

HOA BINH PROVINCIAL PEOPLE’S COMMITTEE
HOA BINH PROJECT MANAGEMENT UNIT OF CONSTRUCTION WORKS
FOR AGRICULTURE AND RURAL DEVELOPMENT

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ETHNIC MINORITY DEVELOPMENT PLAN

DAM REHABILITATION AND SAFETY IMPROVEMENT
(WB8)

IN HOA BINH PROVINCE – SUBPROJECT 03



Hoa Binh, 2022

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IN HOA BINH PROVINCE – SUBPROJECT 03

PROJECT OWNER

CONSULTANT

Hoa Binh, 2022

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ABBREVIATIONS

AP	Affected Person
CPMU	Central Project Management Unit
CPO	Central Project Office
DARD	Department of Agriculture and Rural Development
DRSIP/WB8	Vietnam Dam Rehabilitation and Safety Improvement Project
EM	Ethnic Minority
EMDP	Ethnic Minority Development Plan
EMPF	Ethnic Minority Policy Framework
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
IOL	Inventory of Losses
MARD	Ministry of Agriculture and Rural Development
MoNRE	Ministry of Natural Resources and Environment
OP	Operating Policy
PPMU	Provincial Project Management Unit
PSC	Project Steering Committee
PM	Project Manager
STDs	Sexually Transmitted Diseases
PC	People’s Committee
USD	United States Dollar
VND	Vietnamese Dong

GLOSSARY

Project impact means positive and negative impacts on EMs caused by all project components. Adverse impacts are often consequences immediately related to the taking of a parcel of land or to restrictions in the use of legally designated parks or protected areas. People directly affected by land acquisition may lose their home, farmland, property, business, or other means of livelihood. In other words, they lose their ownership, occupancy, or use rights, because of land acquisition or restriction of access.

Affected people refers to individuals or organizations, business facilities that are directly affected socially and economically by Bank-assisted investment projects caused by the involuntary taking of land and other assets that result in (i) relocation or loss of shelter; (ii) loss of assets or access to assets; or (iii) loss of income sources or means of livelihood, whether or not the affected persons must move to another locations (whose livelihood is temporarily or permanently impacted) allows and is benefited from ownership/residence in other area. In addition, affected people is one for whom involuntary restriction of access to legally designated parks and protected areas that result in adverse impacts on livelihoods also.

Ethnic minority peoples refers to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees: (i) self-identification as members of a distinct indigenous cultural group and recognition of this identify by others; (ii) collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories; (iii) customary cultural, social, economic or political institutions that are separate from those of the dominant society and culture, and (iv) an indigenous language, often different from the official language of the country or region.

Vulnerable groups refer to people who by virtue of gender, ethnicity, age, physical or mental disability, economic disadvantage, or social status may be more adversely affected by resettlement than others and who may be limited in their ability to claim or take advantage of resettlement assistance and related development benefits, include: (i) women headed household (single, widow, disabled husband) with dependents, (ii) disables (loss of working ability), the elderly alone, (iii) poor household, (iv) the landless, and (v) ethnic minority groups.

Culturally appropriate means having regard for all facets of the cultures, and being sensitive to their dynamics.

Free, prior and informed consultation (FPIC) with the Ethnic Minority Peoples communities refers to a culturally appropriate and collective decision-making process subsequent to meaningful and good faith consultation and informed participation regarding the preparation and implementation of the project. It does not constitute a veto right for individuals or groups.

Collectively binding means that for generations there has been a physical presence in and economic ties to lands and territories traditionally owned, or customarily used or occupied, by the group concerned, including areas that hold special significance for it, such as sacred sites. “Collective binding” also refers to the attachment of transhumant/nomadic groups to the territory they use on a seasonal or cyclical basis.

Customary rights to lands and resources refers to patterns of long-standing community land and resource usage in accordance with Ethnic Minority Peoples’ customary laws, values, customs, and traditions, including seasonal or cyclical use, rather than formal legal title to land and resources issued by the State.

EXECUTIVE SUMMARY

1. Introduction

This Ethnic Minority Development Plan (EMDP) is prepared for the Subproject 03 – Dam Rehabilitation and Safety Improvement (WB8) in Hoa Binh Province” funded by the World Bank. The Subproject’s main objectives are (i) Repair and safety improvement for 16 reservoirs: Luong Bai, Thuong, Sung, Khoang Chia, Ngoc Vo, Vo Queo, Me, Du, Tha, Dom, Cham Sy, Thong Nhat, Cau, Na Ai, Dang, Nang; (ii) Restore and ensure the safety of the works through repair and upgrade of degraded lakes, dams or those are poorly capable of flood discharge; and (iii) Ensure stable water supply for agricultural production activities of 15 communes in the downstream area of 05 districts and 01 city: Yen Thuy, Lac Son, Kim Boi, Luong Son, Tan Lac and Hoa Binh city of Hoa Binh province.

2. The objectives of the Ethnic Minority Development Plan (EMDP) consist of: (i) minimizing negative impacts on the lives of ethnic minorities in the project area; (ii) ensuring the implementation process of the sub-project respects values, human rights and unique culture of the ethnic minorities in the affected area of the project and also considering economic development expectations and demands of the ethnic minority community.

2. Legal framework

3. Legal documents of Vietnamese Government and Hoa Binh province on supporting and developing the ethnic minority communities aim to improve economic and cultural life, to enhance opportunities for access to education and to support their lives.

4. The legal and policy framework is developed to ensure that the affected ethnic minorities (equivalent to the indigenous peoples as defined in OP 4.10 of the World Bank) has equal opportunity to share the project benefits, and free, prior and informed consultation will be conducted to ensure their broad-based community access and support to the project obtained, and that any potential negative impacts are properly mitigated. Ethnic minority screening was conducted as per the Bank’s OP 4.10, and has been implemented within the scope and area of the social assessments corresponding to the scope of environmental assessment (OP 4.01).

3. Impacts of the Subproject

a. Positive impacts:

The subproject will bring about a number of positive socio-economic effects for the province: (i) Improve water quality for domestic and production use; (ii) ensure dam safety in the subproject area and prevent floods and storms, mitigate natural disasters (ii) improve production conditions, increase crop and livestock productivity; Increase irrigation area, promote agricultural production and contribute to poverty alleviation (iii) create jobs, increase income from agricultural production; (iv) solve insecurity for people and production in downstream areas; (v) Deal with environmental pollution; (vi) Handle to travel problems between production areas, residential areas. (vi) Develop social welfare for vulnerable groups and enhance social capital for people in the subproject area, focusing on women, the poor and ethnic minorities.

b. Negative impacts:

Impacts from land acquisition and resettlement: According to the results of IOL in 12/2018 and updated in 8/2020 the resettlement action plan for the Subproject 03 under the Dam Rehabilitation and Safety Improvement (WB8) in Hoa Binh, the Subproject implementation will affect soil, crop, trees and aquaculture farming of 51 households¹ of which: 20 households permanently affected due to land acquisition and 31 temporarily affected households during construction period. Besides, the Subproject implementation will affect the irrigation and transport land which is on the reservoir corridors managed by 15 CPCs.

Total affected area: 53,614 m², of which: Permanently and temporarily affected land area: 25,410 m²

¹ Notes: There are some households affected with 02 and more types.

and 28,204 m², respectively. Specifically:

Permanent impact:

Total affected land area is **25,410** m² owned by 20 households and 15 CPCs. In which:

- Affected agricultural land is 1,340 m²
- Affected productive forest land is 1,620 m²
- Transport, irrigation land managed by CPC is 22,450 m²
- Out of 20 households who have lost, no household is severely affected with their agricultural land (lose more than 20% of total agricultural production and over 10% total land for vulnerable group).

Temporary impacts during construction phase: 31 households would be temporarily affected during the construction phase, of which:

- 11 households temporarily affected with their agricultural land and productive forest land. Total temporarily affected land area in construction phase is 28,204 m², of which 25,000 m² irrigation, transport land managed by CPC and 3,204 m² agricultural land and productive forest land of 11 households.
- 13 households would be affected with aquaculture (fish farming) during construction phase as they hire surface area.
- 07 households would have their trees, crops affected which are planted on the land managed by 15 CPCs.

According to preliminary survey, out of 51 AHs:

- There are 43 vulnerable AHs they are all ethnic minorities (4 Muong households are the poor);

4. Mitigation measures

Mitigation measures for vulnerable groups: Attract their participation and provide support policies to those who are affected by the Subproject, specifically:

- Consultation with stakeholders to understand the project impacts and encourage their participation and support for the Subproject; Implement resettlement policies; minimize impacts on trees, crops and properties of local people; Develop mitigation measures to mitigate difficulties in water supply during construction.
- Technical design: Provide detail design consultancy in the subproject area, work with local authorities and communities to select the most optimal option and minimize impacts of land acquisition;
- Information disclosure: PPMU worked with the Consultant and local authorities to disseminate information about the project, compensation, support and resettlement policies of the Subproject.

These impacts will be mitigated through plans and programs prepared for this Project/Subproject, including: Ethnic Minority Development Plan; Resettlement Policy Framework (RPF); Resettlement Action Plan (RAP); Social Assessment (SA); Gender Action Plan (GAP); Community health Protection Plan; Stakeholder participatory and Communication Strategy Plan for stakeholders. The PMU shall be responsible for implementing plans, programs and properly implementation so as to mitigate negative impacts of local people's livelihood, proposing PMU to develop micro financial program, agricultural extension services and trainings on business skill development for AHs.

5. Information dissemination and EM consultation

During December 2018, the Consultant was in close cooperation with the Hoa Binh PPMU to carry out the consultations with EM people in the area affected by the subproject. In the consultation meeting, the Consultants introduced the project to EM people in the subproject area.

The consultations with EM communities were carried out in the free, prior and informed manner in

accordance with the OP 4.10 of the World Bank. Both men and women participated in the consultations, particularly women were encouraged to put forward their opinions/questions. During the consultation meetings, the representatives from Communal People's Committees, PPMU and EM households agreed with the meeting contents and signed the minutes.

In the consultation, the EM communities were notified in advance about the subproject activities and expected impacts, including: (i) Project information: Scope, progress, work plan of the subproject; (ii) Some cultural characteristics of the EM communities in the subproject area; (iii) Projected impacts of the subproject on the EM communities; (iv) Existing livelihoods of EM people and expectations/needs for livelihood restoration; and (v) Evaluation of the support from EM people for the subproject.

The consultation results reveal that the EM communities and households advocate implementing the project and wish the project to be carried out at the earliest possible time. In order to improve their income affected by subproject implementation, the majority of EM households participating in the interviews and consultations expect to be supported in: Training courses on agricultural extension, crop/animal husbandry models applying advanced technologies to enhance productivity and bring high economic efficiency; shifting to short-term cultivars, plants requiring little water; seedlings, fertilizers or compensation in cash in water-shortage season provided to affected EMs due to water cut for dam construction; Support construction materials for households to build rainwater storage tank.

6. Development activities

The two main activities to be undertaken after consultations with affected EM households are: (i) Providing training on agricultural extension and crop animal husbandry models applying advanced technologies to enhance productivity; and (ii) Communication programs on measures for dam protection and safe dam operation.

7. Projected budget and finance

No separated amount will be used for EMDP because 51 AHs are located in 15 communes of 6 districts in Hoa Binh province; Also the number of affected EMs is few that will not have enough finance to open training courses in each commune. In addition, affected area of households are small, no households has their total land affected $\geq 10\%$ total land and they will be compensated and supported in accordance with the Project's Resettlement Policy Framework and Subproject's RAP. Annually, the Subproject's communes hold a number of programs, conferences, trainings for EMs such as: Agricultural extension, agricultural restructuring; Occupation services, etc. Therefore, EM Development program of the project could be integrated in local programs to widely communicate to other EMs in the project area.

I. INTRODUCTION

1.1 The Dam Rehabilitation and Safety Improvement Project (DRaSIP)

1. Vietnam has one of the largest networks of dams and hydraulic infrastructure in the world alongside China and the United States. This network comprises over 7,000 dams of different types and sizes. More than 750 can be classified as large dams (over 15m in height or between 5 and 15m with reservoir storage in excess of 3 m³) and with the number of small dams (less than 15m and 3 m³) estimated to be in excess of 6,000 largely earth embankment dams. Of the total 4 million hectares of agricultural land, more than three million hectares are irrigated via 6,648 dams.

2. Recognizing the significance of dam safety in irrigation and agricultural development, the Government of Vietnam decided to upgrade, repair the dam system in Vietnam. The Dam Rehabilitation and Safety Improvement (WB 8) funded by the WB has total investment of USD 443 million. The Project's objectives are to restore and improve dam safety to ensure stability for the works, protect people and socio-economic infrastructure in downstream through priority investment and capacity building/ The Project is conducted in 34 provinces in the North, Central and High Land region. There would be 450 dams in 34 provinces selected for investment within six years from 2016 to 2022.

3. Ministry of Agricultural and Rural Development is the executive agency. Central Project Office (CPO) is the Project Owner.

1.1.1 Project's objectives

4. Overall objectives:

- The project aims to implement Dam Safety Program through rehabilitation and upgrade of prioritized dams, improvement of the management and operation capacity in order to protect local residents and socio-economic infrastructure in downstream area.

5. Specific objectives:

- To improve dam safety and performance by repairing, upgrading, equipping with monitoring equipment, operation planning and maintenance.
- To strengthen institution of dam safety management at national and system levels by completion of institutional framework on dam safety, including the construction and management of database, addition of regulations, standards, guidelines, building capacity and coordination mechanism between stakeholders.
- Flood management capacity building in the basin level and coordination mechanism of reservoir operation by improving forecasting capacity, developing integrated flood management plan and training capacity building.

1.1.2. Project components

6. The project is designed based on the framework to help strengthen the Government's dam safety system with a flexible, transparent and favorable mechanism. The number of dams financed by the project has not been fixed; at first, 450 dams were prioritized based on risk assessment indicators during project preparation and the available finance for the implementation.

7. The subproject will provide an optimal combination between structural and non-structural measures for dam safety improvement. Then, structural methods is designed to repair works and upgrade safety structures of existing dams and auxiliary facilities, including measurement tools and related equipment for dam safety. The rehabilitation works account for the majority of IDA fund (> 80%).

9.The project consists of 03 main components:

- **Component 1: Dam Safety Rehabilitation (USD 412 million)**

8. This component aims at dam safety improvement through restoring existing infrastructure thanks to two different approaches for rehabilitation of large/small and medium-sized dams.

9. This task includes support for (i) detailed design, monitoring and quality control of

rehabilitation works for prioritized dams and associated infrastructure; (ii) rehabilitation works, including civil works, hydro-mechanical works and installation of hydrological and safety monitoring equipment and devices; (iii) preparation of Operation and Maintenance Plans, and Emergency Preparedness Plans; and (iv) approval of check list on standards of dam management by the community.

- **Component 2: Dam Safety Management (USD 20 million)**

10. This component will be implemented at the Ministry of Agriculture and Rural Development, the Ministry of Industry and Trade and the Ministry of Natural Resources and Environment with the aim of improving the planning and operational framework for dam management to safeguard the people and socio-economic infrastructure within downstream communities. The three mutual-support subcomponents include: (i) technical services and strategic research services; (ii) improvement of institutions, laws and regulations; and (iii) capacity building and specialty. The component's funding will be used for consulting services, goods, equipment and non-consulting services.

11. This component will support the Ministry of Agriculture and Rural Development, the Ministry of Industry and Trade, and the Ministry of Natural Resources and Environment in implementing technical assistance for the National program, perfecting the institutional coordination mechanism. and implemented among ministries, branches, localities and relevant levels.

- **Component 3: Project Management Support (USD 11 million)**

12. The project is implemented with the participation of 3 ministries as mentioned above, covering 34 provinces, most of the reservoirs are located in remote and mountainous areas where traffic conditions are very difficult, and the project implementation period lasts for 6 years. Limited management cost is also a difficulty in project implementation. The component will provide financing for project management, monitoring and evaluation, technical assistance, procurement, audit, information, training, support in procurement of equipment for management activities.

1.2. Dam Rehabilitation and Safety Improvement Project (WB8) in Hoa Binh Province - Subproject 03

13. According to the Loan Agreement No.5749-VN - Dam Rehabilitation and Safety Improvement signed between the Government of Vietnam and World Bank (WB) on funding the (WB8) Project implementation.

14. Based on the Decision No.: 4638/QĐ-BNN-HTQT dated 09/11/2015 of the Ministry of Agriculture and Rural Development on approving the Feasibility Study of Dam Rehabilitation and Safety Improvement signed between the Government of Vietnam and World Bank (WB).

15. Subproject 03 - Dam Rehabilitation and Safety Improvement (WB 8) in Hoa Binh will upgrade and repair 16 reservoirs in 05 districts and 1 city: Yen Thuy, Lac Son, Kim Boi, Luong Son, Tan Lac and Hoa Binh city of Hoa Binh province.

