

Public Disclosure Authorized

MINISTRY OF TRANSPORT  
PROJECT MANAGEMENT UNIT – WATERWAYS

SOUTHERN WATERWAYS LOGISTICS CORRIDOR PROJECT  
(SWLC)

Public Disclosure Authorized

DRAFT  
STAKEHOLDER ENGAGEMENT PLAN  
(SEP)

*(The 4<sup>th</sup> Revised Version)*

JANUARY 2022

**TABLE OF CONTENTS**

I. INTRODUCTION.....5

1.1. Project Overviews.....5

1.2. Project Descriptions.....5

1.2.1. Project Objectives .....5

1.2.2. Project Components .....6

1.3. Project location.....8

1.4. Brief summary of the project Environmental and Social Risks/Impacts .....8

1.5. Objectives of the SEP .....9

II. BRIEF SUMMARY OF PREVIOUS STAKEHOLDER ENGAGEMENT ACTIVITIES .....10

III. POLICY AND LEGAL REQUIREMENTS .....16

3.1. National Regulations.....16

3.2. World Bank Requirements for Stakeholder Engagement and Information Disclosure (ESS10) .....17

IV. STAKEHOLDER IDENTIFICATION AND ANALYSIS.....18

4.1. Affected Parties .....18

4.2. Interested Parties .....23

4.3. Disadvantaged/ Vulnerable Individuals and Groups .....27

4.4. Analysis of Stakeholders .....29

4.5. Summary of Project Stakeholder Needs.....37

V. STAKEHOLDER ENGAGEMENT PROGRAM .....46

5.1. Purpose and Timing of Stakeholder Engagement Program .....46

5.2. Proposed Strategy for Information Disclosure .....47

5.3. Proposed Consultation Strategy .....51

5.4. Proposed Strategy to Incorporate the View of Vulnerable Groups .....64

5.4.1. Issues need to be concerned during consultation with vulnerable groups .....64

5.5. Timeline .....66

5.6. Review of comments and feedbacks .....69

5.7. Future Phases of the Project .....70

VI. RESOURCES AND RESPONSIBILITIES FOR IMPLEMENTING STAKEHOLDER ENGAGEMENT ACTIVITIES .....71

6.1. Resources.....71

6.1.1. Appointment of Staff in charge.....71

6.1.2. Budget allocation for SEP implementation.....71

6.2. Management Functions and Responsibility .....76

VII. GRIEVANCE REDRESS MECHANISM (GRM).....79

7.1. Purpose of the Project GRMs .....79

7.2. Description of the Project GRMs .....79

7.2.1. Summary of national legislation of grievance and complaint .....79

7.2.2.	Guiding principles .....	80
7.2.3.	Summary of three GRMs.....	81
7.3.	Responsibilities of PMU-W .....	83
VIII.	MONITORING AND REPORTING.....	84
8.1.	Involvement of stakeholders in monitoring activities.....	84
8.2.	Reporting back to Stakeholders.....	84
	ANNEXES.....	86
	Annex 1 – Monitoring Indicators of Stakeholder Engagement.....	86
	Annex 2 – General guide COVID-19 considerations in construction/civil works .....	88
	ANNEX 3: TEMPLATE TO RECORD GRIEVANCES/ GRIEVANCE LOG.....	96
	ANNEX 4: SAMPLE FORM TO SUBMIT GRIEVANCES .....	97
	ANNEX 5: TEMPLATE TO RECORD CONSULTATIONS.....	98

### **LIST OF TABLES**

Table 1:	Selected routes of the SWLC Project .....	7
Table 2:	Consultation Undertaken of SWLC Project.....	11
Table 3:	Analysis of Affected Parties .....	20
Table 4:	Analysis of Other Interested Parties.....	24
Table 5:	List of Disadvantaged/Vulnerable Individuals/Groups.....	28
Table 6:	Limitations of Disadvantaged/Vulnerable Individuals/Groups .....	29
Table 7:	Level of Interest, Impacts and Influence for Each Key Group of Stakeholders .....	31
Table 8:	Communication Needs of Key Stakeholder Groups .....	38
Table 9:	Proposed Methods for Disclosing Information to Key Stakeholder Groups .....	48
Table 10:	Summary of Consultation Techniques to be used for Key Stakeholder Groups .....	54
Table 11:	Proposed Methods for Consultation with Key Stakeholder Groups .....	56
Table 12:	Limitations and mitigation measures for vulnerable groups .....	65
Table 13:	Key consultation activities .....	67
Table 14:	Contact Information of key persons for SEP implementation.....	71
Table 15:	Estimation of budget for SEP implementation .....	73

### **LIST OF FIGURES**

Figure 1 –	Location Map of the SWLC Project .....	7
Figure 2 –	Responsibility in Continuous Engagement & Closing Feedback Loop.....	70

## ABBREVIATIONS

C-ESMP	Contractor – Environmental and Social Management Plan
DARD	Department of Agriculture and Rural Development
EMDF	Ethnic Minority Development Framework
ESCP	Environment and Social Commitment Plan
ESMF	Environment and Social Management Framework
GBV	Gender Based Violence
GOV	Government of Vietnam
GRM	Grievance Redress Mechanism
LMP	Labour Management Procedures
MARD	Ministry of Agriculture and Rural Development
MOH	Ministry of Health
MOT	Ministry of Transport
MONRE	Ministry of Environment and Natural Resources
NGO	Non-Governmental Organization
PMU-W	Project Management Unit – Waterways
PDO	Project Development Objective
PC	People’s Committee
PPC	Provincial People’s Committee
PPMU	Provincial Project Management Unit
RP	Resettlement Plan
RPF	Resettlement Policy Framework
SEA	Sexual Exploitation and Abuse
SH	Sexual Harassment
SEP	Stakeholder Engagement Plan
SWLC	Southern Waterways Logistic Corridors (SWLC) Project
WB	World Bank

## **I. INTRODUCTION**

### **1.1. Project Overviews**

1. The Government of Vietnam has requested a loan from the World Bank (WB) for the implementation of the **Southern Waterways Logistic Corridors (SWLC) Project**, hereinafter referred to as “Project”. The overall goal of the project is to improve the inland waterway infrastructure system; reduce waterway traffic congestion and accidents; reduce emissions contributing to environmental protection; reduce the transport distance and logistics costs; promote economic development, especially the Mekong Delta region; and increased connectivity for different types of transport. This goal will be realized by renovating and upgrading two transport corridors logistics transport connecting the Mekong Delta region with Ho Chi Minh City and linking the economic triangle area of Ho Chi Minh City-Dong Nai-Binh Duong with Cai Mep-Thi Vai port area, contributing to hunger eradication, poverty reduction, socio-economic development, ensuring border security in localities in the Southeast and Mekong Delta. The project will be built on the basis of advanced transport technology to improve the quality of transportation, minimize the environmental impact through efficient energy use and accelerate the development of multilateral transport. Furthermore, in order to ensure the sustainability of investment, the waterway project will combine (i) development of other transport sectors, rural and urban transport networks in particular and (ii) rural development includes irrigation and flood control to effectively adapt and address the problems of climate change and sea level rise. The project is scheduled to be carried out from 2022 to 2026.
2. This **Stakeholder Engagement Plan (SEP)** is prepared as part of the environmental and social documents for SWLC Project (hereafter in this SEP referred to as “the Project”), therefore it is closely linked to and cross-referenced in other documents such as ESIA/ ESMP, LMP, RPF, EMDF and ESCP. The SEP describes the proposed strategy for consultation, information disclosure and engagement of stakeholders and establishing a grievance redress mechanism (GRM) for affected people. The draft SEP will be disclosed and consulted before project appraisal. If significant changes are made during project implementation, the updated SEP will be redisclosed.

### **1.2. Project Descriptions**

#### **1.2.1. Project Objectives**

3. The general objective of the Southern Waterways Logistic Corridors (SWLC) Project is to improve the transport infrastructure system; reduce congestion on the key waterways; reduce the cost of transporting goods from the producer to the consumer market through the upgrading of the waterways in the area; contribute positively to the objectives of poverty reduction, socio-economic development, reduction of the rate of accidents on the waterways, ensure the security in the provincial border areas in the MKD and the NE-MKD.
4. The achievement of the Project Development Objectives (PDO) can be seen in the following outcomes:

- (i) Increasing the total cargo volumes in each corridor via upgrading selected sections of two key inland waterways (East-West Corridor from 50.73 to 72.64 million tons/year, North-South Corridor from 42.11 to 60.3 million tons/year).
- (ii) Decreasing travel time from Can Tho to HCMC Port (approximately 30%).
- (iii) Minimizing potential accidents and fatalities on the upgraded sections in particular and on the whole waterways in general (approximately 30%).

### 1.2.2. Project Components

5. The Project consists of two components:

- **Component A: East - West Waterway Logistics Corridor**

Component A will upgrade selected sections of a key east-west inland waterways corridor, connecting Can Tho Port – Mang Thit – HCMC/ CMTV ports. It will support widening and deepening the target waterways by dredging and bend realignment, embankments, reconstruction of two bridges for higher vessel clearance, local roads, passenger ferry landing facilities, irrigation and drainage structures, and installation of navigation aids.

- **Component B: North - South Waterway Logistics Corridor**

- 6. Component B will upgrade selected sections of a key north-south corridor, connecting the industrial city's Dong Nai port to HCMC/CMTV ports. It will support the widening and dredging of the waterways, construction of embankments, replacement of irrigation and drainage structures, and installation of navigation aids.
- 7. The proposed World Bank-funded Southern Region Waterways and Transport Logistic Corridors (SWLC) Project will improve the direct inland waterways connection with total length of 279 km in East – West Corridor connecting Mekong Delta (MKD) in Ho Chi Minh City, and in North – South Corridor connecting Binh Duong - Dong Nai Industrial Zones – Ho Chi Minh City (via Dong Nai river) to Cai Mep – Thi Vai (CMTV) Port complex in Ba Ria Vung Tau. Namely:
  - East – West corridor: the selected alternative was from Hau river (Can Tho port) – Tra On river → Mang Thit canal/river → Co Chien river → Cho Lach canal → Tien river → Ky Hon canal; Rach La canal → Vam Co river → Nuoc Man canal → Can Giuoc river → Soai Rap river (in HCM city).
  - North – South corridor: the selected alternative was from Dong Nai river (Dong Nai port) → Nha Be river → Long Tau river → Dong Tranh river → Tac Cua river → Go Gia river → Thi Vai CMTV complex).
- 8. The project will focus on three groups of waterways from (i) Can Tho Port to Soai Rap River; (ii) Soai Rap River to CMTV Port complex; and (iii) Dong Nai Port to CMTV Port complex. The waterways will pass through or adjacent to 8 provinces and cities: Ho Chi Minh city, Can Tho city, Vinh Long, Ben Tre, Tien Giang, Long An, Dong Nai and Ba Ria – Vung Tau.
- 9. The detailed information on the proposed routes of the project is shown in Table 1 below and the Project Location map is shown in **Figure 1**.

Table 1: Selected routes of the SWLC Project

No.	Proposed Routes for SWLC Project	Length (km)
1	<b>East – West Corridor</b> Hau river (Can Tho port) - Tra On river → Mang Thit river/canal → Co Chien river → Cho Lach canal → Tien River → Rach Ky Hon; (via Cho Gao canal); Rach La → Vam Co River → Nuoc Man canal → Can Giuoc river → Soai Rap river (HCM city).	197
2	<b>North – South Corridor</b> Dong Nai river (Dong Nai port) → Nha Be River → Long Tau river → Dong Tranh river → Tac Cua river → Go Gia river → Thi Vai river (Cai Mep Thi Vai port cluster)	82
<b>Total</b>		<b>279</b>

Sources: PFS 2021.

