times (957 AHs vs. 6,045 AHs).

+ Causes: the PPTA, in the project preparation phase (in 2018), when carrying out the IOL of the estimated site clearance quantity according to the scope of the roadbed extension and the additional acquisition from the talus footing in accordance with the regulations, did not anticipate the widening of the site clearance area to ensure the locations where there are excavated slopes, drainage system of slopes and embankments, because the road goes through certain terrains with high slopes..

❖ ***Update compensation and support unit prices at the time of site clearance land acquisition of the Project***

According to the Project Policy Framework, the official compensation unit prices will be issued by the Provincial People's Committees based on the price appraisal results of the independent appraisal consultants at the time of land acquisition for site clearance.

❖ ***The number of eligible resettlement households increases significantly compared to the policy framework: Increase funding for compensation, support and resettlement cost.***

❖ ***Supplementing one cost-item such as: support cost for affected business HHs who temporarily lose their income and support cost for households who lose less than 10% of their agricultural land, that affects their production and living conditions.***

The total cost increases about **VND 336.467 billion** due to the following reasons: the area of land acquired, the number of AHs, updating compensation unit prices, the number of households eligible for resettlement, and the additional cost-item, which all increase.

❖ ***The arising cost of technical infrastructure relocation: increases about VND 344.901 billion.***

In the survey phase of the PPTA and the project policy framework, it was determined that there is no funding for compensation and relocation of technical works to be relocated within the site clearance of the project.

The relocation of technical infrastructure shall comply with the provisions of Decree No.11/2010/ND-CP dated April 15, 2010 of the Government and Circular No.50/2015/TT-BGTVT dated September 23, 2015 of the MOT and the related regulations.

In Section 9, Article 12 of Circular No.50/2015/TT-BGTVT dated September 23, 2015: "Essential works that are approved for construction and licensed for construction must be relocated promptly at the request of the competent road management agencies without compensation or support for relocation of these works. The project owners or users of essential works shall bear all responsibilities related to the construction and relocation of essential works."

PMU.2 issued Document No.296/BQLDA-PID5 dated February 28, 2022, Document No.683/BQLDA2-PID5 dated 30/03/2022, and Document No.522/BQLDA-PID1 dated 14/30/2022, requesting that the DPCs (the owners of the site clearance subprojects) to comply with the provisions of Decree No.11/2010/ND-CP dated April 15, 2010 and Circular No.50/2015/TT-BGTVT dated September 23, 2015 of the MOT, and the related regulations. However, when the local authorities working with the owners of technical infrastructure works (power lines, water lines, telecommunications, fiber optic cables...) they still meet many difficulties, e.g. the identification and collection of dossiers of some works found no

construction permits, the time of construction of technical infrastructure works within the scope of site clearance cannot be determined, it needs to be inspected and coordinated with many local branches, units, departments and agencies of the province to make basis for the districts to take this implementation. Therefore, the relocation cost of local technical infrastructure was provisionally estimated and will be determined after there are all dossiers and the official results of working with the owners of the works.

❖ **Construction of resettlement sites: building 07 resettlement sites, the cost increases about VND 96.5 billion.**

At the PPTA phase, the data to determine the number of affected households who lost their residential land are relocated and resettled was incomplete. At the project implementation phase, after the DCLDFs and the CPCs and towns consulted the local households and individuals who relocate to build the project, the number of households registering for resettlement sites increased, which resulted in the need for building resettlement sites for people, in addition to the households that received compensation and resettlement assistance in cash. Therefore, the construction cost of the resettlement sites increases compared to the site clearance plan determined in the total investment cost.

86. Specifically, PMU.2 reported and requested the MOT to adjust the capital structure of the Project as follows:

❖ Increase the capital of the Australian Government: from VND 101.630 billion to VND 146.313 billion, an increase of VND 44.630 billion.

❖ Increase the counterpart capital from VND 988.577 billion to VND 1,772.957 billion, an increase of VND 784.381 billion.

Table 14. Capital structure proposed to be adjusted

Unit: VND billions

| No. | Capital sources | The capital structure is approved in Decision No.2034/QĐ- BGTVT dated September 17, 2018 | Capital structure proposed to be adjusted | Deviance (+) increase (-) decrease |
|-----|---------------------|--|---|------------------------------------|
| 1 | ADB capital | 4,249.331 | 4,249.331 | - |
| 2 | Australian capital | 101.683 | 146.313 | 44.630 |
| 3 | Counterpart capital | 988.577 | 1,772.957 | 784.381 |
| | Total | 5,339.591 | 6,168.602 | 829.011 |

Source : Dispatch No.82/TTr-BDLADA dated April 15, 2021 of PMU.2 on approving adjustment of project investment.

87. For the proposal to adjust the site clearance capital, the MOT issued Document No.6173/MT-KHDT dated June 20, 2022 to the People's Committees of Lao Cai province, Lai Chau province and Yen Bai province requesting the inspection and review the cost of site clearance of the Project in these provinces for (i) relocation of technical infrastructure and (ii) construction of resettlement sites.

88. According to the content of this document, the MOT requested the People's Committees of the provinces to review the dossiers and documents for investigation, archiving, and determining the locations, construction time, and scale of works located within the road right of way to confirm the quantity and relocation cost of the technical infrastructure paid by the site clearance fund of the Project.

89. For 07 resettlement sites of the project, the MOT requested the provinces/districts to review the number of eligible households who want to move into the resettlement sites according to regulations to accurately determine the number of households, scale and location of construction of resettlement sites to meet the project's needs and comply with the current regulations.

Evaluation: The site clearance progress of all packages is behind the schedule because PMU.2 have not provided with fund for the site clearance. The guiding documents of the MOT, PMU.2 on determining the source of capital for relocation of technical infrastructure are not specific, so the localities/owners are confused in determining the responsibility for relocation of works for the site clearance. It is recommended that PMU.2 organize direct working sessions with the PPC/DPC to guide the implementation of this issue.

2.9. Relocation and Resettlement

i. Relocation and resettlement for AHs

90. At the report phase, total relocation households of 06 packages are 224 AHs. Many consultations have been conducted for these 224 relocated households on the selection and demands for relocation options. The results of the consultation showed that, out of 224 displaced households, 136 households chose self-relocation and 88 households chose the project's resettlement land plots. Below table presents the detail information of 06 packages.

Table 15. Resettlement options of 06 packages

| No. | Package | Total number of relocation AHs | Relocation AHs | |
|-----|--------------|--------------------------------|----------------------------------|----------------------------|
| | | | Receive cash and self relocation | Receive resettlement plots |
| 1 | Package 04 | 17 | 17 | |
| 2 | Package 05 | 6 | 6 | |
| 3 | Package 06 | 70 | 18 | 52 |
| 4 | Package 08 | 36 | | 36 |
| 5 | Package 09 | 23 | 23 | |
| 6 | Package 10 | 72 | 72 | |
| | Total | 224 | 136 | 88 |

Source. Data provided by LFDCs by June 2022

91. In order to protect the entitlements of the displaced households, the LFDCs hold meetings to work all displaced/relocated households to listen to their needs and aspirations about the resettlement and requirements on location, size and accessibility to the proposed resettlement sites of the project. The results of working with the displaced households are the basis for the LFDCs to develop resettlement plans and propose the location and scale of construction of the resettlement sites for affected households, who want to receive resettlement land plots, to the district people's committees.

92. Except 2B resettlement site of Lai Chau city, where infrastructure works are available and this site was funded by Lai Chau city, In December, 2021, 04 AHs received resettlement plots.

93. The project has invested 07 resettlement sites (RS), of which 04 resettlement sites are located in Van Ban district, providing 109 land lots for the displaced households affected by the packages: CW-2 and CW-3; and 03 resettlement sites in Tam Duong district, providing 84 resettlement lots for the affected households affected by the packages: CW-6 (52 plots) and CW- 8. The estimated total construction cost of 07 resettlement sites is about VND 96.5 billion.

94. The results of consultations with people that want to receive resettlement land show that people want the infrastructure to be fully provided to ensure their construction of houses and settling stably in the new places. Electricity, lighting, domestic water supply, drainage and internal roads need to be ensured to be able to settle in these areas. In fact, the location of the resettlement sites has been arranged by the localities close to the old residential areas, so they do not largely affect people's production and travelling activities. Therefore, people are satisfied with the resettlement sites built by the project.

95. At the monitoring stage, in June 2022, the resettlement site of Ban Hon commune center (Package CW-8) has completed about 85% of the infrastructure construction and is expected to hand over 22 resettlement lots to the AHs by the end of the third quarter of 2022.

96. The table below provides more information on the progress of preparing resettlement sites for the displaced households to implement the project.

Table 16. Update information on resettlement sites

| Packages number | Displaced AHs | Arrangement of resettlement | Status of resettlement sites | Number of AHs that have received relocation packages | Notes |
|-----------------|---|--|--|--|---|
| No. 02 | It is estimated that there are 109 relocation, in which 63 is main households and 46 are secondary households | The resettlement site of Tham Duong commune at Km 34+759 National Highway 279, total area 5,636.39 m2 with 12 land lots (average area 160m2, 8m x 20m). The total estimated investment cost of the resettlement site is VND 6.2 billion (including the cost of compensation, project management, consulting, construction and contingency cost. | There is no decision approving the investment policy | 0 | The DMS is not completed |
| CW-03 | | <p>The resettlement site of Duong Quy commune at Km 34+759 National Highway 279. The total area is 3.1 ha with 58 lots (average of each lot 160m2, 8m x 20m). The total investment is estimated at VND 35 billion.</p> <p>- Hoa Mac commune resettlement site at Km 22+600 National Highway 279. The total area is 5340 m2 with 19 land lots (average 120 m2, 6mx20m each lot). The total investment is expected to be VND 7.5 billion.</p> <p>- The resettlement site of Minh Luong commune at Km 44+295 National Highway 279. The total area is 8,258.29 m2 with 34 lots (average 150m2, 6mx25m each). The total investment is expected to be VND 5.7 billion.</p> | There is no decision approving the investment policy | 0 | The DMS is not completed |
| CW- 6 | 52 | The planned area of Ban Bo Resettlement site is 4.0 ha. The number of land lots is expected to be 52 lots. The average area of each lot is 300 m2, of which 120 m2 of residential land and 180 m2 of garden land. | It is expected to be completed and handed over to the households in the fourth quarter of 2022 | 0 | The uRP and the EMDP were approved by ADB in June 2022. |

Northern Mountain Provinces Transport Connectivity Project (NMPTCP)

| Packages number | Displaced AHs | Arrangement of resettlement | Status of resettlement sites | Number of AHs that have received relocation packages | Notes |
|-----------------|---------------|---|---|--|-------|
| CW-8 | 36 | Resettlement site 2B - Lai Chau city. Tam Duong district: 02 resettlement sites have been built, including Dong Pao resettlement site and the resettlement site of Ban Hon commune center. | Resettlement site 2B - Lai Chau city. The construction progress has been 85% and expected to hand over the land to the AHs in Q3/2022. | 4 | |

Source: DCLDFs in June 2022.

97. The RS arranged for the displaced AHs in the communes have adequate infrastructure and are close to public utilities and social services such as health centers, schools, markets, commercial centers. With regard to Package CW-8, the RS of Ban Hon commune center has 01 lot of land for building a cultural house and the RS of Dong Pao has 01 lot of land for building a school for students in that commune. In addition, the households displaced due to the land acquisition of the project implementation and resettlement development are living in the same area, so there will be no impact on the host community if they move to the RS.

98. According to the regulations of the project as well as the Lai Chau PPC, the unit prices of the resettlement land lots will be equal to or lower than the unit prices of compensation for the acquired residential land. If the unit prices of the resettlement land lots are higher than the compensation unit prices for the land acquisition, the AHs subject to the land acquisition will be supported with the difference corresponding to the acquired area. For the displaced AHs who choose to resettle by themselves, in addition to being compensated for the affected land at the replacement cost, they will receive a cash support to take care of their own resettlement.

99. **Assessment:** The construction of the RSs is very slow and affects the handover of resettlement plots to eligible households. Currently, only 1/7 of the RS have basically completed the infrastructure, specifically (i) Package CW-8 has 02 RSs, of which Dong Pao RS has not yet paid the compensation to the households for land acquisition for the construction of the resettlement site; for the RS of Ban Hon commune center, the progress has reached 85% and the resettlement lots are expected to be handed over in October 2022. Tam Duong DPC should soon determine the price of resettlement land and necessary procedures to grant resettlement lots to the households; (ii) The four RSs of Van Ban district have not been implemented yet because PMU.2 has not been able to allocate capital. The delay in construction of resettlement sites not only affects the progress of handing over the sites for construction but also increases the cost of site clearance due to the need to rent houses for relocated households, which is the risk of non-cooperation in handing over the premise for the project when relocated households are slow to receive resettlement land plots.

ii. Relocation of infrastructure

100. The total technical infrastructure to be relocated includes 1,417 electric poles (03 high-voltage poles, 225 medium-voltage poles, 1,189 low-voltage poles), water pipes 71,112m, and telecommunication cables of all kinds (239,790m). Currently, the localities are moving 512 poles (including 03 high-voltage poles, 56 medium-voltage poles, 453 low-voltage poles); telecommunication cables of all kinds 1,234m. For the remaining volume, the consultants are preparing a plan to relocate technical infrastructure and expected to complete the relocation of all technical infrastructure affected by the project in the third quarter of 2022 in Lao Cai, Lai Chau and Yen Bai provinces.

101. **Evaluation.** The relocation progress of the infrastructure is very slow due to incomplete implementation instructions from MOT and PMU.2. The DCLDFs of Van Ban, Tan Uyen and Tam Duong said that the guidance on compensation for technical infrastructure of MOT and PMU.2 is not clear, especially for the works that do not have a commitment to self-relocate with the transport sector. On the other hand, the time to move the medium voltage power line will be very long, while the local electricity company has not coordinated to implement it because the owners do not know where the capital source to pay for this cost. Therefore,

PMU.2 is requested to coordinate and support (i) clearly determine which works are compensated and (ii) urge the local electricity company to carry out the relocation.

2.10. Forest land acquisition

102. The total area of forest land to be converted to the Project is classified according to the origin of forest formation (natural forest is 39.621 ha and planted forest is 66.432 ha); and according to the forest types (Special use is 2.741 ha, protection forest is 4.526 ha, production forest is 89,694 ha, and forest outside forestry planning and originating from production forest land is 9,093 ha). Thus, according to the provisions of Article 14 and Item 2 of Article 20 of Law No.16/2017/QH14 - Law on Forestry, the Prime Minister is authorized to decide the policy for the acquisition of forest land.

Table 17. Statistics of forest land to be acquired by the packages

| Packages number | Unit | Types of forest land | | | |
|-----------------|------|----------------------|----------------------|---------------|---------------|
| | | Production | Outside the planning | Special use | Protection |
| CW- 1 | m2 | 181,070 | | | |
| CW- 2 | m2 | 66,099 | 43,151 | | |
| CW- 3 | m2 | 2,340 | 4,568 | 27,408 | |
| CW- 4 | m2 | 34,181 | | | 25,133 |
| CW- 5 | m2 | 10,436 | | | |
| CW- 6 | m2 | 6,077 | | | |
| CW- 7 | m2 | 110,721 | | | |
| CW- 8 | m2 | 4,496 | | | |
| CW- 9 | m2 | 118,613 | 4,547 | | |
| CW- 10 | m2 | 264,161 | 3,233 | | |
| CW- 11 | m2 | 98,749 | 35,426 | | 20,124 |
| TOTAL | m2 | 896,943 | 90,925 | 27,408 | 45,257 |
| | ha | 89.694 | 9.093 | 2.741 | 4.526 |

Source: the data provided by the DCLDF as of June 2022.

103. According to Loan Agreement No.3762-VIE signed on March 5, 2019 between the Government of Vietnam and the ADB, the afforestation is carried out as an item of the construction packages and the funding is from the ADB loan. Based on the content of the meeting on July 6, 2021, after reviewing the provisions of the Loan Agreement, Vietnam's regulations, the decisions approving the investment policy, the decision approving the project investment, the MOT, the ADB and the DFAT agreed to use the counterpart fund of the Project to carry out the afforestation to replace the lost forest area.

104. For the ADB's request, because the project uses the counterpart fund for site clearance to carry out the afforestation to replace the lost forest area and fulfill the obligation in the form of non-self-planting (Document No.7596/BGTVT-KHDT dated July 26, 2021 of the MOT on determining the source of fund and how to organize the obligation to plant replacement forests as prescribed in Article 4 of Circular No.13/2019/TT-NNNNPTNT, so PMU.2 is responsible to pay the full amount of replacement afforestation to the Forest Protection and Development

Fund of the provinces in order that the localities can organize the afforestation according to the regulations). The total reforestation cost of 03 provinces is about VND 15.4 billion.

105. Currently, the relevant ministries have responded and the Ministry of Agriculture and Rural Development will synthesize documents of the People's Committees of the provinces to report to the Prime Minister for approval of the policy of changing the purpose of forest land. It is expected that by the end of July 2022, PMU.2 will complete the procedures for applying for the policy to change the purpose of forest land. It is expected that in August 2022, the plan to pay for replacement afforestation will be completed and in September 2022, the obligation to pay for replacement afforestation will be completed for the packages in 03 provinces.

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

106. At this reporting period, the section of 490 m of the route located in Van Yen district, Yen Bai province (which is public land without compensation and affected households) has been handed over to the contractor of Package CW-9 for the project commencement.