16. The Subproject will construct and repair structures at the reservoirs, comprising of: earth dam, spillway, sluice gate, construction road combined with management road and construction of management house. List of reservoirs in the Subproject 03 is presented in the Table below:

Table 1: : List of reservoirs in the Subproject 03

No.	Name of reservoirs	Communes (district)	Specifications				Scale
			F _{lv} (km ²)	W _{reserve} (million m ³)	H _{max} (m)	L (m)	
1	Cham Sy	Thanh Cao - Luong Son	0.30	0.203	6.39	44.25	Small
2	Dom	Cu Yen - Luong Son	1.30	0.2356	10.42	138.10	Small
3	Du	Mong Hoa - Hoa Binh city	2.00	0.623	17.00	211.28	Large
4	Sung	Hang Tram - Yen Thuy	0.90	0.204	3.55	703.84	Small
5	Thuong	Lac Thinh - Yen Thuy	0.60	0.273	5.30	383.60	Small
6	Dang	Tan Lap - Lac Son	0.50	0.216	19.15	147.09	Large
7	Me	Quang Tien - Hoa Binh city	0.70	0.216	13.0	238.39	Small

No.	Name of reservoirs	Communes (district)	Specifications				Scale
			F _{lv} (km ²)	W _{reserve} (million m ³)	H _{max} (m)	L (m)	
8	Luong Bai	Doan Ket - Yen Thuy	0.98	0.361	16.9	144.58	Large
9	Thong Nhat	Thong Nhat ward - Hoa Binh	5.68	0.223	8.3	277.43	Small
10	Khoang Chia	Yen Nghiep - Lac Son	1.28	0.205	4.00	155.26	Small
11	Vo Queo	Yen Phu - Lac Son	0.68	0.201	6.0	91.47	Small
12	Na Ai	Tu Ne - Tan Lac	2.94	0.5457	10.2	121.50	Small
13	Tha	Ky Son ward - Hoa Binh city	1.55	0.2047	10.4	70.00	Small
14	Cau	Hung Son - Kim Boi	0.65	0.2327	13.6	117.30	Small
15	Ngoc Vo	Yen Phu - Lac Son	0.30	0.2346	9.50	84.40	Small
16	Nang	Nhan Nghia - Lac Son	1.21	0.367	17.30	176.00	Large

(Source: Feasibility Study of the Subproject 03)

17. Locations of the Subproject works:

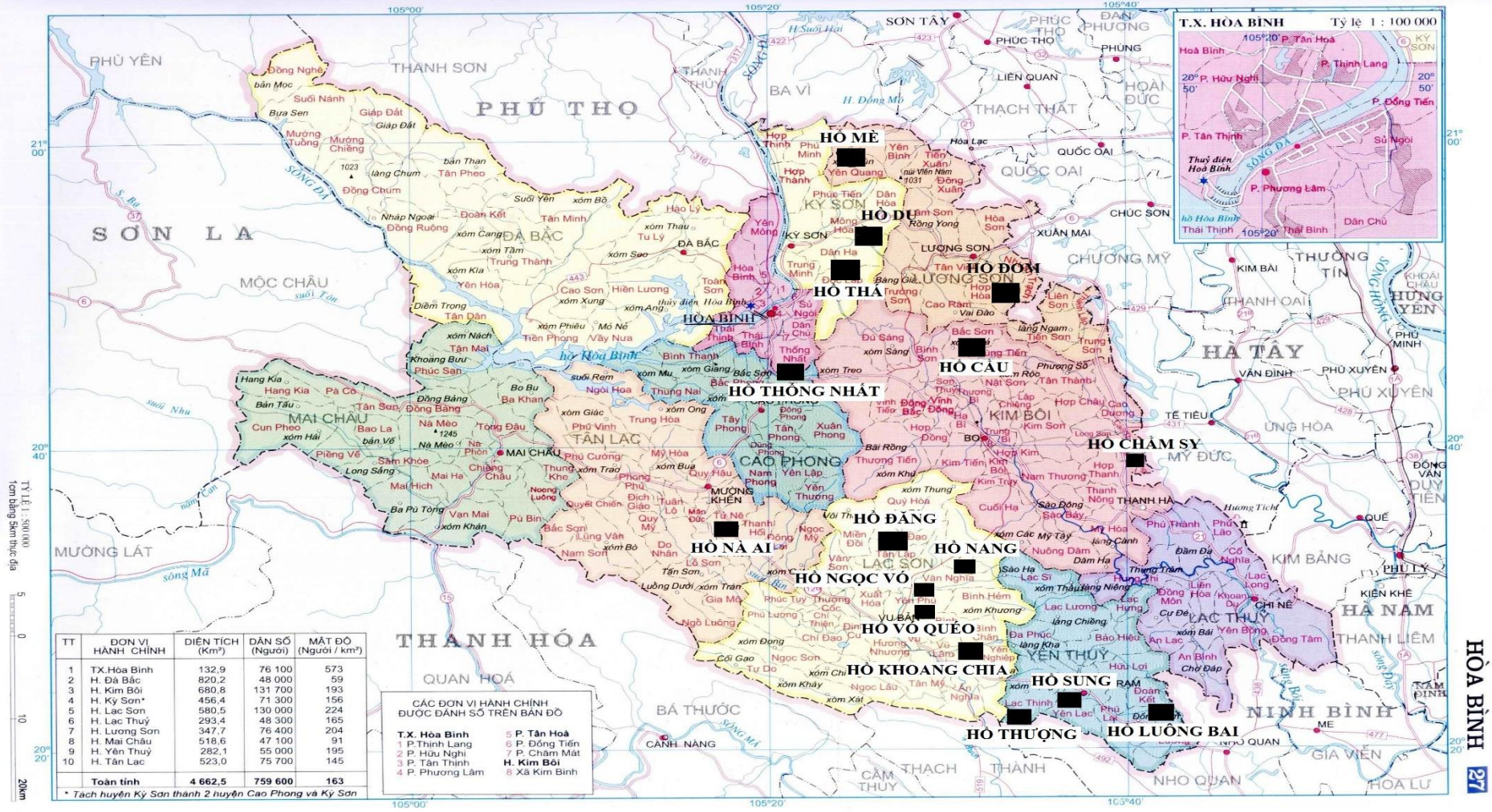


Figure 1: Locations of works in the Subproject 03

1.3. EMDP's objectives

18. The EMDP is prepared in accordance with the OP 4.10 on Indigenous People of the World Bank, Social Assessment (SA) already conducted for the subproject and results of the consultations with EM people in the subproject area (Refer the Project's SA for more details).

19. This EMDP is to a) evaluate potential impacts of the subproject on EM people and propose mitigation measures; (b) propose development activities required to be implemented to ensure that EM people in the subproject receive socio-economic benefits culturally appropriate to them. The development activities stated in this EMDP are put forward based on the consultations with EM people in the subproject.

20. In this stage, no adverse impact regarding land acquisition and agricultural production is posed to EMs. This EMDP is to provide additionally socio-economic benefits to EMs in the project area. These benefits will further support aforementioned benefits of the subproject (improve dam safety and ensure water supply).

21. Free, prior and informed consultation with EMs in the Subproject was carried out to receive their broad support.

II. LEGAL AND POLICY FRAMEWORK APPLIED FOR ETHNIC MINORITIES

22. The legal and policy framework is developed to ensure that the affected ethnic minorities (equivalent to the indigenous peoples as defined in OP 4.10 of the World Bank) has equal opportunity to share the project benefits, that free, prior and informed consultation will be conducted to ensure their broad-based community access and support to the project obtained, and that any potential negative impacts are minimized.

23. In terms of consultation and participation of ethnic minorities, when the subproject affects ethnic minorities, the affected EM people have to be consulted in a free, prior, and informed manner, to assure:

- EM and the community they belong to are consulted at each stage of subproject preparation and implementation;
- Socially and culturally appropriate consultation methods will be used when consulting EM communities. During the consultation, special attention will be given to the concerns of EM women, youth, and children and their access to development opportunities and benefits;
- Affected EM and their communities are provided, in a culturally appropriate manner at each stage of subproject preparation and implementation, with all relevant project information (including information on potential adverse effects that the project may have on them); and
- Free, prior and informed consultation to EM communities results in a massive support for project implementation.

2.1. Vietnamese legal and policy framework for the ethnic minorities

24. The Constitution of the Socialist Republic of Vietnam (2013) recognizes the equality between ethnic groups in Vietnam, Article 5 of the Constitution in 2013 provides:

- The Socialist Republic of Vietnam is the unified state of all nationalities living in the country of Vietnam.
- The nationalities are equal, unite and respect and help each other to develop; prohibits any ethnic division and discrimination.
- The national language is Vietnamese. The nation has the right to use their voice and text to preserve the national identity and promote traditions, customs, traditions and culture.
- The State implements a comprehensive development policy and creates reasonable conditions for the ethnic minorities to mobilize resources, along with the development of the country.

25. The Government of Vietnam has developed a series of policies to develop and enhance socio-cultural-economic condition of ethnic minorities in the mountainous and remote regions. After the program 124 and the program 125 phase 1 and phase 2, the Government launched the program 135 phase 3 for a chance to enhance socio-economic development in poor communes and villages located in mountainous areas. In addition to the overall development program for ethnic minorities, the Government assigned the Committee for Ethnic Minority Affairs to guide provinces to prepare projects on Development Assistance for ethnic groups with less than 1,000 people, i.e. Si La, Pu Peo, Ro Mam, Brau and O Du. The Government also conducted the Rapid and Sustainable Poor Reduction Support Program in 61 poor districts where many ethnic minorities live.

26. The Prime Minister's Decree No. 84/2012/ND-CP dated October 12, 2012 on the functions, tasks, powers and organizational structure of the Committee for Ethnic Minority Affairs (CEMA). The Decree stipulated that the CEMA, a ministerial government, performs the function of state management of ethnic affairs in the country; state management of public services under the jurisdiction of the CEMA as stipulated by law. Along with the Decree No. 05/2011/ND-CP dated January 14, 2011 on Ethnic Minorities work, the Decree 84/2012/ND-CP was issued as a legal basis for the CEMA to continue concretizing guidelines and policies of the Party on ethnic minorities in the period of industrialization and modernization; promote the power to unite the whole nation for the target of prosperous people, a strong country and a just, democratic and civilized society, in order to

ensure and promote equality, solidarity, respect, help each other to develop and preserve the cultural identity of the peoples in the great family of ethnic groups of Vietnam.

27. The documents of the Government on the grassroots democracy and participation of local people are directly related to this EMPF. The Ordinance No. 34/2007/PL-UBTVQH11, dated April 20, 2007 (in replacement of the Decree No. 79/2003/NĐ-CP) dated July 07, 2003) on exercise of democracy in communes, wards and townships provides the basis for community involvement in preparation of development plans and supervision of communities in Vietnam. The Decision No. 80/2005/QĐ-TTg issued by the Prime Minister dated April 18, 2005 regulates the monitoring of community investments. The Legal Education Program of the CEMA (2013-2016) aims to improve the quality and effectiveness of legal education, awareness raising on self-discipline, respect and strictly abiding law of officials, public servants and employees of the organizations for EM.

28. Development of socio-economic policies for each region and target group should take the needs of ethnic minorities into consideration. Socio-economic development plan and strategy of Vietnam call for special attention to ethnic minorities. Policies on education and health care for ethnic minorities have also been issued. The legal framework was updated from 2007, all legal documents related to EM are shown in Table 2 below.

Table 2: Legal documents related to the ethnic minorities.

No.	Contents	Year
1	Decision No. 460/QĐ-UBND dated 21 August 2020 of Committee for Ethnic Minority Affairs promulgating the action program to implement the socio-economic development plan in ethnic minority and mountainous areas for the period 2021- 2025.	2020
2	Resolution No. 88/2019/QH14 dated 18 November 2019 on approving the master plan for socio-economic development in ethnic minority and mountainous areas in the 2021-2030 period.	2019
3	Decision No. 103/QĐ - TTg dated 22/01/2019 of The Prime Minister approves, supplements, adjusts and renames the list of extremely difficult villages and communes in regions III, II and I in ethnic minority and mountainous areas in the 2016-2020 period.	2019
4	Decision No. 12/2018/QĐ-TTg dated 6 March 2018 of the Prime Minister on criteria for selection and recognition of prestigious people and policies for reputable people among ethnic minorities.	2018
5	Decision No. 117/QĐ-UBND dated 12 March 2018 of the Committee for Ethnic Minority Affairs approving the plan to propagate and mobilize ethnic minorities to participate in prevention and combat of drugs, HIV/AIDS, prostitution and the re-planting of drug-containing plants.	2018
6	Circular No. 86/2018/TT-BTC dated September 18, 2018 of the Ministry of Finance on guideline of management and use of budget for implementing Target program on education in mountainous areas, ethnic minority areas and particularly disadvantaged areas in the period of 2016-2020	2018
7	Circular No. 02/2017/TT-UBND dated May 22, 2017 of the Committee for Ethnic Minority Affairs on guideline of implementing the Decision No. 2085/QĐ-TTg on approval of the Particular Policy to support socio-economic development in the ethnic minority and mountainous areas in the period of 2017-2020	2017
8	Circular No. 01/2017/TT-UBND effecting from June 25, 2017 on regulating detailed implementation of Project 2 (Program 135) under the National Target Program on sustainable poverty reduction in the 2016-2020 period	2017
9	Decision No. 377/QĐ-UBND dated June 30, 2017 of the Committee for Ethnic Minority Affairs on approval of List of tasks phase 4 (first time) of the national science and technology program in the 2016-2020 period	2017

No.	Contents	Year
	“Basic and urgent issues of ethnic minorities and ethnic minority policies in Vietnam up to 2030”	
10	Decision No. 582/QĐ-TTg dated April 28, 2017 of the Prime Minister on the approval of list of particularly disadvantaged hamlets, communes in region III, region II, region I in ethnic minority and mountainous areas in the period of 2016-2020	2017
11	Decision No. 59/QĐ-TTg dated January 16, 2017 of the Prime Minister on the issue of newspapers and magazines for ethnic minority, mountainous and particularly disadvantaged areas	2017
12	Decision No. 2085/QĐ-TTg dated October 31, 2016 of the Prime Minister on approval of the Particular Policy to support socio-economic development in the ethnic minority and mountainous areas in the period of 2017-2020	2016
13	Decision No. 1722/QĐ-TTg dated September 02, 2016 of the Prime Minister on approving the national target program for sustainable poverty reduction during 2016-2020	2016
14	Decision No. 1557/QĐ-TTg dated September 10, 2015 of the Prime Minister on the approval of a number of indicators for Millennium Development Goals for ethnic minority associated with sustainable development goals after 2015	2015
15	Decision No. 601/QĐ-UBND dated October 29, 2015 of the Committee for Ethnic Minority Affairs on the additional recognition and adjustment of particularly disadvantaged hamlets, communes in the region I, II, III under mountainous and ethnic areas	2015
16	Decision No. 755/QĐ-TTg dated 20/05/2013 on approving policies to support production land and daily-life water for poor ethnic minorities and poor households in extremely difficult communes and villages.	2013
17	Joint Circular No. 05/2013-TTLT-UBND-NNPTNT-KHĐT-TC-XD dated November 18, 2013 on the guideline of Program 135 on support in infrastructure investment, production development for extremely difficult communes, border communes, particularly disadvantaged villages	2013
18	Decision No. 54/2012-QĐ-TTg dated December 04, 2012 of the Prime Minister on the promulgation of lending policy for development for particularly disadvantaged ethnic minority households in the period of 2012-2015	2012
19	Decree No. 84/2012/NĐ-CP dated October 12, 2012 of the Prime Minister on the functions, tasks, powers and organizational structure of the Committee for Ethnic Minority Affairs	2012
20	Joint Circular No. 01/2012/TTLT-BTP-UBND dated January 17, 2012 of the Ministry of Justice and Committee for Ethnic Minority Affairs on the legal guideline and assistance for ethnic minorities	2012
21	Decree No. 82/2010/NĐ-CP dated July 20, 2010 of the Government on teaching and learning of ethnic minority languages in schools	2010
22	Decision No. 102/2009/QĐ-TTg dated August 07, 2009 of the Prime Minister on the direct support policy for the poor in difficult areas	2009
23	Resolution No. 30a/2008/NQ-CP dated December 27, 2008 of the Prime Minister on the support program for fast and sustainable poverty reduction in 61 poorest districts	2008
24	Circular No. 06 20/09/2007 of the Committee for Ethnic Minority Affairs on supporting services and improvement of people’s livelihood and providing technical assistance to enhance the knowledge about law in accordance with the Decision No. 112/2007/QĐ-TTg	2007

No.	Contents	Year
25	Decision No. 05/2007/QĐ-UBND dated September 06, 2007 of the Committee for Ethnic Minority Affairs on the acceptance for three regions of ethnic minorities and mountainous areas based on their development status	2007
26	Decision No. 01/2007/QĐ-UBND dated May 31, 2017 of the Committee for Ethnic Minority Affairs on the recognition of communes and districts in mountainous areas	2007
27	Decision No. 06/2007/QĐ-UBND dated January 12, 2007 of the Committee for Ethnic Minority Affairs on the media strategy for the program 135 phase 2	2007

29. These Resolution, Decisions and Policies are widely publicized in order to facilitate resettlement and cultivation stability of the EM groups. The Government pays special attention to improvement of the infrastructure for EM people in disadvantaged mountainous areas. Additionally, they aim at improvement of economic and cultural life, enhancement of opportunities for education and support of living condition for EM communities.

2.2. World Bank's Operational Policy on Indigenous People (OP 4.10)

30. The OP 4.10 aims at avoid potentially adverse effects on indigenous people and increase activities to bring about project benefits taking into account their cultural demands and needs. The Bank requires indigenous peoples (here referred as Ethnic Minorities) to be fully informed and able to freely participate in projects. The project has to be widely supported by the affected EMs. Besides, the project is designed to ensure that the EMs are not affected by adverse impacts of the development process, especially by WB-financed projects, and that EM people receive socio-economic benefits that should be culturally appropriate to them.

31. The Policy that defines EM can be identified in particular geographical areas by the presence in varying degrees of the following characteristics:

- Self-recognize 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; and
- Speaking an indigenous language often different from the official language of the country or region.

32. As a prerequisite for investment project approval, OP 4.10 requires the borrower to conduct free, prior and informed consultation with potentially affected EM people and to establish a pattern of broad community support for the subproject and its objectives. It is important to note that the OP 4.10 refers to social groups and communities, and not to individuals. The primary objectives of OP 4.10 are:

- To ensure that such groups are afforded meaningful opportunities to participate in planning project activities that affects them;
- To ensure that opportunities to provide such groups with culturally appropriate benefits are considered; and
- To ensure that any project impacts that adversely affect them are avoided or otherwise minimized and mitigated.

33. In the context of the subproject, EM groups in the subproject area are likely to receive long-term benefits through the dam rehabilitation and safety improvement, but they may be negatively affected on their life and the communities could be temporarily affected with social issues in the course of Subproject implementation.