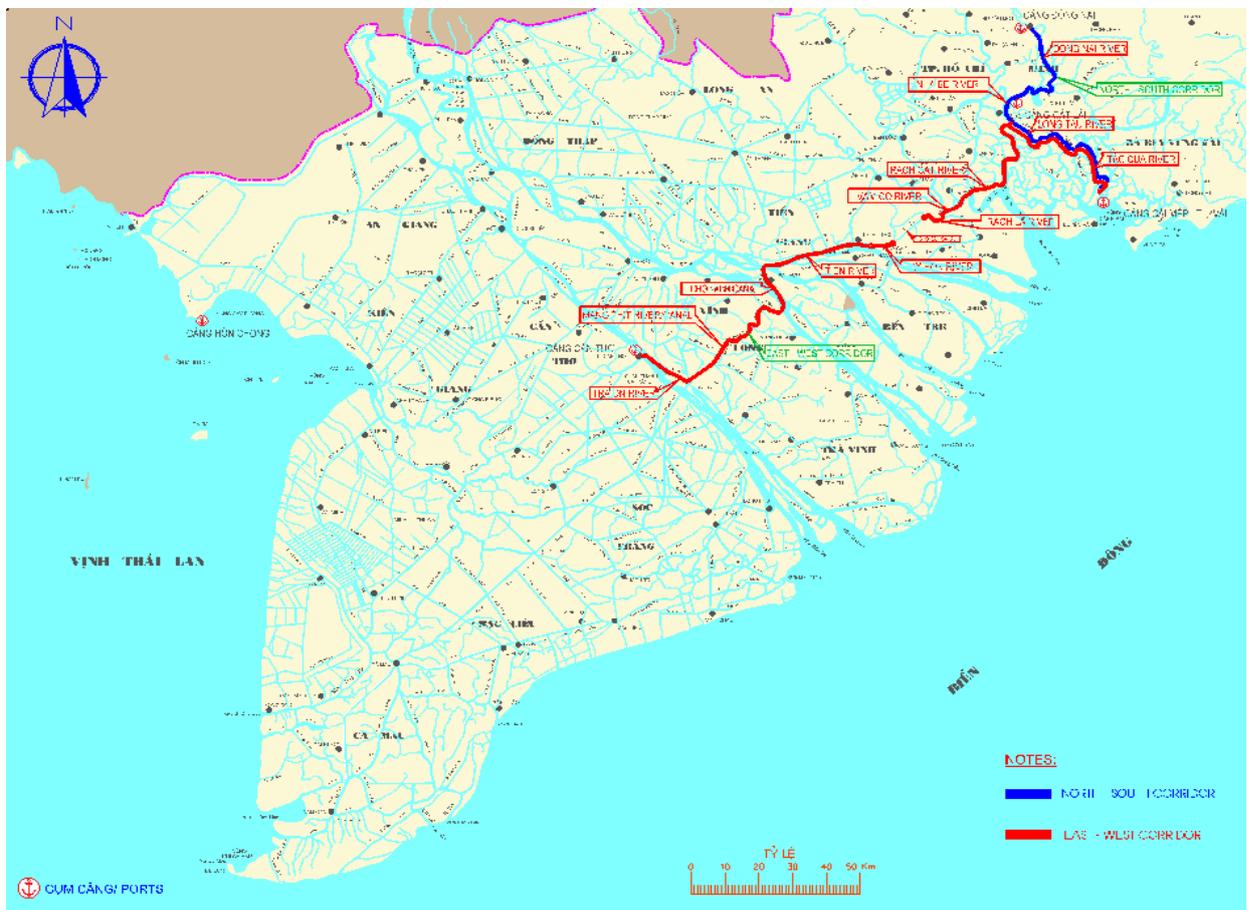


Figure 1 – Location Map of the SWLC Project

### 1.3. Project location

10. The SWLC project spans the entire two regions in the MKD and Southeast of Vietnam on the East – West<sup>1</sup> corridor and the North – South 2 corridor:
  - The Southeast region passes through economic triangle Dong Nai - Ho Chi Minh City, and Ba Ria – Vung Tau;
  - The Mekong Delta area passing through: Tien Giang, Long An, Vinh Long, Ben Tre, Can Tho.
11. Accordingly, the project passes through 06 provinces/cities including: Vinh Long (Mang Thit River), Ben Tre (Cho Lach Canal), Tien Giang (Ky Hon Rach), Long An (Rach La), Dong Nai (Tac Cua River), Ho Chi Minh City.

### 1.4. Brief summary of the project Environmental and Social Risks/Impacts

12. Based on the ESIA conducted for the above two components, potential environmental risks and impacts related to the construction works include dust, noise, vibration, generation of solid wastes and wastewater, water quality reduction, localized flooding and unhygienic conditions, disturbance to landscape; interruptions to public services and infrastructure, waterways congestion and waterways safety, community health and safety risks, etc. The risks/impacts specific to each component also include: (i) landslide during river/channel dredging the East-West and North-South corridors; (ii) river/channel dyke/embankment safety risks (East-West and North-South corridors) and impacts on aquatic ecosystems (during dredging the East-West and North-South corridors). Most of these impacts are temporary, at low to moderate level and reversible. The main risks and impacts during operation would be permanent changes in land use and traffic safety issues along the existing roads. (Please see ESIA for more details).
13. Social risks and impacts anticipated include: (1) land acquisition; (2) resettlement; (3) disruption of water based transport and livelihoods; (4) disruption of river bank agricultural activities; (5) health risks and risk of gender based violence from labor influx; (6) disruption of land, livelihoods and cultural activities of ethnic minorities; (7) disruption of intangible cultural heritage; and (8) the risk of disproportionate impacts on vulnerable people (ethnic minority, female headed, elder and disabled households) in the project impact zone.
14. Details of the identified environmental and social risks and impacts associated with the two above components, including proposed mitigation measures, are provided in respective E&S documents such as ESIA/ ESMP, LMP, RPF/RPs, EMDF, ESCP, and this SEP. During project implementation, contractors will be required to prepare ESMP (C-ESMP) to update and manage adverse impacts during construction process.

---

<sup>1</sup> East-West Corridor: waterway connecting Can Tho port to Ho Chi Minh city from: Hau river (Can Tho city) → Tra On river → Mang Thit river → Co Chien river → Cho Lach canal → Tien river → Rach Ky Hon; (via Cho Gao channel); Rach La → Vam Co river → Nuoc Man canal → Can Giuoc river → Soai Rap river (Ho Chi Minh City), the entire length of the East-West corridor is 197 km.

<sup>2</sup> North - South Corridor: waterway connecting Dong Nai port to Cai Mep Thi Vai port cluster from: Dong Nai river (Dong Nai port) → Nha Be river → Long Tau river → Dong Tranh river → Tac Cua river → river Go Gia → Thi Vai river (Cai Mep-Thi Vai port cluster), the entire length of the North - South corridor is 82 km.

### **1.5. Objectives of the SEP**

15. The purpose of this SEP is to identify stakeholders who are potentially involved in project planning and implementation, thereby engaging them in the ongoing and iterative consultation process throughout the project cycle. The SEP identifies opportunities where stakeholders can participate in public consultations, provide feedback, particularly feedback related to project activities that affect them. In particular, the SEP sets forth arrangements through which project stakeholders will be notified of project's information, such as project's potential risks and impacts, and explains how stakeholders' feedback will be collected and incorporated into project design. This helps promote stakeholder participation and enable the project to timely collect their comments, assess and incorporate such feedback into project design and implementation as part of risks and impact management.
16. The objectives of this stakeholder engagement plan are to:
  - Identify all project stakeholders including their priorities and concerns, and ensure the project has ways to incorporate these;
  - Identify strategies for information sharing and communication to stakeholders, including project information on social risks and impacts, as well as consultation of stakeholders in ways that are meaningful and accessible throughout the project cycle;
  - Specify procedures and methodologies for stakeholder consultations, documentation of the proceedings and strategies for feedback;
  - Establish an accessible, culturally appropriate and responsive grievance mechanism;
  - Ensure meaningful consultation and the consideration of stakeholder's expectations and concerns into the implementation arrangements for the programme, including feedback on environmental and social mitigation measures and their implementation.
17. This SEP also describes the project's grievance mechanism and how project stakeholder can access it to provide their comments, inquiries, and requesting project support. This is particularly useful to those who are potentially adversely affected as a result of the project. The SEP will enable project implementing agency (PMUW) to take timely and appropriate actions, based on the stakeholders' on-going feedback, to effectively manage the project's environmental and social risks and impacts.
18. This SEP is applicable to the entire activities of the project. The SEP is a living document so that it will be updated during the project implementation.

## II. BRIEF SUMMARY OF PREVIOUS STAKEHOLDER ENGAGEMENT ACTIVITIES

19. During preparation process of SWLC (in 2017 for original proposed project and in 2021 for adjusted project), various meetings have been held by the Project Management Unit – Waterways (PMUW) and project preparation consultants to identify key groups of project stakeholders and to consult with them to share preliminary project information, including project’s identified environmental and social risks and impacts, to solicit their feedback, for analysis and incorporation into project design and implementation. In this process, PMUW has gathered knowledge and expertise on collecting and responding to stakeholder feedbacks and has diversified its channels used for communication with various stakeholders.
- At the central level, the PMUW has led and participated in various key stakeholder consultations with relevant line-ministries (MPI, MOC, MOF, MONRE and MOT). The main contents of consultation activities focused on the project scale, investment items, waterways alignments, budget for implementation, etc. 10 consultation meetings were held in 2021 with relevant ministries with 52 participants.
  - At the provincial level, consultation activities have been carried out with PPCs and related departments (DOC, DARD, DONRE, DOCT, LFDC, DOST, DARD, DOLISA, DOT, DOIC and DOJ).), The consultation contents focused on the number of work items, the project investment scale in each province, the potential environmental and social impacts of the project, the compensation, support and resettlement policy of the project. 16 consultation meetings were held in 2021 with the project’s city/provinces with 172 participants.
  - The consultation process at district/commune are divided into 2 phases: (i) From July to September 2017 – for the original SWLC project; and (i) From December 2021 to January 2022 for the adjusted SWLC Project. level have been carried out in period from December 2021 to January 2022. There are 11 consultation meetings at district level have been carried out at 11 communes/town in 07 district of 05 provinces with 263 participants; the consultation meetings at commune level have also been carried out in this period with participation of representatives of local authority, local residents, mass organizations (Women’s Unions, Fatherland Fronts, Farmer’s Association, Youth’s Union), among others. The nature and findings from these engagements are summarized below. It is likely that issues raised by the stakeholders for the original SWLCP (2017) will also be raised for the current adjusted SWLCP (2021). Please see more details in Table 2 below.
  - There are 658 affected households in a total of 1,068 affected households of the project have been surveyed/interviewed by the structural questionnaires in December 2021 and January 2022.