Table 18. Progress of handing over land

| No. | Packages | The scope of the project's impacts | | Scope of the project handed over to construction companies | | Notes |
|--------------|----------|------------------------------------|-------------|--|-------------|---|
| | | Area of land to be acquired (m) | Length (km) | Area of land to be acquired (m) | Length (km) | |
| 1 | CW- 6 | 97.664 | | 9.664,0 | | On December 27, 2021, the ADB issued one no-objection letter to permit the construction from Km146+140 to Km146+540. |
| 2 | CW- 8 | 414.857,5 | | 1.600,0 | | On June 23, 2022, the project ground-breaking ceremony at Km4+790 to Km5+280 was carried out. |
| 3 | CW- 9 | 357.341,6 | | 5.000,0 | | On June 28, 2022, the DCLDF handed over at the field 1.1km (Km 111+700 to Km 112+700) with the participation of PMU.2 and CS1 consultant. |
| Total | | 869.863,9 | | 16.264,0 | | |

Source: Report provided by PMU.2 and DCLDFs, June 2022.

107. The handover of the site for the project is still slow because the AHs have not received full supports under the approved uRPs of Package CW- 8 and Package CW- 9 (lack of support for the living stabilization for the households aged 10-30%, support business households during construction and support vulnerable groups).

108. The reason for the delay in completing the payment of supports according to the ADB's regulations is that the time for appraisal and approval of additional policies according to the ADB's regulations by Yen Bai and Lai Chau PPC is very slow. At this reporting stage, Lai Chau PPC issued Decision No.285/QD-UBND dated March 8, 2022 to support the affected business households and Yen Bai PPC issued promulgate Document No.1055/QD-UBND on July 4, 2022 approving beneficiaries and levels of support according to the ADB policy.

109. Based on the legal documents of the province, the DCLDFs will finalize the compensation plans for the above supports and it is expected that the payment of these supports to the affected households will be completed by the end of Q3/ 2022.

110. During the monitoring period in June 2022, for Package CW-8, construction activities are being carried out in the section of the route that has not been fully compensated and supported.

111. Based on the documents provided by the JV of contractors, Company 68 and Lai Chau Company No.10, PMU.2 handed over the site with 12,140 km out of the total length of 16.58 km of the whole route, of which 8.070 km are in Tam Duong district and 4.070 km are in Lai Chau city.

112. According to the monitoring results, the contractor is working on the length of about 2.9km/12.140km where the site has been handed over and the supports have not been fully paid for the affected households according to the approved uRP. The supports which are not paid in full include (i) support to stabilize the life of households losing less than 10% of their agricultural land in Lai Chau city according to Decision No.16 of Lai Chau Provincial People's Committee; (ii) support for EM households and (iii) support for business households temporarily affected during construction.

113. For Package CW- 8, the supports under uRP have not been paid to affected households, including: 614 vulnerable AHs, 35 business AHs during the construction period, and 124 severely AHs lost 10-30% of their total arable land.

114. During the field work, the contractors said that construction companies have just concentrated on the treatment of landslides for some sections of the route and to avoid waste when they have mobilized a large amount of machinery and personnel to perform the task as well as ensure the construction progress in the period of less rainy weather in Lai Chau province.

115. For Package CW- 6, section 1.1km was handed over by the DCLDF to PMU.2 and the contractor (Company 568) and the compensation/support for 29 AHs completed according to the uRP approval. The safeguard policy consultant of CS1 will prepare the site clearance report for this section for the ADB to confirm the award of the construction contract.

116. **Evaluation:** Construction activities are performed outside the scope approved by the ADB and have not yet been fully paid for the support payments to the AHs for Package CW- 8. PMU.2 needs to work closely with the DCLDFs to complete the payment of these supports to the people, ensuring the compliance with the project's policies.

2.12. Grievance Redress and Mechanism (GRM)

117. 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 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.

118. During the finalization of the DMS and making and publicizing the compensation and support plans of Package No.8 and Package No.9, all opinions and questions were promptly explained by the DCLDF's staff and clarified with the affected people. The majority of the affected people agreed to sign the DMS minutes and the compensation and support plans. In the second monitoring report, two households, Nguyen Tien Dung and Nguyen Van Thu, proposed to additional DMS for affected structures, trees, and crops of all types (in the form of oral complaints directly to the DMS and DCLDF officials). Van Yen DCARC has reviewed the family's DMS documents and submitted an additional plan to the households. Progress information was informed to these 2 AHs.

119. By June 2022, there have been 2 verbal opinions/suggestions from 02 resettled households who wanted to receive resettlement land in addition to the cash support of VND 200 million (Ly Seo Chung household, Doan Ket village, Dai Son commune; and Vu Thi Phuong household, Cong Trao Village, An Thinh commune). The Van Yen DCLDF is working with the concerned agencies to consider the opinions of these two households.

120. **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.

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

121. For Package CW-8 and Package CW- 9, the DCLDF representatives said that they kept the LURCs of the affected households and adjusted the LURCs for the remaining land of the AHs. The affected households do not have to pay any costs for the re-issuance of the LURCs. Currently, the adjustment of the LURCs has been carried out by the DONRE Lai Chau and the Yen Bai PPC. The progress reaches 85% of the total AHs in the two packages (in 1,251 AHs). As project entitlement, AHs will not have to pay any fee to adjust the land use right certificate. In the monitoring phase, it is confirmed that AHs do not have to pay fee for re-adjustment the LURCs.

2.14. LRP implementation

122. At this monitoring report, the PMU.2, DCLDFs and the Consultant that prepared the uRPs are collecting data, preparing the LRPs, and updating them to the uRPs. The uRPs of packages: CW-4, CW-6, CW-8, CW-9 have been approved by the ADB. The uRPs of packages: CW-5, CW-10 are under the ADB's review. According to data from the LFDCs, the total of 725 AHs are eligible to participate in the ILRPs, the classification of the subjects is shown in the table below.

Table 19. Number of households eligible to participate in LRP

| No. | Total AHs | Number of households eligible to participate in LRP |
|-----|-----------|---|
|-----|-----------|---|

| | Package number | | Total | Business AHs | Relocation AHs | Severely AHs | Vulnerable AHs |
|---|----------------|-------------|------------|--------------|----------------|--------------|----------------|
| 1 | CW-4 | 760 | 455 | | 17 | 71 | 422 |
| 2 | CW-5 | 703 | 339 | | 6 | 60 | 335 |
| 3 | CW-6 | 782 | 470 | 3 | 4 | 458 | 458 |
| 4 | CW-8 | 582 | 366 | 23 | 36 | 3 | 347 |
| 5 | CW-9 | 921 | 359 | 12 | 23 | 121 | 267 |
| 6 | CW-10 | 491 | 472 | 3 | 6 | 1 | 462 |
| | Total | 1503 | 725 | 35 | 59 | 124 | 614 |

Source: uRPs/uEMDP approved by the ADB.

123. On April 25, 2022, PMU.2 issued documents to the PPC requesting the implementation of the LRP and the PPC had documents assigning the work to the DPC. Currently, the DPC are completing the procedures for assigning tasks to the DCLDFs/ DCARCs. On that basis, the DCLDFs, based on approved uRPs/uEMDPs, officially determine the number of households in this category, prepare and report to the DPC the LRP implementation plans. These LRPs are expected to be implemented in the fourth quarter of 2022.

124. The EMC recommends that PMU.2 and the districts implementing Package CW-8 to implement the LRP as soon as possible. The EMC will continue to monitor and update in the next report.

125. **Evaluation:** The LRP implementation is a new content that most of the DPCs have no experience in implementing. The DPCs request PMU.2 directly or through an experienced consultant/expert to organize training for the Districts on the LRP to ensure the effective implementation. The estimated proposed schedule is Quarter 4/2022.

2.15. EMDP implementation

126. During project preparation, the EMDPs were prepared for each project province and approved by the ADB. At this monitoring period, the socio-economic surveys and consultations were conducted in order to update the EMDPs. The updated EMDPs have been prepared for packages: CW-4, CW-5, CW-6, CW-8, CW-9 and CW-10. The updated EMDPs for packages: CW-4, CW-6, CW-8 and CW-9 have been approved by the ADB. The updated EMDP for packages CW-5 & CW-10 is under review. Due to the scale and extent of the project's impacts on EMs, the ADB changed the Indigenous Peoples to group A (defined as severely affected households).

127. During the EMDP update, a number of activities related to detailed survey and measurement such as identification of EM HHs, consultation, information dissemination on the project and compensation policy were carried out. At the time of this report, the updated EMDP for the packages: CW-4, CW-6, CW-8, CW-9 has been approved by the ADB, so the Independent Consultant recommends that the districts implement the updated EMDP immediately.

128. During the first 6 months of 2022, many consultation and survey activities have been carried out for the ethnic minority groups to collect information about their aspirations, needs and desires in the project implementation process. The total of 1,416 EMs participated in 39 consultations and community meetings organized by the uRP/SES consultants, construction supervision consultants (CS1), and EMC together with local compensation agencies for site clearance in the process of carrying out the inventory and meeting to announce the land acquisition according to the information dissemination process of the project.

129. In addition, for Package CW-8 in Tam Duong district, 8 EMs were hired to support and work as the cleaners at the construction contractor's offices.

130. EMDP activities have not been carried out much based on the EMDPs approved for the packages. In fact, the EMDP implementation is only at the stage of disseminating information about the project, its policies for ethnic minorities and disseminating people's needs in participating in income restoration programs, during the uRP update process. These implementation activities are expected to be integrated with the project's LRP and the Consultant will carry out these actions in Q3/2022 to ensure the rights of the people and compliance with the project's policies.

131. Similar to the RP, the EMDP needs to be completed and updated soon for the remaining packages to submit to the ADB for review and approval for publicity and implementation. The EMDP update progress is being implemented along with the RP update progress.

2.16. Assessment of the levels of satisfaction of the project AHs

132. 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.

133. 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.

134. According to the survey results: 45% of the participating households said the compensation prices are acceptable, 38% of the participating households said they were pleased with the compensation prices; 6% said they were very pleased with the compensation prices; while 11% said they were not pleased with the compensation prices and thought that the compensation prices were not appropriate. However, in fact, when being propagated and explained by the local government about the practical benefits of investing in the construction of this road, travel activities will be improved, travel time will be reduced and the value of land will be increased, people understood and support the project. When people were fully aware and understood about the project benefits, they agreed and did not have complained on the compensation prices.

Table 20. Levels of satisfaction of the APs about compensation prices

| Levels | Number (APs) | Rate |
|--------------|--------------|-------------|
| Very pleased | 11 | 6% |
| Pleased | 68 | 38% |
| Acceptable | 81 | 45% |
| Unpleased | 19 | 11% |
| Total | 179 | 100% |

Source: Household survey results, June 2022.

135. The EMC did not record any complaints during the monitoring period related to compensation prices for production land, residential land and assets attached to land. The monitoring results by questionnaires with 179 participating AHs are evidence for this confirmation.

136. The monitoring results show that the compensation and support payment is directly made by the DCLDFs/ DCARCs, CPC and heads of villages/residential areas. Before the payment, the AHs were informed about the time and place to receive compensation and support. Usually, this activity is carried out at the headquarters of the People's Committees of the communes, wards, community cultural houses, and village cultural houses. 87% (156 affected households) of the surveyed households said that they were pleased with the compensation/support payment process, time and place and only 6% of households (11 affected households) were not pleased with the results above.

Table 21. Levels of satisfaction of the APs with the process, time and place of compensation/support payment

| Levels | Number (APs) | Rate |
|--------------|--------------|------------|
| Very pleased | 12 | 7% |
| Pleased | 156 | 87% |
| Unpleased | 11 | 6% |
| Total | 179 | 100 |

Source: Household survey results, June 2022.

2.17. Obstructions and pending issues in RP/EMDP implementation

Table 22. 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 CW-7. | Delay of design process of SMEC consultant | PMU.2 continues to supervise and speed up |
| 2 | Delay in updating RP, EMDP | The delay of DMS affected the activities of consultant | 04 RPs and EMDPs were submitted in June 2022, of which 02 uRPs and EMDPs were approved |

| No. | Pending issues/ Obstructions | Nature of issues | Status of issues |
|-----|--|---|---|
| | | | by the ADB; 05 remaining uRPs, EMDPs will finalize in Q3/2022. |
| 3 | Delay in implementing CAP of Package CW-8 and CW-9 | <p>Yen Bai PPC is slow in approving additional documents on support policies according to the ADB's regulations.</p> <p>Lai Chau City People's Committee is slow to approve the support for business households and affected households whose property is affected below 10%.</p> | <p>On July 4, 2022 Yen Bai Provincial People's Committee issued Document No.1055 approving the level of support according to the ADB's policy.</p> <p>On July 4, 2022, the People's Committee of Lai Chau City approved the compensation plans for 16 affected business households, but has not yet approved the compensation plans for the households who are less than 10% of their property.</p> |
| 4 | Deploying LRP | <p>PMU.2/ PPCs have issued the assignment of work to the DCLDFs.</p> <p>The DCLDFs have no experience with this content.</p> | It is recommended that PMU.2 organizes training courses to guide the implementation of the LRP. |
| 5 | Implement the EMDP | The households belonging to the ethnic minorities need up-to-date information on EMDP benefits and activities. | The DCLDFs need to publicize updated RP/EMDP information through the project information booklet so that the households can understand. |
| 6 | Construction progress of resettlement sites | The progress is very slow due to lack of construction funds | PMU.2 needs to allocate capital to ensure the progress of site handover |
| 7 | The relocation of technical infrastructure | The guidelines of the MOT and PMU.2 are incomplete, leading to confusion for local authorities and owners in | PMU.2 should clearly identify which works are compensated and urge |

| No. | Pending issues/ Obstructions | Nature of issues | Status of issues |
|-----|--|--|--|
| | | determining the source of funds. | the owners to move the technical infrastructure. |
| 8 | Arrangement of site clearance fund | Delay on payment due to lack of site clearance funding | PMU.2 works with the MOT to promptly explain related issues. Arrange site clearance funding for the ADB - approved packages |
| 9 | Completing procedures for conversion of forest land use purposes | According to the plan, this work will be completed by the end of June 2022, however, this progress has been delayed. | <p>It is expected that in August 2022, the plan to pay the replacement afforestation cost will be completed in September 2022.</p> <p>However, MOT/PMU.2 needs to arrange the budget of VND 15,496 billion to forest to replace the affected areas in 3 project provinces.</p> |

2.18. Compliance levels of RP/EMDP implementation

Table 23. The compliance with the RPs/EMDPs implementation

| No. | Areas | Project policies | Actual Implementation by provinces | Compliant assessment | Proposed Solutions |
|-----|--|--|---|-------------------------|---|
| 1 | 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 | |
| 2 | 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. | Partly compliant | Explanation and checking DMS as requested of HHs still delay and should be improved. |
| 3 | Replacement costs | Independent monitoring consultants should be mobilized to establish compensation unit prices at replacement cost | The consultants that independently supervise the prices have been mobilized for all packages except Package CW-7. | Compliant | |
| 4 | Payment of compensation, assistance | The compensation payments are made before construction activities begin. The compensation is made once directly to each affected household. | The compensation was paid before the ADB approved uRP of Package No.8 and Package No.9. The DDR was approved and the CAP monitoring results was updated in the quarterly internal monitoring reports and the EMC's independent monitoring reports. | Non-compliant but fixed | The DDR has been established for Package No.8 and No.9, LFDCs have prepared additional allowance as approved CAP |
| 5 | Relocation and Resettlement | Relocation plans are provided to the households through consultation and timely implemented according to 6schedule | In Package CW-8: Lai Chau city has 04 households allocated land in resettlement site 2B in December 2021. In Tam Duong district, the procedures are being completed to invest in the construction of Dong Pao resettlement site. The resettlement site of Ban Hon commune center has reached 85% of progress and is | Compliant | The relocation options are prepared to disseminate the households through consultations; timely implementation according to schedule. |

| No. | Areas | Project policies | Actual Implementation by provinces | Compliant assessment | Proposed Solutions |
|-----|---|---|---|----------------------|--|
| | | | <p>expected to hand over the resettlement lots to affected households in Q4/2022.</p> <p>In Package CW-9: All 23 displaced households opt to receive cash support and the lowest level is 200 million VND/household to relocate themselves. The affected households have fully received this support.</p> | | Accelerate the infrastructure construction of 06 resettlement sites, of which 02 are in Tam Duong district (packages 6 & 8); 04 resettlement sites of Van Ban district (packages CW-2 & CW-3). |
| 6 | Impact on income/livelihood due to losing production land | <p>In addition to the compensation at market prices, the families who are lost agricultural land are supported to change jobs and find jobs.</p> <p>The households who lose from 10% of their productive land will be supported to stabilize their lives and participate in the ILRP.</p> | <p>The support for the households having agricultural land affected less than 10%, Package 8, under Decision No.16 of the Provincial People's Committee is being implemented. Currently the DCLDF of Lai Chau city has not approved this option and it is expected to complete the payment in Q3/2022.</p> <p>The ILRP has not yet implemented.</p> | Not fully compliant | It is recommended that PMU.2 collaborate with the CS Consultant to conduct training activities to guide the implementation of the ILRP. |
| 7 | Allowance for vulnerable households | Need to provide support to vulnerable households and tham gia ILRP | Expected to be completed in Q3/2022 for Package CW-8, Q3/2022 for Package CW-9. | Not fully compliant | The DCLDFs are requested to immediately follow the approved uRPs and uEMDPs. |
| 8 | Gender issues | Gender-specific actions under the RP and GAP have been approved by the ADB. | The actions are taken by the DPCs and the DCLDFs. Women are engaged in the project activities such as being invited to consultative meetings, advised on compensation and support, etc. | Compliant | Gender-specific actions under the RP and GAP have been approved by the ADB. |
| 9 | EM issues | Follow the uEMDPs approved by the ADB | Relevant information is collected to update the EMDP of packages CW- 8 & CW-9. The uEMDPs will be implemented after the ADB approves them. | Not fully compliant | Follow the uEMDPs approved by the ADB |
| 10 | Grievance redress | GRM will be established, informed to HHs and other stakeholders and | The GRM has been developed and disseminated to the households and other stakeholders. The EMC has | Compliant | |

| No. | Areas | Project policies | Actual Implementation by provinces | Compliant assessment | Proposed Solutions |
|-----|---|--|--|----------------------|--|
| | | easy to access. Complaint should be resolved on time. | provided the template for the DCLDFs to track household complaints. PMU.2 or local authorities have not received any formal complaints. There are 02 cases of oral opinions on resettlement land allocation, in addition to the amount of VND 200 million, who have received support for self-relocation. Package CW- 9 is being consulted by Van Yen DCARC to resolve. | | |
| 11 | Fund for land acquisition and resettlement activities | Fund for land acquisition and resettlement activities ready for implementation | PMU.2 has sent MOT Document No.82/TTr dated April 15, 2022 requesting for the approval of the adjustment of the investment policy and proposing an addition of VND 829.011 billion for the site clearance. | Partly compliant | The lack of capital makes the site clearance difficult. For the compensation plans that have been made and the compensation has not yet been paid, it is requested to comply with Article 90 of the Land Law that the interest is calculated for the affected households who have not yet received compensation. |
| 12 | Monitoring and evaluation | Internal and External monitoring | 2/3 Internal monitoring Consultant is being mobilized. During the time waiting for the mobilization of Consultant, PMU.2 directly implemented the internal monitoring. External consultant was mobilized and implemented | Compliant | |

III. CONCLUSIONS AND RECOMMENDATIONS

3.1. Conclusions

137. The compensation has been implementing simultaneously in 10 packages in 03 project provinces. The awarding progress of the construction contracts of all packages are expected in the third quarter of 2022, which have been delayed due to the slow progress of the RP/EMDP implementation. Currently, the DMS have been conducted for 10/11 packages. Of which, the DMS is completed for the AHs within right of way (ROW) of the packages; CW-4; CW -05; CW-6; CW-8, CW-9, CW-10 and, while the DMS is being conducted for package CW -01; CW -02 CW -03 and CW -11; 04/11 packages completed updating the RP/EMDP and approved by the ADB (packages of CW-4, CW-6, CW-8 and CW-9); the uRPs/EMDPs of 02 packages: CW-5 and CW-10 are being reviewed by the ADB; for the remaining packages, the uRP/uEMDPs are expected to be completed in the third quarter of 2022.