34. The above provisions are to help ethnic minority groups to have opportunities for participating in the design of project activities that affect them; and to ensure that opportunities are culturally appropriate to their interests, customs and practices; and to ensure that any project negative impacts are avoided or otherwise minimized and mitigated.

35. In the course of implementation, ethnic minority development plans for ethnic minorities in the project area, policies on ethnic minorities of the Government of Vietnam, World Bank and local authorities will be applied in combination. in the Ethnic Minority Development Plan or integrated in the overall project plans, to ensure that the EM communities in the project area are fully consulted and informed, are involved in all project phases, benefited from the project in accordance with their customs and practices; and the negative impacts on their culture, economy and society are minimized.

(This part is based on the EM Policy Framework stated in EMPF)

III. SOCIO-ECONOMIC PROFILE OF ETHNIC MINORITIES IN THE SUBPROJECT AREA

3.1. Characteristics of EM communities in the Subproject area

3.1.1. Overview about EM communities in the Subproject area

36. The updated survey data on the ethnic minority community in the subproject area conducted in August 2020 and the data updated by the Hoa Binh Provincial Committee for Ethnic Minority Affair by the end of 2019 is as follows:

37. Hoa Binh province has a total of 854,131 people, including 634,725 ethnic minorities, accounting for 74.3% of the total population. Hoa Binh province has various ethnic minorities, of which there are mainly 7 ethnic groups: Muong people with 549,026, making up 64.28 %; Vietnamese (Kinh) with 219,403 making up 25.69 %; Thai People with 34,387 accounting for 4.03 %; Dao People with 17,248 presenting 2.02 %; Tay people with 25,753 accounting for 3.02 %; Mong people with 7,081 making up 0.83%; Chinese people with 151 occupying 0.02 %; Other people: Khmer; San Diu; San Chay; Tho, etc and other groups with very small percentage and are mainly people from other regions who come to marry Hoa Binh people, work and live here.

Figure 2: Structure of ethnic minorities in Hoa Binh Province

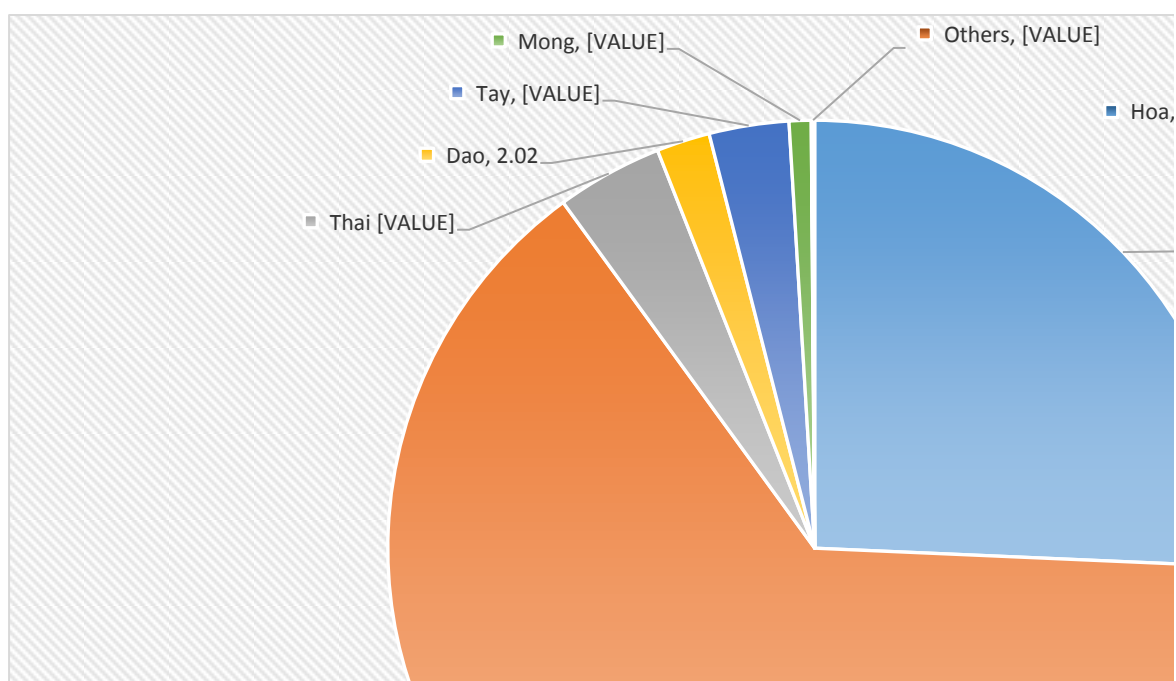


Table 3: EMs people in districts of Hoa Binh Province

DISTRICT	Total			Tay			Thai			Muong			Mong			Dao		
	Total	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female
TOTAL	634725	318386	316339	25753	12960	12793	34387	16620	17767	549026	276028	272998	7081	3613	3468	17248	8723	8525
Hoa Binh city	33180	15888	17292	620	285	335	712	258	454	30078	14413	15665	278	200	78	1350	675	675
Da Bac	49162	24916	24246	23194	11862	11332	234	91	143	17634	8855	8779	10	0	10	8035	4094	3941
Ky Son	26413	13015	13398	146	67	79	105	37	68	25864	12771	13093	21	12	9	213	102	111
Luong Son	68697	34295	34402	214	65	149	225	45	180	66865	33521	33344	5	1	4	1201	602	599
Kim Boi	108517	54882	53635	259	88	171	227	39	188	103943	52705	51238	10	2	8	3955	2018	1937

Cao Phong	33575	16753	1822	110	53	57	142	50	92	32057	16036	16021	1	0	1	1209	596	613
Tan Lac	73889	37090	36799	93	37	56	717	291	426	72971	36729	36242	10	4	6	41	12	29
Mai Chau	49200	24606	24594	763	383	380	31433	15661	15772	9251	4669	4582	6695	3354	3341	969	505	464
Lac Son	124815	33019	61796	118	41	77	320	66	254	124087	62802	61285	16	10	6	165	71	94
Yen Thuy	42063	21093	20970	81	29	52	114	25	89	41628	20929	20669	4	2	2	75	36	39
Lac Thuy	25214	12829	12385	155	50	105	158	57	101	24648	12598	12050	31	28	3	35	12	23

Source: Updated by Hoa Binh Provincial Committee for Ethnic Minority Affairs until 2019

3.1.2. Specific characteristics about EM communities in the Subproject area

38. In 15 communes in the subproject area, Muong people make up the highest percentage. In some communes, Muong People account for 95% As the vast majority of Muong people, their cultural characteristics and identity represent for the culture in the Subproject area.

a. Traditional Economic activities

39. Wet rice agriculture takes the leading activities with main crop of rice. Common tillage tools are the plow and the small, single-toothed wooden or bamboo harrow. Ripe rice is tied in bunches and brought home to dry, and store in upstairs. When needed, each bunch will be put in wooden trough to get seeds. Besides wet rice, Muong people have experience in irrigation in small scale.

40. In addition to water fields, the Muong also work in upland fields, raising cattle, hunting, fishing, gathering and producing handicrafts (weaving, knitting,...).

41. Specifically: Wet rice farming is carried out in flat areas near rivers and streams. Muong people attach great importance to sticky rice, because in daily life, in traditional meals, sticky rice is the main food source. Besides, the sticky rice is more popular than the rice because of its high productivity. In addition to the wet fields in the delta, the Muong mostly work on terraced fields to take advantage of the land on the slopes and foothills. As the terraced fields are at high positions, for overcoming difficult irrigation condition, Muong people dig ditches to build mill to lead water to the fields.

42. Only one rice crop is grown in terraced fields. Other crop season they grow corn, vegetables, potato, etc. which do not require much water. “Chằm, rộc fields” (fields between two hills) are taken advantages by Muong people to grow rice. The fields are in lower swamp with dilute mud in the bottom, water on the surface with weeds grow in layers. “Chằm, tộc fields” are very deep, may be up to people’s belly or even their chest. Therefore, it is harder to cultivate because the harrowing is not as easy as in terraced or plain fields. For facilitating the sowing and harvest, Muong people have to use bamboo or banana trunk. However, due to land area limitation, cultivation in “Chằm, rộc fields” plays an important role in Muong People’s life.

43. Besides the wet fields, the Muong also burns the forest for farming with an outdated farming methods as digging holes and planting seeds. Muong people have valuable experience in choosing land for cultivation such as using cork trees or sharp beveled trees to stab the ground to take humus soil, or the soil which is soft and shiny, has good quality. Sowing normally takes place around March and April when the rainy season starts. Muong people do not plow or hoe their tarraced feilds use sharpened the piece of tree to stab a pit for seeding. They are high aware of using fire for creating terraced field by limiting forest fire This is originated from the traditional concept of “everything has its soul” According to the Muong, forests, mountains, trees, rivers, streams, etc. also have souls, ruled by gods or demons. Therefore, they avoid farming in the forest patches, ancient trees which are considered as sacred - the dwelling place of forest gods and tree gods, no matter how fertile the land there is. From this concept, Muong people hold several agricultural ritual such as rice procession, pray for harvesting, the new rice celebration, or close/open the forest door accompanying with sacred taboos.

44. Along with rice cultivating, Muong people earn living from breeding, gardening, waving, knitting, hunting and gathering. These jobs play a raletive important role in food provision for their daily lives.

45. Poultry and cattles such as buffaloes, cows are often raised in herds in the forest. Such animals not only are the food sources provided for important festivals but also the pulling forces in agricultural production. For the Muong, buffaloes and cows are important in their daily life because the animals are both their property and career, reflecting economic potential of each house in the village and between one village and another. Besides, the Muong also raise pigs and chickens for meat and eggs. Muong people do not build separate barns for cattle but keep them under the house floor. The pig pens are built far from houses and water sources. The Muong also raise fish in ponds and rivers, although they live in the semi-midlands and mountainous areas where ponds and lakes are very few. They mainly rely on fishing, wild shrimp in rivers and streams. The fish catching tools are mainly nets, traps, etc. Their traditional fishing method is to use pureed "lá coi" a poisonous leaf to throw into streams so that shrimps get drunk and float to the surface.

46. Previously, the Muong did not place a high value on the garden's economic effectiveness. The garden of the Muong grows all kinds of trees such as areca, jackfruit, pomelo, banana, star fruit, lemon, betel, bamboo, poplar, banana... It can be seen that, in addition to other sources of secondary income, the garden creates intimate bonds with the Muong as a part of life. Almost every Muong house has a small garden large enough to plant trees all around the house, a little bit of everything to feed the family in any season. Today, the plants grown in the garden are gradually paid attention to the economic value. They cultivate kinds with a high yield and economic efficiency, such as longan, litchi, lemon, and tangerine to sell to the market. Aside from home gardens, the Muong also use tiny pieces of land along streams and canals to produce vegetables, tubers, and fruits such potatoes, eggplants, squash, and cabbage to improve their plain meals and intercrop, increase crops to strengthen their households' economy, and raise annual income.

47. The Muong are especially skillful in knitting domestic items made of bamboo and rattan materials, such as knitting knife sheaths used in the forest, baskets, large and flat baskets, trays, etc. Weaving is the first of the Muong's traditional handicrafts to be mentioned. Each Muong family has looms that are used to weave cotton and linen fabrics for the family's clothing. Women are primarily responsible for cotton farming and weaving. The Muong weaving profession, on the other hand, does not have many commodity features. They produce primarily in their spare time and do not devote a considerable amount of effort to it. Fabrics are made from a variety of basic materials, including cotton, linen, and silk. Mulberry, cassava, and silkworm cultivation are all quite prevalent in every household. Besides, carpentry is also relatively developed. Almost every Muong hamlet has its own carpentry team to assist in the construction of houses, temples, or as a post-mortem for funerals... This is a career in which Muong men excelled. They make relatively unique products such as knife sheaths, bows, crossbows, sticky rice cookers from wood and other items for life.

48. Hunting and gathering is a secondary economic activity that the Muong engage in on a regular basis. Sources of wild vegetables, such as *Gynura crepidioides*, *Diplazium esculentum*, *Osmundaceae*, *Glinus oppositifolius*, bamboo shoots, etc., are properly exploited for a long-term supply. The Muong only used root crops for flour in periods of hunger and crop failure, such as *Dioscorea cirrhoza*, *Dioscorea persimilis*, *Dicksonia antarctica*, etc. For Muong males, hunting birds and animals for food is both a necessity and a pleasure. In particular, the products the Muong people collect from the forest are not only enough for family consumption but also used to exchange with traders from the lowlands, such as bamboo shoots, wood ear, mushrooms, *aquilaria crassna*, *amomum villosum*, *laccifer lacca kerr*; precious woods, such as *Fernandoa brilletii* (Dop) Steen, *Erythrophleum fordii* Oliver, *Vatica fleuxyana* tardieu, *Chukrasia tabularis* A.Juss, *Dalbergia tonkinensis* Prain, *Machinus Bonii* Lecomte, *Machilus bonii* H.Lec, *Parashorea chinensis* Wang Hsie, etc.; and precious medicinal herbs, such as *Codonopsis pilosula* (Franch) Nannf, Greenbriers, *Dioscorea persimilis* Prain et Burkill, etc. The Muong trade forestry products for everyday necessities, such as salt, lighting oil, needles, braces, bowls, pots and pans, knives, hoes, mirrors, and combs. Moreover, Muong people sell a large number of cattle to traders every year. Trade activities rapidly entered remote communities, establishing a link between the lowlands and the uplands, as well as between the Muong, Kinh, and other ethnic groups, facilitating social and cultural exchanges.

b. Housing

49. The Muong live in villages near rivers and streams at the foot of the mountain, on the hillside, etc. There are a few dozen households in each village. The campus of each family often stands out

with rows of areca, jackfruit trees. The majority of houses are stilts with four-roof houses. The upper floor is occupied, while the lower floor a barn for cattle and poultry, as well as rice mills and other production equipment.

50. The stilt house is the Muong people's traditional house. It has four-roof architecture, with two stairs at each end of the home: the main staircase is a guest staircase at the beginning of the right gable, while the second staircase is at the end of the left gable. A stilt house often has three-side windows. The most important and holiest window is placed above the ancestor altar - where it is forbidden to put your feet up, step over, or carry objects into the house through this window.

c. Costume

51. The Muong people have a distinctive feature of shape and aesthetic style in costume.

52. Menswear: Men wear chest-split blouses, round necks, horn buttons, two lower pockets or an additional two upper pockets on the left chest. This is a kind of short blouse that covers the buttocks. Head is maintained with short hair or wrapped in a white towel. Trousers with wide swifts using an abdominal sash called a trouser sash. Once there was a custom of remaining buns with long hair. During the festival, they wear purple or yellow silk, purple scarf, and coat them with an outer black double jacket as long as the knee, armpit button and right flank.

53. Women wear: Women's costume sets are more diverse than those of men and still remain unique. A turban is a rectangular piece of white cloth without embroidery; bib, blouse (commonly white); their body is very short and usually chest-split and ankle-length skirt consists of two main parts: the skirt body and the skirt hem. The skirt hem is famous for its sophisticated woven patterns. Jewelry includes bracelets, beads and a silver chain of 2 or 4 silver wires hanging a peach box, a silver-sealed bear and a tiger claw.

54. Daily clothing is short shirt (áo pắn). This is a kind of short blouse, chest-split, shorter body than Kinh people's blouses, long sleeves, brown or white shirt (other colors are added and not traditional fabrics). The inside is a kind of shirt, with a skirt top emerging between two short shirt flaps. The head usually wears a white or green turban with a non-fastidious style like some other ethnic groups. The skirt is a tight black dress. The skirt top and hem are decorated. Upon wearing, it displays patterns on the body center. This is a less common decorating and expressing style in other ethnic groups, linguistic groups, and neighboring areas. Part of the decorative patterns on the skirt hem are composed of elements: upper, lower, and height. During the holidays and New Year, they bring a chest-sawed tunic, without the overcoat outer that is both elegant and exposes the skirt hem patterns. The group wearing short blouses usually wears a brassiere inside. Basically, it is similar to Kinh women's brassiere but shorter.

d. Social relations

55. Village relations are mainly neighboring relations. The family of two, three generations are popular. Children take father's family name. The right of the eldest son is respected and sons in the family are inherited assets. The Muong people do not follow the notion of younger brother's and older brother's children, and whoever born earlier shall be older brother or sister, ranked by age.

e. Folk art

56. The folk art treasure of the Muong people is relatively rich, with long poem categories, fairy tales, folk songs, and proverbs. Muong people also have lullabies, children's folk songs, puzzle singing, etc. Xec bua singing (some places call it "Xac bua" or "Khoa rac") is a favorite of many people. Thuong (some places call it "Rang thuong" or "Xuong") is a folk type praising labor and the beauty of ethnic customs. "Bo meng" is a form of singing love talk. Vi Dum singing is a popular type of folk song. Besides, Muong people also have other types of singing, such as lullabies and children's folk songs. In particular, in the Muong people should include ceremony singing. That is prayers in writing read and sung by the oracle at the funeral.

57. The Gong is a unique instrument of the Muong people, and a delicate drum, flute in addition. The Muong people also use bamboo tubes to knock wooden panels on the floor, creating a sound called "đâm đuống". Belief: The Muong worship their ancestors

f. Villages/Hamlets of the Muong people

58. Muong people live primarily in narrow valley plains, land along rivers and streams, canals, at the foot of mountain ranges, and on low hills. The people of Muong village live in clusters, or hamlets, hidden by the greenery of the trees that surround their homes. Muong villages typically have 20 to 30 houses; the larger the hamlet is, the more houses it has. Villages are often built near water sources, fields that are convenient for production. However, because it is surrounded by bamboo and fruit trees, the Muong village is rarely visible to outsiders. The road to the village is usually a maze of little winding trails that make it easy to get lost. Muong people think that the house should not be built opposite to hills and mountains; that is the reason why houses of Muong people do not follow any rules. Houses are built on hills, with their backs resting against the hills, and the front door looking out over the valley and the field. Houses built along the riverbank face to the river.