Table 2: Consultation Undertaken of SWLC Project

No.	Public Consultations	Time	Participants			Main consultation contents	Summary of results/feedbacks
			Male	Female	Organization		
1	Nhon Trach Shipping and Barge Cooperative	27 Jul.2017	4	2	<ul style="list-style-type: none"> <li>- Representative of the Nhon Trach Shipping and Barge Cooperative;</li> <li>- PMUW, E&amp;S Consultant</li> </ul>	<ul style="list-style-type: none"> <li>- Introduction of the project components, proposed investments</li> <li>- Orientation of WB ESF and ESS5</li> <li>- Consultation on project compensation, resettlement and support policy</li> <li>- Grievance redress mechanism (GRM);</li> <li>- Consultation on stakeholders' participations throughout project cycle.</li> </ul>	<ul style="list-style-type: none"> <li>- The E&amp;S Consultant consulted the Nhon Trach Shipping and Barge Cooperative, who is the investor of the aquaculture area in Vung Gam Hamlet, Phuoc An Commune, Nhon Trach District, Dong Nai Province with the planned area of 82 ha with the length along Tranh River for more than 2km;</li> <li>- Opinion of the cooperative representative: Support the project so that the project can be implemented soon.</li> <li>- There should be adequate compensation and supports from the government and project and The Dong Tranh River side should be embanked where the planned aquaculture project to be close to.</li> </ul>

No.	Public Consultations	Time	Participants			Main consultation contents	Summary of results/feedbacks
			Male	Female	Organization		
2	Vinh Thanh CPC – Nhon Trach District, Dong Nai Province	28 Jul.2017	7	3	- E&S consultants - PMUW representatives	- Introduction of project information: impacts/risks, footprint, funding source, implementation - Introduction of the purpose and requirements of the WB social environmental instruments - Orientation of WB ESF and ESS5 - Consultation on project compensation, resettlement and support policy - Grievance redress mechanism (GRM)	- Participants are very supportive of the project, and agree with the project resettlement policies - Participants expect that the unit prices should reflect the replacement price at the time of compensation payment - The coordination with and support of local authorities/agencies to ensure the smooth and timely site clearance are critical
3	Thanh Vinh Dong commune, Chau Thanh District, Long An Province	17 Aug. 2017	14	7	- Representatives of the CPCs - Representatives of local branches, Women's Union, Fatherland Front, Veterans Association, Youth Union, Land Administration Officer	- Consultation on stakeholders' participations throughout project cycle - Consultation on environmental and social impacts during project implementation and mitigation measures - Socio-economic surveys and investigation of a number of households in the area - In-depth interview: Leaders and some key officials	- Participants expect to be provided/updated with full project information from time to time or when there are any significant changes - Comments above received the consent of all participants.
4	Cho Lach Town, Cho Lach District, Ben Tre Province	10 Aug. 2017	37	24	- All hamlets/heads of residential groups in communes. - Representatives of affected households and beneficiaries in the project area		
5	Son Dinh Commune, Cho Lach District, Ben Tre Province	14 Aug. 2017	9	7			
6	Hoa Nghia Commune, Cho Lach District, Ben Tre Province	14 Aug. 2017	24	18			
7	Binh Phuc Nhut Commune, Cho Gao District, Tien Giang Province	07 Sep. 2017	8	7			
8	Dong Son Commune, Go Cong Tay District, Tien Giang Province	08 Aug. 2017	21	15			
9	Xuan Hiep Commune, Tra On District, Vinh Long Province	08 Jul. 2017	9	5			

No.	Public Consultations	Time	Participants			Main consultation contents	Summary of results/feedbacks
			Male	Female	Organization		
10	Tuong Loc Commune, Tam Binh District, Vinh Long Province	04 Jul. 2017	13	8			
11	Hoa Nghia Commune, Cho Lach District, Ben Tre Province.	15 Dec. 2021	16	5			
	<b>TOTAL</b>	<b>N= 263 person</b>	<b>162</b>	<b>101</b>			
		<b>%</b>	<b>61.6</b>	<b>38.4</b>			

*Note: Due to the local regulations on COVID 19 restrictions on travel and public gatherings, some field data (in 2021), especially the data on public consultation activities are not yet available. The field data will be updated/ revised accordingly as soon as field data are available.*

20. During the consultation process, particularly during December 2021 through January 2022, due to the situation of COVID-19 epidemic is complicated in the provinces in the project area, therefore, to face this situation and to maintain the consultation progress, the PMUW and consultants have strictly adopted government regulations on COVID-19 prevention, such as avoiding grouping more than 10 people, keeping safe distance in face-to-face contact. This affected the overall progress of the planned consultation with stakeholders, particularly with affected people. Therefore, there are only 658 affected households in a total of 1,068 affected households of the project have been consulted (61.6%). The consultation activities for the remaining project affected households will be carried out in the next period when the COVID-19 epidemic situation in the localities is improved.
21. During consultation meetings, the consultants presented general information on the project's objectives, investments, and key impacts, and summarized the World Bank's Environmental and Social Framework. The purpose of consultations is to introduce the stakeholders the project scope and identify appropriate mechanisms for coordination and consultations throughout the project life towards achieving the project development objectives.
22. The following information have been shared with people participating in the above-mentioned consultations sessions, as a basis for them to provide their meaningful feedback:
  - Project development objective and its significance to local development process;
  - Project's potential social and environmental risks and impacts;
  - Measures to avoid and minimize social and environmental risks and impacts, including proposed project's compensation, assistance, resettlement, livelihood restoration strategy, etc.; and
  - Purpose and requirements for stakeholder engagement exercise during project cycle (from project design, planning, construction and operation).
23. The main project information was shared and discussed with stakeholders including the project's objectives, scope of investments, and key potential environmental and social risks and impacts, mitigation measures including compensation, stakeholder participation mechanism throughout project cycle, and grievance redress mechanism for affected people. Collected information and the feedback received from the participations were recorded and used for the preparation of the ESIA/ ESMP, LMP, RPF, EMDF, SEP and ESCP. The collected feedback from representatives of the stakeholders will be taken into consideration for its inclusion in the final project design.
24. The main feedbacks raised during the stakeholder engagement activities conducted so far can be summarized as:

***About the project implementation***

- The project will play important role and contribute to the development of the Mekong region and the Southern provinces. It will bring benefits to local residents, economically, socially, environmentally.

### ***About compensation policy***

- The project affected households are very supportive of the project, and agree with the project resettlement policies. They expect that the unit prices should reflect the replacement price at the time of compensation payment.
- Market approach should be applied for compensation. Livelihood restoration and life stabilization programs are necessary to ensure all the affected people are assisted to restore their living conditions.
- Coordination with and support of local authorities/agencies to ensure the smooth and timely site clearance are critical.
- The project affected households expect to be provided/updated with full project information from time to time or when there are any significant changes.
- In case of land acquisition temporarily affecting production and business activities of households, the project should have a reasonable support plan.

### ***About stakeholder engagement***

- A Steering Committee for the Project needs to be established soon in each city/province. The Steering Committee will coordinate the PMUW to ensure the timely implementation.
- Meaningful participation of the project's stakeholders should be sustained throughout project planning, design and construction, and operation.

### ***About income restoration programs***

- There are employment service centers at provincial level. The project-affected households can participate in linked vocational training courses and be given priority in finding job at local facilities if they meet the requirements.

### III. POLICY AND LEGAL REQUIREMENTS

25. This SEP has been developed in compliance with World Bank's Environmental and Social Framework (ESF), specified in the Environmental and Social Standard 10 (ESS10) and the regulations of the Government of Vietnamese (GOV) on stakeholder engagements.

#### 3.1. National Regulations

26. This SEP considers the existing institutional and regulatory framework within the context of the following main Government of Vietnam (GOV) legal instruments:
- The Constitution of the Socialist Republic of Viet Nam (2013), effective January 1, 2014.
  - The Law on Environmental Protection (No.55/2014/QH13) dated June 23, 2014 and Decree on Environmental Protection Planning, Strategic Environmental Assessment, Environmental Impact Assessment and Environmental Protection Plans (No. 18/2015/ND-CP) dated February 14, 2015 are key legal frameworks for environmental management in Vietnam. Law on Environmental Protection (LEP) provides statutory provisions on environmental protection activities; measures and resources used for the purpose of environmental protection; rights, powers, duties and obligations of regulatory bodies, agencies, organizations, households and individuals who are tasked with the environmental protection task. LEP is applicable to regulatory bodies, public agencies, organizations, family households and individuals within the territory of the Socialist Republic of Vietnam, including mainland, islands, territorial waters and airspace. LEP is on regulating strategic environmental assessment, environmental impact assessment and environmental protection commitment.
  - The Land Law 2013 implementing decrees (Nos.43/2014, 44/2014, 47/2014, 01/2017 and 104/2014) and circular 37/2014 provides a comprehensive framework for land acquisition and resettlement. At provincial level, the PPCs have issued decisions on compensation, assistance and resettlement when the State acquires land, based on the Land Law and implementing decrees.
  - The Law on Grievance No.02/2011/QH13 adopted November 11, 2011, and the Decree No.124/2020/ND-CP dated October 19, 2020 on guiding specific provisions of the Law on Grievance. The Law on Denouncement No.25/2018 adopted June 12, 2018 and the Decree No.31/2019/ND-CP dated April 10, 2019 on guiding specific provisions of the Law on Denouncement.
  - The Law on Reception of Citizens, 2013. The Law is stipulating responsibilities in receiving citizens, and the rights and obligations of complainers and denouncers.
  - Ordinance No. 34/2007/PL-UBTVQH11 on exercise of democracy in communes, wards and townships. This ordinance stipulates projects and information that have to be disclosed, discussed, decided and monitored by the people.

### 3.2. World Bank Requirements for Stakeholder Engagement and Information Disclosure (ESS10)

27. The World Bank's Environmental and Social Framework (ESF) includes Environmental and Social Standard (ESS) - "*Stakeholder Engagement and Information Disclosure*" (ESS10), which recognizes "*the importance of open and transparent engagement between the Borrower and project stakeholders as an essential element of good international practice*". ESS10 emphasizes that effective stakeholder engagement can significantly improve the environmental and social sustainability of projects, enhance project acceptance, and make a significant contribution to successful project design and implementation.
28. The main objectives of ESS10 are:
  - To establish a systematic approach to stakeholder engagement that will help Borrowers identify stakeholders and build and maintain a constructive relationship with them, in particular project-affected parties;
  - To assess the level of stakeholder interest and support for the project and to enable stakeholders' views to be taken into account in project design and environmental and social performance;
  - To promote and provide means for effective and inclusive engagement with project-affected parties throughout the project life cycle on issues that could potentially affect them;
  - To ensure that appropriate project information on environmental and social risks and impacts is disclosed to stakeholders in a timely, understandable, accessible and appropriate manner and format;
  - To provide project-affected parties with accessible and inclusive means to raise issues and grievances and allow Borrowers to respond to and manage such grievances.
29. **Scope of application.** ESS10 applies to all projects supported by the Bank through Investment Project Financing. For the purpose of this ESS, "stakeholder" refers to individuals or groups who: (a) are affected or likely to be affected by the project (project-affected parties); and (b) may have an interest in the project (other interested parties).
30. **Requirements.** The Bank standard on Stakeholder Engagement and Information Disclosure (ESS10) requires that the project implementing agency engages with stakeholders throughout the project life cycle, commencing such engagement as early as possible in the project development process and in a timeframe that enables meaningful consultations with stakeholders on project design. The nature, scope and frequency of stakeholder engagement will be proportionate to the nature and scale of the project and its potential risks and impacts. The project will engage in meaningful consultations with all stakeholders. It will provide stakeholders with timely, relevant, understandable and accessible information, and consult with them in a culturally appropriate manner, free of manipulation, interference, coercion, discrimination and intimidation. The project implementing agency will maintain and disclose as part of the environmental and social assessment, a documented record of stakeholder engagement, including a description of

the stakeholders consulted, a summary of the feedback received and a brief explanation of how the feedback was taken into account, or the reasons why it was not.

31. The ESS10 requires the project implementing agencies to develop a Stakeholder Engagement Plan (SEP) proportionate to the nature and scale of the project and its potential risks and impacts (paragraph 13 – ESS10). Stakeholders have to be identified and the SEP has to be disclosed for public review and comment as early as possible, before the project is appraised by the World Bank.
32. The ESS10 also requires the development and implementation of a grievance redress mechanism that allows project-affected parties and others to raise concerns and provide feedback related to the environmental and social performance of the project and to have those concerns addressed in a timely manner.