138. The compensation of the project provinces has basically complied with the RPF/RP approved by the ADB. The replacement cost survey for affected land and assets on land has been carried out to apply to the project. however, the process and compensation documents of the project have been complied with the domestic regulations but have not fully complied with the requirements of the project due to the pressure of disbursement, making it unable to wait for the approval of the updated RP/EMDPs to pay the compensation to the affected people in Package CW-8 and Package CW- 9. At the same time, some supports under RPF/RP have not been fully complied with.

139. The dissemination of information and consultation with the affected households and the stakeholders have been strictly in accordance with the provisions of the approved RP. However, the severely affected households need to be consulted in more detail on measures to restore their livelihoods and income in the future as outlined in the RP.

140. The DMS of the affected quantity were carried out in accordance with the state regulations as described in the RP. However, the implementation progress is still slow and should be accelerated in the coming time. During the DMS process, many AHs suggested checking again the quantity in the DMS minutes. The DCLDFs received these comments and planned to check again to answer the households, so that the households will agree and sign the DMS minutes.

141. The independent consultants have been mobilized to conduct the replacement cost survey in the districts to set up the replacement unit prices for the compensation and support for the site clearance of the project.

142. The payment of compensation before the ADB's approval of the uRP is not in compliance with the project regulations, so the corrective measures have been proposed in the DDRs of package CW-8 & CW-9, however the progress is quite slow due to the time-consuming procedure of the PPC's approval.

143. The severely affected and vulnerable households have not been fully supported under the project policies. Because the PPCs is slow to issue the decisions on the subjects and levels of support applied.

144. The EMDP and LRP have not yet been implemented. (i) EMDP, in the Report period, there are the total of 1,416 EM people participating in 39 consultation and community meetings

to contribute their aspirations and needs during the project implementation, and (ii) ILRP: the DPCs are finalizing procedures to assign the tasks for the DCLDFs based on PMU.2 document and the PPC document that assigns the concerned tasks.

145. The Grievance Redress Mechanism (GRM): The GRM has been disseminated and made widely available to the affected people and the stakeholders. Therefore, it should be recommended that the AHs and the stakeholders can implement the project's GRM well.

146. Resettlement arrangement: Currently, 01/07 RSs has been built, achieved 85% of the progress and will be handed over in Q4/2022. The remaining RSs are currently facing problems with construction budget allocation, so they have not been implemented.

147. Change of forest use purpose: Currently, the implementation progress is expected to be completed in June 2022 due to procedures from the related parties. It is expected that in August, the payment for replacement afforestation will be completed and the obligation to pay for replacement afforestation will be completed in September for the packages in the three provinces.

148. The capital for the site clearance has not been fully allocated. PMU.2 had Document No.82 requesting additional VND 829.011 billion on June 20, 2022 and the MOT issued Document No.6173/MT-KHDT to the PPC of Lao Cai, Lai Chau and Yen Bai on the funding for the inspection and review of the site clearance for (i) the relocation of technical infrastructure and (ii) construction of resettlement sites of the project in these provinces.

3.2. Recommendations

149. Based on the progress of the Project implementation and the implementation results of the RPs/EMDPs up to the 3rd monitoring, the recommendations are presented in the following table.

Table 24. Shortcomings and recommendations of the Consultant

| No. | Recommendations and/or shortcomings | Recommendations | Responsible/ coordinating | Timeline |
|------------|--|--|----------------------------------|-----------------|
| 1 | Finalize the design approval for Package CW-07 | PMU.2 should complete and soon release the design approval decision accordingly to hand over the site clearance landmarks to DMS for the DMS implementation. | PMU.2/ SMEC | Q3/2022 |
| 2 | The progress of updating and approving RP/EMDP is delayed for packages: CW-1, CW-2, CW-3 due to 166 AHs about forest land. | PMU.2 works with Forest Consultant to speed up the implementation. | MOT/PMU.2 /Consultant | Q3/2022 |
| 3 | Income restoration and EMDP activities have not been prepared and implemented. | PMU.2 works with the Consultant to provide training the implementation of the livelihood activities and EMDP. | PMU.2/ SMEC | Before 12/2022 |

| No. | Recommendations and/or shortcomings | Recommendations | Responsible/ coordinating | Timeline |
|-----|---|--|---|-----------------------------------|
| 4 | Implementation of CAP | PMU.2 and the districts need: Quickly implement CAP of Package CW-8 (DCLDF of Lai Chau city has not yet paid compensation and support for the households losing 10%). Approve additional compensation plans in accordance with the ADB policies and CAP approved. | PMU.2/ DCLDFs | As fast as possible |
| 5 | Implement the project's GRM | PMU.2, DCLDFs and CPCs still need to re-consolidate the functioning GRM system before any land acquisition or resettlement activities begin. The activities include: (i) Appointment of staff to monitor GRM (ii) Creation of a database to record complaints (iii) DCLDFs need to record the requests of households during the DMS for follow-up and solving on time. | PMU.2/ DCLDFs, CPCs | During the project implementation |
| 6 | Speed up the progress of moving the public technical facilities | It is recommended that PMU.2 work with the DPC and the owners to agree on the responsibility/capital for moving the works and urge the implementation. | PMU.2/ PPCs, DPCs and owners | |
| 7 | Speed up the construction progress of 6/7 resettlement sites | PMU.2 allocates capital to ensure the construction of resettlement sites, the basis for handing over land plots to displaced households. | MOT, PMU.2 | As soon as possible |
| 8 | Arrangement of site clearance fund | PMU.2 works closely with the MOT to promptly explain related issues. Arrange site clearance funding for the ADB-approved packages. | MOT, PMU.2 | As soon as possible |
| 9 | Construction activities carried out in the section of the route which have not been fully compensated | PMU.2 needs to work closely with the DCLDFs to complete the payment of these supports to the people, ensuring the | PMU.2 DCLDF of Lai Chau, Tam Duong | Q3/2022 |

| No. | Recommendations and/or shortcomings | Recommendations | Responsible/ coordinating | Timeline |
|------------|--|--|--------------------------------------|-----------------|
| | and supported, Package CW-08. | compliance with the Project's policies. | - Lai Chau province | |

APPENDIX

Appendix 1: The results of the implementation of the CAP of Packages CW -08 & CW 9

1.1. The results of the implementation of the CAP of Packages CW-08

| No. | Issues | Actions | Progress | Notes |
|-----|--|--|---|--|
| 1 | Disclosure of project information | Disseminate the project policies to the AHs through community consultation meetings or project information booklets (PIBs) for the AHs with full benefits according to the project regulations | PIB has been updated according to the uRP. The DCLDFs provided information along with the uRP publication after the PPC approved them | Complete |
| 2 | Support for the living stabilization for the affected households who are lost less than 10% of their productive land | <ul style="list-style-type: none"> - Review the DMS data and coordinate with the local authorities to assess the impact of land acquisition on the AHs, if the land acquisition significantly affects the livelihoods and production of the AHs which is certified by the local authorities. The additional support should be calculated for the AHs according to regulations. - Prepare additional compensation plans as prescribed in the uRP for the plans that have not been approved. | <ul style="list-style-type: none"> - The Lai Chau city People's Committee has not approved the support of less than 10%. - Tam Duong DPC approved the support of less than 10% and pays it in 2021. | Lai Chau City People's Committee approved the support of less than 10% and completed the payment in Q3/2022. |
| 3 | Provide support to the affected business households because of the construction | Review the DMS data to support the AHs as mentioned in the approved uRP entitlement matrix. | The City People's Committee has approved compensation plans for 16 affected business households during the construction period. | Lai Chau City People's Committee completed the payment in Q3/2022. |
| 4 | Currently, there is no support for living stabilization for 03 AHs in Ban Giang commune who lost from 10% of their cultivation area. | Provide additional support under the provisions of Project V.2 uRP) | Tam Duong DCLDFs paid this support | Complete |

| No. | Issues | Actions | Progress | Notes |
|-----|---|---|---|----------|
| 5 | Failure to support the vulnerable groups as stated in the approved compensation plans | Provide additional support as specified by the Project (V.7 of uRP) | The DCLDF is finalizing the support plan | Complete |
| 6 | No resettlement land allocation for 05 relocated households (04 AHs in Lai Chau city, 01 AH in Ban Giang - Tam Duong commune) | <ul style="list-style-type: none"> - 05 displaced AHs want to receive resettlement land. The AHs that have received compensation want to be allocated resettlement land soon - PMU.2 and residential area management boards should consider the reasonable land handover schedule to reduce impact on AHs. - 04 AHs in Lai Chau city are granted with resettlement land. | <ul style="list-style-type: none"> - 04 AHs in Lai Chau city were granted with resettlement land - 01 AH in Ban Giang - Tam Duong is being consulted on the relocation plan | Complete |

1.2. The results of the implementation of the CAP of Packages No.09

| No. | Issues | Actions | Progress | Notes |
|-----|---|--|---|--|
| 1 | Review the approved compensation plans after the uRP is approved by the ADB and approve additional compensation/support plans, if needed | <ul style="list-style-type: none"> - Implement the approved compensation plans; - Prepare compensation and support plans in accordance with the uRP for unapproved plans | Van Yen DCARC got approved and completed the additional compensation in line with the uRP for the compensation plans that have not been approved and waiting for the decisions of the PPC. | Complete |
| 2 | Currently, the living stabilization support for the affected people in 02 project communes who are lost from 10% of their farming land has not been provided. | Provide additional support according to the provisions of the Project. | On July 4, 2022, the Yen Bai PPC issued Decision No.1055 on the subjects and norms applicable to the supports under ADB's policy. Van Yen DCARC will finalize additional compensation plans and submit them to the DPC for approval and payment to the affected households. | Additional payments will be completed in the third quarter of 2022 |
| 3 | Support for the vulnerable groups has not been provided according to the approved compensation plans | Provide additional support according to the project's regulations | | |
| 4 | No support has been provided for affected business households | Provide additional support according to the project's regulations | | |

Appendix 2. Summary of compensation plans

2.1. List of approved compensation and support plans for the period from January to June 2022

| No. | Decisions | Wards/communes | Number of AHs | Total cost (VND) |
|----------|---|--------------------------------------|---------------|----------------------|
| | Package CW-6 | | 45 | 3,418,312,863 |
| 1 | Decision No.734/QD-UBND dated June 23, 2022 | Phuc Khoa commune, Tan Uyen district | 31 | 1,931,800,755 |
| 2 | Decision No.1023/QD-UBND dated June 27, 2022 | Ban Bo commune /Tam Duong district | 14 | 1,486,512,108 |
| | Package CW-8 | | 200 | 2,780,662,556 |
| A | Lai Chau city | | 53 | 629,894,668 |
| 3 | Decision No.408/QD-UBND dated 17/05/2022 | Đông Phong & San Thàng commune | 37 | 465,254,668 |
| 4 | Decision No.1008/QD-UBND dated 4/7/2022 | Đông Phong & San Thàng commune | 16 | 164,640,000 |
| B | Tam Duong district | | 147 | 2,150,767,888 |
| 5 | Decision No.1278/QD-UBND dated March 28, 2021 | Ban Hon commune | 38 | 6.905.917.177 |
| 6 | Decision No.1190/QD-UBND dated 23/3/2021 | Ban Hon commune | 31 | 2,150,767,888 |
| 7 | Decision No.2134/QD-UBND dated June 14, 2022 | Ban Hon commune | 78 | 1,762,468,758 |

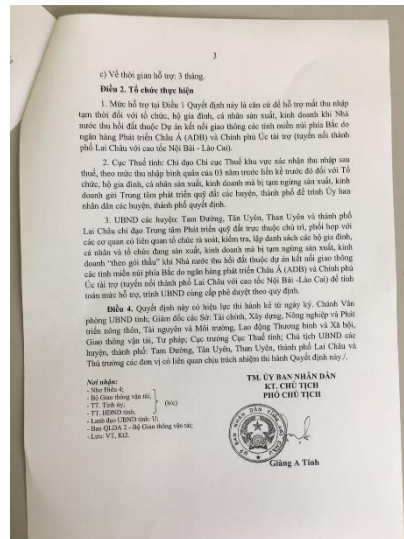
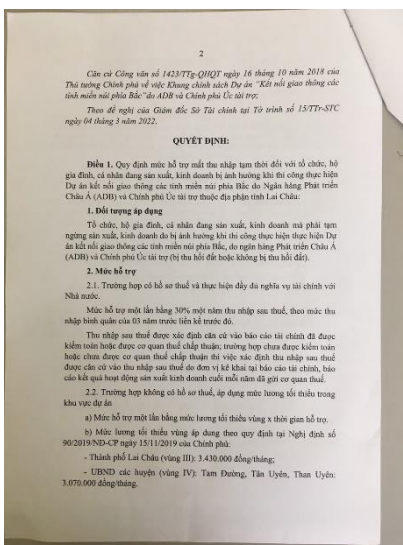
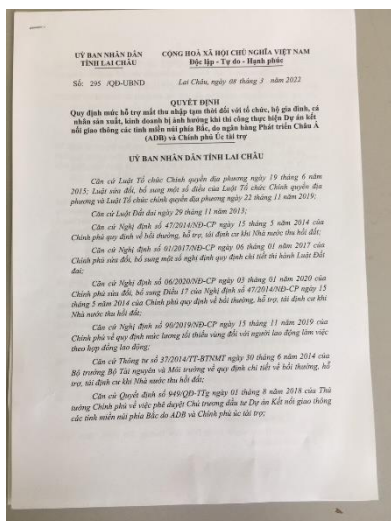
2.2. List of compensation and support plans approved in the period before December 31, 2021.