3.2. Results of socio-economic survey in the Subproject area

59. Socio-economic survey was conducted by questionnaires in December 2018 and updated in August 2020 with a total of 380 households in the subproject area, of which 310 households are ethnic minorities (including 43 affected households) in 15 communes of 5 districts and Hoa Binh city. Surveyed households are: (i) potentially affected households (ii) beneficiaries. During the survey, the consultant paid attention to ratio of male/female respondents to ensure gender equality.

60. The socio-economic survey form carried out in the subproject area is attached in Appendix 1 of the EMDP report.

3.2.1. Population characteristics

a. Ethnic groups

61. Among the 15 surveyed communes/wards, there are 13 communes with a higher proportion of ethnic minorities than the Kinh. In which, Yen Nghiep commune has the largest number of ethnic minorities with 1,384 households (98.84%), 5,490 people (including 2,786 men and 2,704 women). In Yen Phu commune, Muong people make up the vast majority of population with 1,698 households (96.32%) equivalent to 6,015 people (In which 2,951 men and 3,064 women), Muong ethnic people in Lac Thinh commune also account for a large number with 1,226 households (accounting for 77.06%) equivalent to 4,071 people (including 2,018 men and 2053 women). In Hang Tram town and Thong Nhat ward, the percentage of Kinh people is higher than EMs.

62. In the locations, while Kinh people mainly live in central communes with main occupation of agricultural cultivation and small business, EM people reside in villages along transport roads and valleys with main occupation of terraced cultivation and small business households.

63. In common economic development context, people's living conditions are gradually getting better, but some surveyed households, especially ethnic minority ones stay difficult such as low income and poor access to modern entertainment. In contrast, many traditional and cultural traits such as festivals or family relationships are remained in daily activities. According to socio-economic survey with 310 Muong households, there are 10 poor households. However, only 4 of the poor and near poor households affected by the Subproject.

64. All 31 surveyed households belong Muong ethnic minority.

b. Ages of surveyed EMs

65. The survey results show that most of the surveyed people are at aged from 35 to 60 (52%). Followed by the age of 60 and above with 31%. Ages of 18-35 (17%) make up the smallest percentage.

66. Thus, the respondents are mostly in working age. The number of persons whose age beyond the working age make up the low percentage.

67. Among respondents, 58.6% are householders, 36.5 % are wife or husband; only 4.9% are child who represents their parents.

68. This proves that the respondents mostly are householders or the elderly who have the most influence in their family. Thus, it will be a favorable advantage for assessment on real situation of socio-economic conditions of the households. Also, they are the decision makers for most of the issues in their family, for example, the ability and willingness of the family to participate in the subproject

activities in their communes.

c. Occupation

69. Results from social survey with 310 EM households show that, most of the EM people in the Subproject engage in farming, cultivating rice, corn, potato and afforestation; Of which the percentage of Muong people work in agriculture is 86.8 %; followed by services with 3.2%, the figure in hired labor is 7,2 %, and other sectors is 2.8 % . It can be said that agriculture is their main income source. This is a decisive factor for stability on living conditions of EM in the Subproject area.

70. The subproject is mostly carried out in rural, mountainous areas, thus the percentage of civil servants, the retired and commercial traders is small. The local people are mainly involved in agricultural production (rice, crops, fruit trees and afforestation).

d. Education

71. In the Subproject area, there are communes in the area 135, the education in the communes are developed and schools are invested with infrastructure by the GoV. Therefore, education quality is increasingly improved. Educational universalization is promoted in each level. The educational encouragement program has been paid much attention and effectively implemented that maintain high percentage of students at school-age and the rate of completion of educational program. Ethnic Minority students will get 100% tuition free.

72. According to survey in 08/2020 and statistics, 15 communes (100%) in the subproject area have kindergartens, primary and secondary schools. 3 communes have high schools. Percentage of households with their children studying in Primary and Secondary School reach 98.63 % While the figure of children who have to stay at home to help their parent 1.37%.

73. The education level of the respondents is very important because it is the decisive factor on the accuracy of the survey results. They are all information providers who answer questions of interviewers and in questionnaires that require a certain understanding and awareness. The results of the survey with 310 households show that, 35.7% have primary school degree, 39.4% finished secondary school, 19.8% graduated from high school, 2.3% have college or university degree and 2.8% are illiterate.

e. Income of households

74. The survey with 310 EM households in the Subproject reveal that, average income of local people is 2.4 million VND/person/month (equivalent to 10.08 million VND/households/month).

75. 10 respondents said that their income level is 1,000,000 VND/person/month; 86 said that their income is from 1,000,000 – 1,500,000 VND/person/month; while the figure of 105 households is 1.5 – 3 million VND/person/month; of 64 households is between 3 and 5 million VND/person/month; 45 said that they earn more than 5 VND/person/month. Average income of EM households in the Subproject is presented below:

Table 4: Average income per capita of respondents

No.	Average income (million VND/month)	Number of households (household)	Ratio (%)
1	Up to 1.000.000 VND	10	3.2%
2	From 1,000,000 - 1,500,000 VND	86	27.7%
3	From 1.5 to 3 million VND	105	33.9%
4	From 3 to 5 million VND	64	20.6%
5	> 5 million VND	45	14.5%
Total		310	100%

Source: Socio-economic survey in December 2018 and updated in August 2020.

76. In general, living conditions of EM people in particular and local people in the subproject

remain difficult. According to socio-economic development of communes, as of the end of 2019 and the first 6 months in early 2020, 8.06% poor household and 11.81% near poor households, average income per capita of local people in the subproject is 28.8 million VND/person/year. Information about number people, poor and near poor households in each subproject commune is presented below:

Table 5: Number of poor and near poor households divided by communes (2019)

No.	Communes	Number of households	Number of people	Percentage of poor households (%)	Percentage of near poor households (%)
1	Mong Hoa	1,268	5,445	1.9	3.1
2	Quang Tien	1,522	6,271	5.8	5.4
3	Dan Ha	1,347	5,808	6.1	3.6
4	Yen Phu	1,746	7,594	13.1	24.5
5	Van Nghia	1,755	7,185	29.5	48.4
6	Yen Nghiep	1,311	6,252	9.2	14.7
7	Tan Lap	1,913	8,874	14.1	39.4
8	Doan Ket	1,022	4,057	10.7	10.2
9	No. Hang Tram	2,767	11,624	2.7	2.7
10	Lac Thinh	1,573	6,555	4.9	2.5
11	Cu Yen	995	4,538	2.1	2.8
12	Thanh Cao	2,239	9,182	3.3	4.1
13	Hung Son	2,150	8,595	6.1	6.7
14	Tu Ne	1,129	4,744	9.0	7.4
15	Thong Nhat	1,834	7,521	2.4	1.7
Total		24,571	104,245	8.06	11.81

Source: Report on Socio-economic conditions of communes in 2019 and the first 6 months of 2020.

77. EM people have a habit of cultivation and breeding activities. In the subproject area, they cultivate rice, crop and some industrial trees such as acacia, pine. However, income from these trees and crops is quite low that can't afford their minimum living conditions.

78. In terms of agricultural production, the intensive farming depends on various factors, of which irrigation water is among decisive factors on the productivity. It's worth noting that Ahs mainly live in mountainous areas where the irrigation system can't satisfy local people's demand, and they mostly use natural water sources for irrigation. Reservoirs in the Subproject is only enough for irrigation in Winter-Spring season. In the Summer-Autumn the water level is so low that can't be enough for irrigation in downstream area. This affects much agricultural production activities as well as income of households in the Subproject area.

3.2.2. Ownership of land, housing and living means of households

a. Land and land ownership status

79. In terms of land title, residential land of almost all EM households have land use right certificate (red book) and instead of being named by husband, the book is named both spouse after the new land law is applied. 3.9% respondents said that they have not had land use right certificate. Local authorities and households themselves are also making procedures to apply for certificates. Study of respondents' land title shows that the surveyed people have not had land use right certificate as almost all people reclaim land for residing and cultivating or separating from their parents and have not made procedures for separating land lots or not having enough money for changing land use right purpose or keeping hand writing copies, etc.

b. Housing and types of house:

80. Housing is considered to be an important criteria in assessing not only living conditions of local people but their earning level: Well of, good or poor.

81. The survey results show that almost all Ems in the Subproject are livign in semi-permanent

house (1 storey, brick wall, tile roof or solid wooden stilt house with solid roof layer). This outcome is gained thanks to great effort paid by Hoa Binh province in implementing policies for EM region. According to the survey on housing, socio-economic conditions of Ems have been significantly improved and enhanced. The percentage of households living in temporary house is very low with 2.6%. The observations of households revealed that temporary houses are made of simple materials such as junk wood, bamboo, leaf layer.

82. There is no distinct difference in types of house between households of ethnic minority groups. The EM people's habit of building houses on stilts with wooden walls has been changed considerable. At present, their house is generally not different from the Kinh people (because they live in between with the Kinh).

83. The permanent house of EM households in the Subproject area is not different from that of Kinh people. This type of house has concrete roof and brick wall. It can be said that economic conditions of EM households are getting better. In the recent year, they build their house with one or two stories, the house is separated from kitchen and other auxiliary structures such as bathroom and toilet.

c. Living means in the family

84. Besides housing, value of properties in each household depends on each households' economic condition. Properties as necessary appliances and non-valuable things are normally found in households with medium living standard. In contrast, the rich or well-off families use valuable properties. It can be said that phone, motorbike, bike and fridge are common things that satisfy basic living standard in local EM households. Other more valuable things such as air conditioners, washing machine, high-end furniture are not common in EM households in the subproject area.

3.2.3. Amenities and services

a. Power use

85. Surveyed households said that they use power for lighting and domestic and production activities. According to the survey results, almost all households in the subproject area access and use national power grid. Power supplied for the households is relatively stable and with rarely power cut (72%), 69% thought that the power source they use is quite good and acceptable.

b. Domestic wastewater sources

86. Previously, households in mountainous area, especially Ems, usually use water from stream for their daily domestic activities. Under the context of increasing economic development and higher awareness, EM households are using different sources of water for their domestic activities: tap water, drilling water, rainwater.

87. The survey on water sources for domestic use of subproject households show that, all most EM have not accessed tap water, they mainly use water from drilling wells; excavated wells (84.6%). This source is assessed as hygienic but not clean. Some households still fetch water from upper stream. Many households are not very satisfactory with water from wells, streams because of not meeting hygienic criteria. As there is no alternative source, they have to remain using this source. This is the reason causing diseases related to clean water and environmental hygiene and leading to reduced living quality of EM households. In addition, some households use water from reservoirs, so water quality for their domestic use would be affected in the course of construction. Especially, the water cut period in dry season will severely affect the domestic water source of these EM households.

88. Water for production is mostly taken from irrigation system.

c. Toilet

89. According to the survey to EM households, 100% households have toilet. Septic toilet (67%) is the most common toilet used by local households; followed by one compartment or two compartments (31.2%); only 1.8% households use rudimentary toilets.

90. In comparison with toilets between Muong and Kinh people in the subproject area, there is no significant difference about types of toilet used by the households. This proves that economic conditions of EM households become better than that in the past few years. For households with better living conditions, the model of toilet built along with other auxiliary works (bathroom, residential

house) is getting popular.

d. Drainage

91. During survey, enumerator combined in-depth interview and site observation to have the most exact assessment on drainage in residential areas. The results revealed that wastewater of 310 Ahs is self-penetrated in the land or discharged directly into their pond/garden.

92. In general, the drainage system in the subproject is so poor that there are some pipelines in main roads of the communes. Domestic wastewater and storm wastewater are discharged in pond, garden or directly penetrated in the land. The untreated wastewater will contaminate the environment surrounding the households. This will be sources potential water and sanitation related diseases in the subproject areas.

e. Waste collection

93. In the subproject area, as of June 2020 all communes have participated in the new rural program, so 100% of communes have planned landfills and implemented waste collection. However, because ethnic minority households have a large area of living land and are adjacent to production land, people still do not have high awareness in collecting domestic waste. but still discharges around their near housing area or the surrounding vacant land. Therefore, the problem of environmental pollution due to domestic waste still needs to be concerned in the subproject area.

94. Like other provinces in the country, the situation of waste collection in Hoa Binh is also a problem that has not been completely solved. Waste is currently only collected and treated rudimentally by burying or burning at landfills. With this treatment not only is not effective but also adversely affects the living environment of people. Therefore, to find an effective and thorough waste treatment method, it is necessary to apply science and technology.

3.2.4. Gender issues in households

95. There are some gender issues in the subproject scope as follows

- **Labor and labor division:** Labor division by gender of Muong people is quite obvious. All activities are involved by both men and women, but having difference in various fields. Specifically, in agricultural production, men are mainly in charge of earth works and soil transportation while women take part in sowing, caring and breeding.
- **Women's involvement in group activities:** In the subproject area, the percentage of ethnic minority women is quite high. Women do not know how and are not trained and empowered to express their opinions to the community. Therefore, at community meetings, they often keep quiet.
- **Women's participation in local government:** women officer accounts for 10% of staff in the communal PCs. Most of the women do not take the positions that have influence on the decision-making process.

IV. SOCIAL ASSESSMENT OF THE SUBPROJECT

4.1. Positive impacts

4.1.1. The work safety

Almost all irrigation work in Vietnam, including reservoirs in Hoa Binh were built in previous century. At the present, the works have been outdated, some are damaged. The irrigation works always operate in tough conditions such as sunny, rain, storms, high temperature and humidity, especially under the context of climate change, their capacity and expectancy are significantly reduced.

All dams of 16 Project reservoirs have soil structures which have experienced a very long time of operation and have not upgraded. Thus, they are all deteriorated, the water retention and flood prevention capacity is reduced, posing the safety risk.

Therefore, the project will help to rehabilitate and repair the damaged works and contribute to safety improvement, remain the water supply capacity of the works.

4.1.2. Safety for people in downstream

Deteriorated irrigation works pose the high risk to health and properties of people in downstream and beneficial area. Besides, the flood discharge has severe impacts for local people, their livestock and properties. In Tan Lap commune, Lac Son district, people believe that in flood discharge period, apart from cost for transporting agricultural products to avoid flood discharging, this cost is estimated as 10 times as in dry season. Therefore, dam safety improvement will be a safe and economic option for people with their production activities.

4.1.3. Water regulation for improving agricultural production

Ensure irrigation and flood drainage in the context of climate change, satisfying with the existing irrigation and flood prevention standards; The work will help to stabilize and increase the discharge in the upper stream in dry season. Accordingly, the irrigation area will be widened, water supply for domestic, area of cultivation and local economic development will be enhanced. Create favorable conditions for flood control, reducing damages due to flooding. Contributing to intensive farming promotion, increasing agricultural production area and productivity for rice, crops ... thereby improving the lives of people in the beneficiary areas.

Subproject 03 - Dam Rehabilitation and Safety Improvement in Hoa Binh (WB8) will upgrade and repair 16 reservoirs in 05 districts and 1 city: Lac Son, Kim Boi, Luong Son and Hoa Binh city of Hoa Binh province. The Subproject will construct and repair structures at the reservoirs, comprising of: Soil dam, spillway, water intake, etc. After completion, the subproject will provide a stable water supply for 651 ha agricultural land. There are 4800 households in 15 downstream communes benefiting from the subproject (equivalent to 20,180 people).

4.1.4. Reduction of environmental pollution, mitigation of negative impacts of climate change

Water retention in reservoirs will contribute to creating sub-climate region in the bed, improving environmental landscape, increasing local humidity and facilitating the formation and development of vegetation, laying positive impacts on ecosystem in surroundings. These reservoir will contribute to reduce temperature within the day, creating favorable conditions for development of some thermophilic plants and raising groundwater to prevent fire forest in dry season, facilitate water pumping to high land areas; Regulate, balance the water sources among regions, areas, and between surface and ground water.

4.1.5. Improvement of travelling conditions in the case of natural disasters

96. The Subproject will construct and repair structures at the reservoirs, comprising of: earth dam, spillway, sluice gate, construction road combined with management road and construction of management house. The reservoir management road will be upgraded with a width from 3.5m - 5m according to rural transport road (Type A and B, upon the scale of the reservoir). After completion, the management road will improve traveling conditions and migration for people in the Subproject area.

4.1.6. Impacts on gender issues

Muong customs are close to the Kinh that gender equality is clearly seen. Production activities and children caring are responsible by both spouse, but almost all heavy works will be taken charge by man. When the production conditions are advanced, women in the subproject will access to higher technologies in agricultural sector; Accordingly, women role is also empowered.

Once women's awareness is raised, family matters such as family planning, economic control, children caring, sanitation of family and individuals will be ensured. This will reduce the infectious disease sources in the family and community.

Lack of water for domestic use is a reason for unsanitary conditions of environment, toilet, bathing, washing, etc. Women, boys and girls are severely affected.

97. Therefore, adequate water supply for production and domestic use will help to save costs paid for production activities in the area, creating favorable conditions and chances for local people to join in social activities. Also, adequate water supply will lessen the burden on vulnerable groups as single women, the elderly and reduced risks of diseases for women and children.

4.2. Negative impacts

4.2.1. Impacts due to land acquisition

98. The subproject implementation will affect land, trees, crops and aquaculture activities of 51 households² including: 20 households permanently affected due to land acquisition and 31 temporarily affected during construction period. Besides, public land managed by 15 CPCs will be affected.

99. Total affected area: 53,614 m², of which: Permanently and temporarily affected land area: 25,410 m² and 28,204 m², respectively. Specifically:

100. Permanent impact:

101. Total affected land area is 25,410 m² owned by 20 households and managed by 15 CPCs. In which:

- Affected agricultural land is 1,340 m²
- Affected productive forest land is 1,620 m²
- Transport, irrigation land within the reservoir corridor managed by CPC is 22,450 m²

102. Temporary impacts during construction phase 31 households would be temporarily affected during the construction phase, of which:

² Notes: There are some households affected with 02 and more types.