#### **IV. STAKEHOLDER IDENTIFICATION AND ANALYSIS**

33. Project stakeholders are persons or groups who are directly or indirectly affected by a project, as well as those who may have an interest in a project and/or the ability to influence its outcome, either positively or negatively.
34. To ensure the project's key stakeholders are appropriately identified for meaningful consultation, the identification of stakeholders is based on whether these stakeholders are a) affected (positively and adversely) by the project, and b) interested in the project investment and other relevant aspects. In addition, project stakeholders who are vulnerable individuals and groups, and as such may be affected disproportionately, and governmental agencies who are directly involved in project planning, implementation, coordination, monitoring (e.g. master planning, provision of technical input...) were also identified and invited to consultation meetings.
35. According to ESS10, the project stakeholders will comprise individuals, groups, organizations, and communities who:
  - (i) are affected or likely to be affected by the project positively or negatively (hereinafter referred to as '**affected parties**'), and
  - (ii) may have an interest in the project. Those stakeholders are not impacted by the project but who may be interested in the project because of its location, the sector involved or interested in its outcomes, as well as those who may have an influence in the project (hereinafter referred to as '**interested parties**').

##### **4.1. Affected Parties**

36. One of the primary goals of the SWLC Project is to identify stakeholders on which the project can have negative impact such as households or businesses who may be impacted by land acquisition, livelihoods, and business activities. However, the Project may influence the activities of various stakeholders in positive or negative ways. Thus, a list of key stakeholder groups can be identified as potentially affected parties. These should be engaged throughout the life of the Project and impacts on them should be monitored and mitigated. Project-affected parties includes those likely to be affected by the Project because of actual impacts or potential risks to their physical environment, health, security, cultural practices, well-being, or livelihoods. The following groups can be identified as potential project-affected stakeholders:

- **People who are physically or economically displaced by the project**
37. The main groups of project-affected parties in the stakeholder mapping are the physically or economically persons displaced by the Project, and persons who reside or have land and non-land assets in the Right of Way (ROW) of the proposed investments. The following parties are identified:
- (i) Local residents in the rural area
  - (ii) Enterprises and Individual doing business along the waterways
  - (iii) Smallholder farmers, agricultural workers, aquaculture households/workers, fishing communities along the waterways;
  - (iv) Public service utilities (tele-communication, electric power, water supply, wastewater, agricultural infrastructure);
  - (v) Women (including female workers in aquaculture farms/aquaculture households; female members of the affected households); and
  - (vi) Other vulnerable groups (disabled, poor/near poor, landless households, social policy households, ethnic minorities).

- **Communities in the vicinity of the project areas**
38. Local communities who are likely to be adversely exposed to temporary air pollution, waterways traffic difficulties, and other potential risks such as traffic safety (waterways and roads), gender-based violence, health risks, including risk of COVID-19 infection, and other negative social impacts as a result of labor influx. These are majorly similar to the above-identified parties.

**Project beneficiaries**

39. Project beneficiaries are large in number (they are positively affected by the project). These include:
- (a) *Direct beneficiaries*: Individuals/households/public and private sectors who use the canal /waterways (benefits include better transport flow thanks to reduced congestion, shorted distance, faster transportation, reduced accident risks, and fuel cost saving); and
  - (b) *Indirect beneficiaries*: Individuals/households/companies who can improve/expand business activities through improved waterway access to an alternative means of transportation which may be less costly (compared to road transportation); enjoy better flow of water for agricultural production (thanks to improved access to irrigation water); do fishing/aquaculture activities in or along both sides of the rivers; run river tourism activities (e.g. sight-seeing, restaurant, other recreational tourism activities).
40. The Table 3 below indicates potential project-affected parties of the project.

Table 3: Analysis of Affected Parties

Project-affected parties	Indicative description	Identified groups of project-affected parties	Relevance to the Project	Impacts	Engagement methods
<p><b>People who will be physically or economically displaced by the project</b></p>	<ul style="list-style-type: none"> <li>o Physically or economically persons displaced by the Project</li> <li>o People who reside or have land and non-land assets in the Right of Way (ROW) of the proposed investments</li> </ul>	<ul style="list-style-type: none"> <li>- Local residents in the rural area</li> <li>- Enterprises and Individual doing business along the waterways</li> <li>- Smallholder farmers, agricultural workers, aquaculture households/workers, fishing communities along the waterways;</li> <li>- Public service utilities (telecommunication, electric power, water supply, wastewater, agricultural infrastructure);</li> <li>- Women (including female workers in aquaculture farms/aquaculture households; female members of the affected households); and</li> <li>- Other vulnerable groups (disabled, poor/near poor, landless households, social policy households).</li> </ul>	<ul style="list-style-type: none"> <li>o The project will cause land acquisition and restrictions on land use, which may lead to physical displacement (relocation, loss of residential land or loss of shelter) and economic displacement (loss of productive land, assets on land or access to assets, leading to loss of income sources or other means of livelihood)</li> <li>o Potential Project Affected Persons (PAPs) shall be consulted using the plan outlined in this SEP. This will be done throughout the project cycle to ensure their views are incorporated in the RP and project design</li> </ul>	<ul style="list-style-type: none"> <li>o Negatively affected</li> <li>o Impact level: <b>Substantial</b></li> </ul>	<ul style="list-style-type: none"> <li>o PAPs shall be informed and consulted during all project implementation to ensure their views are incorporated in the RP and project design through public consultation and surveys</li> <li>o PAPs shall be consulted about their choices and options, particularly on relocation issues, restoration of livelihoods and GRM, through public meetings and focus-groups discussions</li> </ul>

Project-affected parties	Indicative description	Identified groups of project-affected parties	Relevance to the Project	Impacts	Engagement methods
<p><b>Communities in the vicinity of the project areas</b></p>	<ul style="list-style-type: none"> <li>o Local communities who are likely to be adversely exposed to temporary air/noise pollution, waterways traffic difficulties, and other potential risks such as traffic safety, gender-based violence, health risks, including risk of contracting COVID-19 and other negative social impacts as a result of labour influx.</li> </ul>	<ul style="list-style-type: none"> <li>o Residents living in and/or around the proposed project areas</li> <li>o Agricultural workers</li> <li>o Workers of the contractors</li> <li>o Women</li> <li>o Other vulnerable groups (disabled, poor/near poor, landless households, social policy households)</li> </ul>	<ul style="list-style-type: none"> <li>o The project is likely to cause adverse environmental and social impacts on the local community in the vicinity of project areas</li> </ul>	<ul style="list-style-type: none"> <li>o Negatively affected</li> <li>o Impact Level: <b>Low to Moderate</b></li> </ul>	<ul style="list-style-type: none"> <li>o Should be informed on the progress of the project, schedule of civil works, mitigations measures and GRM through public meetings and information posted at local levels and conduct the Focus Group Discussions (FGDs) with women and vulnerable groups</li> </ul>
<p><b>Project beneficiaries</b></p>	<ul style="list-style-type: none"> <li>o Those who involve in the execution/implementation of the Project</li> <li>o Relevant province/city's agencies who are responsible for technical reviewing,</li> </ul>	<ul style="list-style-type: none"> <li>o Local residents</li> <li>o Enterprises, Business households</li> <li>o Public service utilities (telecommunication, power, water supply, wastewater treatment, traffic management)</li> </ul>	<ul style="list-style-type: none"> <li>o Legislative and executive/ implementing authorities. Supervision and monitoring</li> <li>o The project will have positive environmental and social benefits in terms of reducing the water-borne diseases and water pollution, preventing local flooding, and improving city road transportation. The</li> </ul>	<ul style="list-style-type: none"> <li>o Positively affected</li> <li>o Impact level: <b>Moderate</b></li> </ul>	<ul style="list-style-type: none"> <li>o Should be informed on the progress of the project, schedule of civil works through meetings and progress reports</li> <li>o Should be informed on the progress of the project and schedule of civil works through</li> </ul>

Project-affected parties	Indicative description	Identified groups of project-affected parties	Relevance to the Project	Impacts	Engagement methods
	<p>procedure reviewing and approval</p> <ul style="list-style-type: none"> <li>○ Local administrative authorities at all levels</li> <li>○ Local community residing within and/or around the project areas.</li> <li>○ People who will benefit from project related employment or business opportunities.</li> <li>○ Disadvantaged/ vulnerable groups</li> <li>○ Utilities providing urban public services.</li> </ul>	<ul style="list-style-type: none"> <li>○ Non-skilled workers who will be engaged by the project</li> </ul>	<p>expansion of the wastewater collection system to collect more wastewater for treatment will prevent a large pollution load from reaching the city's waterways. In addition, dredging and general clean-up, will significantly improve surface water quality, which will benefit aquatic species and human health</p> <ul style="list-style-type: none"> <li>○ The project is likely to cause adverse environmental and social impacts on the local community in the project areas</li> <li>○ Project beneficiaries as the new upgrading road provide them better access to business opportunities, including increasing value of their land following the road improvement</li> </ul>		<p>public meetings and information posted at local levels</p> <ul style="list-style-type: none"> <li>○ Should be informed on the works opportunities under the project through information posted at local levels</li> </ul>

## 4.2. Interested Parties

41. The term “other interested parties” refers to individuals, groups, or organization with an interest in the Project, due to either the project location, its characteristics, its impacts, or matters related to public interest. For example, these parties may include government officials, the private sector, the scientific community, academics, mass organizations, other civil society organizations, and cultural groups. The followings are listed as project interested parties:

- **Central Government and line-ministries** include the Office of Government and interest line-ministries, those are playing key role as their functions and responsibilities and sectoral management.
- **Executing/implementing agencies, relevant province/city’s agencies, and administrative authorities at all levels:** These groups include PMUW, PPCs Provincial Departments (DPI, DOF, DOC, DONRE, DOT, DOLISA, DARD), Land Fun Development Centres, C/WCPCs in the project area and public service utilities (such as telecommunication, electric power, water supply, wastewater, traffic management).
- **Socio-political organizations** (mass organizations) include 6 organizations at all levels such as Women’s Union, Youth Union, Fatherland Front, Farmers Association, Veterans Associations, and Labour Union.
- **Non-Government Organizations (NGOs).** According to the survey in December
- 2021, there no NGO who is currently operating programs/projects in the project area. During project implementation, if there are any NGOs interested in the project, this SEP will be updated to reflect their concerns, if any.
- **Service providers** include individuals and companies who are interested in the construction the waterways of the project and its benefits following the waterways completion.
- **Citizen groups benefit** from additional income thanks to providing services to construction workers (e.g. foods and other essential supplies...). Those who may become involved in construction operation as seasonal workers are also those who may be interested in the project, and those who are interested in supervision of the construction of the waterways
- **Public service utilities** (tele-communication, electric power, water supply, wastewater treatment, waterways traffic management).
- **Mass media** include local, regional and national news agency (TV, broadcasting, online newspaper) who may be interested in project activities, project progress and impact on local development.