| No. | Decision No. | Commune/ward | Number of AHs | Total cost (VND) |
|----------|--|------------------------|---------------|-----------------------|
| A | LAI CHAU CITY | | 182 | 21,338,374,407 |
| 1 | Decision No.1023 dated 07 July 2021 | Dong Phong | | 2,371,807,288 |
| 2 | Decision No.1633 dated 23 September 2021 | Dong Phong | | 727,654,841 |
| 3 | Decision No.1633 dated 29 September 2021 | Dong Phong & San Thang | | 184,298,926 |
| 4 | Decision No.1382 dated 30 August 2021 | San Thang | | 283,825,095 |
| 5 | Decision No.1548 dated 01 September 2021 | San Thang | | 17,770,788,257 |
| B | TAM DUONG DISTRICT | | 388 | 20,193,177,886 |
| 1 | Decision No.1398/QD-UBND dated 14 July 2021 | Ban Giang | | 7,001,823,017 |
| 2 | Decision No.2771/QD-UBND dated 21 October 2021 | Ban Giang | | 168,213,102 |
| 3 | Decision No.2070/QD-UBND dated 21 September 2021 | Ban Hon | | 3,776,659,582 |
| 4 | Decision No.2246/QD-UBND dated 23 September 2021 | Ban Hon | | 3,994,560,908 |
| 5 | Decision No.2348/QD-UBND dated 27 September 2021 | Ban Hon | | 3,990,184,079 |
| 6 | Decision No.2837/QD-UBND dated 29 October 2021 | Ban Giang | | 1,089,637,198 |
| 7 | Decision No.2843/QD-UBND dated 02 November 2021 | Ban Hon | | 172,100,000 |
| B | VĂN YÊN DISTRICT | | 962 | 45,274,783,200 |
| 1 | Decision No.3889/QD-UBND dated 28/10/2021 | Đại Sơn | | 10,609,398,000 |
| 2 | Decision No.5106/QD-UBND dated 30/11/2021 | Đại Sơn | | 6,540,026,000 |
| 3 | Decision No.5557/QD-UBND dated 30/11/2021 | Đại Sơn | | 2,743,973,200 |

| No. | Decision No. | Commune/ward | Number of AHs | Total cost (VND) |
|-----|---|-------------------|---------------|------------------|
| 4 | Decision No.6055/QD-UBND dated 23/12/2021 | Đại Sơn | | 1,595,050,000 |
| 5 | Decision No.6054/QD-UBND dated 23/12/2021 | An Thịnh, Đại Sơn | | 1,391,558,100 |
| 6 | Decision No.4217 dated 29/10/2021 | An Thịnh | | 701,821,000 |
| 7 | Decision No.4218 dated 29/10/2021 | An Thịnh | | 2,597,050,000 |
| 8 | Decision No.4219 dated 29/10/2021 | An Thịnh | | 5,942,186,400 |
| 9 | Decision No.4747 dated 17/11/2021 | An Thịnh | | 393,929,000 |
| 10 | Decision No.4748 dated 17/11/2021 | An Thịnh | | 112,911,000 |
| 11 | Decision No.5105 dated 30/11/2021 | An Thịnh | | 568,778,000 |
| 12 | Decision No.5107 dated 30/11/2021 | An Thịnh | | 4,046,152,300 |
| 13 | Decision No.5108 dated 30/11/2021 | An Thịnh | | 1,451,976,000 |
| 14 | Decision No.5552 dated 30/11/2021 | AN Thịnh | | 1,199,582,000 |
| 15 | Decision No.5553 dated 30/11/2021 | AN Thịnh | | 141,554,000 |
| 16 | Decision No.6390 dated 30/12/2021 | An Thịnh | | 1,462,068,000 |
| 17 | Decision No.6056 dated 23/12/2021 | An Thịnh | | 591,013,000 |
| 18 | Decision No.6054 dated 23/12/2021 | An Thịnh, Đại Sơn | | 193,604,200 |
| 19 | Decision No.5109 dated 30/11/2021 | Mỏ Vàng | | 1,676,073,000 |
| 20 | Decision No.6391 dated 30/12/2021 | Mỏ Vàng | | 1,316,080,000 |

Documents of Provincial People's Committee approving the supports according to the ADB's policy

- Decision No.295/QĐ-UBND dated March 8, 2022 of the People's Committee of Lai Chau province stipulating the levels of support for temporary loss of income for organizations, households, and individuals whose production and business are affected during construction.
- Decision No.1055/QĐ-UBND dated 4/7/2022 of the People's Committee of Yen Bai province on approval of beneficiaries and levels of support according to the ADB policy



ỦY BAN NHÂN DÂN
TỈNH YÊN BÁI

CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM
Độc lập - Tự do - Hạnh phúc

Số 405/QĐ-UBND

Yên Bái, ngày 04 tháng 1 năm 2022

QUYẾT ĐỊNH

Về việc phê duyệt đối tượng, mức hỗ trợ theo chính sách ADB
đối với tuyến kết nối Nghĩa Lộ với cao tốc Nội Bài - Lào Cai (TL 175)
thuộc Dự án kết nối giao thông các tỉnh miền núi phía Bắc

ỦY BAN NHÂN DÂN TỈNH YÊN BÁI

Căn cứ Luật Tổ chức chính quyền địa phương ngày 19/6/2015; Luật sửa đổi, bổ sung một số điều của Luật tổ chức Chính phủ và Luật tổ chức chính quyền địa phương ngày 22/11/2019;

Căn cứ Luật Đất đai ngày 29/11/2013;

Căn cứ Nghị định số 47/2014/NĐ-CP ngày 15 tháng 5 năm 2014 của Chính phủ quy định về bồi thường, hỗ trợ, tái định cư khi Nhà nước thu hồi đất;

Căn cứ Nghị định số 01/2017/NĐ-CP ngày 06 tháng 01 năm 2017 của Chính phủ sửa đổi, bổ sung một số nghị định quy định chi tiết thi hành Luật Đất đai;

Căn cứ Nghị định số 06/2020/NĐ-CP ngày 03 tháng 01 năm 2020 của Chính phủ sửa đổi, bổ sung Điều 17 của Nghị định số 47/2014/NĐ-CP ngày 15 tháng 5 năm 2014 của Chính phủ quy định về bồi thường, hỗ trợ, tái định cư khi Nhà nước thu hồi đất;

Căn cứ Nghị định số 56/2020/NĐ-CP ngày 25 tháng 5 năm 2020 của Chính phủ về quản lý và sử dụng vốn hỗ trợ phát triển chính thức (ODA) và vốn vay ưu đãi của nhà tài trợ nước ngoài;

Căn cứ Nghị định số 148/2020/NĐ-CP ngày 18 tháng 12 năm 2020 của Chính phủ sửa đổi, bổ sung một số nghị định quy định chi tiết thi hành Luật Đất đai;

Căn cứ Quyết định số 949/QĐ-TTg ngày 01 tháng 8 năm 2018 của Thủ tướng Chính phủ về việc phê duyệt Chủ trương đầu tư Dự án Kết nối giao thông các tỉnh miền núi phía bắc do ADB và Chính phủ ủy thác tài trợ;

Căn cứ Văn bản số 1423/TTg-QHQT ngày 16/10/2018 của Thủ tướng Chính phủ về việc khu chính sách Dự án "Kết nối giao thông các tỉnh miền núi phía Bắc" do ADB và Chính phủ ủy thác tài trợ.

Căn cứ Quyết định số 2034/QĐ-BGTVT ngày 17 tháng 9 năm 2018 của Bộ trưởng Bộ GTVT về việc Phê duyệt Dự án đầu tư Kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng Châu Á (ADB) và chính phủ ủy thác tài trợ; Quyết định số 1630/QĐ-BGTVT ngày 30/8/2019 của Bộ trưởng Bộ Giao thông vận tải về việc phê duyệt điều chỉnh Dự án Kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng Châu Á (ADB) và chính phủ ủy thác tài trợ;

Căn cứ Văn bản số 29/BGTVT-CQLĐ ngày 03 tháng 01 năm 2020 của Bộ Giao thông vận tải về triển khai thực hiện công tác GPMB dự án Kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng phát triển Châu Á (ADB) và Chính phủ ủy thác tài trợ; Văn bản số 372/UBND-XD ngày 24 tháng 02 năm 2020 của UBND tỉnh Yên Bái về việc thực hiện công tác giải phóng mặt bằng dự án Kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng phát triển Châu Á (ADB) và Chính phủ ủy thác tài trợ.

Căn cứ Văn bản số 407/UBND-XD ngày 18 tháng 02 năm 2020 của Ủy ban nhân dân tỉnh Yên Bái về việc thống nhất Kế hoạch tái định cư (uRP) và Kế hoạch phát triển dân tộc thiểu số (uEMDP) đối với gói thầu số 09 thuộc Dự án kết nối giao thông các tỉnh miền núi phía Bắc (vốn ADB);

Căn cứ Quyết định số 16/2021/QĐ-UBND ngày 20 tháng 8 năm 2021 của UBND tỉnh Yên Bái ban hành Quy định chi tiết một số điều, khoản của Luật Đất đai ngày 19 tháng 11 năm 2013 và Nghị định số 47/2014/NĐ-CP ngày 15 tháng 5 năm 2014; Nghị định số 01/2017/NĐ-CP ngày 06 tháng 01 năm 2017 và Nghị định số 148/2020/NĐ-CP ngày 18 tháng 12 năm 2020 của Chính phủ;

Xét đề nghị của Giám đốc Sở Tài nguyên và Môi trường Yên Bái tại Tờ trình số 253/TT-TNMT ngày 22 tháng 6 năm 2022.

QUYẾT ĐỊNH:

Điều 1. Đối tượng áp dụng

Tổ chức, hộ gia đình, cá nhân bị thu hồi đất để thực hiện dự án Kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng Phát triển Châu Á (ADB) và Chính phủ ủy thác tài trợ trên địa bàn tỉnh Yên Bái.

Điều 2. Hỗ trợ trường hợp thuộc diện kinh doanh không đăng ký kinh doanh

1. Tổ chức, hộ gia đình, cá nhân thuộc diện kinh doanh nhưng không đăng ký kinh doanh mà thực tế phải ngừng sản xuất kinh doanh do bị thu hồi đất và được chính quyền địa phương nơi có đất xác nhận.

2. Mức hỗ trợ bằng tiền: 1.200.000 đồng/trường hợp.
3. Trường hợp tổ chức, hộ gia đình, cá nhân bị thu hồi đất nhiều lần trong cùng một dự án thì chỉ được hỗ trợ một lần đối với mức hỗ trợ này.

Điều 3. Hỗ trợ ổn định đời sống

1. Việc hỗ trợ ổn định đời sống cho các đối tượng quy định tại điểm a, b, c, d, đ và e khoản 1 Điều 19 Nghị định số 47/2014/NĐ-CP (được sửa đổi, bổ sung tại khoản 4 Nghị định số 01/2017/NĐ-CP) được thực hiện như sau:

Trường hợp thu hồi từ 10% đến 30% diện tích đất nông nghiệp đang sử dụng thì được hỗ trợ trong thời gian 3 tháng nếu không phải di chuyển chỗ ở và trong thời gian 6 tháng nếu phải di chuyển chỗ ở; trường hợp phải di chuyển đến các địa bàn có điều kiện kinh tế - xã hội khó khăn thì thời gian hỗ trợ là 12 tháng.

2. Diện tích đất thu hồi quy định tại khoản 1 Điều này được xác định theo từng quyết định thu hồi đất của Ủy ban nhân dân cấp có thẩm quyền, không cộng dồn diện tích đất nông nghiệp đã thu hồi ở các quyết định thu hồi đất trước đó để tính tỷ lệ phần trăm mức hỗ trợ.

3. Mức hỗ trợ cho một nhân khẩu quy định tại khoản 1 Điều này được tính bằng tiền tương đương 30 kg gạo/tháng:

Và giá gạo: Áp dụng theo giá gạo thường tại báo cáo giá thị trường hàng tháng của Sở Tài chính tại thời điểm phê duyệt phương án hỗ trợ.

Trường hợp hộ gia đình của cá nhân khẩu là cán bộ, công chức, viên chức (đang làm việc hoặc đã nghỉ hưu, nghỉ hưu theo chế độ, thôi việc được hưởng trợ cấp) và có nhân khẩu không phải là cán bộ, công chức, viên chức nhưng đang sử dụng đất nông nghiệp vào mục đích sản xuất nông nghiệp, khi Nhà nước thu hồi đất nông nghiệp của hộ gia đình đó thì nhân khẩu không phải là cán bộ, công chức, viên chức được hỗ trợ ổn định đời sống và sản xuất.

Điều 4. Hỗ trợ các hộ gia đình bị thu hồi ruộng

1. Về đối tượng hỗ trợ

- a) Hộ do phụ nữ đơn thân làm chủ hộ có người phụ thuộc dưới 16 tuổi
- b) Chủ hộ bị khuyết tật: Chủ hộ khuyết tật gặp khó khăn trong công việc.
- Các loại hình khuyết tật bao gồm: tàn tật do tai nạn, thương tích, thương binh, nạn nhân chất độc da cam, tàn tật bẩm sinh, tàn tật do tai nạn, thương tích, tai nạn lao động, tai nạn giao thông, tai nạn cháy nổ, tai nạn do các nguyên nhân khác.

c) Hộ nghèo: Có giấy chứng nhận hộ nghèo do Ủy ban nhân dân cấp xã cấp cho các đối tượng là hộ nghèo.

đ) Hộ có trẻ em, người già neo đơn và không nơi nương tựa được Ủy ban nhân dân cấp xã xác nhận theo quy định.

đ) Hộ dân tộc thiểu số: Chồng hoặc vợ là người dân tộc thiểu số hoặc theo hộ khẩu nêu rõ họ và họ dân tộc thiểu số.

Đã được công nhận hộ để bị thu hồi đất để thực hiện dự án kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng phát triển Châu Á (ADB) và Chính phủ ủy thác tài trợ; Văn bản số 372/UBND-XD ngày 24 tháng 02 năm 2020 của UBND tỉnh Yên Bái về việc thực hiện công tác giải phóng mặt bằng dự án Kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng phát triển Châu Á (ADB) và Chính phủ ủy thác tài trợ.

e) Hộ không có đất: Bao gồm các hộ không có Giấy chứng nhận quyền sử dụng đất hoặc không đủ điều kiện xin cấp Giấy chứng nhận quyền sử dụng đất hoặc các hộ gia đình tại nông thôn bị mất toàn bộ đất sản xuất hoặc diện tích đất sản xuất còn lại sau khi thu hồi đất nhỏ hơn 100,0 m².

f) Hộ gia đình chính sách: Những hộ khác có các thành viên đáp ứng đủ điều kiện được hưởng trợ cấp xã hội theo quy định tại Nghị định số 20/2013/NĐ-CP ngày 15/3/2013 của Chính phủ.

2. Mức hỗ trợ 3.000.000 đồng/hộ

Điều 5. Hỗ trợ mất thu nhập tạm thời do ngừng kinh doanh

1. Quy định mức hỗ trợ mất thu nhập tạm thời đối với tổ chức, hộ gia đình, cá nhân kinh doanh kết hợp làm nhà ở phải tạm ngừng kinh doanh do bị ảnh hưởng khi thực hiện Dự án.

2. Mức hỗ trợ

a) Đối với tổ chức kinh tế

Mức hỗ trợ mất thu nhập tạm thời do ngừng kinh doanh bằng tiền với mức bằng 30% một năm thu nhập sau thuế, theo mức thu nhập bình quân của 03 năm trước liền kề trước đó.

Thu nhập sau thuế được xác định theo quy định của pháp luật về thuế thu nhập doanh nghiệp.

b) Đối với hộ gia đình, cá nhân

Mức hỗ trợ mất thu nhập tạm thời do ngừng kinh doanh bằng tiền với mức bằng 30% một năm thu nhập sau thuế, theo mức thu nhập bình quân của 03 năm trước liền kề trước đó.

Thu nhập sau thuế được xác định theo quy định của pháp luật về thuế thu nhập doanh nghiệp.

Điều 6. Tổ chức thực hiện

1. Tổ chức, hộ gia đình, cá nhân bị thu hồi đất thuộc dự án kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng phát triển Châu Á (ADB) và Chính phủ ủy thác tài trợ (tuyến kết nối Nghĩa Lộ với cao tốc Nội Bài - Lào Cai (TL 175) ngoài

được hưởng các chế độ về bồi thường, hỗ trợ, tái định cư theo quy định của pháp luật đất đai hiện hành thì còn được thêm các khoản hỗ trợ theo quy định tại Quyết định này.

2. Ủy ban nhân dân các huyện Văn Chấn và Văn Yên chỉ đạo các phòng, ban có liên quan tổ chức triển khai thực hiện việc hỗ trợ cho các tổ chức, hộ gia đình, cá nhân bị thu hồi đất thuộc dự án kết nối giao thông các tỉnh miền núi phía Bắc do ngân hàng phát triển Châu Á (ADB) và Chính phủ ủy thác tài trợ (tuyến kết nối Nghĩa Lộ với cao tốc Nội Bài - Lào Cai (TL 175) theo quy định.

Điều 7. Quyết định này có hiệu lực kể từ ngày ký.

Chánh Văn phòng Ủy ban nhân dân tỉnh; Giám đốc các Sở: Tài nguyên và Môi trường, Tài chính, Xây dựng, Giao thông vận tải, Nông nghiệp và Phát triển nông thôn; Lao động - Thương binh và Xã hội, Tư pháp; Cục trưởng Cục Thuế tỉnh; Chủ tịch Ủy ban nhân dân huyện Văn Chấn; Chủ tịch Ủy ban nhân dân huyện Văn Yên; Chủ tịch Ủy ban nhân dân thị trấn Nông trường Liên Sơn; Chủ tịch Ủy ban nhân dân các xã An Lương, Sơn Lương, Suối Quyền, huyện Văn Chấn; Chủ tịch Ủy ban nhân dân các xã An Thịnh, Đại Sơn, Mỏ Vàng, huyện Văn Yên và các tổ chức, cá nhân có liên quan chịu trách nhiệm thi hành Quyết định này./.

Nơi nhận:
- Như Điều 7;
- Chủ tịch UBND tỉnh (báo cáo);
- Phó Chủ tịch (TT) UBND tỉnh;
- Phó Chánh VP (Sở TT) UBND tỉnh;
- Lưu VT, TNMT.

TM. ỦY BAN NHÂN DÂN

KT. CHỦ TỊCH

Phó Chủ tịch (TT) UBND tỉnh

Phó Chánh VP (Sở TT) UBND tỉnh

Lưu VT, TNMT.

Nguyễn Thế Phước

Appendix 3. Some pictures of the mission in June 2022 in Packages: No.1, 2, 3, 6 and 8.