- 11 households temporarily affected with their agricultural land and productive forest land. Total temporarily affected land area in construction phase is 28,204 m², of which 25,000 m² irrigation, transport land managed by CPC and 3,204 m² agricultural land and productive forest land of 11 households.
- 13 households would be affected with aquaculture (fish farming) during construction phase as they hire surface area.
- 07 households would have their trees, crops affected which are planted on the land managed by CPCs.

103. According to preliminary survey, out of 51 AHs:

- There are 43 vulnerable AHs they are all ethnic minorities (4 Muong households are the poor);
- Out of 20 households who have lost, no households is severely affected with their agricultural land (lose more than 20% of total agricultural production and over 10% land of vulnerable group).

4.2.2. Risks of health, labor and traffic safety

104. Health: The construction activities will generate negatively environmental impacts such as dust, noise, etc. Also, diseases could be raised due to labor influx, Along with environmental impacts on the community's health, the Subproject implementation also pose the risk of spreading infectious diseases, sexually transmitted diseases and HIV, as: (i) infectious rate and existing infectious status; (ii) community's awareness of infectious way and prevention measures; and (iii) labor influx.

105. Labor accidents could be happened during construction phase, lack of occupational safety in transportation of construction materials: lack of labor protection equipment, low awareness of strict compliance with labor safety regulations; or due to health problems of workers at the construction site. These impacts would have huge impacts on people and their properties.

106. Traffic accidents: In the construction phase, traffic flow and density increase due to the material transportation would disturb people's travel and pose high risk of traffic accidents.

107. Therefore, the project owner and construction contractor should prepare worker management option to minimize adverse impacts on the community. Also, the plan on communication about people's social awareness raising should be prepared to prevent all arisings as well set up disease model to create self-protection mechanism for local people to outside risks.

4.2.3. Impacts on security orders, social safety

108. A large number of workers will be mobilized to the construction site, this will, in some extent, disturb socio-economic and cultural lives of local people. This large labor influx along with their living activities will cause significant impacts on local people, including: (i) Disturbance local security orders;(ii) cultural conflict between workers and local people (iii) disputes, conflict between workers and local people; (iv) social problems such as gambling, drinking, use of stimulants; (v) potential risk of overload health care, public services and food supply for workers, etc.

109. Besides, as the upgraded reservoirs will help to create beautiful landscape and promote tourism that induce development of tourism services, some social problems as: drug, prostitution, etc. will be caused.

4.2.4. Risks for production activities

110. According to the commitment of local authorities at all levels and stakeholders efforts will be made to avoid interruption of regular water supply for agricultural production, and people in downstream area. The construction method in this phase can ensure water supply as before construction.

111. The plan was prepared to ensure that the construction will not or will cause impacts at lowest level on agricultural activities and livelihood of local people.

4.2.5. Dust and noise pollution in the course of construction

112. The construction activities of the Subproject would contribute to increase in dust and noise

pollution, affecting local people. These impacts will be specifically assessed in the Subproject's ESIA.

4.2.6. Impacts on people's travel in the course of construction

113. The construction phase would obstruct the travel of some households. Especially when construction of reservoirs that the reservoir side is existing road.

4.3. Mitigation measures

4.3.1. Consultation with stakeholders

114. In order to minimize the risks associated with possible negative impacts and to establish communication channels, during project preparation, several consultations with local communities were carried out. In the area, several projects with different investment capital could be simultaneously taken place, leading to inconsistent compensation and support policies that easily arising complaints. Therefore, detail instruction on inventory of loss, compensation rate, replacement cost of the project should be provided by the Province, based on the resettlement policy frame approved by the Prime Minister. PPMU shall work with local authorities to broadly communicate the project's objectives, policies so that they can can understanding the water use requirements to ensure effectiveness and performance.

4.3.2. Preparation of Resettlement Action Plan

115. Despite great efforts paid to avoid land acquisition and resettlement, the requirements on acquisition of land and other properties of local people are unavoidable. According to the Bank's request, a Resettlement Action Plan (RAP) were prepared for the Subproject and a similar Resettlement Action Plan for Subprojects in 2nd year will be developed. This plan reflects the way from which the project minimize all losses of AHs, restore livelihood by compensation in cash, support and/or allowances provided to them. The RAP's objectives are to ensure that all AHs will be compensated at replacement cost for their losses and point out support measures so as to restore their livelihood - at least as pre-project level.

4.3.3. Development of mitigation measures to minimize damages of flooding or drought in the course of construction

116. A new water supply, regulation plans should be specifically given in the construction phase; at the same time send these plans to local people so that they could actively control any damages on their farming as well as living conditions.

4.3.4. Mitigation measures for vulnerable groups

117. In the course of Project implementation, negative impacts could arise, so special attention should be paid to vulnerable group. It is required to encourage the participation of them in communication activities or public consultation to understand their demands, then response methods would be timely prepared. Boys, girls and vulnerable people should be paid much attention when communicating information related to health and community safety matters such as social problems, security orders.

118. Notably, the vulnerable people will be supported and prioritized when the EMDP is implemented. EM people in the project will be participated in support, training programs for livelihood improvement as designed in the EMDP.

119. Issues in prostitution, HIV/AIDS, and sexually transmitted diseases have been identified as health risks in the Subproject Social Assessment. Measures should be taken to minimize risks to not only workers (who are migrants) but also communities in downstream of the reservoir, including Kinh and ethnic minorities in the subproject area. These issues were identified in the Community Management Plan (Appendix 2 of the Subproject's Social Assessment).

V. PUBLIC CONSULTATION AND INFORMATION DISCLOSURE TO ETHNIC MINORITY PEOPLE

5.1. Public Consultation

5.1.1. Objectives

120. As part of the social assessment conducted for this subproject, the free, prior and informed consultations with EM people. The consultations are to (i) inform the ethnic minorities present in the subproject area of the project's potential impacts (both positive and negative impacts), (ii) solicit feedbacks from EM people (on the basis of identified impact), and (iii) propose development activities to ensure culturally-matching socio-economic benefits (of the project) for EM people, then confirming broad supports of EMs on the subproject implementation.

5.1.2. Public consultation methods

121. Various inquiry techniques such as group discussion, in depth interview, site observation, household survey are employed to collect feedbacks from EM people. The free, prior, informed consultations as per the WB's OP 4.10 are constantly used in the period of consultation.

122. Inquiry techniques: Prior to conducting consultation, check was made to ensure EM people to be consulted have a preference for the language that should be used during the consultation exercise. For this subproject, despite the fact that Muong people confirmed before the consultation session that they were comfortable with Vietnamese language. Therefore, the consultations were conducted using Vietnamese language. To ensure language comfort for the EM consulted, each EM group was consulted separately. A local person (from the same EM group) was invited to join the consultation just in case local EM language is required to maintain the smooth exchange of information between EM people and the consultant team. The researchers who lead the consultation sessions have extensive experience background on EM people in Vietnam.

123. Consultation contents: Consultations should be carried out in both EMDP preparation and implementation. In the course of EM consultation, issues that need discussing include:

- Information about the Subproject; Construction scale, period and schedule, etc.
- Some specific cultural characteristics of EM people in the Subproject area
- Expected impacts on local EM communities;
- Existing livelihood activities of EM people and their aspirations/demands on livelihood restoration; and
- Assessment of EM communities' support for the subproject implementation.

124. The consultations' objectives: All affected and beneficial EM people will be timely and adequately informed of the Subproject's activities as well as expected impacts on local communities. The information disclosure and consultations will help stakeholders understand all issues that would affect them, and ensure that all their concerns will be voiced and responded promptly.

5.1.3. Consultation outcomes

125. During EMDP preparation, the Consultant worked with local authorities and stakeholders to hold 15 public consultations with EM people in the Subproject. There are 561 participants, of which 297 male (making up 53.0%) and 264 female (accounting for 47.0%).

126. The consultation results show that EM people and households in the subproject area confirm that they were informed about the subproject. They also give broad support for implementation of the subproject and expect it to be carried out in the earliest possible time. Minutes of the Consultations with EM people and Lists of Participants in some Subproject area are attached in Appendix 2 hereunder.

127. EM people understand the positive subproject impacts. They also understand its negative impacts and agree with mitigation measures of negative impacts and supporting measures to be

adopted in this EMDP to ensure the people in the subproject area receive socio-economic benefits culturally appropriate to them. On the basis of the potential impact of the project and mitigation measures, the EM communities express their broad support for the subproject implementation.

128. EM people have specific ideas/suggestions focusing on two issues: (i) recommendations related to the subproject during construction; and (ii) proposals related to community development, livelihood support and income improvement. Their comments are as followed:

During subproject implementation:

- The implementation of the subproject should proceed quickly to minimize the impacts on the residents in the subproject area.
- Affected households should be provided with support and compensation, facilitating approach to programs and funds to help their livelihood restoration and economic development.
- The discharge of water in reservoirs can affect the irrigation schedule of EM households. Accordingly, to ensure continuous irrigation for agricultural activities to avoid damages and negatively affect the residents' living, the Contractor should conduct researches to decide when to reinforce dam crest and rehabilitate drains in reservoirs in dry seasons from November to April of the following year (6 months when the local people have the lowest demand to use irrigation water in the year).

Development, livelihood support and income restoration activities proposed during consultation:

129. According to the social assessment and consultations, 43 EM households would be affected with land and properties in the construction, repair of dams in the Subproject area. After completion, the Subproject will help to ensure reservoir safety, stabilize irrigation area for agricultural production. This EMDP is prepared to provide EM people in the project with additional development opportunities.

130. Almost all EM participants in the consultations wish that they would be provided with allowances to improve their income affected due to the project implementation:

- Support in training courses on agricultural extension, crop/animal husbandry models applying advanced technologies to enhance productivity and bring high economic efficiency through diversifying cultivation methods and developing household business for EM households whose agricultural land is affected during subproject implementation.
- Support in shifting to short-term cultivars, plants that do not need much water, such as corn, potato etc. Support in seedlings, fertilizers or cash in harvests with water shortage due to water irrigation deviation during dam closure for construction.
- Support in communication programs on raising awareness of the residents, especially EM people, about measures for dam protection and safe dam operation in the subproject area in order to assure the safety of existing dam as well as their health, properties and livelihood.
- Most of affected EM use water from drilled, excavated wells and from reservoirs, streams for domestic use. Therefore, they hope a clean water source will be available in the area and want to be provided with materials for constructing rainwater storage tank.
- During subproject implementation, the Contractor should prioritize recruitment of local labor to boost its employment and help increase their income.
- Support in media and public loudspeaker system for local community centers to mobilize the residents' participation in community activities and disseminate subproject effectively.

5.1.4. Community consultation during the EMDP implementation

131. In order to ensure continued free, prior and informed consultation with EM people during EMDP implementation, the following EM community consultation framework will be used during the EMDP implementation, as summarized below:

- During EMDP implementation, the same consultation approach (already used during EMDP preparation) will be adopted. Consultation will be on the basis of free, prior, and informed manner, and in a participatory manner, to see if EM communities have any additional

feedback, and to check whether there any additional subproject impact that arises but were not anticipated during EMDP preparation. Where necessary, the way the EMDP is implemented, would be further elaborated, or updated in terms of methods of delivery to ensure the activities are carried out in a manner that are appropriate to the target EM people.

- The EM communities benefiting from this EMDP should be involved in both implementation, and monitoring & evaluation to maximize the intended purpose of the EMDP. PPMU will take lead in implementing this EMDP and ensure EM people are involved in the process of implementation, monitoring and evaluation of the EMDP.
- In the event where there are adverse impacts identified before subproject implementation, particularly when the detailed engineering design are available during implementation of the Project, the consultation methods, as mentioned above, should be used to collect feedback from the affected EM people. Alternatives of technical engineering design should be explored to avoid adverse impact. In case where such impact could not be avoided, such impact should be minimized, mitigated, or compensated.
- In case where adverse impacts are identified (when the technical design/construction methods are clear), affected EMs will be consulted and 36 informed of their entitlements. The EMDP will be updated accordingly and will be disclosed prior to EMDP implementation.

5.2. EMDP dissemination

132. Once preparation of an EMDP is completed, it needs to be disclosed to affected EM people and their communities, i.e. at CPC, DPC, community hall. The EMDP needs to be disclosed in an appropriate language and manner to ensure affected EM people and stakeholders can conveniently access, fully understand and give feedback. After getting approval from the WB and People's Committee of Hoa Binh Province, the final EMDP will be disclosed in CPO, Ministry of Agriculture and Rural Development, People's Committee of Hoa Binh Province, relevant districts and communes and website of the World Bank. During subproject implementation, PPMU and local authorities at all levels must ensure that all EM households affected by the subproject are provided with full information and invited to consultations under this EMDP.

133. This EMDP prepared in the course of the Subproject Preparation must be disclosed timely, accurately in local area before being submitted for approval. This EMDP is made in English to submit to WB for disclosure on the external website of the Bank. The EMDP in Vietnamese will also published in CPO and Hoa Binh PPC, related districts, communes so that EM people and stakeholders can grasp information..

VI. DEVELOPMENT ACTIVITIES PROPOSED UNDER THIS EMDP

134. As mentioned above, EMDP aims to provide additional socio-economic benefits to EM households under OP 4.10. The development activities are carried out to ensure EM people receive socio-economic benefits culturally and economically appropriate to them. These activities are proposed by EM people in the subproject area on the basis of consultation with them and agricultural extension programs being operated by the Agricultural Extension Center of Hoa Binh Province.

135. There are total 43 Muong People adversely affected by the Subproject construction. These EM people will be compensated and supported fully according to RAP, and development activities stated in this EMDP so as reduce negative impact as well as help them improve their living quality.

136. During consultation about existing issues related to EM people, the Consultants also consult EM people, especially those affected by land acquisition during subproject implementation to minimize adverse impacts and help improve their income. Their answers are then discussed freely and openly.

137. As the ethnic minority community in the Subproject area mainly depends on agriculture, their farming methods are outdated. After consultation with EM people, EM development activities are proposed as following:

6.1. Activity 1: Training courses on agricultural extension, crop/animal husbandry models applying advanced technologies to enhance productivity

138. The results of the consultation with EM people in communes benefited from/affected by the subproject reveal that EM people wish to join in training courses on agricultural extension, crop/animal husbandry models applying advanced technologies to enhance productivity and bring high economic efficiency through diversifying cultivation methods and developing household business model.

139. Lack of skills related to agricultural development is a serious problem since EM people in the subproject area primarily live on agricultural production. Many of the households claim that poor farming technique is one of the causes for their poverty. Therefore, training in farming techniques applied science and technology is indispensable to help EM household grasp farming methods to increase productivity and bring higher economic efficiency.

140. Trainings for raising community's awareness of breeding and agricultural production: The activity will contribute to agricultural development, economic restructuring, poverty reduction, living condition improvement and enhancement. 10-15 training courses (2 days per course) will be held for the affected EM people (38/43 affected want to get involved in) and beneficial households in 15 subproject communes will be trained in agricultural development program. The training activity will be integrated with local annual training programs with the participation of Agricultural Extension Center, Cooperatives, and Division of Labor, Invalids and Social Affairs in districts and agricultural, and livelihood development experts..

6.2. Activity 2: Communication programs on measures for dam protection and dam safety

141. Due to the risk of potential incidents related to dams in the Government's dam safety program, a clear communication strategy for this subproject should be performed. This strategy is intended to enhance the support of stakeholders for the subproject and dam safety program and to demonstrate the necessity and urgency of ensuring the safety of existing dams to protect the people living in downstream area and their livelihood. The communication of the subproject targets to stakeholders to assure that they understand its objectives and supporting roles of the World Bank.

142. In communes with affected, beneficial EM people, cost estimate for Activity 2 will be estimated: Communication program on dam protection and safety will be integrated in Ethnic Ministry Development program held in local area, including meetings about local EM people. Specific program will be sent to local authorities, Women's Union for discussion and recommendation PPMU will send officers to participate in the meetings and discussion. Therefore, the activity will be free.

143. Communication programs focus on raising awareness of the residents, especially EM people, about measures for dam protection and safe dam operation in the subproject area in order to assure the safety of existing dam as well as their health, properties and livelihood.

144. These programs target EM people benefited from or affected by the subproject to ensure that they understand the program objectives and to raise their awareness about dam protection and safe dam operation.

145. This EMDP will be updated before implementation to confirm the development needs of EM people and to reflect any additional needs that EM people may need when the impact of the subproject is confirmed on the basis of final detailed engineering design.

VII. COST ESTIMATES

146. No separated amount will be used for EMDP because 51 AHs are sparsely located in 15 communes of 16 districts in Hoa Binh; Also the number of affected EMs is few that will not have enough finance to open training courses in each commune. In addition, the affected area is small, there is no households affected more than 10% of their total land area. These households will be compensated according to the Resettlement Action Plan (RAP). Annually, the Subproject's communes hold a number of programs, conferences, trainings for EMs organized by mass organizations, non-governmental organizations and social development programs such as: Agricultural, aquaculture extension, agricultural restructuring, Occupation services, gender quality training, HIV/AIDS communication, sexually transmitted diseases, etc. Therefore, EM Development program of the project could be integrated in local programs to widely communicate to other EMs in the project area.

147. The programs' content integrated in training courses will be prepared by PPMU and sent to local communities: (i) Information on the subproject's EM development plan, (ii) Contents related to impacts and measures to minimize impacts on ethnic minorities, (iii) Gender mainstreaming should be carried out in all project activities according to agreed GAP so as to ensure gender equality and participation; (iv) Collect opinions and wishes of EM people, especially affected households, for promptly actions.

148. The cost to this EMDP has been preliminary estimated and will be updated before implementation to confirm the development needs of EM people and to reflect any additional needs that EM people may need when the impact of the subproject is confirmed on the basis of final detailed engineering design. PPMU will give cooperation to implement this EMDP promptly to ensure EM people in the subproject area receive socio-economic benefits culturally appropriate to them.