42. The Table 4 shows the preliminary findings of project stakeholders by categories.

Table 4: Analysis of Other Interested Parties

Stakeholder	Interests	Indicative List	Engagement methods	Degree of Influence
<b>Governmental agencies</b>				
National government and line ministries	<ul style="list-style-type: none"> <li>○ Governmental agencies are key stakeholders of the Project who need to be informed about project implementation, project DPO, and outputs</li> <li>○ Line ministries need to ensure project compliance with national legislation and collaboration with relevant national plans/programs</li> <li>○ Line ministries need to be involved in the review, approval, and guidance on technical, fiduciary, economic, and environmental and social aspects of their interests and competency/responsibility and areas of management</li> </ul>	<ul style="list-style-type: none"> <li>○ Office of Government (OOG)</li> <li>○ Ministry of Planning and Investment (MPI)</li> <li>○ Ministry of Finance (MOF)</li> <li>○ Ministry of Construction (MOC)</li> <li>○ Ministry of Transport (MOT)</li> <li>○ Ministry of Agriculture and Rural Development (MARD)</li> <li>○ Ministry of Natural Resources and Environment (MONRE)</li> <li>○ Ministry of Information and Communication (MOIC)</li> <li>○ Ministry of Labour, Invalid and Social Affairs (MOLISA)</li> <li>○ MOT/PMUW</li> </ul>	<ul style="list-style-type: none"> <li>○ Comments on the proposals and design</li> <li>○ Advise the Prime Minister in accordance with functions and duties</li> <li>○ Issue dispatch, relevant decisions to accelerate the project process;</li> <li>○ Appraise and Approve related project documents, budget, design.</li> </ul>	<b>High</b>
PPCs in the Project area	<ul style="list-style-type: none"> <li>○ PPCs are the highest authority to promulgate regulations, solve issues concerning guidelines and policies, and give instructions for the Project implementation in each province and are the links between the central government and line-ministries in the Project implementation. The relevant provincial departments are also interested in the Project at their sectoral responsibility</li> </ul>	<ul style="list-style-type: none"> <li>○ PPCs</li> <li>○ DOF</li> <li>○ DOC</li> <li>○ DOT</li> <li>○ DARD</li> <li>○ DONRE</li> <li>○ DOLISA</li> <li>○ DOIC</li> </ul>	<ul style="list-style-type: none"> <li>○ Review/comments on the proposals and design</li> <li>○ Provide advice/directions in accordance with functions and duties</li> <li>○ Issue dispatch, relevant decisions to accelerate the project process.</li> </ul>	<b>High</b>

Stakeholder	Interests	Indicative List	Engagement methods	Degree of Influence
	<ul style="list-style-type: none"> <li>o The PPCs and its subordinate departments need to be involved in the review, approval, and guidance on technical, fiduciary, economic, and environmental and social aspects of their interests and competency/responsibility and areas of management</li> </ul>	<ul style="list-style-type: none"> <li>o DOCST (Department of Culture Sports and Tourism)</li> <li>o DOH (Department of Health)</li> <li>o DOLISA (Department of Labour, Invalids and Social Affairs)</li> </ul>	<ul style="list-style-type: none"> <li>o Appraise and approved RPs, EMDPs and other project related documents.</li> <li>o Provide information to stakeholders in seminars, conferences and during public consultation</li> </ul>	
District PCs and Districts' Divisions (DONRE, DLFDC) and W/CPCs	<ul style="list-style-type: none"> <li>o DPCs, Districts' Divisions, and C/WPCs play a very important role in coordination with PMUW in the implementation of compensation activities for the affected households and monitor the project implementation process in the districts to ensure compliance with the Donor and government's regulations on environmental and social safeguard during project implementation.</li> </ul>	<ul style="list-style-type: none"> <li>o DPCs, District resettlement committees (DRC), Land fund development Centres (LFDC)</li> <li>o Wards/Communes People's Committees in the project areas</li> <li>o Districts' Divisions (DONRE, DLFDC)</li> </ul>	<ul style="list-style-type: none"> <li>o Provide information to stakeholders in seminars, conferences and during public consultation</li> <li>o Provide information to PAPs on resettlement implementation and GRM</li> <li>o Participate in monitoring, evaluation</li> </ul>	<b>Moderate</b>
Civil Society				
Mass organizations	<ul style="list-style-type: none"> <li>o Mass organizations operate at central/national down to provincial, city, and commune/ward levels. They main role is mobilization, mediating problems and dissemination of information through their members</li> <li>o These organizations get feedback from the population and can channel complaints and</li> </ul>	<ul style="list-style-type: none"> <li>o Women's Union</li> <li>o Farmer's Association</li> <li>o Youth Union</li> <li>o Fatherland Front</li> <li>o Labour Union</li> <li>o Fatherland Front</li> </ul>	<ul style="list-style-type: none"> <li>o Intermediaries for informing local people about the planned activities, for information disclosure and to transmit concerns of the community to PMU, PPC, CPC</li> <li>o Participate in project communications</li> </ul>	<b>Moderate</b>

Stakeholder	Interests	Indicative List	Engagement methods	Degree of Influence
	concerns regarding any impact of the Project on the community		<ul style="list-style-type: none"> <li>○ Support women and vulnerable HHs</li> <li>○ Mobilize community participation in the project</li> <li>○ Receive comments from local community and deliver to stakeholders</li> </ul>	
Citizen groups	<ul style="list-style-type: none"> <li>○ Citizen groups can be involved in the preparation and monitoring of activities such as resettlement or environment</li> </ul>	<ul style="list-style-type: none"> <li>○ Citizen groups in the city/province</li> </ul>	<ul style="list-style-type: none"> <li>○ Participate in project monitoring</li> </ul>	<b>Low to Moderate</b>
<b>Other key interested parties</b>				
Utilities	<ul style="list-style-type: none"> <li>○ Companies in charge of public utilities in the City/Province who has a direct interest in the project</li> </ul>	<ul style="list-style-type: none"> <li>○ Water Supply Company</li> <li>○ Drainage and Wastewater Treatment Company</li> <li>○ Power Supply Company</li> <li>○ Public Utilities Company; etc.</li> </ul>	<ul style="list-style-type: none"> <li>○ Comment on design options</li> <li>○ Provide technical guidance during consultation activities</li> <li>○ Supervise construction activities</li> </ul>	<b>Low</b>
NGOs	<ul style="list-style-type: none"> <li>○ Not available</li> </ul>	<ul style="list-style-type: none"> <li>○ Not available</li> </ul>		Not available
Mass media	<ul style="list-style-type: none"> <li>○ Provide project related information to general public</li> <li>○ Local, regional and national news agency who interested in project activities, project progress and impact on local development</li> </ul>	<ul style="list-style-type: none"> <li>○ TV</li> <li>○ Broadcasting</li> <li>○ Online newspaper; etc.</li> </ul>	<ul style="list-style-type: none"> <li>○ Participate in project communications</li> </ul>	<b>Moderate</b>

### **4.3. Disadvantaged/ Vulnerable Individuals and Groups**

43. Among individuals/ households potentially adversely affected by the project, a fraction of it are individuals/ households categorized as disadvantaged/ vulnerable groups. They peoples may be affected as a result of land acquisition, which affect their assets and income generation activities. Some are temporarily affected during construction, such as businesses, transport, and access to their clients. This group is expected to be affected disproportionately – typically because of their low socioeconomic profile. Because of that, their voices/ feedback may not be considered seriously in formal decision-making process or incorporated into project design.
44. Identification of vulnerable individuals/ households is an important step to effectively engaging them in relevant consultation meetings throughout project cycle. This enables PMUW to work out timely measures to avoid adverse impact for them or minimize or mitigate such impact if avoidance is not possible. Inclusion of disadvantaged/vulnerable individuals/ households at the early stage of project planning can also contribute to designing mitigations measures to manage potential risks and impacts, as well as exploring opportunities that assist them in restoring and improve their livelihoods, including benefiting from other project’s development opportunities.
45. Under the SWLC Project, disadvantaged/ vulnerable groups include:
  - Poor or near-poor families;
  - Ethnic minority households;
  - Female-headed households with dependent with disabilities;
  - Elderlies in especially difficult circumstances;
  - Individuals/ households financially supported under social policy support initiative (e.g. injured ex-soldier, dead solder, heroic mothers...);
  - Landless, squatters;
  - Any potential subgroup(s) that may be identified during project preparation and implementation.
46. During project preparation, identified vulnerable groups have been invited to consultation to solicit their feedbacks on project impact and risks, and their proposed mitigation measures. During project implementation, based on the nature and the magnitude of impact, consultation will be continued to solicit their opinion, particularly prior to construction when project impact become known and the affected vulnerable have sufficient time to better understand the project impact and base on that provide meaningful feedback.

Table 5: List of Disadvantaged/Vulnerable Individuals/Groups

Disadvantaged/vulnerable groups	Potential barriers to limit effective stakeholder engagement	Specific needs to address the barrier
<ul style="list-style-type: none"> <li>○ Elderly people in especially difficult circumstance (e.g. living on their own or having limited day-to-day assistance) <i>(number of the affected households will be accurately identified during the DMS process)</i></li> <li>○ Elderly people who are covered under government's support program as they lost their child/children as soldier during the war <i>(number of the affected households will be accurately identified during the DMS process)</i></li> <li>○ People with disabilities (such as amputee ex-soldier, those who have including those who have long-term or short-term physical, mental, intellectual or sensory impairments <i>(number of the affected households will be accurately identified during the DMS process)</i>)</li> </ul>	<ul style="list-style-type: none"> <li>○ Difficulty in moving out of their residence</li> <li>○ Communication difficulties and hearing loss</li> <li>○ Cannot or having difficulties expressing their ideas</li> <li>○ Physical disabilities preventing mobility</li> </ul>	<ul style="list-style-type: none"> <li>○ Meeting to be held at their house. Where needed, further assistance should sought (such as from caregiver, use of audio-visual aids...) for affected people's understand and meaningful feedback</li> <li>○ Blind language, braille information</li> <li>○ Accessible consultations venues</li> </ul>
<ul style="list-style-type: none"> <li>○ Poor <i>(number of the affected households will be accurately identified during the DMS process)</i> and near-poor households (with certificates of poor or near-poor households)</li> <li>○ Those who are considered by community member as poor households but do not have certificates of poor household, or used to have such certificate</li> </ul>	<ul style="list-style-type: none"> <li>○ Poverty</li> <li>○ Absence of suitable family member to participate</li> <li>○ Lack of confidence expressing their ideas in public meetings</li> <li>○ Lack of interest</li> <li>○ Lack of time</li> </ul>	<ul style="list-style-type: none"> <li>○ Meetings organized in small groups at places conveniently accessible and comfortable for them (e.g. community house, village-level meeting houses, or at their own house)</li> </ul>
<ul style="list-style-type: none"> <li>○ Female headed households with dependents <i>(number of the affected households will be accurately identified during the DMS process)</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Lack of confidence</li> <li>○ Bias perception</li> <li>○ Maybe busy with housework, including childcare, and/or involved in daily income generation activities</li> </ul>	<ul style="list-style-type: none"> <li>○ Meeting time convenient to them (not affecting their daily work time)</li> <li>○ Individual meeting may be required with female facilitator (for women-headed households and single mothers)</li> </ul>

Table 6: Limitations of Disadvantaged/Vulnerable Individuals/Groups

Disadvantaged/Vulnerable Individuals/Groups	Limitations	Proposed way to overcome
<ul style="list-style-type: none"> <li>- Elderly people in especially difficult circumstance (e.g. living on their own or having limited day-to-day assistance)</li> <li>- Elderly people who are covered under government's support program as they lost their child/children as soldier during the war</li> <li>- People with disabilities (such as injured ex-soldier, those who have long-term or short-term physical, mental, intellectual or sensory impairments)</li> </ul>	<ul style="list-style-type: none"> <li>- Difficulty in moving out of their residence</li> <li>- Seeing and hearing difficulties</li> <li>- Difficulties expressing their ideas</li> </ul>	<ul style="list-style-type: none"> <li>- Meeting to be held at their house. Where needed, further assistance should be sought (such as from caregiver, use of audio-visual aids...) to allow affected people to understand project information and provide meaningful feedback.</li> </ul>
<ul style="list-style-type: none"> <li>- Poor and near-poor households (with certificates of poor or near-poor households)</li> <li>- Those who are considered by community member as poor households but do not have certificates of poor households, or used to have such poor household certificates</li> <li>- Poor female-headed households</li> <li>- Single mothers with children</li> </ul>	<ul style="list-style-type: none"> <li>- Maybe busy with house works, and/or other activities, including childcare, engaged in income generation activities</li> <li>- Lack of confidence to express their ideas in public meetings</li> <li>-</li> </ul>	<ul style="list-style-type: none"> <li>- Meetings organized in small groups at places conveniently accessible and comfortable for them (e.g. community house, village-level meeting houses, or at their own house).</li> <li>- Meeting time convenient to them (not affecting their daily work time)</li> <li>- Individual meeting may be required with female facilitator (for women-headed households and single mothers)</li> </ul>

#### 4.4. Analysis of Stakeholders

47. There are a wide range of project stakeholders that are affected by and are interested in the project implementation. Different stakeholders have different level of interest and influence on the project design and implementation. Therefore, it is important to understand a) the level of interest of each stakeholder as to project's investment activities, b) the impact magnitude of project on them, particularly those adversely affected, and c) extent to which the stakeholder influence project design, as well as implementation process and outcome. Under this project, stakeholders highly relevant the project preparation and implementation include governmental agencies and the community at large. These stakeholders are affected by the project and at the same time can influence project design and implementation – to various extents. Their interest in the project investments also vary at different stages of project cycle, and as such exerting different levels of influence on project design and implementation process.