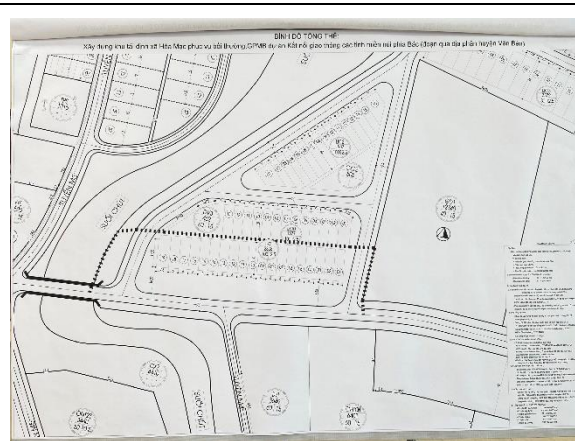
3.1. Consultation and interviews with communities and AHs



3.2. Consultation and interviews with implementing agencies



3.3. Survey of resettlement sites of the Project (planned)



Appendix 4. Documents collected during monitoring

4.1. Document No.6173/GTVT-KHDT dated June 20, 2022 of the MOT

BỘ GIAO THÔNG VẬN TẢI

CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM

Độc lập - Tự do - Hạnh phúc

Số: 6173 /BGTVT-KHDT

Hà Nội, ngày 20 tháng 6 năm 2022

V/v kiểm tra, rà soát kinh phí GPMB Dự
án Dự án Kết nối giao thông các tỉnh
miền núi phía Bắc qua các tỉnh Lào
Cai, Lai Châu và Yên Bái.

Kính gửi:

- Ủy ban nhân dân tỉnh Lào Cai;
- Ủy ban nhân dân tỉnh Lai Châu;
- Ủy ban nhân dân tỉnh Yên Bái.

Bộ Giao thông vận tải (GTVT) đã nhận được văn bản số 1560/UBND-KTN ngày 13/5/2022 của Ủy ban nhân dân (UBND) tỉnh Lai Châu; số 2151/UBND-QLĐT ngày 19/5/2022 của UBND tỉnh Lào Cai; số 659/SGTVT-QLCLCTGT ngày 13/5/2022 và số 686/SGTVT-QLCLCTGT ngày 20/5/2022 của Sở GTVT tỉnh Yên Bái (đơn vị được UBND tỉnh Yên Bái giao nhiệm vụ tại Văn bản số 1199/UBND-XD ngày 25/4/2022) về nội dung rà soát kinh phí giải phóng mặt bằng (GPMB) của Dự án kết nối giao thông các tỉnh miền núi phía Bắc; báo cáo của Ban Quản lý dự án 2 (BQLDA2) tại văn bản số 1168/BQLDA2-PID5 ngày 31/5/2022 và tài liệu kèm theo. Sau khi nghiên cứu Bộ GTVT có ý kiến như sau:

- Căn cứ Quyết định số 949/QĐ-TTg ngày 01/8/2018 của Thủ tướng Chính phủ về việc phê duyệt chủ trương đầu tư Dự án Kết nối giao thông các tỉnh miền núi phía Bắc và Quyết định số 2034/QĐ-BGTVT ngày 17/9/2018 của Bộ GTVT về việc phê duyệt đầu tư Dự án Kết nối giao thông các tỉnh miền núi phía Bắc (Dự án). Theo đó công tác bồi thường, hỗ trợ, tái định cư của Dự án được tách thành các tiểu dự án riêng do UBND tỉnh Lai Châu, Lào Cai, Yên Bái tổ chức thực hiện theo quy định. Do vậy, các địa phương chịu trách nhiệm về tính chính xác, phù hợp với các quy định pháp luật đối với khối lượng, chi phí bồi thường, hỗ trợ, tái định cư của Dự án.

- Về việc di dời công trình hạ tầng kỹ thuật phục vụ GPMB:

Về việc xác định khối lượng, kinh phí di dời công trình hạ tầng kỹ thuật nằm trong hành lang an toàn đường bộ được quy định tại khoản 7, khoản 8 và khoản 9 của Điều 28 Nghị định số 11/2010/NĐ-CP ngày 24/02/2010 của Chính phủ; khoản 6 Điều 29, Thông tư số 50/2015/TT-BGTVT ngày 23/9/2015 của Bộ GTVT.

Tuy nhiên, theo ý kiến của các địa phương tại văn bản nêu trên cho thấy sự chưa thống nhất về nguyên tắc theo quy định trong việc rà soát, tổng hợp thủ tục, hồ sơ xác định các công trình hạ tầng kỹ thuật nằm trong hành lang an toàn đường bộ của các tuyến QL279, QL32, TL136 và TL175 phải di dời bằng kinh phí GPMB của Dự án.

Để có cơ sở xác định chi phí di dời các công trình hạ tầng kỹ thuật bằng kinh phí GPMB và đáp ứng kịp thời tiến độ của Dự án, Bộ GTVT đề nghị UBND các tỉnh chỉ đạo đơn vị liên quan rà soát hồ sơ, tài liệu điều tra, lưu trữ, xác định

vị trí, thời gian xây dựng, quy mô các công trình nằm trong hành lang an toàn đường bộ để khẳng định khối lượng, kinh phí di dời các công trình hạ tầng kỹ thuật bằng nguồn kinh phí GPMB của Dự án tuân thủ các quy định nêu trên.

Riêng đối với Tỉnh lộ 175, đề nghị xác định hành lang đường bộ cho từng đoạn tuyến theo từng thời điểm trên cơ sở quy mô kỹ thuật của đoạn tuyến trong quá trình được nâng cấp, cải tạo theo thẩm quyền. Từ đó làm cơ sở khẳng định khối lượng, kinh phí di dời các công trình hạ tầng kỹ thuật bằng nguồn kinh phí GPMB của Dự án tuân thủ các quy định nêu trên.

- Về việc xây dựng khu tái định cư:

Theo nội dung báo cáo của UBND tỉnh Lào Cai, Lai Châu và được Ban QLDA2 tính trong TMĐT điều chỉnh, theo đó chi phí xây dựng khu tái định cư cho các hộ dân bị ảnh hưởng là 96,5 tỷ đồng. Việc tính toán bộ chi phí xây dựng khu tái định cư cho các hộ dân bị ảnh hưởng vào tổng mức đầu tư điều chỉnh như trên chưa phù hợp do chưa xét đến khoản thu của người dân vào khu tái định cư theo quy định, trong đó có tiền sử dụng đất tại nơi tái định cư thu từ người dân được giao đất tái định cư theo quy định tại khoản 1 Điều 22, khoản 2 Điều 30 Nghị định số 47/2014/NĐ-CP ngày 15/5/2014 và khung chính sách bồi thường, hỗ trợ, tái định cư của Dự án. Cụ thể:

+ Tại khoản 1 Điều 22 quy định: “*Hộ gia đình, cá nhân, người Việt Nam định cư ở nước ngoài nhận đất ở, nhà ở tái định cư mà số tiền được bồi thường về đất nhỏ hơn giá trị một suất tái định cư tối thiểu quy định tại Điều 27 của Nghị định này thì được hỗ trợ khoản chênh lệch giữa giá trị suất tái định cư tối thiểu và số tiền được bồi thường về đất*”.


+ Tại khoản 2 Điều 30 quy định: “*Đối với trường hợp bồi thường bằng việc giao đất mới hoặc giao đất ở, nhà ở tái định cư hoặc nhà ở tái định cư, nếu có chênh lệch về giá trị thì phần chênh lệch đó được thanh toán bằng tiền theo quy định sau: a) Trường hợp tiền bồi thường về đất lớn hơn tiền đất ở, nhà ở hoặc tiền nhà ở tại khu tái định cư thì người tái định cư được nhận phần chênh lệch đó; b) Trường hợp tiền bồi thường về đất nhỏ hơn tiền đất ở, nhà ở hoặc tiền nhà ở tái định cư thì người được bố trí tái định cư phải nộp phần chênh lệch, trừ trường hợp quy định tại Khoản 1 Điều 22 của Nghị định này*”.

Vì vậy, Bộ GTVT đề nghị UBND các tỉnh chỉ đạo đơn vị liên quan:

+ Rà soát số lượng các hộ đủ tiêu chuẩn được tái định cư (theo quy định tại Điều 6 Nghị định số 47/2014/NĐ-CP và các quy định pháp luật liên quan) và có nguyện vọng tái định cư theo quy định; số lượng, vị trí, quy mô xây dựng các khu tái định cư sử dụng cho Dự án tuân thủ các quy định hiện hành.

+ Do người dân được giao đất tái định cư phải nộp các khoản tiền theo quy định (khoản tiền thu từ người dân vào khu Tái định cư (TĐC) được trừ vào tiền bồi thường của người dân đủ điều kiện tái định cư và được giao đất tái định cư theo quy định tại khoản 1 Điều 22, khoản 2 Điều 30 Nghị định số 47/2014/NĐ-CP). Do vậy, để tránh trùng lặp chi phí, chỉ tính chi phí hỗ trợ tái định cư trong TMĐT, khoản tiền người dân vào TĐC phải nộp đã tính trong chi phí bồi thường.

Trên cơ sở các kết quả kiểm tra, rà soát các chi phí các hạng mục kinh phí GPMB Dự án, UBND các tỉnh có văn bản gửi về Bộ GTVT xem xét, làm cơ sở triển khai các thủ tục điều chỉnh chủ trương đầu tư Dự án.

Đề nghị UBND các tỉnh quan tâm, phối hợp chỉ đạo thực hiện./. 

Nơi nhận:

- Như trên;
- Bộ trưởng (để b/c);
- Cục QLXD&CL CTGT;
- Vụ KCHT GT;
- Ban QLDA 2 (để phối hợp);
- Lưu KHĐT, VT. PHAMNQ

KT. BỘ TRƯỞNG

THỨ TRƯỞNG



Nguyễn Ngọc Đông

4.2. Report No.82/TTr-BQLDA2 dated April 15, 2022 of PMU.2 on approval of adjustment of investment policy

**BỘ GIAO THÔNG VẬN TẢI
BAN QUẢN LÝ DỰ ÁN 2**

**CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM
Độc lập - Tự do - Hạnh phúc**

Số: 82 /TTr-BQLDA2

Hà Nội, ngày 15 tháng 4 năm 2022

TỜ TRÌNH

**Về việc phê duyệt điều chỉnh chủ trương đầu tư
Dự án Kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng châu Á
(ADB) và Chính phủ Úc tài trợ**

Kính gửi: Bộ Giao thông Vận tải.

Căn cứ Luật đầu tư công số 39/2019/QH14 ngày 30/6/2019; Luật Xây dựng số 50/2014/QH13 ngày 18/6/2014 và số 62/2020/QH14 ngày 17/6/2020 về việc sửa đổi, bổ sung một số điều của Luật Xây dựng của Quốc hội nước cộng hòa xã hội chủ nghĩa Việt Nam;

Căn cứ Nghị định số 40/2020/NĐ-CP ngày 06/4/2020 của Chính phủ Quy định chi tiết thi hành một số điều của Luật Đầu tư công; số 15/2021/NĐ-CP ngày 03/3/2021 của Chính phủ về quản lý dự án đầu tư xây dựng; số 10/2021/NĐ-CP ngày 09/2/2021 và số 68/2019/NĐ-CP ngày 14/8/2019 của Chính phủ về quản lý chi phí đầu tư xây dựng;

Căn cứ Nghị định số 114/2021/NĐ-CP ngày 16/12/2021 của Chính phủ về quản lý và sử dụng vốn hỗ trợ phát triển chính thức (ODA) và vốn vay ưu đãi của các Nhà tài trợ nước ngoài;

Căn cứ Quyết định số 949/QĐ-TTg ngày 01/8/2018 của Thủ tướng Chính phủ về việc phê duyệt chủ trương đầu tư Dự án Kết nối giao thông các tỉnh miền núi phía Bắc do ADB và Chính phủ Úc tài trợ;

Căn cứ Quyết định số 827/QĐ-TTg ngày 07/6/2017 của Thủ tướng Chính phủ về việc phê duyệt chủ trương đầu tư Chương trình Hỗ trợ kỹ thuật ngành giao thông vận tải giai đoạn 2017-2021 sử dụng viện trợ không hoàn lại của Chính phủ Ôt - xtrây - li - a;

Căn cứ các Quyết định số 2034/QĐ-BGTVT ngày 17/9/2018 và số 1630/QĐ-BGTVT ngày 30/8/2019 của Bộ Giao thông vận tải về việc phê duyệt Dự án đầu tư Kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng Phát triển Châu Á (ADB) và Chính phủ Úc tài trợ;

Hiệp định vay số 3762-VIE(COL) ký ngày 05/3/2019 giữa Nước Cộng hòa xã hội chủ nghĩa Việt Nam và Ngân hàng Phát triển Châu Á (ADB) về Dự án kết nối giao thông các tỉnh miền núi phía Bắc;

Căn cứ Quyết định số 1423/QĐ-TTg ngày 16/10/2018 của Thủ tướng Chính phủ phê duyệt Khung chính sách Dự án Kết nối giao thông các tỉnh miền núi phía Bắc do ADB và Chính phủ Úc tài trợ;

Căn cứ văn bản của UBND các tỉnh Lai Châu, tỉnh Lào Cai và tỉnh Yên Bái giao nhiệm vụ thực hiện công tác GPMB và tái định cư Dự án Kết nối giao thông

các tỉnh miền núi phía Bắc do ngân hàng phát triển châu Á và Chính phủ Úc tài trợ cho các Chủ đầu tư Tiểu dự án GPMB: số 81/UBND-KTN ngày 15/01/2020 của UBND tỉnh Lai Châu; số 1117/UBND-QLĐT ngày 19/3/2020 của UBND tỉnh Lào Cai; số 372/UBND-XD ngày 24/2/2020 của UBND tỉnh Yên Bái.

Căn cứ quyết định phê duyệt phương án GPMB tổng thể về bồi thường và tái định cư Dự án Kết nối giao thông các tỉnh miền núi phía Bắc do ngân hàng phát triển châu Á và Chính phủ Úc tài trợ của các huyện: số 1149/QĐ-UBND ngày 18/3/2022 của UBND huyện Tam Đường; số 461/QĐ-UBND ngày 02/3/2022 của UBND huyện Than Uyên; số 221/QĐ-UBND ngày 8/3/2022 của UBND huyện Tân Uyên; VB số 630/UBND-TTPTQĐ ngày 9/3/2022 của TP Lai Châu; số 280/QĐ-UBND ngày 23/3/2022 của UBND huyện Văn Chấn; số 1671/QĐ-UBND ngày 30/3/2022 của UBND huyện Văn Yên, VB số 350/BC-UBND ngày 12/04/2022 của UBND huyện Văn Bàn.

Trên cơ sở tình hình thực tế triển khai, các khó khăn vướng mắc trong quá trình thực hiện, Ban QLDA2 kính trình Bộ GTVT xem xét đề nghị cấp có thẩm quyền phê duyệt điều chỉnh chủ trương đầu tư về nội dung tổng mức đầu tư Dự án Kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng châu Á (ADB) và Chính phủ Úc tài trợ.

I. Nội dung Chủ trương đầu tư và Dự án đầu tư đã được phê duyệt:

Dự án Dự án Kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng châu Á (ADB) và Chính phủ Úc tài trợ được Thủ tướng Chính phủ chấp thuận chủ trương đầu tư tại quyết định số 949/QĐ-TTg ngày 01/8/2018.

Căn cứ vào chủ trương đầu tư đã được Thủ tướng Chính phủ chấp thuận, Bộ GTVT đã có quyết định số Quyết định số 2034/QĐ-BGTVT ngày 17/9/2018 và số 1630/QĐ-BGTVT ngày 30/8/2019 về việc phê duyệt và Phê duyệt điều chỉnh Dự án đầu tư Kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng Phát triển Châu Á (ADB) và Chính phủ Úc tài trợ, với các nội dung chính như sau:

1. Tên dự án: Dự án kết nối giao thông các tỉnh miền núi phía Bắc.

2. Địa điểm xây dựng: Dự án đi qua 3 tỉnh gồm tỉnh Lào Cai, Lai Châu, Yên Bái.

3. Phạm vi và Quy mô, tiêu chuẩn kỹ thuật chủ yếu:

- *Tuyến kết nối Lai Châu với cao tốc Nội Bài - Lào Cai:* Điểm đầu (Km0+00) tại nút giao IC16 của đường cao tốc Nội Bài - Lào Cai (Km91+500 QL279) huyện Văn Bàn, tỉnh Lào Cai. Điểm cuối (Km146+600) tại Ngã ba Bệnh viện (Km34+800 QL4D), TP. Lai Châu, tỉnh Lai Châu, tuyến dài khoảng 147 km, tiêu chuẩn đường cấp III miền núi.

- *Tuyến nối Nghĩa Lộ với cao tốc Nội Bài - Lào Cai:* Điểm đầu (Km0+00) tại nút giao IC14 của đường cao tốc Nội Bài - Lào Cai thuộc địa phận huyện Văn Yên, tỉnh Yên Bái. Điểm cuối Km54+069,24 giao QL32 tại Km209+500, tuyến dài khoảng 53 km cấp IV miền núi.

4. Phương án giải phóng mặt bằng và tái định cư:

Phạm vi giải phóng mặt bằng (GPMB) và giới hạn hành lang an toàn đường bộ thực hiện theo quy định tại Nghị định 11/2010/NĐ-CP ngày 24/02/2010 của Chính phủ về quản lý và bảo vệ kết cấu hạ tầng đường bộ; Nghị định số

- Xây dựng khu tái định cư: xây dựng 07 khu tái định cư, chi phí tăng khoảng **96,500 triệu VNĐ**.

Tại thời điểm Tư vấn chuẩn bị dự án (PPTA) số liệu xác định số hộ ảnh hưởng mất đất ở cần phải di dời và tái định cư chưa đầy đủ, cũng như việc tại thời điểm thực hiện dự án, sau khi TTPTQĐ và UBND các xã, thị trấn lấy ý kiến hộ gia đình, cá nhân phải di chuyển chỗ ở để xây dựng dự án, số hộ đăng ký tái định cư tăng lên, cần thiết phải xây dựng khu tái định cư cho người dân ngoài các hộ dân nhận tiền bồi thường, hỗ trợ tái định cư bằng tiền. Do đó phát sinh kinh phí xây dựng khu tái định cư so với phương án GPMB xác định trong tổng mức đầu tư đã được phê duyệt.