VIII. IMPLEMENTATION ARRANGEMENTS

149. The Ministry of Agriculture and Rural Development (MARD), on behalf of the Government, is the project owner. The MARD assigns the CPO to be the project owner, responsible for coordinating all project activities with assigned tasks and powers. The governmental authorities of the project provinces are the Employers of the subprojects, in charge of making investment decisions under subprojects managed by the Ministry and provinces.

150. At the central level, CPMU is established and managed by CPO to coordinate policies and strategies, put forward guidance and support for coordination. CPMU is in charge of implementing EMDPs already prepared for the DRSIP/WP8. CPMU ensures that all PPMUs clearly understand the purposes of EMPF and EMDP for the subproject. CPMU takes responsibility for providing technical assistance to PPMUs during EMDP preparation for related subprojects. CPMU has to ensure that EMDPs are implemented effectively, including monitoring and evaluation of EMDP implementation results. At the first stage of project implementation, CPMU will train officials in charge of social affairs at central and provincial levels to enable them to carry out screening activity of indigenous people living in the subproject area to determine whether it is necessary to prepare EMDP; and on such screening results to conduct social impact factors and prepare EMDP. In the event the local capacities are insufficient to prepare EMDP, the consultants will be mobilized to support PPMU in developing EMDPs for subprojects in accordance with the EMPF.

151. At local level, Provincial Project Management Unit takes charge of preparation and implementation of EMDP. It is important to ensure the resources and budget for preparation of EMDP. In case indigenous people affected by land acquisition for subproject implementation, compensation and support for them will be set out through RAPs prepared for subproject in compliance with RPF of the project.

152. If affected EM households have land acquired, the compensation, support policies for them will be mentioned in RAP in accordance with the Project's RPF. The plan for implementing the Ethnic Minority Development Plan (EMDP) is projected as followed:

Table 6: EMDP Implementation Plan.

Activities	Responsible by	Time
EMDP preparation		
Survey, consultation for EMDP development	Hoa Binh PPMU	Quarter IV /2018-Quarter III/2020
Disclosure of EMDP at Hoa Binh PPMU, PC of districts, communes	Hoa Binh PPMU	Quarter III / 2021
Approval of social safeguard policies and EMDP.	Hoa Binh PPC	Quarter III / 2021
EMDP implementation		
Information disclosure to affected households	PPMU; CPC	Quarter III / 2021
Implementation of development activities	PPMU; CPC	Quarter III-IV/2021
Monthly internal monitoring and preparation of quarterly reports	PPMU	Quarter III-IV/2021
Biannual Independent monitoring and preparation of monitoring report	Independent monitoring consultancy	2021

153. Responsibility of preparing and implementing the EMDP:

- CPO is responsible for preparing and implementing EM Policy Framework. CPO hired a consultant and work with stakeholders, including Central Departments/Ministries Provincial and district PC shall participate in the project and affected communities to develop EM Policy

Framework. This framework is approved by the Prime Minister and Donor before entering into agreement.

- The Subproject's EMDP will be prepared by Social Consultant hired in compliance with principles set forth in the EM Policy Framework. Provincial People Committee will be charge of approving and implementing this EMDP.
- The preparation of the Subproject EMDP will be financed from local counterpart fund.

154. COP, under the Ministry of Agriculture and Rural Development, through Division of Natural and Resettlement, shall be responsible for ensuring the efficiency of the EM Policy Framework and EDMP by coordinating and consulting with departments and Project Provinces.

155. The EMDP prepared for the project implementation, after being approved by the WB, will be disclosed in the project area for appraise It must be disclosed in the easy-to-see and accessible places, in understandable languages and format. For the Subproject classified according to the Donor's regulations (at the Subproject appraisal time) as Type A (by environmental screening), EMDP must be translated in English by PPMU and submitted to the Bank for disclosure.

IX. GRIEVANCE REDRESS MECHANISM

156. The grievance mechanisms under the Project will be two-tiered: one internal to the communities concerned and the other, involving third-party/external mediation. For each Project province, a Grievance Redress Committees will be established from villages/districts to provincial levels built on the existing structures consisting of concerned departments, mass organizations, women and ethnic representatives. At the village level, community based co-management will incorporate in the existing grievance mechanisms that will be chaired by elder and/or spiritual/tribal leaders, which are largely acceptable to local communities, particularly the ethnic minority groups.

157. The grievance redress mechanism will be applied to persons or groups that are directly or indirectly affected by the Project, as well as those that may have interests in a Project and/or have the ability to influence its outcome -- either positively or negatively. The Project will provide training and support to strengthen these existing structures for effectively and collectively dealing with possible grievances that may arise during the course of the project implementation. All complaints and grievances must be properly documented by PPMU, with copies being filed at commune and district levels.

158. If the affected EM peoples are not satisfied with the process, compensation or mitigation measures, or any other issue, the EM themselves or EM representatives or village leaders can lodge their complaints to the PPC or to the PPMU following the grievance redress mechanism established in the EMDP. All grievances will be addressed promptly, and in way that is culturally appropriate to the affected EM peoples. All costs associated with EM's complaints are exempt to EM complainants. PPMU and independent monitoring consultant are responsible for monitoring the progress of resolution of EMs' complaints. All cases of complaints must be recorded in PPMU project files, and be reviewed regularly by independent monitoring consultant.

159. The grievance redress mechanism is established on the basis of the Vietnam's laws. The mechanism of complaint and complaint and grievances resolution steps are as below:

- First stage: The affected person may bring his/her complaint to the One Door Department of the People's Committee of Commune/Ward/Township in writing or verbally. The member of the One Door Department of the People's Committee of Commune/Ward/Township will be responsible for notifying the leaders of the People's Committee of Commune/Ward/Township about the complaint needed solving. The Chairman of the People's Committee of Commune/Ward/Township will personally meet the aggrieved affected household to find out the problem and will have 30 days following the receiving date of the complaint to resolve it. The secretariat of the People's Committee of Commune/Ward/Township is in charge of documenting and keeping file of all complaints handled by the People's Committee of Commune/Ward/Township.
- Second stage - If after 30 days the affected household does not receive any feedback from the People's Committee of Commune/Ward/Township, or not satisfied with the decision taken on its complaint, this household may bring the case, either in writing or verbally, to the Reception Department of the People's Committee of District. The People's Committee of District in turn has 30 days following the receiving date of the complaint to resolve the case. The People's Committee of District is responsible for documenting and keeping file of all complaints that it handles and will inform the District Compensation Council and the affected of any decision made. Affected households can also bring their case to the Court if they wish.
- Third stage - If after 30 days the aggrieved affected household does not receive any feedback from the People's Committee of District, or not satisfied with the decision taken on its complaint, this household may bring the case, either in writing or directly, to any member of the Reception Department of the People's Committee of Province. The People's Committee of Province in turn has 45 days following the receiving date of the complaint to resolve the case. The People's Committee of Province is responsible for documenting and keeping file of all complaints that it handles. Affected households can also bring their case to the Court if they wish.

- Final stage, Court: If after 45 days following the lodging of the complaint, the affected person does not receive any feedback from the People's Committee of Province, or not satisfied with the decision taken on his/her complaint, the case may be brought to a court of law for adjudication. Decision by the court will be the final decision.

160. Decision on resolving complaint must be sent to the aggrieved affected person and concerned parties and must be posted at the office of the People's Committee where the complaint is processed. After three days, the decision/result on solution is available at commune/ward level and after seven days at district or province level.

161. To ensure that the grievance mechanism described above is practical and acceptable by the ethnic minority affected by the subproject, it should be consulted with local authorities and local communities taken into account of specific cultural attributes as well as traditional, cultural mechanisms for raising and resolving complaints/conflicts. The ethnic minority objectives and efforts are made to identify and determine the way to resolve the problem that is culturally acceptable to them.

162. Leaflets covering adverse impacts that likely to occur as well as beneficiaries, along with information about the project (as mentioned above) will be sent to EM people to inform contact at the communes and of PMU in case of complaints from EM people, if any.

163. This part is developed based on the Ethnic Minority Policy Framework of the project (please see the EMPF for more details).

X. MONITORING AND EVALUATION

10.1. Monitoring principles

164. To ensure that the EMDP is implemented transparently and in compliance with the EMPF and Indigenous Peoples policy (OP 4.10) of the World Bank, a monitoring and evaluation mechanism should be established and implemented for all project components during project implementation. Monitoring and assessment is a continuous process. PPC will be responsible for internal monitoring and an independent agency selected by CPO will take charge of monitoring and evaluation. Based on the monitoring mechanism, a plan to monitor and evaluate mitigation measures will be prepared by the PPMU. This Plan must cover.

- Internal monitoring process
- Key monitoring indicators to be used in internal and independent monitoring.
- Institutional organizations;
- Reporting frequency and internal and external monitoring contents, response from internal and external monitoring process integrated into the implementation process.
- Independent monitoring methods;
- Financial arrangement for independent monitoring and evaluation..

10.2. Internal monitoring

165. Objectives of internal monitoring are:

- Ensure that all negative impacts of the Subproject on EM people will be mitigated, minimized or compensated in accordance with RPF, RAP, EMPF and EMDP.
- Ensure that measures on benefit enhancement are implemented in a cultural compatible method for EM people.
- Determine whether broad, prior and informed consultation for EM communities are implemented in a cultural compatible method for EM people or not.
- Determine whether grievance procedures comply with the EMPF or not and propose measures if there is any unsettled problem.
- The conformity between resettlement and site clearance with the construction commencement to ensure that affected EM people will be compensated, supported satisfactorily before commencement.

166. The PPMU will implement the internal monitoring on a monthly basis. All the results of internal monitoring shall be reported to the CPO and WB. The results of EMDP monitoring need to be presented in a report submitted to the CPO and WB for consideration.

167. EMDP internal monitoring indicators include (but are not limited)

Table 7: Internal monitoring indicators

Type of monitoring	Internal monitoring indicators
Expenditure and time	<ul style="list-style-type: none"> - Are sufficient personnel arranged for supporting ethnic minority people according to the plan? - Do supporting activities satisfy the set implementation plan? - Is expenditure for EMDP implementation allocated to implementation agencies timely and sufficiently?
Entitlement payment for EM	<ul style="list-style-type: none"> - Are entitlements for support EM people fully paid? - Are the support measures taken in accordance with Plans for EM community? - Could EM households access school, health services and other cultural locations and activities?
Consultation, grievance and special issues	<ul style="list-style-type: none"> - Are community consultation and information dissemination implemented for EM people according to the plan? - Are focus group discussions implemented with the EM

Type of monitoring	Internal monitoring indicators
	groups? - How many affected EM people know about their benefits? - Do EM people know and use grievance mechanism as set up in EMPF? What are the results? - Quantity and type of grievances received (classified by gender and vulnerable group) - Levels of awareness and satisfaction on benefits of EM people. - Satisfaction level on grievance mechanism.

10.3. Independent monitoring

168. The independent monitoring will be implemented by an independent consultant with expertise in social science. The independent monitoring on EMDP implementation for all project components should be integrated in the independent monitoring for RAP implementation along with monitoring method and indicators but with concentration on EM people. The monitoring report will be submitted to the WB for consideration. The independent monitoring is periodically implemented twice a year during project implementation to timely identify issues that need prompt action from the CPO and PPMU.

Table 8: Independent monitoring indicators

Type of monitoring	Independent monitoring indicators
Some basic information about affected EM households	<ul style="list-style-type: none"> - Location - Number of affected EM households - Average number of household members, age and literacy - Gender of householder - Access level to medical and educational services, utilities and other services - Types of land and legal land use status - Occupation and employment - Source and level of income
Living standard restoration	<ul style="list-style-type: none"> - Were compensation and support were fully and timely paid for affected EM people? - Have Environmental, cultural and social conditions of affected EM people been restored? - Are the living standards of EM people, especially vulnerable group stable?
Livelihood restoration	<ul style="list-style-type: none"> - Is Compensation amount enough for making up lost properties? - Are vulnerable groups provided with opportunities for income earning? Will these opportunities stable? - Will new job restore income and living standards to the pre-project level?
Satisfaction level of EM people	<ul style="list-style-type: none"> - Do affected EM people agree with EMDP implementation? - How do affected EM people assess the recovery level of their living standard and livelihood? - How is the awareness level of affected EM people about resettlement procedure as well as their rights and benefits? - Have grievances of EM people been received and solved timely and satisfactorily in accordance with the regime in EMPF?
Effectiveness of support	<ul style="list-style-type: none"> - Are benefits for EM people satisfactory? - If there any support for vulnerable group?
Other impacts	<ul style="list-style-type: none"> - Are there any unexpected impacts? - How are those unexpected impacts solved (if any)?

APPENDICES

Appendix 1: Socio-economic questionnaires with EM households

DỰ ÁN SỬA CHỮA VÀ NÂNG CAO AN TOÀN ĐẬP - TỈNH HÒA BÌNH

**PHIẾU KHẢO SÁT KINH TẾ - XÃ HỘI
DÀNH CHO CÁC HỘ BAH**

MÃ SỐ PHIẾU
0 3 5

Lời giới thiệu

Nhằm mục đích hỗ trợ việc thực hiện chương trình an toàn đập của Chính phủ bằng cách nâng cao sự an toàn của các đập và hồ chứa được ưu tiên cũng như bảo vệ người dân và tài sản của các cộng đồng hạ du, Dự án Sửa chữa và nâng cao an toàn đập - Tỉnh Hòa Bình đang tiến hành đánh giá tình hình kinh tế - xã hội của khu dân cư trong khu vực dự án, nơi ông/bà đang sống. Các ý kiến của ông/bà sẽ được sử dụng vào việc xây dựng dự án, góp phần đẩy nhanh tiến độ thực hiện dự án.

Mong ông/bà cung cấp các thông tin dưới đây, bằng cách đánh dấu (x) vào và điền thông tin vào chỗ trống.

Xin chân thành cảm ơn sự hợp tác của ông/bà!

Địa chỉ: Thôn/xóm..... Cầu..... xã/phường/thị trấn..... Bắc Sơn..... tỉnh Hòa Bình.
Họ và tên điều tra viên: Phùng Công Thành ngày điều tra: 20/12/2018.....

NẾU NGƯỜI ĐƯỢC PHỎNG VẤN KHÔNG PHẢI LÀ CHỦ HỘ, VUI LÒNG ĐIỀN VÀO Ô SAU:

Họ và tên người trả lời: Bùi Huy Hưng..... Tuổi.....
Giới tính..... Dân tộc.....

I. THÔNG TIN CHUNG:

1. Họ và tên của chủ hộ: Bùi Huy Hưng..... 2. Tuổi: 38.....

3. Giới tính: Nam..... 2. Nữ.....

4. Dân tộc: Mường.....

5. Tổng số người trong hộ gia đình: 5..... người.
Trong đó: 1. Số Nam: 4..... người; 2. Số Nữ: 1..... người

6. Số người trong hộ có việc làm ổn định: 2..... người

7. Trình độ học vấn của chủ hộ:

1. Mù chữ/chưa đi học..... 4. Cấp 3.....
2. Cấp 1..... 5. Cao đẳng/đại học.....
3. Cấp 2..... 6. Trên Đại học.....

8. Nghề nghiệp của chủ hộ: (Chọn 1 phương án, việc làm chiếm nhiều thời gian nhất)

1. Cán bộ công chức, viên chức nhà nước.....
2. Cán bộ hưu trí.....
3. Chủ doanh nghiệp/ thầu khoán.....
4. Nông dân (bao gồm cả diêm dân và nuôi trồng thủy sản).....
5. Công nhân.....

1

DỰ ÁN SỬA CHỮA VÀ NÂNG CAO AN TOÀN ĐẬP - TỈNH HÒA BÌNH

- 6. Thợ thủ công.
- 7. Buôn bán/ dịch vụ/ chế biến nông lâm sản.
- 8. Công an/ bộ đội.
- 9. Làm thuê/ công việc không ổn định
- 10. Khác (ghi rõ):

9. Quan hệ với chủ hộ của người trả lời:

- 1. Chủ hộ
- 2. Vợ/chồng
- 3. Con
- 4. Bố/Mẹ
- 5. Ông/ bà

10. Trong gia đình có những đồ dùng sinh hoạt nào?

- 1. Bàn ghế gỗ cao cấp
- 2. Xe máy
- 3. Xe đạp
- 4. Radio
- 5. Tivi màu
- 6. Tủ lạnh
- 7. Máy giặt
- 8. Điện thoại
- 9. Điều hòa
- 10. Ô tô

11. Ước tính thu nhập bình quân của hộ gia đình trong tháng: 10.000 đồng/hộ/tháng

- a Nguồn thu nhập chính/chủ yếu
- ① Nông nghiệp
 - ② Nuôi cá / thủy sản
 - 3- Buôn bán
 - 4- Lái xe
 - 5- Làm thuê
 - 6- Cán bộ/CNV nhà nước
 - 7- Giáo viên, cán bộ y tế
 - 8 - Thất nghiệp; đang tìm việc
 - 9- Không LD (nghỉ hưu, nội trợ...)
 - 10- Khác (cụ thể)
- b Nguồn thu nhập phụ

12. Ước tính chi tiêu bình quân của hộ gia đình 10.000 đồng/hộ/tháng

13. Ông/bà tự đánh giá mức thu nhập của gia đình mình như thế nào?

- 1. Ổn định
- 2. Không ổn định

14. Ông/ bà tự đánh giá, liệu gia đình mình có thuộc nhóm dễ bị tổn thương không ?

- 1. Nghèo
- 2. Gia đình phụ nữ làm chủ hộ
- 3. Có người dân tộc thiểu số
- 4. Có người già và người tàn tật

II. **ĐẤT ĐAI NHÀ Ở**

15. Đất/nhà ở được sử dụng từ năm nào.....?

16. Nguồn gốc đất/nhà ở:

- 1. Thừa kế
- 2. Được cấp
- 3. Nhà/đất thuê
- 4. Mua/tự xây cất
- 5. Khác.....