48. Based on the roles, responsibilities, and the potential interest of the key stakeholders obtained from initial consultations with them, the table below summarizes the estimated static levels of Interest, Impact, and Influence of each stakeholder group. It is noted that these levels of interest, impact, and influence may change over the course of the project. However, the current dynamics of stakeholders' interest, impact, and influence, as described in this table, are useful to informing how each stakeholder should be engaged – in a meaningful manner, to ensure they contribute to the overall environmental and social performance process, and outcome.
49. Table 6 below will provide detailed information about level of Interest, impacts and Influence for each Key Group of Stakeholders. Of which: (i) "**impact**" means the project's impact (both positive and negative impacts) to each key group of the stakeholder during all all phases of the project's implementation; and (ii) "**influence**" means people's influence for the project implementation. Level of "**impact**" and "**influence**" will be assessed on 3 different levels: **High**; **Moderate**; and **Low**.

Table 7: Level of Interest, Impacts and Influence for Each Key Group of Stakeholders

Parties	Key stakeholders	Potential involvements related to project	Interest	Impact	Influence
			High/Moderate /Low		
Affected parties (Communities)	<b>COMMUNITY/GROUP LEVELS</b>				
	<i>Positively affected (Beneficiaries)</i>				
	▪ Local residents in project area and beyond	<ul style="list-style-type: none"> <li>▪ Participate in project’s consultation/ meetings</li> <li>▪ Provide questions/comments/suggestions</li> <li>▪ Participate in household’s survey/ beneficiary satisfaction survey</li> </ul>	High	High	Low
	▪ Individual users of rivers and riverside roads		High	Moderate	Low
	▪ Farmers who benefit from river water (irrigation)		Moderate	Moderate	Low
	▪ Public and private users (companies, organizations...)		High	Moderate	Low
	<i>Adversely affected</i>				
	▪ Affected individuals/ households (e.g. farming, fishing/aquaculture/ river tourism activities)	<ul style="list-style-type: none"> <li>▪ Attend consultation, provide feedback on mitigation measures, compensation package, financial assistance and support, livelihoods restoration measures and support</li> <li>▪ Attend consultation, provide feedback re compensation</li> <li>▪ Participate in household survey, focus group discussions</li> </ul>	High	High	Moderate
	▪ Severely affected individuals/ households (incl. loss of more than 20% of productive land and/or physically relocated)		High	High	Moderate
	▪ Temporarily affected individuals/ households (during construction)		High	Moderate	Moderate
	▪ Vulnerable/ disadvantaged individuals and households		High	High	Low
	▪ Landless, informal land occupant, squatters...		High	High	Low
	▪ Communities adjacent to civil works		High	High	Moderate

Parties	Key stakeholders	Potential involvements related to project	Interest	Impact	Influence
			High/Moderate /Low		
	<ul style="list-style-type: none"> <li>Companies/ organizations whose land are acquired, or temporarily affected during construction</li> </ul>	<ul style="list-style-type: none"> <li>Attend consultation, provide feedback re compensation</li> </ul>	High	High	Moderate
Interested Parties	<b>PUBLIC SECTOR</b>				
	<i>Central-level authorities</i>				
	<ul style="list-style-type: none"> <li>Ministry of Planning and Investment (MPI)</li> </ul>	<ul style="list-style-type: none"> <li>Provide comments/suggestions on project content, budget allocation, capacity assessment and development, arrange short-term and annual capital plans</li> <li>Submit to Prime Minister for approval of project proposal, project operational procedures for loan agreements</li> </ul>	High	Low	High
	<ul style="list-style-type: none"> <li>Ministry of Transport (MOT)</li> </ul>	<ul style="list-style-type: none"> <li>Act as project management agency/ project owner</li> <li>Prepare project proposal, pre-feasibility studies, approval of feasibility studies</li> <li>Approve bidding procedures, contractor selection results, technical design, cost estimate and contract content.</li> <li>Monitor project execution</li> </ul>	High	High	High
	<ul style="list-style-type: none"> <li>Project Management Unit - Waterways</li> </ul>	<p>As main project implementation agency at central level, PMU-W responsible for:</p> <ul style="list-style-type: none"> <li>Overall project implementation and coordination.</li> <li>Bidding procedures &amp; consultant selection for Component A</li> <li>Reports to MOT</li> </ul>	H	H	H

Parties	Key stakeholders	Potential involvements related to project	Interest	Impact	Influence	
			High/Moderate /Low			
		<ul style="list-style-type: none"> <li>▪ Implement site-specific RPs, EMDPs and EMPs</li> <li>▪ Project level financial control and oversight</li> <li>▪ Liaison with project owner (MOT) and donor (WB)</li> </ul>				
	<ul style="list-style-type: none"> <li>▪ Ministry of Natural Resources and Environment (MONRE)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Participate in the project preparation process.</li> <li>▪ Approve EIA Report as a basis for approving the investment project.</li> </ul>	High	Low	Low	
	<ul style="list-style-type: none"> <li>▪ Ministry of Finance (MOF)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Provide comments for financial mechanism for project, consider the possibility of borrowing loan.</li> <li>▪ Presiding process of project negotiation and signing agreements with donors</li> </ul>	High	Low	Low	
	<ul style="list-style-type: none"> <li>▪ Ministry of Construction (MOC)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Participate in the preparation of the project</li> </ul>	Low	Low	Low	
	<ul style="list-style-type: none"> <li>▪ Ministry of Agriculture and Rural Development (MARD)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Participate in the preparation of the project</li> <li>▪ Provide opinions on technical specifications and project location within the scope of management of the Ministry.</li> </ul>	High	Low	Low	
	<b><i>Local authorities (provincial, district, commune)</i></b>					
	<ul style="list-style-type: none"> <li>▪ Provincial /City People's Committee</li> </ul>	<ul style="list-style-type: none"> <li>▪ As the investor of a project component on land acquisition, responsible for performing land acquisition for project civil works</li> </ul>	High	Low	High	
	<ul style="list-style-type: none"> <li>▪ Provincial Department of Transport</li> </ul>	<ul style="list-style-type: none"> <li>▪ Provide comment on the contents and technical parameters of the project within province's management.</li> </ul>	High	Moderate	High	
	<ul style="list-style-type: none"> <li>▪ Provincial Department of Natural Resources and Environment</li> </ul>	<ul style="list-style-type: none"> <li>▪ Advise provincial People's Committee on the contents related to land acquisition</li> </ul>	High	Moderate	High	

Parties	Key stakeholders	Potential involvements related to project	Interest	Impact	Influence
			High/Moderate /Low		
	<ul style="list-style-type: none"> <li>Provincial Department of Finance</li> </ul>	<ul style="list-style-type: none"> <li>Advise provincial People's Committee on the compensation prices and contents related to land acquisition under the project</li> </ul>	High	Moderate	High
	<ul style="list-style-type: none"> <li>Provincial Department of Planning and Investment</li> </ul>	<ul style="list-style-type: none"> <li>Advise provincial People's Committee on land acquisition under the project</li> </ul>	High	Moderate	Moderate
	<ul style="list-style-type: none"> <li>Provincial Department of Construction</li> </ul>	<ul style="list-style-type: none"> <li>Advise provincial People's Committee on the technical contents of the land acquisition and construction permit</li> </ul>	High	Moderate	High
	<ul style="list-style-type: none"> <li>Provincial Department of Agricultural and Rural Development</li> </ul>	<ul style="list-style-type: none"> <li>Advise provincial People's Committee on the technical contents of the project in site clearance</li> </ul>	High	Moderate	High
	<ul style="list-style-type: none"> <li>Provincial Department of Police</li> </ul>	<ul style="list-style-type: none"> <li>Advocate and mediate arising issues</li> </ul>	Moderate	Low	Low
	<ul style="list-style-type: none"> <li>Provincial Mass organizations</li> </ul>	<ul style="list-style-type: none"> <li>Contribute ideas to project content during public consultation</li> </ul>	Moderate	Low	Low
	<ul style="list-style-type: none"> <li>District People's Committee</li> </ul>	<ul style="list-style-type: none"> <li>Direct and oversee the implementation of land acquisition under project</li> <li>Monitor project execution</li> </ul>	High	High	High
	<ul style="list-style-type: none"> <li>District Land Fund Development Centers</li> </ul>	<ul style="list-style-type: none"> <li>As a contractor for the provincial Investment Project Management Board, implement all tasks related to public meetings/consultation, measurement survey, compensation, support and resettlement during project implementation</li> </ul>	High	Low	High
	<ul style="list-style-type: none"> <li>District Department of Natural Resources and Environment</li> </ul>	<ul style="list-style-type: none"> <li>Participate in the Project's Compensation and Resettlement Council.</li> <li>Advise the District People's Committee on the contents of site clearance work of the project</li> </ul>	High	Low	High

Parties	Key stakeholders	Potential involvements related to project	Interest	Impact	Influence	
			High/Moderate /Low			
	<ul style="list-style-type: none"> <li>Commune/Ward People's Committee</li> </ul>	<ul style="list-style-type: none"> <li>Provide variable information to PAPs about the purpose of land acquisition and project policies on compensation, support and resettlement.</li> <li>Coordinate with the Investor to pay compensation, support and resettlement and ensure the best conditions for site clearance for the project.</li> <li>Community supervision during project implementation</li> </ul>	High	Low	High	
	<ul style="list-style-type: none"> <li>Commune/Ward Police</li> </ul>	<ul style="list-style-type: none"> <li>Advocate and mediate arising issues</li> </ul>	High	Low	Low	
	<ul style="list-style-type: none"> <li>District-level mass organizations</li> </ul>	<ul style="list-style-type: none"> <li>Participate in consultation process</li> </ul>	Moderate	Low	Low	
	<ul style="list-style-type: none"> <li>Community organizations</li> </ul>	<ul style="list-style-type: none"> <li>Participate in consultation process</li> </ul>	Moderate	Low	Low	
	<b>PRIVATE SECTOR/ NON - GOVERNMENTAL</b>					
	<ul style="list-style-type: none"> <li>Non-governmental organizations</li> </ul>	<ul style="list-style-type: none"> <li>Provide comments/advice to the PMU-W on community engagement/ participation/development support for vulnerable groups</li> </ul>	Moderate	Low	Low	
	<ul style="list-style-type: none"> <li>Private sector (companies, corporations)</li> </ul>	<ul style="list-style-type: none"> <li>Provide project-related information to the public</li> </ul>	Low	Low	Low	
	<ul style="list-style-type: none"> <li>Public utilities</li> </ul>	<ul style="list-style-type: none"> <li>Attend consultation, explore investment opportunities (lighting, water supply, electricity connection...)</li> </ul>	High	Low	High	
	<ul style="list-style-type: none"> <li>Academia (universities, research centers, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Do researches, advise on technical issues related to environment, social, technical designs, surveys</li> </ul>	Moderate	Low	High	
	<ul style="list-style-type: none"> <li>Mass media</li> </ul>	<ul style="list-style-type: none"> <li>Disseminate project related information to the general public</li> </ul>	High	Low	Moderate	

Parties	Key stakeholders	Potential involvements related to project	Interest	Impact	Influence
			High/Moderate /Low		
	<ul style="list-style-type: none"> <li>GBV service providers</li> </ul>	<ul style="list-style-type: none"> <li>Advise the project on specific GBV situation, GBV related services (counselling, shelters, first-aid...) available at provincial level on GBV issues</li> <li>Provide GBV support in emergencies for GBV survivors</li> </ul>	High	Low	Moderate
	<ul style="list-style-type: none"> <li>Religious groups (e.g. Buddhist monks in Khmer communities...)</li> </ul>	<ul style="list-style-type: none"> <li>Attend public consultation, advise good practice for consultation with religious affected individuals/ households</li> </ul>	Moderate	Low	High
	<ul style="list-style-type: none"> <li>Local residents</li> </ul>	<ul style="list-style-type: none"> <li>Participate in community consultation, project planning, implementation, project survey, participatory monitoring</li> </ul>	Moderate	Low	Low

#### 4.5. Summary of Project Stakeholder Needs

50. **Different groups of stakeholders prefer different ways of communication to notify them of project's consultation sessions and enhance consultation effectiveness and outcome.**

For instance, electronic mails, telephone, face-to-face meeting, etc., could be used when consulting with representatives of local governments because these channels are official and are daily used for them. However, for community people, communication with them is typically through courier at village level, direct home visit, and phone calls. For vulnerable individual and household who may not have phone access and may not be at home all the time, home visit and direct letter is more feasible. In the current situation of emerging COVID-19 waves, social gatherings for usual face-to-face consultation may be not possible at certain time during project cycle. Identification of other methods to maintain communication and consultation with stakeholders, particularly vulnerable group, is essential. The **Table 8** below describes the communication needs of key stakeholders under the SWLC Project.