(gửi kèm phụ lục số 02 kinh phí GPMB của Dự án)

3.2.3 Bổ sung nguồn vốn đối ứng cho chi phí liên quan đến thủ tục giải ngân, thanh toán các Gói thầu theo quy định của Chính phủ Việt Nam: kinh phí khoảng **1.000 triệu VNĐ**.

- Chi phí dịch vụ ngân hàng: kinh phí **1,000 triệu VNĐ**.

Theo quy định tại điểm a, Khoản 4 điều 63 nghị định 114/2021/NĐ-CP ngày 15/12/2021: “Lãi phát sinh trên tài khoản tạm ứng phải được hạch toán theo dõi riêng và được sử dụng để thanh toán phí dịch vụ ngân hàng theo quy định. Phí dịch vụ ngân hàng là khoản phí thuộc dự án. Trường hợp số lãi phát sinh không đủ để thanh toán phí dịch vụ ngân hàng, chủ dự án lập dự toán và bố trí vốn đối ứng để chi trả”.

Theo đó, phần vốn nước ngoài ADB không có lãi phát sinh trên tài khoản tạm ứng, do đó không có đủ chi phí để thanh toán dịch vụ ngân hàng theo quy định, Ban QLDA2 tạm tính kinh phí trên là 1,000 triệu VNĐ.

IV. Kiến nghị:

Trên cơ sở nội dung đã trình bày trên, Ban QLDA2 kiến nghị Bộ GTVT xem xét và báo cáo cấp có thẩm quyền phê duyệt điều chỉnh chủ trương đầu tư về nội dung tăng tổng mức đầu tư Dự án kết nối giao thông các tỉnh miền núi phía Bắc, cụ thể như sau:

1. Điều chỉnh Tổng mức đầu tư:

Kiến nghị điều chỉnh chủ trương đầu tư về Tổng mức đầu tư Dự án kết nối giao thông các tỉnh miền núi phía Bắc tăng từ **5,339,591 triệu VNĐ** lên **6,168,602 triệu VNĐ**, tăng **829,011 triệu VNĐ**, cụ thể như sau:

| TT | Nội dung chi phí | Theo QĐ số 2034/QĐ-BGTVT ngày 17/9/2018 | Đề nghị điều chỉnh | Tăng/giảm (+) (-) |
|----|--|---|--------------------|-------------------|
| 1 | Chi phí bồi thường GPMB, hỗ trợ tái định cư (nếu có) | 311,991 | 1,158,590 | 846,599 |
| 2 | Chi phí xây dựng | 3,632,369 | 4,278,495 | 646,126 |
| 3 | Chi phí thiết bị | - | - | - |
| 4 | Chi phí quản lý dự án | 41,803 | 41,803 | - |

| | | | | |
|------------------|--------------------------------|------------------|------------------|----------------|
| 4 | Chi phí tư vấn đầu tư xây dựng | 314,528 | 334,276 | 19,747 |
| 5 | Chi phí khác | 26,061 | 66,530 | (194,079) |
| 6 | Chi phí dự phòng | 778,290 | 288,907 | (489,382) |
| Tổng cộng | | 5,339,591 | 6,168,602 | 829,011 |

2. Điều chỉnh cơ cấu nguồn vốn:

Về cơ cấu nguồn vốn Dự án kết nối giao thông các tỉnh miền núi phía Bắc, cụ thể như sau:

- Điều chỉnh tăng nguồn vốn Úc từ **101,683 triệu VNĐ** lên thành **146,313 triệu VNĐ**, tăng **44,630 triệu VNĐ**

- Điều chỉnh tăng nguồn vốn đối ứng từ **988,577 triệu VNĐ** lên thành **1,772,957 triệu VNĐ**, tăng **784,381 triệu VNĐ**.

Chi tiết cơ cấu nguồn vốn kiến nghị điều chỉnh như sau:

| STT | Hạng mục | Cơ cấu nguồn vốn được duyệt tại Quyết định số 2034/QĐ-BGTVT ngày 17/9/2018 | Cơ cấu nguồn vốn kiến nghị điều chỉnh | Chênh lệch (+) tăng (-) giảm |
|-----|-------------|--|---------------------------------------|------------------------------|
| 1 | Vốn ADB | 4,249,331 | 4,249,331 | - |
| 2 | Vốn Úc | 101,683 | 146,313 | 44,630 |
| 3 | Vốn đối ứng | 988,577 | 1,772,957 | 784,381 |
| | Tổng | 5,339,591 | 6,168,602 | 829,011 |

Kính đề nghị Bộ GTVT xem xét, chấp thuận./.

Nơi nhận:

- Như trên;
- TTr. Nguyễn Ngọc Đông (để b/c);
- Vụ KHĐT (để b/c);
- Cục QLXD & CLCTGT (để b/c);
- Giám đốc (để b/c);
- Lưu: VT, PID5.

**GIÁM ĐỐC
PHÓ GIÁM ĐỐC**



Lê Minh Nam

4.3. Minutes of meeting of the DCLDFs

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4.4. Decisions approving the cost estimate and contractor selection plan for the replacement cost survey consultancy packages of Tan Uyen DPC

**ỦY BAN NHÂN DÂN
HUYỆN TÂN UYÊN**

**CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM
Độc lập - Tự do - Hạnh phúc**

Số: 561 /QĐ-UBND

Tân Uyên, ngày 16 tháng 6 năm 2021

QUYẾT ĐỊNH

Phê duyệt dự toán, kế hoạch lựa chọn nhà thầu các gói thầu tư vấn định giá đất cụ thể, tư vấn định giá bồi thường về tài sản, vật kiến trúc, cây cối hoa màu thay thế phục vụ bồi thường và GPMB dự án “Kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng Châu Á (ADB) và Chính phủ Úc tài trợ (tuyến đường nối Lai Châu với cao tốc Nội Bài - Lào Cai: Khu vực huyện Tân Uyên)”

CHỦ TỊCH ỦY BAN NHÂN DÂN HUYỆN TÂN UYÊN

Căn cứ Luật Tổ chức chính quyền địa phương năm 2015; Luật Sửa đổi bổ sung một số điều của Luật Tổ chức Chính phủ và Luật Tổ chức chính quyền địa phương năm 2019;

Căn cứ Luật Đấu thầu năm 2013;

Căn cứ Luật Đất đai năm 2013;

Căn cứ các Nghị định của chính phủ: Số 43/2014/NĐ-CP ngày 15/5/2014 Quy định chi tiết thi hành một số điều của Luật Đất đai; số 63/2014/NĐ-CP ngày 26/6/2014 quy định chi tiết thi hành một số điều của Luật Đấu thầu về lựa chọn nhà thầu; số 01/2017/NĐ-CP ngày 06/01/2017 về sửa đổi, bổ sung một số Nghị định quy định chi tiết thi hành Luật đất đai; số 191/2013/NĐ-CP ngày 21/11/2013 của Chính phủ quy định chi tiết về tài chính công đoàn; số 38/2019/NĐ-CP ngày 09/5/2019 của Chính phủ quy định mức lương cơ sở đối với cán bộ, công chức, viên chức và lực lượng vũ trang;

Căn cứ Thông tư liên tịch số 11/2005/TTLT-BNV-BLĐTBXH-BTC-UBND ngày 05/01/2005 của liên Bộ Nội vụ, Bộ Lao động, Thương binh và Xã hội, Bộ Tài chính, Ủy ban Dân tộc hướng dẫn thực hiện chế độ phụ cấp khu vực;

Căn cứ các Thông tư của Bộ Tài nguyên và Môi trường: Số 36/2014/TT-BTNMT ngày 30/6/2014 quy định chi tiết phương pháp xác định giá đất; xây dựng, điều chỉnh bảng giá đất; định giá đất cụ thể và tư vấn xác định giá đất; số 20/2015/TT-BTNMT ngày 27/4/2015 về ban hành định mức kinh tế - kỹ thuật để lập dự toán ngân sách nhà nước phục vụ công tác định giá đất;

Căn cứ Thông tư liên tịch số 87/2016/TTLT-BTC-BTNMT ngày 22/6/2016 của liên Bộ Tài chính, Bộ Tài nguyên và Môi trường hướng dẫn việc thẩm định dự thảo Bảng giá đất của Hội đồng thẩm định Bảng giá đất, thẩm định phương án đất của Hội đồng thẩm định giá đất;

Căn cứ các Thông tư của Bộ Tài chính: Số 74/2015/TT-BTC ngày 15/5/2015 hướng dẫn việc lập dự toán, sử dụng và thanh quyết toán kinh phí tổ chức thực hiện bồi thường, hỗ trợ, tái định cư khi Nhà nước thu hồi đất; số 136/2017/TT-BTC ngày 22/12/2017 quy định lập, quản lý, sử dụng kinh phí chi hoạt động kinh tế đối với các nhiệm vụ chi về Tài nguyên môi trường;

Căn cứ Thông tư số 10/2015/TT-BKHĐT ngày 26/10/2015 của Bộ Kế hoạch và Đầu tư quy định chi tiết về kế hoạch lựa chọn nhà thầu;

Căn cứ các Thông tư của Bộ Nội vụ: Số 05/2005/TT-BNV ngày 05/01/2005 hướng dẫn thực hiện chế độ phụ cấp trách nhiệm công việc đối với cán bộ, công chức, viên chức; số 06/2005/TT-BNV ngày 05/01/2005 của Bộ Nội Vụ hướng dẫn thực hiện chế độ phụ cấp lưu động đối với cán bộ, công chức, viên chức;

Căn cứ Quyết định số 595/QĐ-BHXH ngày 14/4/2017 của Bảo hiểm xã hội Việt Nam ban hành quy trình thu bảo hiểm xã hội, bảo hiểm y tế, bảo hiểm thất nghiệp, bảo hiểm tai nạn lao động - bệnh nghề nghiệp; quản lý sổ bảo hiểm xã hội thẻ bảo hiểm y tế;

Căn cứ các Quyết định của Bộ Giao thông vận tải: Số 2034/QĐ-BGTVT ngày 17/9/2018 về phê duyệt Dự án đầu tư Kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng Châu Á (ADB) và Chính phủ Úc tài trợ; số 1630/QĐ-BGTVT ngày 30/8/2018 về phê duyệt điều chỉnh Dự án đầu tư Kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng Châu Á (ADB) và Chính phủ Úc tài trợ;

Căn cứ các Quyết định của UBND tỉnh Lai Châu: Số 39/2016/QĐ-UBND ngày 28/10/2016 quy định mức trích, nội dung chi cho công tác tổ chức thực hiện bồi thường, hỗ trợ, tái định cư khu Nhà nước thu hồi đất trên địa bàn tỉnh; số 19/2017/QĐ-UBND ngày 17/7/2017 về việc sửa đổi, bổ sung khoản 2 Điều của Quy định ban hành kèm theo Quyết định số 39/2016/QĐ-UBND ngày 28/10/2016 của UBND tỉnh Lai Châu Quy định mức trích, nội dung chi cho công tác tổ chức thực hiện bồi thường, hỗ trợ, tái định cư khu Nhà nước thu hồi đất trên địa bàn tỉnh; số 16/2018/QĐ-UBND ngày 08/5/2018 về ban hành bộ đơn giá đo đạc địa chính, đăng ký đất đai, lập hồ sơ địa chính, cấp giấy chứng nhận quyền sử dụng đất, quyền sở hữu nhà ở và tài sản khác gắn liền với đất trên địa bàn tỉnh Lai Châu; số 08/2018/QĐ-UBND ngày 19/3/2018 về ban hành bộ đơn giá xây dựng, điều chỉnh bảng giá đất và định giá đất cụ thể trên địa bàn tỉnh Lai Châu; số 78/QĐ-UBND ngày 21/01/2021 về ủy quyền xây dựng, thẩm định, phê duyệt giá đất cụ thể để tính tiền bồi thường khi Nhà nước thu hồi đất trên địa bàn tỉnh Lai Châu;

Căn cứ Công văn số 1043/UBND-KTN ngày 23/4/2021 của UBND tỉnh Lai Châu về lập đơn giá đền bù riêng tuyến nối thành phố Lai Châu với cao tốc Nội Bài - Lào Cai thuộc dự án Kết nối giao thông các tỉnh miền núi phía Bắc;

Theo đề nghị của Trưởng phòng Tài chính - Kế hoạch tại Báo cáo thẩm định số 174/BC-TCKH ngày 14/6/2021.

QUYẾT ĐỊNH:

Điều 1. Phê duyệt dự toán, kế hoạch lựa chọn nhà thầu các gói thầu tư vấn định giá đất cụ thể, tư vấn định giá bồi thường về tài sản, vật kiến trúc, cây cối, hoa màu thay thế phục vụ bồi thường và GPMB dự án “Kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng Châu Á (ADB) và Chính phủ Úc tài trợ (tuyến đường nối Lai Châu với cao tốc Nội Bài - Lào Cai: Khu vực huyện Tân Uyên)”, như sau:

1. Tên dự toán: Tư vấn định giá đất cụ thể, tư vấn định giá bồi thường về tài sản, vật kiến trúc, cây cối hoa màu thay thế phục vụ bồi thường và GPMB dự án “Kết nối giao thông các tỉnh miền núi phía Bắc do Ngân hàng Châu Á (ADB) và Chính phủ Úc tài trợ (tuyến đường nối Lai Châu với cao tốc Nội Bài - Lào Cai: Khu vực huyện Tân Uyên)”.

2. Đơn vị lập dự toán: Trung tâm Phát triển quỹ đất huyện Tân Uyên.

3. Bên mời thầu: Trung tâm Phát triển quỹ đất huyện Tân Uyên.

4. Giá dự toán: 467.975.000 đồng.

5. Phương thức thực hiện: Trung tâm Phát triển quỹ đất huyện thực hiện theo quy định.

6. Thời gian thực hiện: Năm 2021.

7. Nguồn vốn: Vốn đối ứng do ngân sách Trung ương đảm bảo, được bố trí trong dự toán Ngân sách hằng năm của Bộ Giao thông Vận tải.

8. Kế hoạch lựa chọn nhà thầu (có phụ lục chi tiết kèm theo).

Điều 2. Giao Trung tâm Phát triển quỹ đất tổ chức lựa chọn nhà thầu theo kế hoạch lựa chọn nhà thầu được duyệt đảm bảo các quy định hiện hành.

Điều 3. Quyết định có hiệu lực kể từ ngày ký.

Chánh Văn phòng HĐND-UBND huyện; Trưởng phòng Tài chính - Kế hoạch; Giám đốc Trung tâm Phát triển quỹ đất và Thủ trưởng các cơ quan liên quan chịu trách nhiệm thi hành Quyết định này./.

Nơi nhận:

- Như Điều 3;
- TT. Huyện ủy, (B/c)
- TT. HĐND huyện;
- Chủ tịch, các PCT UBND huyện;
- Lưu: VT, TC-KH.

**KT. CHỦ TỊCH
PHÓ CHỦ TỊCH**



Lê Thanh Huy

4.5. Minutes of site handover of Package 6

Cộng hoà xã hội chủ nghĩa Việt Nam
Độc lập - Tự do - Hạnh phúc

BIÊN BẢN BÀN GIAO MẶT BẰNG PHỤC VỤ THI CÔNG

Gói thầu XL-06: Xây dựng đoạn Km107+757 - Km120+600 và đoạn Km137+040 - Km137+960 thuộc tuyến nối Lai Châu với cao tốc Nội Bài – Lào Cai, Dự án đầu tư Kết nối giao thông các tỉnh miền núi phía Bắc do ADB và CP. Úc tài trợ (địa phận tỉnh Lai Châu)

Lý trình: Gồm: Từ Km111+700 đến Km112+700 thuộc địa phận: Bản Nậm Bon, xã Phúc Khoa, huyện Tân Uyên, tỉnh Lai Châu.