17. Tổng diện tích đất ở mà hộ đang sử dụng:.....m²

18. Loại nhà (ĐTV kết hợp quan sát)

- 1. Kiên cố (từ 2 tầng trở lên, tường gạch, mái bê tông cốt thép)

DỰ ÁN SỬA CHỮA VÀ NÂNG CAO AN TOÀN ĐẬP - TỈNH HÒA BÌNH

- 2. Bán kiên cố (nhà 1 tầng, tường gạch, mái ngói)
- 3. Nhà gỗ, lợp lá (Nhà có vách gỗ, mái gỗ/lá)
- 4. Nhà tạm (nhà tranh tre, che chắn bằng gỗ/tôn)
- 5. Khác

20. Giấy tờ sở hữu (ĐTV kết hợp quan sát)

- 1. Sổ (bia) đỏ/ hồng
- 2. Giấy phân/cấp nhà do cơ quan cấp
- 3. Giấy chứng nhận mua nhà/dất tạm thời
- 4. Hợp đồng thuê nhà
- 5. Không có loại giấy chứng nhận nào
- 6. Khác.....

III. HIỆN TRẠNG GIAO THÔNG VÀ CẤP ĐIỆN:

21. Đặc điểm của con đường (hoặc ngõ) dẫn đến nhà ông, bà:

- 1. Trải nhựa
- 2. Bê tông
- 3. Đá, sỏi, gạch, xi
- 4. Đất

22. Gia đình ta sử dụng nguồn điện:

- 1. Điện lưới có đồng hồ đo điện riêng:
- 2. Mắc nhờ/chung với gia đình khác:
- 3. Chưa có điện dùng

IV. HIỆN TRẠNG CẤP NƯỚC HỘ GIA ĐÌNH:

23. Gia đình ông bà thường phải dùng bao nhiêu nguồn nước mới đủ cho sinh hoạt của cả gia đình quanh năm?

- 1. Sử dụng 1 nguồn
- 2. Sử dụng 2 nguồn
- 3. Sử dụng 3 nguồn trở lên

24. Nước ăn, uống/sinh hoạt của gia đình

Nguồn nước	Nước ăn, uống	Nước tắm, giặt	Nước dùng cho mục đích k sản xuất, tưới cây, vệ sinh chuồng trại, ...
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1. Nước máy qua đồng hồ riêng	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Nước máy dùng nhờ/đấu lại	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Nước giếng khoan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Nước giếng đào	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
5. Nước mưa	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Nước ao/hồ/sông/rạch	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Nước khác: mua/đóng chai	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

V. HIỆN TRẠNG THOÁT NƯỚC:

25. Thoát nước thải của hộ gia đình:

- 1 Thoát ra cống/rãnh chung của khu:
- 4 Khác (cụ thể):.....

DỰ ÁN SỬA CHỮA VÀ NÂNG CAO AN TOÀN ĐẬP - TỈNH HÒA BÌNH

- 2 Nước thải tự thấm vào đất: 5 Không biết
 3 Thoát trực tiếp ra sông/ao/hồ/kênh/rạch:

26. Nhu cầu sửa chữa và nâng cao an toàn đập tại khu vực dự án?

- 1 Cần làm ngay 3 Chưa cần thiết
 2 Nếu có điều kiện thì làm 4 Không biết

VI. CÔNG TRÌNH VỆ SINH GIA ĐÌNH VÀ CƠ SỞ HẠ TẦNG XÃ HỘI

27. Hiện nay gia đình ông/bà có công trình vệ sinh riêng không?

- 1 Có 2 Không

28. Nếu có, gia đình ông/bà dùng loại nào?

- 1 Nhà vệ sinh có bể tự hoại 4 Nhà vệ sinh trên kênh/ao/rạch
 2 Nhà vệ sinh thải trực tiếp ra cống thoát 5 Dùng nhờ nhà hàng xóm
 3 Nhà vệ sinh công cộng 6 Khác (cụ thể)... *đam... từ học*

VII. THU GOM RÁC THẢI

29. Rác thải hàng ngày của gia đình ông /bà có được thu gom:

- 1 Có 2 Không

30. Nếu không, rác thải đổ vào đâu:

- 1 Sông, ngòi, ao, hồ 4 Đổ tự tiện
 2 Đào hố/ đổ ra vườn 5 Đổ ra ngoài đường
 3 Chôn/ đốt 6 Khác (cụ thể).....

VIII. VẤN ĐỀ VỀ GIỚI

31. Phân công lao động trong gia đình Ông/bà như thế nào ?

STT	Công việc	Phụ nữ	Nam giới	Cả hai
1.	Nội trợ			
2.	Chăm sóc con cái			
3.	Đi làm thuê			
4.	Buôn bán nhỏ, dịch vụ			
5.	Làm công ăn lương			

32. Tham gia các hoạt động cộng đồng

STT	Hoạt động	Nam giới	Nữ giới	Cả hai
1.	Tham gia các cuộc họp cộng đồng			
2.	Tham gia các tổ chức tại địa phương			
3.	Khác (ghi rõ).....			

33. Trong gia đình ai là người quyết định các vấn đề sau

STT	Công việc	Nam giới	Nữ giới	Cả hai
1.	Mua sắm			
2.	Cho con cái đi học			

ĐỰ ÁN SỬA CHỮA VÀ NÂNG CAO AN TOÀN ĐẬP - TỈNH HÒA BÌNH

STT	Công việc	Nam giới	Nữ giới	Cả hai
3.	Chuyển đổi nghề nghiệp/đi làm			
4.	Vay vốn ngân hàng			
5.	Đứng tên quyền sở hữu tài sản			
6.	Khác (ghi rõ).....			

IX. THU HỒI ĐẤT, BỒI THƯỜNG, HỖ TRỢ VÀ TÁI ĐỊNH CƯ (DÀNH CHO NHỮNG HỘ CÓ ĐẤT/TÀI SẢN BỊ ẢNH HƯỞNG)

A. PHÂN THỐNG KÊ TÀI SẢN (IOL)

34. Loại đất gì bị ảnh hưởng bởi dự án?

	Tổng DT (m ²)	Bị ảnh hưởng (m ²)		Sử dụng đất lần đầu từ khi nào?	Tình pháp lý của đất	Hiện trạng SD đất
		Vĩnh viễn	Tạm thời			
	1	2	3	4	5	6
1.1	Đất thổ cư/Đất ở					
1.2	Đất lúa					
1.3	Đất vườn					
1.4	Đất rừng/trồng cây					
1.5	Ao nuôi tôm/Cá	2,3 ha				
1.6	Đất NN khác					
1.7	Đất phi NN					

Tình trạng pháp lý:

1- CNSD đất hoặc có thể lấy CNSD đất

② Thuê, mượn hoặc sử dụng tạm thời.

3- Không có quyền hợp pháp

Công ty KTTN huyện 4 triệu/năm.

35. Tỷ lệ diện tích đất nông nghiệp bị thu hồi bởi Dự án trên tổng số đất nông nghiệp hiện đang sử dụng:% (điều tra viên tự tính và điền vào)

36. Loại nhà ảnh hưởng, mức độ ảnh hưởng và tình trạng pháp lý:

TT	Loại nhà	Mức độ ảnh hưởng		Tình trạng pháp lý			
		Một phần (m ² sàn xây dựng)	Toàn bộ (m ² sàn xây dựng)	Có giấy chứng nhận sở hữu	Không có giấy chứng nhận	Xây nhà trên đất không đúng mục đích sử dụng	Nhà thuê của nhà nước (NN)/tư nhân (TN)
1	Nhà mái bằng, kiên cố						
2	Nhà cấp 4						
3	Nhà tạm						
4	Nhà loại khác						

37. Loại công trình phụ nào bị ảnh hưởng bởi dự án?

ĐỢI ẮN SỬA CHỮA VÀ ẮNG CAO AN TOÀN ĐÁP - ẮNH HÒA BÌNH

TT	Tài sản	Đơn vị tính	Số lượng
1	Sân (m2)	Cái	
2	Hàng rào	Cái	
3	Giếng nước (cái)	(m2)	
4	Công tơ, điện nước (cái)	(m2)	
5	Mỏ má (cái)	(m2)	
6	Công trình phụ (m ²)	Cái	

38. Cây trồng bị ảnh hưởng

Số TT	Loại	Số lượng
1	Cây ăn quả (cây)	
2	Cây lấy gỗ (cây)	
3	Rau màu các loại (m ²)	
4	Lúa (m2)	

B. PHẢN THAM VẤN VỀ ĐỀ ẮN BÙ VÀ TÁI ĐỊNH CƯ

39. Ông bà mong muốn được đền bù theo hình thức nào ?

- Muốn được đền bù bằng đất đổi đất 1
- Muốn được đền bù bằng tiền 2
- Hình thức khác (xin nêu cụ thể)

40. (Hỏi các hộ di dời) Gia đình ông /bà mong muốn tái định cư ở đâu ?

- Muốn ở lô nền trong khu tái định cư do địa phương bố trí 1 ghi rõ:
- Muốn ở lô nền trong khu tái định cư gần nơi ở cũ 2
- Muốn tự mua/tự bố trí chỗ ở 3
- Ý kiến khác (ghi ra).....

41. Ông bà đề nghị hỗ trợ gì từ dự án không?

- Đào tạo nghề 1 Nghề gì :
- Vay vốn 2
- Tạo việc làm 3
- Khác 4 Xin nêu rõ:

Nếu không có đề xuất gì, ông bà có dự định gì để khôi phục nguồn thu nhập của gia đình?

(Xin ghi rõ)

42. Ông bà có ý kiến gì khác về việc đền bù/hỗ trợ của dự án hay không?

Cần có chính sách hỗ trợ gia đình về diện tích
NTT-S BAH

PHỤC HỒI SINH KẾ (DÀNH CHO NHỮNG HỘ DÂN TỘC THIỂU SỐ CÓ ĐẤT/TÀI SẢN BỊ ẢNH HƯỞNG)

43. Hiện nay, gia đình Ông/bà có nhu cầu gì cần hỗ trợ từ dự án hay Nhà nước:

DỰ ÁN SỬA CHỮA VÀ NÂNG CAO AN TOÀN ĐẬP - TỈNH HÒA BÌNH

TT	Những loại hỗ trợ	Lựa chọn
1	Hỗ trợ một khoản tiền đầu tư sản xuất (vốn, lãi suất ưu đãi)	<input checked="" type="checkbox"/>
2	Hỗ trợ kinh phí chuyển đổi mục đích sử dụng đất nếu có	<input type="checkbox"/>
3	Hỗ trợ một khoản tiền xây dựng, cải tạo nhà ở	<input type="checkbox"/>
4	Hỗ trợ chi phí đào tạo nghề mới (Nghề gì.....)	<input type="checkbox"/>
5	Hỗ trợ tạo việc làm	<input type="checkbox"/>
6	Tập huấn khuyến nông, hướng dẫn sản xuất	<input type="checkbox"/>
7	Hỗ trợ chi phí học hành của con cái	<input type="checkbox"/>
8	Cấp thẻ BHYT cho người bệnh kinh niên, người già, trẻ em >6 tuổi	<input type="checkbox"/>
9	Hỗ trợ chi phí cấp nước hợp vệ sinh (khoan giếng, nước máy)	<input type="checkbox"/>
10	Hỗ trợ chi phí làm nhà vệ sinh	<input type="checkbox"/>
11	Hỗ trợ lắp điện lưới	<input type="checkbox"/>
12	Không có nhu cầu	<input type="checkbox"/>
	Khác (ghi cụ thể).....	<input type="checkbox"/>

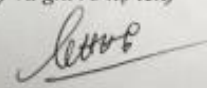
44. Các hoạt động sinh kế để thay thế thu nhập/ cải thiện thu nhập bị ảnh hưởng trong khi thực hiện dự án của hộ gia đình là gì?

.....

Xin cảm ơn sự hợp tác của Ông /bà!

Người trả lời

(Ký và ghi rõ họ tên)


 Bui Huy Hùng

SOCIO-ECONOMIC QUESTIONNAIRES FOR AFFECTED HOUSEHOLDS

CODE

0	3	5
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Introduction

For supporting the implementation of the Government’s Dam Safety Improvement Program by improving safety of prioritized dams and reservoirs as well as protecting assets and people in downstream area, the Dam Rehabilitation and safety improvement – Hoa Binh province is assessing socio-economic conditions in the project’s residential areas where you are living. Your opinions will be used in developing the project, contributing to speeding up the project progress.

Please provide your information by ticking (x) in the and fill in the blank.

Thanks for your corporation!

Address: Village/hamlet: Cau Commune/ward/town: Bac Son Province: Hoa Binh

Full name of enumerator: Phung Cong Thanh Survey date: 20/12/2018

IF THE SURVEYEE IS NOT HOUSEHOLDER, PLEASE FILL IN THE FOLLOWING BOX

<i>Full name of respondent: Bui Huy Hung</i>	<i>Age</i>
<i>Gender</i>	<i>Ethnic group:</i>

I. GENERAL INFORMATION:

1. Full name of householder: Bui Huy Hung **2. Age:** 38

3. Gender: ① Male 2. Female

4. Ethnic group: Muong

5. Total number of people in the family: 6

Of which: 1. Male: 4 ; 2. Female: 2

6. Number of people in the family have stable jobs: 2

7. Education of householder:

- | | |
|--|---|
| 1. <input type="checkbox"/> Illiterate/uneducated. | 4. <input type="checkbox"/> High school |
| 2. <input type="checkbox"/> Primary school | 5. <input checked="" type="checkbox"/> College/University |
| 3. <input type="checkbox"/> Secondary school | 6. <input type="checkbox"/> Higher education |

8. Occupation of householder (choose 1 option, the job that makes up most of the time)

- State officers
- Retired officers
- Head of enterprises/contractor.
- Farmer (including people working in salt and aquaculture farming)

- 5. Worker
- 6. Craftsman.
- 7. Trading/services/agro-forestry product processing
- 8. Public Security/ soldiers
- 9. Hired worker/unstable job
- 10. Others (specify:.....)

9. Relationship with householder:

- 1. Householder
- 2. spouse
- 3. Child
- 4. Parent
- 5. Grandparent

10. Which furniture and things below does your family own?

- 1. High-end wood furniture
- 2. Motorbike
- 3. Bike
- 4. Radio
- 5. Color TV
- 6. Fridge
- 7. Washing machine
- 8. Telephone
- 9. Air conditioner
- 10. Car

11. Your average income per month: 10,000 VND/household/month

- a. Main income source:
 - ① Agriculture
 - ② Aquaculture
 - 3- Trading
 - 4- Driving
 - 5- Hired worker
 - 6 - State officer
 - 7- Teacher/health care staff
 - 8- Unemployed, finding job
 - 9- Not working (retired, housewife, etc.)
 - 10- Others (Specify.....)
- b. Additional income source

12. Your estimated expenditure: 10,000 VND/household/month

13. How do you think about your income level?

- 1. Stable
- 2. Unstable

14. In your opinion, do you think you belong to vulnerable group?

- 1. Poor
- 2. Female headed household
- 3. Ethnic minority household
- 4. Household with elderly and the disable

II. RESIDENTIAL LAND AND HOUSE

15. Residential land/house has been used from.....?

16. Origin of the residential land/house:

- 1. Inherited
- 2. Granted
- 3. Hire
- 4. Bought/built yourself
- 5. Others.....

17. Total area of your using residential land:.....m².

18. Type of house (enumerator in combination with observation)

1. Permanent (from 2 storeys and above, brick wall, reinforced concrete roof)
2. Semi-permanent (1 storey, brick wall, tile roof)
3. Wooden house with leave roof (house with wooden walls, wooden/leave roof)
4. Temporary (made of bamboo, covered by wood/corrugate iron)
5. Others

20. Ownership certificate (enumerator in combination with observation)

1. Land use ownership certificate
2. Land grant certificate issued by State Agency
3. Temporary house/land purchasing certificate
4. House leasing contract
5. None of above certificate
6. Others.....

III. CURRENT STATUS OF TRANSPORT AND POWER SUPPLY

21. Characteristics of the road (or alley) to your house:

- | | |
|---------------------------------------|---|
| 1. <input type="checkbox"/> Asphalted | 3. <input type="checkbox"/> Paved with stone, gravel, brick, slag |
| 2. <input type="checkbox"/> Concrete | 4. <input type="checkbox"/> Earth |

22. Your power source:

- | | |
|--|---|
| 1. <input type="checkbox"/> Power grid with separate power meter | 3. <input type="checkbox"/> Have no power |
| 2. <input type="checkbox"/> Use with other household | |

IV. CURRENT STATUS OF WATER SUPPLY

23. How many water sources do you use to supply for all domestic activities in year?

- | | | |
|---|---|---|
| 1. <input checked="" type="checkbox"/> 1 source | 2. <input type="checkbox"/> two sources | 3. <input type="checkbox"/> 3 sources and above |
|---|---|---|

24. Water for cooking, drinking/domestic activities

<i>Water source</i>	<i>Cooking, drinking</i>	<i>Bathing, washing</i>	<i>Production, watering, barns</i>	<i>tree washing</i>
1. Tap water with separate meter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. Tap water used from other household/re-connected	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. Drilling well	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. Excavation well	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
5. Rainwater	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6. Water from pond/lake/river/creek
- 7: Others: rainwater/bottled water

V. CURRENT STATUS OF WATER DRAINAGE:

25. Your wastewater drainage:

1. Drainage to common culvert of the area 4. Others (*Specify*)
2. Wastewater self-penetrated into the soil 5. Have no idea
3. Drainage directly to pond/lake/river/creek

26. Demand on dam rehabilitation and safety improvement in the project area?

1. Immediate 3. Not necessary yet
2. If the conditions are available 4. Have no idea

VI. YOUR TOILET AND SOCIAL INFRASTRUCTURE

27. Currently, does your household have separate toilet?

1. Yes 2. No

28. If yes, which type of toilet does your family use?

1. Toilet with septic tank 4. Toilet on pond/lake/river/creek
2. Toilet which discharge directly into culvert 5. Use toilet of neighbor
3. Public toilet 6. Others (*Specify*): *Semi-septic*

VII. WASTE COLLECTION

29. Are your households' daily wastes collected:

1. Yes 2. No

30. If no, wastes are discharged in:

1. River, pond, lake 4. Littering
2. Excavate hole/pour into garden 5. Throw to road
3. Bury/burn 6. Others (*specify*).....