Table 8: Communication Needs of Key Stakeholder Groups

Key Groups of Stakeholders	Key characteristics	Language needs	Preferred notification means	Specific Needs (Accessibility, audio-visual aid, meeting time, venue)
<b>1. AFFECTED GROUPS</b>				
<b>1.1 BENEFICIARY GROUP</b>				
<ul style="list-style-type: none"> <li>▪ Individuals/households who use the canal</li> <li>▪ Individuals/households who can improve business activities through improved waterway access</li> <li>▪ Individuals/households who run river tourism activities</li> <li>▪ Individuals/households who are involved in fishing/ aquaculture activities</li> </ul>	<ul style="list-style-type: none"> <li>▪ Project overview (goal, activities, potential benefits)</li> <li>▪ Potential key ES risks and impacts</li> <li>▪ Proposed ES management strategy (including alternative project design, potential measures to avoid adverse impact, or minimize if unavoidable)</li> <li>▪ Ways to enhance project development effectiveness</li> <li>▪ General approach taken to ensure poor and EM people are included in meaningful consultation during project preparation and implementation</li> <li>▪ Resettlement &amp; compensation policies</li> <li>▪ Livelihood restoration program for severely affected individuals/households</li> <li>▪ Occasional job opportunities</li> </ul>	<ul style="list-style-type: none"> <li>▪ Ethnic languages for EM peoples</li> <li>▪ Vietnamese for Kinh group</li> </ul>	<ul style="list-style-type: none"> <li>▪ Letter</li> </ul> <p><b>Under COVID restriction:</b></p> <ul style="list-style-type: none"> <li>▪ Public loudspeaker</li> <li>▪ Project webpage, social media</li> <li>▪ TV/radio</li> <li>▪ Other means: Email, phone call, SMS, zalo, facebook, etc.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Public meetings organized at places conveniently accessible (e.g. office of communal People’s Committee, community house, village-level meeting hall..).</li> <li>▪ Meeting time convenient and avoid work time. For instance, meetings with farmers should be during low season (not at harvest time).</li> </ul>

Key Groups of Stakeholders	Key characteristics	Language needs	Preferred notification means	Specific Needs (Accessibility, audio-visual aid, meeting time, venue)
	<ul style="list-style-type: none"> <li>▪ Grievance redress mechanisms</li> <li>▪ Key project implementing agency (PMU at provincial and central levels)</li> </ul>			
<ul style="list-style-type: none"> <li>▪ Private and public sector (including companies who enjoy better flow of water for agricultural production (thanks to improved access to irrigation water)).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Project overview (goal, activities, potential benefits)</li> <li>▪ Potential key ES risks and impacts</li> <li>▪ Proposed ES management strategy (including alternative project design, potential measures to avoid adverse impact, or minimize if unavoidable)</li> <li>▪ Ways to enhance project development effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>▪ Vietnamese for Kinh group, ethnic languages for EM peoples</li> </ul>	<ul style="list-style-type: none"> <li>▪ Letter, email</li> </ul> <p><b>Under COVID restriction:</b></p> <ul style="list-style-type: none"> <li>▪ Project webpage, social media</li> <li>▪ Scheduled online meetings (Zoom, Zalo, ...) (for groups)</li> <li>▪ Social media (project dedicated Facebook, Zalo...)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Meetings organized at places conveniently accessible.</li> <li>▪ Meeting with workers/officials could be over weekends.</li> </ul>
<b>1.2 ADVERSELY AFFECTED GROUP</b>				
<b>DISADVANTAGED/ VULNERABLE GROUPS</b>	<p><b>Elderlies/ Disabilities</b></p> <ul style="list-style-type: none"> <li>▪ Elderly people in especially difficult circumstance (e.g. living on their own or having limited or no daily care)</li> <li>▪ Elderly people who are covered under government's support program as they lost</li> </ul>	<ul style="list-style-type: none"> <li>▪ Ethnic languages for EM peoples</li> <li>▪ Vietnamese for Kinh group</li> </ul>	<p><b><u>INTERACTIVE PLATFORMS</u></b></p> <p><b><u>Under no COVID restrictions</u></b></p> <ul style="list-style-type: none"> <li>▪ Face-to-face (community meetings, focus group discussions, consultation with key informants)</li> </ul> <p><b><u>Under COVID restrictions</u></b></p>	<ul style="list-style-type: none"> <li>▪ Meeting to be held at their house.</li> <li>▪ Where needed, further assistance should be sought (such as from caregiver, use of visual aids...) for affected people's understand and meaningful feedback</li> </ul>

Key Groups of Stakeholders	Key characteristics	Language needs	Preferred notification means	Specific Needs (Accessibility, audio-visual aid, meeting time, venue)
	<p>their child/children as soldier during the war</p> <ul style="list-style-type: none"> <li>▪ People with disabilities (such as amputee ex-soldier, those who have including those who have long-term or short-term physical, mental, intellectual or sensory impairments)</li> </ul>		<ul style="list-style-type: none"> <li>▪ Online scheduled meetings (Zoom, Zalo, ...) (for groups)</li> <li>▪ Recorded information session (posted on project dedicated online platforms) for people not attending scheduled meetings. Comment box function is built to collect written/ audio comments, questions, telephone numbers (for call back and being invited to specific groups) for follow-up consultations.</li> <li>▪ Dedicated Facebook, Zalo, landing webpage to share project information, collect local comments, and provide response summary. QR codes are used to enable convenient, quick access by anyone</li> <li>▪ Telephone calls (for individuals)</li> <li>▪ Where small group of 5 people are still allowed, face-to-face will be arranged with assistance of local government staff and PMU's consultant</li> </ul> <p><b><u>LANGUAGES</u></b></p> <p>For face-to-face consultation and live, online meetings:</p> <ul style="list-style-type: none"> <li>▪ Use of ethnic languages of the target EM groups</li> </ul>	

Key Groups of Stakeholders	Key characteristics	Language needs	Preferred notification means	Specific Needs (Accessibility, audio-visual aid, meeting time, venue)
			<ul style="list-style-type: none"> <li>▪ Use Vietnamese for Kinh group. For written information disclosed:</li> <li>▪ Use of mother language of the major affected EM groups (e.g. Khmer...)</li> </ul> <p><b><u>GROUP COMPOSITIONS</u></b></p> <ul style="list-style-type: none"> <li>▪ For better discussion of a particular issues, group discussions (both face-to-face and online) will be organized taking into account aspects of gender, ethnicity, and types of impact, particularly for adversely affected group. This is to ensure homogeneity in groups, and thus promote more active participation of people.</li> <li>▪ Combined groups (male and female, different age groups...) are organized for general information session.</li> </ul> <p><b><u>PEOPLE WITH DIFFICULT ACCESSING TO ABOVE PLATFORMS</u></b></p> <ul style="list-style-type: none"> <li>▪ One-on-one, face-to-face meeting will be arranged (with government approval under COVID restriction situation)</li> </ul>	

Key Groups of Stakeholders	Key characteristics	Language needs	Preferred notification means	Specific Needs (Accessibility, audio-visual aid, meeting time, venue)
			<ul style="list-style-type: none"> <li>▪ If not possible, telephone call will be arranged (with assistance of family member, or a local governmental staff).</li> <li>▪ EM language will be used during consultation with EM peoples</li> </ul>	
	<p><b>Poor/ Ethnic Minorities</b></p> <ul style="list-style-type: none"> <li>▪ Ethnic minority households</li> <li>▪ Poor, and near-poor households</li> <li>▪ Elderly people in especially difficult circumstance (e.g. living on their own or having limited or no daily care)</li> <li>▪ Squatters may be reluctant and less confident in making their voice heard</li> <li>▪ Poor women-headed households, and</li> <li>▪ Single mothers with dependent who may be busy with home chore (e.g. child care, cooking, income generation activities for daily subsistence; lack of confidence expressing ideas in public meetings; Income</li> </ul>	<ul style="list-style-type: none"> <li>▪ Ethnic languages for EM peoples</li> <li>▪ Vietnamese for Kinh group</li> </ul>	<ul style="list-style-type: none"> <li>▪ Letter</li> </ul> <p><b>Under COVID restriction</b></p> <ul style="list-style-type: none"> <li>▪ Public loudspeaker</li> <li>▪ Letter to their home</li> <li>▪ Media campaign to introduce project's website/ social media</li> <li>▪ TV/radio</li> <li>▪ Other means: Email, phone call, SMS, zalo, facebook, etc.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Meetings organized in small groups at places conveniently accessible and comfortable for them (e.g. community house, village-level meeting houses, or at their own house).</li> <li>▪ Meeting time convenient to them (not affecting their daily subsistence activities)</li> <li>▪ Individual meeting may be required with female facilitator (for women-headed households and single mothers)</li> <li>▪ Transport allowance provided if travel to meeting place affect their income generation opportunities</li> </ul>

Key Groups of Stakeholders	Key characteristics	Language needs	Preferred notification means	Specific Needs (Accessibility, audio-visual aid, meeting time, venue)
	source is seasonal, precarious...)			
<b>NON-VULNERABLE GROUPS</b>	<p><b>Ordinary people</b></p> <ul style="list-style-type: none"> <li>This group is diversified in terms of means of livelihoods, including <b>farming</b> (rice/orchard/vegetable, fishing, aquaculture, etc.), <b>non-farm business, hired labor; wage workers, shift workers, etc.</b></li> </ul>	<ul style="list-style-type: none"> <li>Ethnic languages for EM peoples</li> <li>Vietnamese for Kinh group</li> </ul>	<ul style="list-style-type: none"> <li>Letter</li> </ul> <p><b>Under COVID restriction</b></p> <ul style="list-style-type: none"> <li>Public loudspeaker</li> <li>Letter to their home</li> <li>Media campaign to introduce project's website/ social media</li> <li>TV/radio</li> <li>Other means: Email, phone call, SMS, zalo, facebook, etc.</li> </ul>	<ul style="list-style-type: none"> <li>Meeting at local cultural house; village meeting hall, office of communal People's Committee, or other local places conveniently and safely accessible</li> <li>Consulting at convenient time (e.g. evening) for those who are busy during daytime, or work far away from home</li> </ul>
<b>COMMUNITY AT LARGE</b>	<p><b>Communities located near civil works</b></p> <ul style="list-style-type: none"> <li>Living near the construction site</li> <li>There is need for occasional job such as unskilled workers under project's civil works</li> <li>Possibly affected by environmental pollution during construction</li> <li>Prone to risks related to labor influx (e.g. environmental and social security impacts)</li> </ul>	<ul style="list-style-type: none"> <li>Ethnic languages for EM peoples</li> <li>Vietnamese for Kinh group</li> </ul>	<ul style="list-style-type: none"> <li>Public loudspeakers</li> <li>Project websites</li> <li>Letter</li> </ul> <p><b>Under COVID restriction</b></p> <ul style="list-style-type: none"> <li>Media campaign to introduce project's website/ social media</li> <li>TV/radio</li> <li>Other means: Email, phone call, SMS, zalo, facebook, etc.</li> </ul>	<ul style="list-style-type: none"> <li>Meeting at local cultural house; village meeting hall, office of communal People's Committee, or other local places conveniently and safely accessible</li> <li>Consulting at their home (for those having difficulties moving (people with disabilities, the elderlies...), and those who are busy all daytime</li> </ul>