Hôm nay, ngày 28 tháng 6 năm 2022. Tại hiện trường gói thầu XL-06, Ban quản lý dự án 2 phối hợp địa phương tổ chức bàn giao mặt bằng (**đợt 1**) giữa các bên liên quan, với các thành phần bao gồm:

1. Đại diện bên bàn giao mặt bằng:

1.1. UBND huyện Tân Uyên/TTPTQĐ huyện:

| | |
|-------------------------|-------------------------------|
| - Ông: Lê Thanh Huy | Chức vụ: Phó Chủ tịch huyện. |
| - Ông: Phạm Ngọc Đoàn | Chức vụ: GD TTPTQĐ huyện. |
| - Ông: Nguyễn Văn Thành | Chức vụ: Phó GD TTPTQĐ huyện. |

1. 2. Đại diện UBND xã Phúc Khoa, huyện Tân Uyên

| | |
|------------------------|---------------------------------|
| - Ông: Lò Văn Lọc | Chức vụ: Chủ tịch UBND xã |
| - Ông: Nguyễn Văn Hiến | Chức vụ: Bí thư Đảng ủy xã |
| - Ông: Đỗ Văn Nhận | Chức vụ: Công chức địa chính xã |
| - Ông: Sầm Văn Viên | Chức vụ: Trưởng bản Nậm Bon |

2. Đại diện bên nhận mặt bằng:

2.1. Ban quản lý dự án 2 – Bộ GTVT

| | |
|----------------------|---------------------------------|
| - Ông: Lê Minh Nam | Chức vụ: Phó Giám đốc Ban QLDA2 |
| - Ông: Dương An Hải | Chức vụ: GD QLDA, TP. PID5 |
| - Ông: Lê Thanh Tuấn | Chức vụ: Cán bộ PID5. |

2.2. Đại diện Tư vấn giám sát thi công:

- Ông: Nguyễn Việt Phong Chức vụ: Phó Tư vấn GS trưởng

2.3. Đại diện Nhà thầu thi công gói thầu XL-06 (trực tiếp nhận mặt bằng):

- Ông: Nguyễn Tất Ngán Chức vụ: P. TGD CTy 568

- Ông: Phạm Quang Luyến Chức vụ: Cán bộ kỹ thuật

Các bên thống nhất những nội dung như sau:

Các bên đã cùng nhau kiểm tra thực tế tại hiện trường, mặt bằng đã được Chủ đầu tư tiểu dự án GPMB tỉnh Lai Châu (UBND huyện Tân Uyên, TTPTQĐ huyện), chính quyền địa phương đền bù cho các hộ dân bị ảnh hưởng và các tổ chức di chuyển khỏi chỉ giới GPMB đã được xác định, đủ điều kiện để Nhà thầu tổ chức thi công. Cụ thể **đợt 1** bàn giao các đoạn thuộc Gói thầu XL-06 sau:

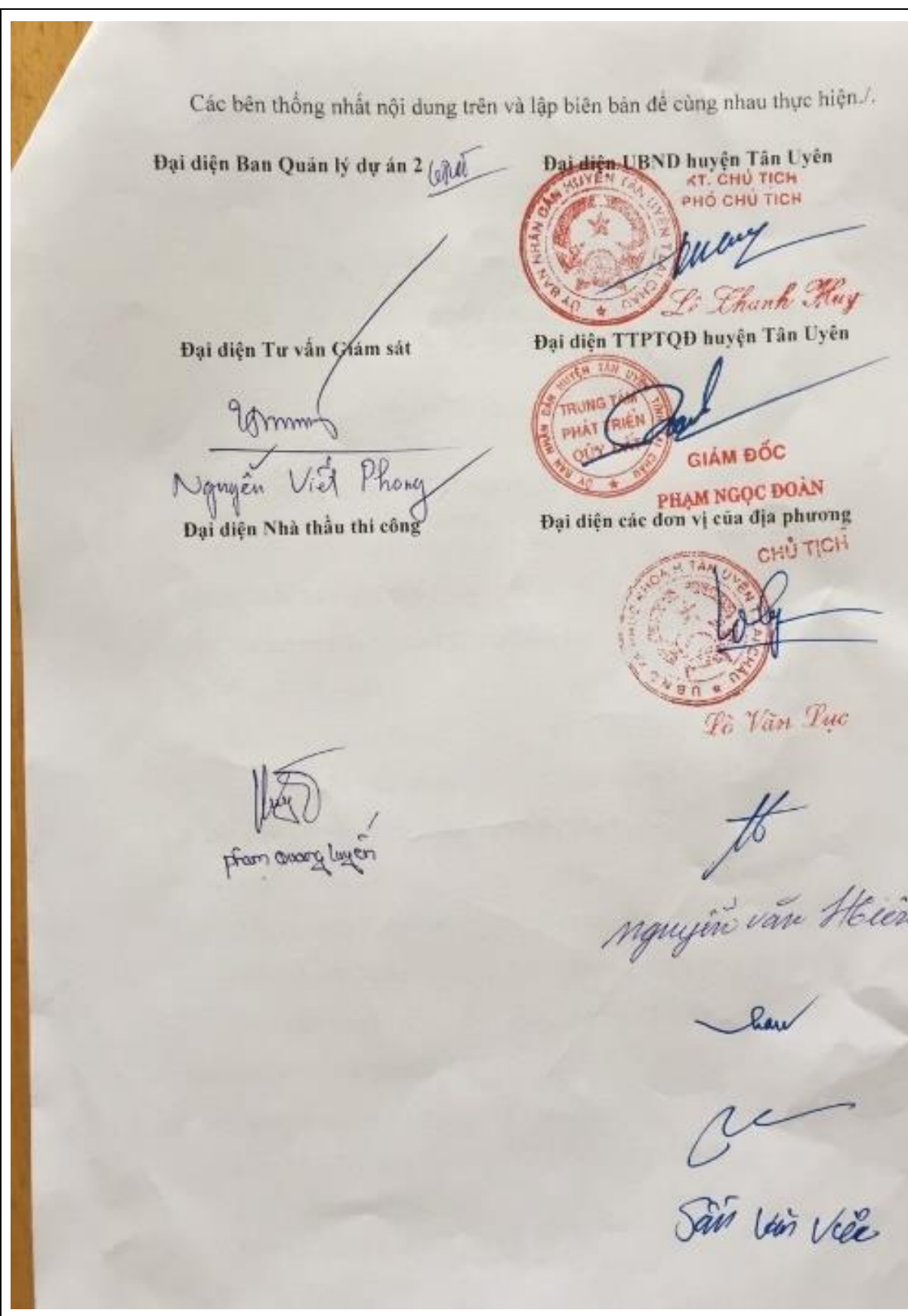
| Thứ tự | Lý trình đoạn bàn giao | Hiện trạng đoạn bàn giao | Ghi chú |
|--------|-------------------------|--|--|
| 1 | Km111+700 đến Km112+700 | Đã chi trả tiền cho các hộ dân/tổ chức bị ảnh hưởng và đã di dời ra khỏi phạm vi GPMB. | Nhà thầu thi công đã được nhận bàn giao đoạn Km111+700 đến Km112+700 |

Thống nhất lập biên bản giao nhận mặt bằng với các điều khoản cam kết như sau:

1. Từ hôm nay, Nhà thầu thi công xây lắp gói thầu XL-06 có trách nhiệm quản lý và hoàn toàn có quyền sử dụng mặt bằng đã bàn giao cho việc thi công công trình và có trách nhiệm bảo vệ hệ thống cọc mốc GPMB, mốc LG trong suốt quá trình thi công, chống tái lấn chiếm, khi công trình xây dựng xong bàn giao hệ thống cọc cho đơn vị quản lý.

2. Chủ đầu tư tiểu dự án GPMB được UBND tỉnh Lai Châu giao nhiệm vụ (UBND huyện Tân Uyên, TTPTQĐ huyện) và các đơn vị liên quan của địa phương tiếp tục chịu trách nhiệm giải quyết những vướng mắc còn tồn tại (nếu có) trong phạm vi mặt bằng đã bàn giao cho Nhà thầu.

3. Trong quá trình thi công nếu có vướng mắc trong phạm vi mặt bằng đã bàn giao, Nhà thầu cần thông báo cho Ban QLDA2 để Ban QLDA2 trực tiếp làm việc với UBND huyện Tân Uyên, TTPTQĐ huyện, chính quyền địa phương và Ban QLDA2 biết để giải quyết.



Appendix 5. List of interview

5.1. In-depth/flexible interview list

| No. | Full names | Address |
|-----------|----------------------|---|
| I | Officer group | |
| 1 | Nguyễn Duy Kiên | Deputy Director of DCLDF – Van Ban district |
| 2 | Trịnh Đình Huân | Implementation team- Van Ban district |
| 3 | Nguyễn Thị Ngải Ly | Implementation team- Van Ban district |
| 4 | Nguyễn Tú Anh | Implementation team- Van Ban district |
| 5 | Nguyễn Thanh Tùng | Implementation team- Van Ban district |
| 6 | Hoàng Công Minh | Implementation team- Van Ban district |
| 7 | Phạm Ngọc Đoàn | Director of DCLDF – Tan Uyen district |
| 8 | Nguyễn Văn Thành | Deputy Director of DCLDF – Tan Uyen district |
| 9 | Lương Thị Lan | Implementation team- Tan Uyen district |
| 10 | Phan Thanh Hưng | Implementation team- Tan Uyen district |
| 11 | Phạm Hải Triều | Director of DCLDF - Tam Duong district |
| 12 | Nguyễn Văn Ba | Deputy Director of DCLDF - Tam Duong district |
| 13 | Giáp Thị Hằng | Implementation team- Tam Duong district |
| 14 | Vũ Ngọc Quyết | Implementation team- Tam Duong district |
| 15 | Nguyễn Văn Tường | Chairman of the Ban Hon CPC |
| 16 | Phạm Văn Thắng | Phó Chairman of the Lang Giang CPC |
| 17 | Đinh Thanh Tinh | Commune cadastral official Lang Giang |
| 18 | Ma Đức Mạnh | Chairman of the Nam Xe CPC |
| 19 | Ngô Quang Trung | Chairman of the Minh Luong CPC |
| 20 | La Văn Đạt | Commune cadastral official, Minh Luong CPC |
| 21 | Trần Đình Mát | Chairman of the Tham Duong CPC |
| 22 | Nguyễn Hồng Hạnh | Chairman of the Hoa Mac CPC |
| 23 | Lý Bảo Mong | Commune cadastral official Hoa Mac CPC |
| 24 | Vì Thị Hiền | Culture – Socio officers, Hoa Mac CPC |
| 25 | Hoàng Minh Tuấn | Chairman of the Commune Farmers' Association, Hoa Mac commune |
| II | EM group | |
| 1 | La Văn Đạt | Duong Quy commune |
| 2 | La Thị Xuân | Duong Quy commune |
| 3 | La Văn Thìn | Duong Quy commune |
| 4 | Tạ Văn Tiễn | Duong Quy commune |
| 5 | Vương Văn Lưu | Duong Quy commune |
| 6 | La Văn Đạt | Duong Quy commune |
| 7 | La Thị Xuân | Duong Quy commune |
| 8 | Sầm Văn Thực | Minh Luong commune |
| 9 | Lương Văn Ương | Minh Luong commune |
| 10 | Lục Văn Hè | Minh Luong commune |
| 11 | Sầm Văn Mẫn | Minh Luong commune |
| 12 | Lục Văn Tiên | Minh Luong commune |
| 13 | Lục Văn Thả | Minh Luong commune |
| 14 | Sầm Văn Thiết | Minh Luong commune |

| No. | Full names | Address |
|------------|----------------------|--------------------|
| 15 | Lương Văn Thương | Nam Xe commune |
| 16 | Lương Thị Bình | Nam Xe commune |
| 17 | Lý A Páo | Nam Xe commune |
| 18 | Lý A Nhắng | Nam Xe commune |
| 19 | Sìn Văn Giáy | Phuc Khoa commune |
| 20 | Sìn Thị Lý | Phuc Khoa commune |
| 21 | Sừn Văn Con | Phuc Khoa commune |
| 22 | Sừn Văn Mặc | Phuc Khoa commune |
| 23 | Sừn Văn Ổn | Phuc Khoa commune |
| 24 | Sừn Văn Thìn | Phuc Khoa commune |
| 25 | Tây Thị Pan | Phuc Khoa commune |
| 26 | Tèo Văn Phớ | Phuc Khoa commune |
| III | Women's group | |
| 1 | Tèo Thị Linh | Phuc Khoa commune |
| 2 | Tây Thị Pan | Phuc Khoa commune |
| 3 | Sìn Thị Lý | Phuc Khoa commune |
| 4 | Vương Thị Sinh | Minh Luong commune |
| 5 | Lương Thị Thịnh | Minh Luong commune |
| 6 | Lương Thị Thịnh | Hoa Mac commune |
| 7 | Vĩ Tâm Lan | Hoa Mac commune |
| 8 | La Bạch Tuyết | Hoa Mac commune |
| 9 | Hoàng Thị Diệp | Hoa Mac commune |
| 10 | La Bạch Tuyết | Hoa Mac commune |
| 11 | La Thị Hương | Tham Duong commune |
| 12 | Chu Thị Tường | Tham Duong commune |
| 13 | Chu Thị Thương | Tham Duong commune |

5.2. Summary of group discussions

| No. | Discussion content | Notes |
|-----|---|-------|
| 1 | Procedures for receiving compensation and the participation of husband and wife and family members | |
| 2 | The process of receiving resettlement land and procedures for applying certificates of land use right in the resettlement site Self-resettlement form with enough support to re-establish a new life | |
| 3 | - Selection of livelihood models under RP | |
| 4 | Some problems: Replacement cost/ Specific price for property on land. The city, the district are waiting for the Provincial People's Committee to consider the decision. | |
| 5 | Project progress and people's wishes | |
| 6 | Communication activities of the Project | |
| 7 | Information and access to information of the Project | |
| 8 | Compensation for Cinnamon by density | |

5.3. List of respondents

| No. | Content | Yes | | No | |
|-----|--|-----|-----|----|---|
| | | N | % | N | % |
| 1 | Did your family receive a project information booklet (PIB) | 182 | 100 | | |
| 2 | Did your family participate in the dissemination meetings about compensation and entitlements of the project affected households | 182 | 100 | | |
| 3 | Was your family informed about the DMS plans to measure and survey your affected property | 182 | 100 | | |
| 4 | Did your family participate in the DMS to measure and survey your affected property | 182 | 100 | | |
| 5 | Was the measurement of affected land and houses accurate? | 182 | 100 | | |
| 6 | Did your family review and sign in the DMS records and minutes? | 182 | 100 | | |

| No. | Full names | Gender | Villages | Communes | 1 | 2 | 3 | 4 | 5 | 6 |
|--------------------|------------------|--------|----------|------------|------|------|------|------|------|------|
| | | | | | 100% | 100% | 100% | 100% | 100% | 100% |
| PACKAGE 02 | | | | | | | | | | |
| LANG GIANG COMMUNE | | | | | | | | | | |
| 1 | Lý Văn Trọng | Male | Hô Phai | Làng Giàng | X | X | X | X | X | X |
| 2 | Quản Văn Hưng | Male | Nậm Bó | Làng Giàng | X | X | X | X | X | X |
| 3 | Hoàng Văn Hưởng | Male | Hô Phai | Làng Giàng | X | X | X | X | X | X |
| 4 | Hoàng Thị Bích | Female | Nà Bay | Làng Giàng | X | X | X | X | X | X |
| 5 | Phạm Viết Xuân | Male | Nà Bay | Làng Giàng | X | X | X | X | X | X |
| 6 | Hoàng Văn Vinh | Male | Nậm Bó | Làng Giàng | X | X | X | X | X | X |
| 7 | Hoàng Thị Ngay | Female | Hô Phai | Làng Giàng | X | X | X | X | X | X |
| 8 | Lý Văn Xuân | Male | Hô Phai | Làng Giàng | X | X | X | X | X | X |
| 9 | Nguyễn Xuân Bình | Male | Hô Phai | Làng Giàng | X | X | X | X | X | X |

Northern Mountain Provinces Transport Connectivity Project (NMPTCP)

| No. | Full names | Gender | Villages | Communes | 1 | 2 | 3 | 4 | 5 | 6 |
|---------------------------|--------------------|--------|-----------|------------|------|------|------|------|------|------|
| | | | | | 100% | 100% | 100% | 100% | 100% | 100% |
| 10 | Phùng Thị Hậu | Female | Hồ Phai | Làng Giàng | X | X | X | X | X | X |
| 11 | Phan Thị Thuận | Female | Nà Bay | Làng Giàng | X | X | X | X | X | X |
| 12 | Lý Văn Quỳnh | Male | Nà Bay | Làng Giàng | X | X | X | X | X | X |
| 13 | Phạm Văn Hiến | Male | Nậm Bó | Làng Giàng | X | X | X | X | X | X |
| 14 | Nguyễn Hải Dương | Male | Hồ Phai | Làng Giàng | X | X | X | X | X | X |
| 15 | Hoàng Văn Phế | Male | Lập Thành | Làng Giàng | X | X | X | X | X | X |
| 16 | Hoàng Đắc Hơn | Male | Hồ Phai | Làng Giàng | X | X | X | X | X | X |
| 17 | Hoàng Anh Tú | Male | Hồ Phai | Làng Giàng | X | X | X | X | X | X |
| 18 | Nông Văn Khương | Male | Lập Thành | Làng Giàng | X | X | X | X | X | X |
| 19 | Giang Văn Quyết | Male | Lập Thành | Làng Giàng | X | X | X | X | X | X |
| 20 | Hoàng Văn Tài | Male | Lập Thành | Làng Giàng | X | X | X | X | X | X |
| 21 | Hoàng Văn Thịnh | Male | Lập Thành | Làng Giàng | X | X | X | X | X | X |
| 22 | Lưu Thị Hạnh Đào | Female | Nậm Bó | Làng Giàng | X | X | X | X | X | X |
| 23 | Phạm Thị Vui | Female | Nà Tiêm | Làng Giàng | X | X | X | X | X | X |
| 24 | Trần Thị Bích Ngọc | Female | Hồ Phai | Làng Giàng | X | X | X | X | X | X |
| 25 | Vi Văn Tủi | Male | Thôn An | Làng Giàng | X | X | X | X | X | X |
| 26 | Vi Thị Huyền Trinh | Female | Thôn An | Làng Giàng | X | X | X | X | X | X |
| 27 | Triệu Trung Thành | Male | Hồ Phai | Làng Giàng | X | X | X | X | X | X |
| 28 | Phùng Văn Thiện | Male | Nậm Bó | Làng Giàng | X | X | X | X | X | X |
| 29 | Hoàng Đức Hạnh | Male | Hồ Phai | Làng Giàng | X | X | X | X | X | X |
| 30 | Hoàng Văn Tài | Male | Lập Thành | Làng Giàng | X | X | X | X | X | X |
| 31 | Lương Thị Hiền | Female | Nậm Bó | Làng Giàng | X | X | X | X | X | X |
| THẨM DƯƠNG COMMUNE | | | | | | | | | | |
| 1 | Phùng Văn Tín | Male | Thẩm Con | Thẩm Dương | X | X | X | X | X | X |
| 2 | Hoa Văn Dũng | Male | Bản Thẩm | Thẩm Dương | X | X | X | X | X | X |
| 3 | Triệu Văn Đường | Male | Bản Thẩm | Thẩm Dương | X | X | X | X | X | X |
| 4 | Hoa Văn Danh | Male | Bản Thẩm | Thẩm Dương | X | X | X | X | X | X |