VIII. GENDER ISSUES

31. How labor is divided in your family?

No.	Jobs	Female	Male	Both
1.	Housewife			
2.	Children care			
3.	Do hired jobs			
4.	Small trading, services			
5.	Salaried job			

32. Participation in public activities

No.	Jobs	Female	Male	Both
1.	Participate in public meetings			
2.	Participate local organizations			
3.	Others (specify.....)			

33. Who is decision maker on the following issues in your family?

No.	Jobs	Female	Male	Both
1.	Shopping			
2.	Children's education			
3.	Job change/working			
4.	Bank loan			
5.	Named for asset ownership			
6.	Others (specify.....)			

IX. LAND ACQUISITION, COMPENSATION, SUPPORT AND RESETTLEMENT (FOR HOUSEHOLDS AFFECTED WITH LAND/ASSETS)

A. INVENTORY OF LOSS (IOL)

34. Type of land affected by the project?

		Total area (m ²)	Affected (m ²)		The land first used from	Land title	Current status of land use
			Permanent	Temporary			
		1	2	3	4	5	6
1.1	Residential land						
1.2	Rice land						
1.3	Garden land						
1.4	Forest land						
1.5	Shrimp/fish pond	2.3ha					
1.6	Other agricultural land						
1.7	Non-agricultural land						

Land title:

- 1-Land use right certificate or could gain land use right certificate
- 2- Hire, borrow or temporary use – District company VND million/year
- 3- Illegal

35. The percentage of agricultural land acquired by the project in comparison with the current agricultural land:% (measured and filled by the enumerator)

36. Type of house, impact level and title:

No.	Type of house	Impact level		Title			
		Part (m2 of construction floor)	Whole (m2 of construction floor)	With ownership certificate	Without ownership certificate	Construction of house on the land with wrong using purpose	Hired from State/Private Agency
1	House with flat roof, permanent						
2	Grade-4 house						
3	Temporary						
4	Others						

37. Type of auxiliary works affected by the project?

No.	Assets	Unit	Quantity
1	Yard (m2)	Pcs	
2	Fence	Pcs	
3	Well (pcs)	(m2)	
4	Power, water meter (pcs)	(m2)	
5	Grave (pcs)	(m2)	
6	Auxiliary work (m2)	pcs	

38. Affected trees

No.	Type	Quantity
1	Fruit tree (tree)	

2	Timber (tree)	
3	Crop (m2)	
4	Rice (m2)	

B. CONSULTATION ABOUT COMPENSATION AND RESETTLEMENT

39. How do you want to be compensated?

- Land for land 1
- In cash 2
- Others (specify).....

40. (For displaced households) Where do you want to be displaced?

- A land plot in the resettlement site arranged by local authorities 1 specify:.....
- A land plot in the resettlement site in former living place 2
- Buy a new one yourself 3
- Others (specify).....

41. What do you want to be supported by the project?

- Vocational training 1 What job:.....
- Loan borrowing 2
- Job creation 3
- Others 4 Specify:.....

*If there is no suggestion proposed, what will you do to recover your household's income?
(Specify).....*

42. Do you have any other opinions about the project's compensation/support?

The project should contain policy for supporting affected aquaculture area

LIVELIHOOD RESTORATION (FOR ETHNIC MINORITY HOUSEHOLDS AFFECTED WITH LAND AND ASSETS)

43. At the present, what type of support do you want to receive from the project or the State:

No.	Support	Selection
1	An amount of money for investment in production (capital, concessional interest rate)	✓
2	Allowances for changing land use purpose (if any)	
3	Allowances for construction, upgrade of house	
4	Allowances for vocational training (what job.....)	
5	Job creation	

6	Training in agricultural extension, production introduction	
7	Allowances for children education	
8	Supply of health insurance for chronic diseases, elderly, children of 6 years old or above	
9	Allowances for clean water supply (drilling well, tap water)	
10	Allowances for building toilets	
11	Allowances for installation of power grid	
12	No demand	
	Others (specify).....	

44. What are your alternative livelihood activities could replace/improve affected income sources while the project is implemented?

.....

.....

.....

Thanks for your corporation

Respondent
(signed)
Bui Huy Hung

Appendix 2: Summary of public consultation in the Suproject area

No.	Communes	Reservoirs	Consulation time	No.of participants		Participants	Results
				Male	Female		
1	Doan Ket	Luong Bai	14h, 21/12/2018	23	18	- Representative of local authorities and mass organizations Farmers' Association, Women's Union, Fatherland Front, Youth Union, etc. - Representatives of project affected and beneficial households - PMU representatives - Safeguard policy consultant	- Muong people who have separate languages and customs. Daily clothes are similar to Kinh people. - In daily communication, they speak Vietnamese, but they speak their own language in their family and internal community. - Muong People have lived harmoniously with King people for a long run, their social relations are similar to Kinh people. - All places where affected and beneficial EM people live are provided with the project information. - Based on the preliminary survey results, there are 43 Muong households will be adversely affected by the project implementation. - 100% participants agreed with contents proposed in EMDP and supported the Subproject.
2	Lac Thinh	Thuong	14h, 20/12/2018	19	21		
3	Hang Tram town	Sung	8h, 21/12/2018	21	17		
4	Yen Nghiep	Khoang Chia	8h, 20/12/2018	21	19		
5	Yen Phu	Ngoc Vo and Vo Queo	14h, 19/12/2018	21	20		
6	Quang Tien	Me	8h, 27/12/2018	18	17		
7	Mong Hoa	Du	14h, 24/12/2018	20	16		
8	Dan Ha	Tha	8h, 22/12/2018	18	17		
9	Cu Yen	Dom	8h, 20/12/2018	21	11		

No.	Communes	Reservoirs	Consulation time	No.of participants		Participants	Results
				Male	Female		
10	Thanh Cao	Cham Sy	8h, 24/12/2018	21	15		<p>Once completion, the project will bring about huge benefits for local people. Local people hope that the Project will be soon implemented so as to ensure dam safety and water supply for local community;</p> <ul style="list-style-type: none"> - All EM households agreed with the policies for EM households - Local people hope that they will be participated in training courses on agriculture, breeding in order to sustainably develop their family's economic conditions. - Support communication programs on dam safety in the Subproject area.
11	Thong Nhat	Thong Nhat	8h, 25/12/2018	18	19		
12	Hung Son	Cau	14h, 20/12/2018	21	20		
13	Tu Ne	Na Ai	8h, 21/12/2018	18	21		
14	Van Nghia	Nang	14h, 21/12/2018	19	16		
15	Tan Lap	Dang	8h, 24/12/2018	18	17		

Appendix 3: Some minutes of public consultation in the Subproject area

Dự án Sửa chữa và nâng cao an toàn đập – Tiểu dự án tỉnh Hòa Bình

<p>UBND TỈNH HÒA BÌNH BAN QLDA ĐẦU TƯ XD CÁC CÔNG TRÌNH NN&PTNN TỈNH HÒA BÌNH</p>	<p>CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM Độc lập – Tự do – Hạnh phúc</p> <p>-----</p> <p>Hòa Bình, ngày tháng năm .</p>
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BIÊN BẢN HỌP THAM VẤN NGƯỜI DÂN TỘC THIỂU SỐ

Dự án: Sửa chữa và nâng cao an toàn đập – Tiểu dự án tỉnh Hòa Bình

Thời gian họp: ngày 20 tháng 12 năm 2018 .

Địa chỉ nơi họp: Ủy ban nhân dân xã

1. Thành phần tham dự: (Danh sách chi tiết đính kèm theo)

1.1. Đại diện Ban QLDA:

- Ông/Bà Trần Văn Cường	Chức vụ Giám đốc Ban QLDA
- Ông/Bà	Chức vụ

1.2. Đại diện UBND xã/phường:

- Ông/Bà Bùi Văn Tú	Chức vụ Phó Chủ tịch UBND xã
- Ông/Bà Bùi Thanh Sơn	Chức vụ CB Địa chính NN

1.3. Đại diện đơn vị Tư vấn:

- Ông/Bà Phùng Công Thành	Chức vụ CB Môi trường
- Ông/Bà Trần Văn Thảo	Chức vụ CB Xã hội

1.4. Đại diện các hộ gia đình DTTS

- Ông/Bà Bùi Thị Lan	Địa chỉ Người dân
- Ông/Bà	Địa chỉ

2. Nội dung làm việc:

- ✓ Giới thiệu các thông tin về dự án: mục tiêu, vị trí, quy mô và thời gian dự kiến triển khai của Dự án
- ✓ Các đề xuất kỹ thuật của dự án, bao gồm các hạng mục, công trình được thực hiện trên địa bàn xã/phường
- ✓ Tìm hiểu về hiện trạng và bối cảnh kinh tế - xã hội, đặc trưng văn hóa, các hoạt động sinh kế của người DTTS trong vùng dự án;

1

Dự án Sửa chữa và nâng cao an toàn đập – Tiểu dự án tỉnh Hòa Bình

- ✓ Tham vấn hỗ trợ ưu đãi cho người DTTS thực hiện các hoạt động phát triển, sự tham gia của cộng đồng người DTTS vào dự án cũng như nhu cầu cải thiện sinh kế của họ;
- ✓ Nhận được sự ủng hộ và đóng góp ý kiến của địa phương cho các hoạt động đầu tư của dự án.

3. Kết quả tham vấn:

Những nhóm cộng đồng DTTS bị ảnh hưởng sinh sống ở đây từ khi nào? Phong tục tập quán, đặc trưng văn hóa của người DTTS? Họ còn duy trì văn hóa truyền thống hay không?	- Người DTTS có ngôn ngữ riêng - Họ có trang phục riêng và được sử dụng hàng ngày.
Kỹ năng nghe, nói, đọc, viết tiếng Việt (tiếng phổ thông) của người DTTS và phụ nữ người DTTS như thế nào? Đặc biệt đối với người già?	- Giao tiếp bình thường bằng tiếng Việt - Giao tiếp với nội bộ người DTTS bằng ngôn ngữ địa phương
Nguồn thu nhập, sinh kế chính của cộng đồng DTTS	- Nguồn thu nhập như người Kinh do tái sống và xen cấy lâu đời.
Làm thế nào để cộng đồng có thể tham gia vào dự án một cách chủ động hơn?	- Phổ biến thông tin DA - Tham gia tham vấn và định giá.
Cộng đồng người DTTS mong muốn nắm bắt/tiếp cận thông tin về dự án như thế nào?	- Tất cả các khu vực DA đều được phổ biến thông tin DA.
Những nhóm cộng đồng DTTS có nguyện vọng/mong muốn hỗ trợ như thế nào từ dự án?	- DA sớm triển khai - Được tham gia tập huấn để "phát triển" kinh tế và ổn định thu nhập.
Cộng đồng người DTTS có ủng hộ dự án hay không?	- Đồng tình ủng hộ DA.

Dự án Sửa chữa và nâng cao an toàn đập – Tiểu dự án tỉnh Hòa Bình

Kết luận

- 100% người dân tộc tham gia tham vấn ứng hộ DA và mong muốn DA sớm thực hiện
- 100% đồng ý với các đề xuất trong EMDP của DA
- Đề xuất được tham gia tập huấn phát triển kinh tế địa phương đặc biệt là nông nghiệp và nghề thủ công

Cuộc họp kết thúc vào hồi 17 giờ 30' cùng ngày !

ĐẠI DIỆN BOLDA
(Ký, ghi họ tên)

ĐẠI DIỆN ĐƠN VỊ TƯ VẤN
(Ký, ghi họ tên)



GIÁM ĐỐC
Nguyễn Văn Lượng

ĐẠI DIỆN UBND PHƯỜNG/XÃ
(Ký, ghi họ tên)



PHO CHỦ TỊCH
Bùi Văn Cửu

ĐẠI DIỆN CỘNG ĐỒNG DÂN CƯ
(Ký, ghi họ tên)

Lan
Bùi Thị Lan

Bùi Thị Liên

HOA BINH PROVINCIAL PEOPLE'S
COMMITTEE
**HOA BINH PROJECT MANAGEMENT
UNIT OF CONSTRUCTION
INVESTMENT WORKS FOR
AGRICULTURE AND RURAL
DEVELOPMENT**

**THE SOCIALIST REPUBLIC OF
VIETNAM**
Independence – Freedom – Happiness

Hoa Binh,

MINUTES OF PUBLIC CONSULTATIONS WITH ETHNIC MINORITY PEOPLE

Project: Dam Rehabilitation and Safety Improvement Project – Hoa Binh Subproject.

Time: 20 December 2018

Meeting location: Communal People's Committee

1. Participants: (see attached list)

1.1. Representatives of the PMU.....

- | | |
|----------------------|-------------------------------|
| - Mr. Tran Van Vuong | Position: Director of the PMU |
| - Mr/Ms. | Position: |

1.2. Representatives of the C/WPC

- | | |
|----------------------|---------------------------------|
| - Mr. Bui Van Tu | Position: Vice president of CPC |
| - Mrs. Bui Thanh Son | Position: Cadastral officer |

1.3. Representatives of the Consultant

- | | |
|-------------------------|------------------------------------|
| - Mrs. Phung Cong Thanh | Position: Environmental specialist |
| - Mr. Tran Van Hao | Position: Social Specialist |

1.4. Representatives of affected households:

- | | |
|--------------------|--------------------------|
| - Mrs. Bui Thi Lan | Address: Local resident. |
| - Mr/Ms. | Address: |

2. Working contents:

- ✓ Introduction about the Project objective, location, scale and tentative implementation time.
- ✓ Project's technical proposal, including items, works to be implemented in the communes/wards;
- ✓ Assess socio-economic current status and background, cultural characteristics and livelihood activities of EMs in the project area.
- ✓ Consultation on concessional support for EM people to implement development activities, participation of EM people in the project as well as their demand on livelihood improvement.

- ✓ Receive support and opinions of local authorities for the project's investment activities.

3. Consultation results:

When did the affected EM people live in the area? How are their customs, cultural characteristics? Have you still remained such traditions?	<ul style="list-style-type: none"> - EM people speak their own language - They wear separate costume everyday
How are Vietnamese language (common language) listening, speaking, reading and writing skills of EM people? EM women? Especially elderly?	<ul style="list-style-type: none"> - They communicate by Vietnamese - They communicate with local people by local language
How are income, livelihood sources of EM community	Their livelihood sources are as same as Kinh people as they have lived with King people for a long time
How could the community participate in the project more actively?	<ul style="list-style-type: none"> - Disseminate the project information - Participation in consultation and assessment
How does the EM community want to access the project information?	- All project areas are disclosed with the project information
How does the EM group desire to be supported from the project?	<ul style="list-style-type: none"> - They hope that project will be soon implemented - Participate in training for economic development and income stabilization
Does the EM community support the project	- Agree with the Project

3. Conclusion:

- 100% participants supported the Project and hope the that project will be soon implemented
- 100% participants agreed with proposals in the project's EMDP.
- Participants hope to be joined in local economic development trainings, especially agricultural and handicraft trainings.

The meeting wraps up at 17h30 on the same date!

REPRESENTATIVE OF PMU

REPRESENTATIVE OF CONSULTANT

(signed and sealed)

Director

Nguyen Van Luong

REPRESENTATIVE OF CPC

REPRESENTATIVE OF COMMUNITY

(signed and sealed)

(signed, full name)

Bui Van Tu

Bui Thi Lan

CỘNG HOÀ XÃ HỘI CHỦ NGHĨA VIỆT NAM

Độc lập – Tự do – Hạnh phúc

-----8002-----

DANH SÁCH ĐẠI DIỆN CÁC THÀNH VIÊN THAM GIA

Dự án: Sửa chữa và nâng cao an toàn đập – Tiểu dự án tỉnh Hòa Bình

Thời gian: ... Ngày 20 / 12 / 2018 ... lúc 14h 00

Địa điểm: ... UBND xã

STT	Họ và tên	Địa chỉ/chức vụ	Chữ ký	Ghi chú
01	Bà Văn Tú	Phó CT UBND xã		
02	Bà Thanh Sơn	ĐC - NN		
03	Bà Huy Hưng	ĐC - NN Trưởng thôn		
04	Bà Xuân Tý	Phó thôn		
05	Bà Văn Hiền	Chi hội trưởng cơ sở		
06	Bà Văn Minh	Trưởng khu trưởng		
07	Bà Thi Tiên	Trưởng khu trưởng		
08	Bàch Thanh Xuân	Người có uy tín		
09	Bàch Công Hùng	Người dân		
10	Bà Thi Thủy	ĐC - XD		
11	Bà Văn Hậu	Bí thư chi bộ		
12	Bà Văn Ba	người dân		
13	Bà Văn Hương	nt		
14	Bà Văn Luyện	nt		
15	Bà Văn Lâm	nt		
16	Bà Văn Nhi	nt		
17	Bà Văn Sĩ	nt		
18	Bà Văn Xuyến	nt		
19	Bà Văn Xuân	nt		
20	Bà Văn Tú	nt		

CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM

Độc lập – Tự do – Hạnh phúc

-----8002-----

DANH SÁCH ĐẠI DIỆN CÁC THÀNH VIÊN THAM GIA

Dự án: Sửa chữa và nâng cao an toàn đập – Tiểu dự án tỉnh Hòa Bình

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12	Bà Văn Ba	người dân		
13	Bà Văn Hương	nt		
14	Bà Văn Luyện	nt		
15	Bà Văn Lâm	nt		
16	Bà Văn Nhi	nt		
17	Bà Văn Sĩ	nt		
18	Bà Văn Xuyến	nt		
19	Bà Văn Xuân	nt		
20	Bà Văn Tú	nt		

Appendix 4: Some images about the site



Nang Reservoir



Management road to Vo Queo Reservoir



Khoang Chia Reservoir



Spillway of Luong Bai Reservoir



Dom Reservoir



Me Reservoir