Northern Mountain Provinces Transport Connectivity Project (NMPTCP)

| No. | Full names | Gender | Villages | Communes | 1 | 2 | 3 | 4 | 5 | 6 |
|--------------------------|------------------|--------|-----------|------------|------|------|------|------|------|------|
| | | | | | 100% | 100% | 100% | 100% | 100% | 100% |
| 5 | Phùng Thị Nghiệp | Female | Bản Thảm | Thảm Dương | X | X | X | X | X | X |
| 6 | La Thị Hương | Female | Bản Thảm | Thảm Dương | X | X | X | X | X | X |
| 7 | Chu Thị Tường | Female | Bản Thảm | Thảm Dương | X | X | X | X | X | X |
| 8 | Chu Thị Thương | Female | Bản Thảm | Thảm Dương | X | X | X | X | X | X |
| 9 | Hoa Văn Pàn | Male | Bản Thảm | Thảm Dương | X | X | X | X | X | X |
| 10 | Trần Đình Mát | Male | Bản Bô | Thảm Dương | X | X | X | X | X | X |
| 11 | Hà Xuân Thành | Male | Bản Bô | Thảm Dương | X | X | X | X | X | X |
| 12 | Hà Thị Băng | Female | Bản Thảm | Thảm Dương | X | X | X | X | X | X |
| 13 | Hoa Thư | Female | Bản Thảm | Thảm Dương | X | X | X | X | X | X |
| 14 | Lam Liên | Male | Bản Bô | Thảm Dương | X | X | X | X | X | X |
| 15 | Phùng Văn Nguyên | Male | Thảm Con | Thảm Dương | X | X | X | X | X | X |
| 16 | Dương Văn Thành | Male | Bản Thảm | Thảm Dương | X | X | X | X | X | X |
| 17 | Lư Văn Luân | Male | Bản Thảm | Thảm Dương | X | X | X | X | X | X |
| 18 | Hoàng Văn Hùng | Male | Bản Thảm | Thảm Dương | X | X | X | X | X | X |
| 19 | Hà Văn Thịnh | Male | Bản Thảm | Thảm Dương | X | X | X | X | X | X |
| 20 | Nguyễn Văn Tới | Male | Bản Bô | Thảm Dương | X | X | X | X | X | X |
| 21 | Hà Văn Tươi | Male | Bản Bô | Thảm Dương | X | X | X | X | X | X |
| 22 | Triệu Phúc Hương | Male | Bản Thảm | Thảm Dương | X | X | X | X | X | X |
| 23 | La Văn Năm | Male | Bản Bô | Thảm Dương | X | X | X | X | X | X |
| DƯƠNG QUỲ COMMUNE | | | | | | | | | | |
| 1 | La Văn Đạt | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 2 | La Thị Xuân | Female | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 3 | La Văn Thìn | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 4 | Tạ Văn Tiễn | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 5 | Vương Văn Lưu | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 6 | Hoàng Văn Thương | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 7 | Hoàng Thị Thương | Female | Tông Hốc | Dương Quỳ | X | X | X | X | X | X |

Northern Mountain Provinces Transport Connectivity Project (NMPTCP)

| No. | Full names | Gender | Villages | Communes | 1 | 2 | 3 | 4 | 5 | 6 |
|-----|-----------------|--------|-----------|-----------|------|------|------|------|------|------|
| | | | | | 100% | 100% | 100% | 100% | 100% | 100% |
| 8 | Hoàng Văn Thiết | Male | Pá Pó | Dương Quỳ | X | X | X | X | X | X |
| 9 | Hoàng Văn Sem | Male | Pá Pó | Dương Quỳ | X | X | X | X | X | X |
| 10 | Đào Thị Bấy | Female | Khuân Đo | Dương Quỳ | X | X | X | X | X | X |
| 11 | Lương Văn Bách | Male | Trung Tâm | Dương Quỳ | X | X | X | X | X | X |
| 12 | Vương Văn Linh | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 13 | La Văn Thiên | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 14 | Lương Văn Bền | Male | Khuân Đo | Dương Quỳ | X | X | X | X | X | X |
| 15 | La Đức Hiệp | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 16 | Hoàng Văn Thời | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 17 | Vương Văn Tuyền | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 18 | Vương Văn Thập | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 19 | Lương Thị Thêm | Female | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 20 | La Văn Van | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 21 | La Đức Việt | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 22 | Ma Văn Tiến | Male | Pá Pó | Dương Quỳ | X | X | X | X | X | X |
| 23 | Hoàng Thị Kiện | Female | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 24 | Hoàng Văn Thiệu | Male | Khuân Đo | Dương Quỳ | X | X | X | X | X | X |
| 25 | Lương Thị Tuyền | Female | Trung tâm | Dương Quỳ | X | X | X | X | X | X |
| 26 | Lương Văn Hồng | Male | Khuân Đo | Dương Quỳ | X | X | X | X | X | X |
| 27 | Vương Trung Hoa | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 28 | Vũ Công Chung | Male | Khuân Đo | Dương Quỳ | X | X | X | X | X | X |
| 29 | Lự Thế Anh | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 30 | Hoàng Văn Lưỡng | Male | Pá Bó | Dương Quỳ | X | X | X | X | X | X |
| 31 | Hoàng Văn Hòa | Male | Pá Bó | Dương Quỳ | X | X | X | X | X | X |
| 32 | Hoàng Văn Bích | Male | Pá Bó | Dương Quỳ | X | X | X | X | X | X |
| 33 | Lương Văn Lả | Male | Khuân Đo | Dương Quỳ | X | X | X | X | X | X |
| 34 | Hoàng Thị Dung | Female | Khuân Đo | Dương Quỳ | X | X | X | X | X | X |

Northern Mountain Provinces Transport Connectivity Project (NMPTCP)

| No. | Full names | Gender | Villages | Communes | 1 | 2 | 3 | 4 | 5 | 6 |
|------------------------|------------------|--------|------------|-----------|------|------|------|------|------|------|
| | | | | | 100% | 100% | 100% | 100% | 100% | 100% |
| 35 | Lương Văn Tám | Male | Tông Hốc | Dương Quỳ | X | X | X | X | X | X |
| 36 | Hoàng Văn Tuấn | Male | Khuân Đo | Dương Quỳ | X | X | X | X | X | X |
| 37 | La Văn Chuyên | Male | Khuân Đo | Dương Quỳ | X | X | X | X | X | X |
| 38 | La Văn Chi | Male | Khuân Đo | Dương Quỳ | X | X | X | X | X | X |
| 39 | Nguyễn Thị Thiều | Female | Khuân Đo | Dương Quỳ | X | X | X | X | X | X |
| 40 | La Văn Mẫn | Male | Khuân Đo | Dương Quỳ | X | X | X | X | X | X |
| 41 | Hoàng Xuân Hiệp | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 42 | Mai Văn Han | Male | Bá Bó | Dương Quỳ | X | X | X | X | X | X |
| 43 | Lê Trung Nghiệp | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 44 | Lương Văn Thành | Male | Khuân Đo | Dương Quỳ | X | X | X | X | X | X |
| 45 | Hoàng Văn Quân | Male | Bá Bó | Dương Quỳ | X | X | X | X | X | X |
| 46 | Lự Văn Chính | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| 47 | La Đức Khánh | Male | Tông Pháy | Dương Quỳ | X | X | X | X | X | X |
| HÒA MẠC COMMUNE | | | | | | | | | | |
| 1 | Đồng Xuân Hôn | Male | Thái Hòa | Hòa Mạc | X | X | X | X | X | X |
| 2 | Ma Xuân Hương | Male | Trung Đoàn | Hòa Mạc | X | X | X | X | X | X |
| 3 | Lý Văn Chài | Male | Làng Nôm | Hòa Mạc | X | X | X | X | X | X |
| 4 | Hoàng Văn Dăm | Male | Trung Đoàn | Hòa Mạc | X | X | X | X | X | X |
| 5 | Hà Đình Theo | Male | Làng Nôm | Hòa Mạc | X | X | X | X | X | X |
| 6 | Nguyễn Hồng Hạnh | Female | Thái Hòa | Hòa Mạc | X | X | X | X | X | X |
| 7 | La Văn Hiến | Male | Làng Nôm | Hòa Mạc | X | X | X | X | X | X |
| 8 | Hoàng Thị Điệp | Female | Thái Hòa | Hòa Mạc | X | X | X | X | X | X |
| 9 | La Văn Chín | Male | Làng Nôm | Hòa Mạc | X | X | X | X | X | X |
| 10 | Lương Thị Lam | Female | Trung Đoàn | Hòa Mạc | X | X | X | X | X | X |
| 11 | Đình Công Chính | Male | Thái Hòa | Hòa Mạc | X | X | X | X | X | X |
| 12 | Hoàng Thế Vinh | Male | Trung Đoàn | Hòa Mạc | X | X | X | X | X | X |
| 13 | La Văn Toán | Male | Làng Nôm | Hòa Mạc | X | X | X | X | X | X |

Northern Mountain Provinces Transport Connectivity Project (NMPTCP)

| No. | Full names | Gender | Villages | Communes | 1 | 2 | 3 | 4 | 5 | 6 |
|---------------------------|-------------------|--------|---------------|------------|------|------|------|------|------|------|
| | | | | | 100% | 100% | 100% | 100% | 100% | 100% |
| 14 | La Bạch Tuyết | Female | Làng Nôm | Hòa Mạc | X | X | X | X | X | X |
| 15 | Trần Thị Thúy Vân | Female | Trung Đoàn | Hòa Mạc | X | X | X | X | X | X |
| 16 | Vi Tâm Lan | Female | Trung Đoàn | Hòa Mạc | X | X | X | X | X | X |
| 17 | Hoàng Văn Thiệp | Male | Làng Nôm | Hòa Mạc | X | X | X | X | X | X |
| 18 | Hà Văn Chương | Male | Làng Mạc | Hòa Mạc | X | X | X | X | X | X |
| 19 | Hà Xuân Hật | Male | Làng Mạc | Hòa Mạc | X | X | X | X | X | X |
| 20 | La Văn Thiện | Male | Làng Mạc | Hòa Mạc | X | X | X | X | X | X |
| 21 | La Văn Ngoan | Male | Làng Mạc | Hòa Mạc | X | X | X | X | X | X |
| 22 | Hoàng Mạnh Cường | Male | Trung Đoàn | Hòa Mạc | X | X | X | X | X | X |
| 23 | Trần Văn Mè | Male | Làng Mạc | Hòa Mạc | X | X | X | X | X | X |
| 24 | Lục Văn Thiếp | Male | Thái Hòa | Hòa Mạc | X | X | X | X | X | X |
| 25 | Hoàng Văn Sinh | Male | Thái Hòa | Hòa Mạc | X | X | X | X | X | X |
| 26 | Nguyễn Hằng Hải | Male | Thái Hòa | Hòa Mạc | X | X | X | X | X | X |
| 27 | Đỗ Công Liện | Male | Thái Hòa | Hòa Mạc | X | X | X | X | X | X |
| PACKAGE 03 | | | | | | | | | | |
| MINH LUONG COMMUNE | | | | | | | | | | |
| 1 | Hoàng Văn Vạ | Male | Minh Thượng 3 | Minh Lương | X | X | X | X | X | X |
| 2 | Hoàng Văn Phin | Male | Minh Thượng 2 | Minh Lương | X | X | X | X | X | X |
| 3 | Hoàng Văn Phung | Male | Minh Thượng 3 | Minh Lương | X | X | X | X | X | X |
| 4 | Nguyễn Văn Huy | Male | Minh Thượng 1 | Minh Lương | X | X | X | X | X | X |
| 5 | Hoàng Đình Nghi | Male | Minh Thượng 3 | Minh Lương | X | X | X | X | X | X |
| 6 | Hứa Văn Thụng | Male | Minh Thượng 3 | Minh Lương | X | X | X | X | X | X |
| 7 | Hà Văn Khải | Male | Minh Thượng 1 | Minh Lương | X | X | X | X | X | X |
| 8 | Nguyễn Văn Mộc | Male | Minh Thượng 2 | Minh Lương | X | X | X | X | X | X |
| 9 | Hoàng Văn Quỳnh | Male | Minh Thượng 3 | Minh Lương | X | X | X | X | X | X |
| 10 | Lương Thị Thịnh | Female | Minh Thượng 2 | Minh Lương | X | X | X | X | X | X |
| 11 | Lò Văn Ngại | Male | Minh Thượng 1 | Minh Lương | X | X | X | X | X | X |

Northern Mountain Provinces Transport Connectivity Project (NMPTCP)

| No. | Full names | Gender | Villages | Communes | 1 | 2 | 3 | 4 | 5 | 6 |
|--------------------------|------------------|--------|---------------|------------|------|------|------|------|------|------|
| | | | | | 100% | 100% | 100% | 100% | 100% | 100% |
| 12 | Lư Văn Trường | Male | Minh Hạ 1 | Minh Lương | X | X | X | X | X | X |
| 13 | Dương Văn Chung | Male | Minh Hạ 1 | Minh Lương | X | X | X | X | X | X |
| 14 | Triệu Quý Minh | Male | Minh Hạ 3 | Minh Lương | X | X | X | X | X | X |
| 15 | La Văn Tiến | Male | Minh Hạ 3 | Minh Lương | X | X | X | X | X | X |
| 16 | Sầm Văn Thực | Male | Minh Hạ 3 | Minh Lương | X | X | X | X | X | X |
| 17 | Lương Văn Ương | Male | Minh Hạ 2 | Minh Lương | X | X | X | X | X | X |
| 18 | Lục Văn Hè | Male | Minh Thượng 1 | Minh Lương | X | X | X | X | X | X |
| 19 | Sầm Văn Mẫn | Male | Minh Thượng | Minh Lương | X | X | X | X | X | X |
| 20 | Lục Văn Tiên | Male | Minh Thượng 2 | Minh Lương | X | X | X | X | X | X |
| 21 | Lục Văn Thả | Male | Minh Thượng 1 | Minh Lương | X | X | X | X | X | X |
| 22 | Sầm Văn Thiết | Male | Minh Thượng 1 | Minh Lương | X | X | X | X | X | X |
| 23 | Vương Thị Sinh | Female | Minh Thượng 3 | Minh Lương | X | X | X | X | X | X |
| NẬM XÉ COMMUNE | | | | | | | | | | |
| 1 | Vũ Hoàng Phương | Male | Tu Hạ | Nậm Xé | X | X | X | X | X | X |
| 2 | Lương Văn Thương | Male | Tu Hạ | Nậm Xé | X | X | X | X | X | X |
| 3 | Lương Thị Bình | Female | Tu Hạ | Nậm Xé | X | X | X | X | X | X |
| 4 | Lý A Páo | Male | Tu Hạ | Nậm Xé | X | X | X | X | X | X |
| 5 | Lý A Nháng | Male | Tu Hạ | Nậm Xé | X | X | X | X | X | X |
| 6 | Vàng A Sáng | Male | Tu Hạ | Nậm Xé | X | X | X | X | X | X |
| PACKAGE 06 | | | | | | | | | | |
| PHÚC KHOA COMMUNE | | | | | | | | | | |
| 1 | Sìn Văn Giáy | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 2 | Sìn Thị Lý | Female | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 3 | Sừn Văn Con | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 4 | Sừn Văn Mặc | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 5 | Sừn Văn Ơn | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 6 | Sừn Văn Thìn | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |

Northern Mountain Provinces Transport Connectivity Project (NMPTCP)

| No. | Full names | Gender | Villages | Communes | 1 | 2 | 3 | 4 | 5 | 6 |
|-----|---------------|--------|----------|-----------|------|------|------|------|------|------|
| | | | | | 100% | 100% | 100% | 100% | 100% | 100% |
| 7 | Tây Thị Pan | Female | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 8 | Tèo Văn Phở | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 9 | Tèo Văn Tải | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 10 | Vàng Văn Bình | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 11 | Vàng Văn Dền | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 12 | Vàng Văn Phúc | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 13 | Sùng A Lù | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 14 | Giàng A Mãnh | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 15 | Vàng A Dinh | Nan | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 16 | Phan Văn Vùi | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 17 | Sùng Văn Thìn | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 18 | Sừn Văn Huy | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 19 | Tèo Thị Linh | Female | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 20 | Sừn Văn Ơn | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 21 | Tèo Văn Tải | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |
| 22 | Sàn Văn Viên | Male | Nậm Bon | Phúc Khoa | X | X | X | X | X | X |

Appendix 6. The interview forms

6.1. 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...)? |

| | | |
|--|--|---|
| | | <p>7. Do you have any questions about compensation payment?</p> <p>8. What is your assessment of the project information dissemination?</p> <p>9. What is your assessment of the inventory of affected assets?</p> <p>10. What is your assessment of the payment of compensation and support?</p> <p>11. What are your recommendations for the project's compensation, support and resettlement?</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 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? |
|--|--|---|

6.2. 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? |
|--|--|--|

6.3. 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 HOUSEHODS WHOSE LAND IS ACQUIRED

I. Household general information

- Respondent's full name:
Age: Gender: Male ☐1 Female ☐2 Education:.....
Occupation: Relationship with household head:
- Household head full name:
Age: Gender: Male ☐1 Female ☐2
Education:..... Occupation:.....
Address:.....
- 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;
- Ethnicity of household head?
Kinh ☐1 Hoa ☐2 Other ☐3 (specify):
- 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