Key Groups of Stakeholders	Key characteristics	Language needs	Preferred notification means	Specific Needs (Accessibility, audio-visual aid, meeting time, venue)
<b>2. INTERESTED GROUPS</b>				
<b>Government at central levels</b>	<ul style="list-style-type: none"> <li>▪ Have well established communication and correspondence system in place</li> </ul>	<ul style="list-style-type: none"> <li>▪ Vietnamese</li> </ul>	<ul style="list-style-type: none"> <li>▪ Postal mail, emails, telephone, workshop</li> </ul>	<ul style="list-style-type: none"> <li>▪ Provision of relevant technical information, documents on proposed project investments/ plans/ proposals</li> </ul>
<b>Government at project level</b> <b>Services providers</b> <b>GBV service providers</b> <b>NGOs</b>	<ul style="list-style-type: none"> <li>▪ Project overview (project activities, implementation approach, potential benefits...)</li> <li>▪ Potential key ES risks and impacts</li> <li>▪ Proposed ES management strategy (including alternative project design, measures to avoid adverse impact, or minimize if unavoidable)</li> <li>▪ Ways to enhance project development effectiveness</li> <li>▪ GBV (Sexual Exploitation and Abuse, and Sexual Harassment) in project area (provincial and commune levels)</li> <li>▪ Current provincial polices and annual activities for public awareness raising, prevention measures, and services for GBV survivors (include availability of</li> </ul>	<ul style="list-style-type: none"> <li>▪ Vietnamese</li> </ul>	<ul style="list-style-type: none"> <li>▪ Postal mail, emails, telephone</li> </ul> <p><b>Under COVID restriction</b></p> <ul style="list-style-type: none"> <li>▪ Introduce project’s website/ social media</li> <li>▪ TV/radio</li> <li>▪ Other means: Email, phone call, SMS, zalo, facebook, etc.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Provision of relevant technical information, documents on proposed project investments/ plans/ proposals</li> <li>▪ Environmental and Social Standards (ESS) of the World Banks and requirements in the project implementation.</li> </ul>

Key Groups of Stakeholders	Key characteristics	Language needs	Preferred notification means	Specific Needs (Accessibility, audio-visual aid, meeting time, venue)
	<p>counselling service, emergency support for GBV survivor (i.e. medical services and shelter...).</p> <ul style="list-style-type: none"> <li>▪ Commune capacity to respond to/ take on the caseload of GBV survivors</li> <li>▪ Contact information of GBV survivors at commune/district/provincial and central levels)</li> </ul>			
<b>COMMUNITY AT LARGE</b>	<p><b>Communities located near civil works</b></p> <ul style="list-style-type: none"> <li>▪ Living near the construction site</li> <li>▪ There is need for occasional job such as unskilled workers under project's civil works</li> <li>▪ Possibly affected by environmental pollution during construction</li> <li>▪ Prone to risks related to labor influx (e.g. environmental and social security impacts)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Vietnamese in general</li> <li>▪ In EM language for target EM groups</li> </ul>	<ul style="list-style-type: none"> <li>▪ Public loudspeakers</li> <li>▪ Project websites</li> <li>▪ Letter</li> </ul> <p><b>Under COVID restriction</b></p> <ul style="list-style-type: none"> <li>▪ Media campaign to introduce project's website/ social media</li> <li>▪ TV/radio</li> <li>▪ Other means: Email, phone call, SMS, zalo, facebook, etc.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Meeting at local cultural house; village meeting hall, office of communal People's Committee, or other local places conveniently and safely accessible</li> </ul> <p>Consulting at their home (for those having difficulties moving (people with disabilities, the elderlies...), and those who are busy all daytime</p>

## V. STAKEHOLDER ENGAGEMENT PROGRAM

### 5.1. Purpose and Timing of Stakeholder Engagement Program

51. ***The main purpose of the stakeholder engagement program is to ensure that all project stakeholders are engaged in and participate fully and timely during project design and project implementation***, particularly during stages when their feedbacks on project's proposed intervention activities, environmental and social risks and impacts, proposed mitigations measures, compensation, livelihoods support options, and grievance redress mechanism, etc., are required to inform project design, and subsequent implementation.
52. ***While all project stakeholders are included in project consultation process, particular emphasis is placed on people who are potentially adversely affected as a result of project activities***. Typical project's adverse impacts include loss of lands, loss of non-land assets and business associated to land, etc. due to land acquisition for project's civil works. These may potentially affect local people's means of livelihoods – either temporarily during construction, or permanently, resulting in job change of affected households. Consultation with potentially adversely affected groups is critical during project preparation as well as project implementation. When affected people are consulted and well informed of project's impacts and risks, they can provide the meaningful feedback on who these impacts and risks potentially affect them. These feedback helps project design and adjust accordingly the proposed design options to avoid, reduce the project's risks and impacts – through mitigation measures, compensations and livelihood supports. These measures are very important to affected vulnerable group who may be disproportionately impacted as a result of project activities.
53. ***During project preparation, the project has conducted consultation with various groups***. These groups include representatives of negatively affected households, potential beneficiary households, government agencies, representatives of local NGOs, service providers, and private sectors, etc. The consultations solicited a) feedback from potentially adversely affected stakeholders, b) advice from government stakeholders related to development masterplan, regional inland waterway masterplan, pre-feasibility studies, and technical design, etc. Government agencies contacted for such consultations include those at central, provincial, district and commune levels. NGOs who are currently active in project provinces, particularly in development activities that support project beneficiaries and potential negatively affected groups were contacted to consult on possible measures that can be used to avoid/mitigate potential ES risks and impact, and ways project benefits can use to enhance project development outcome – through meaningful consultation maintained throughout project cycle.
54. ***During project implementation, the stakeholder engagement process will be continued as part of the overall stakeholder engagement program***. It aims to:
  - a. Maintain constructive working relationships that have been built with affected and non-affected parties consulted during project preparation;
  - b. Consult with other potential adversely affected groups (if identified based on final technical design);
  - c. Establish two-way communication channels (telephone, face-to-face meetings, dedicated social media (Facebook, webpage) to maintain communication with

stakeholders during the time when social gathering is restricted due to COVID-19;

- d.** Incorporate feedback and concerns of consulted parties into environmental and social risk and impact management plan, project design and project implementation process;
- e.** Understand the development needs and interests of individuals/ households/ communities, and stakeholders from public and private sectors;
- f.** Collect concerns, grievances from affected individuals and groups, act on these concerns and report back to affected individuals and groups;
- g.** Promote continuous support of project stakeholder and the general public for the project implementation.

## **5.2. Proposed Strategy for Information Disclosure**

55. ***Good disclosure of project information helps inform the public of the trade-offs between project benefits and disadvantages, allowing them to contribute meaningfully their comments/opinions to project design and project implementation.*** Disclosing project information, including those related to project design, planned intervention strategy, environmental and social risks and impacts, etc. is not only important and also required under the project. Disclosing project information timely and well in advance to the target groups is fundamental to planned consultation sessions. Appropriate and sufficient dissemination of relevant project information enables people to be consulted prepare themselves before attending consultation. When they understand how project could potentially affect them, and what project has proposed to address such risks and impacts, they can ask questions and raise concerns that are meaningful to the consultation purpose.
56. ***While project information is disseminated to various project stakeholder groups, attention is given to vulnerable groups to ensure they get the information sufficiently, timely, and react accordingly.*** Under this project, vulnerable groups include both Kinh and EM groups (e.g. Khmer, Hoa...) who live in the project area. For EM peoples, in particular, disclosing ES information in their mother language helps promote their reading, comprehension, and provide meaningful feedback. The methods used to get project information across – both notification and dissemination, is equally important. So are channels through which this information are disclosed and the presentation format that are used, such as simple and clear language that are easy for people with limited literacy to understand.
57. ***Ensuring that project information is meaningful, disclosed early, accessible to the target groups, and support consultation organization is essential to achieving expected consultation outcome.*** The **Table 6** below summarizes the methods to be used to disclose project information to key stakeholder groups. It includes a) list of key project information that will be disclosed, b) target groups expected to receive the information, c) tentative time schedule for information disclosure, d) methods of notifying and disclosing information, e) target coverage, and f) parties responsible for implementing information disclosure for project during project design and implementation.

Table 9: Proposed Methods for Disclosing Information to Key Stakeholder Groups

Project Stage	List of Information to be Disclosed	Methods Proposed	Timetable (Locations/ stages)	Target Stakeholders	Percentage Reached	Responsibilities
PROJECT PREPARATION (before project appraisal)	<p><b>DRAFT DOCUMENTS</b></p> <ul style="list-style-type: none"> <li>✓ Project pre-feasibility study</li> <li>✓ Project feasibility study</li> <li>✓ Draft ESIA, ESMP, RPF, EMPF, SEP LMP, and ESCP, including project's GRMs</li> </ul>	<p><b>Disclosure methods</b></p> <ul style="list-style-type: none"> <li>▪ Public notice boards</li> <li>▪ Website (landing webpage)</li> <li>▪ Social media (Facebook)</li> <li>▪ Letter. Use QR code in all channels to enable quick access to project' landing page and social media</li> </ul> <p><b>Consultation methods</b></p> <ul style="list-style-type: none"> <li>▪ Face-to-face (community meetings, focus group discussions, consultation with key informants)</li> <li>▪ Virtual (using social media such as Facebook, Zalo)</li> <li>▪ Telephone calls</li> <li>▪ Online scheduled meetings (using professional platform, e.g. Zoom...)</li> </ul>	<ul style="list-style-type: none"> <li>▪ All project's communes</li> <li>▪ As soon as the draft documents are completed and before project appraisal</li> <li>▪ People consulted to be notified about availability of updated/final versions via: a) project's dedicated webpage, b) project Facebook, c) social chat (e.g. Zalo) for those who already participated in previous consultation and share phone number.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Potential project beneficiaries</li> <li>▪ Potentially adversely affected individuals/house holds</li> <li>▪ Interested parties</li> </ul>	<ul style="list-style-type: none"> <li>▪ As many as possible</li> <li>▪ 100% potentially adversely affected households</li> <li>▪ 100% all relevant government agencies involved in reviewing and approval of documents. For other interested parties, as many as possible</li> </ul>	<ul style="list-style-type: none"> <li>▪ Lead: PMUW</li> <li>▪ Implement: PMUW's Consultants</li> <li>▪ Provincial DOT</li> <li>▪ Provincial PC</li> <li>▪ WB</li> </ul> <p style="text-align: right;">ES</p>
	<p><b>FINAL DOCUMENTS</b></p> <ul style="list-style-type: none"> <li>✓ Project pre-feasibility study</li> <li>✓ Project feasibility study</li> </ul>	<p><b>Disclosure methods</b></p> <ul style="list-style-type: none"> <li>▪ Public notice boards</li> <li>▪ Website (landing webpage)</li> <li>▪ Social media (Facebook)</li> </ul> <p><b>Consultation methods</b></p>	<ul style="list-style-type: none"> <li>▪ All project's communes</li> <li>▪ Before commencing project appraisal</li> </ul>	<ul style="list-style-type: none"> <li>▪ Potential project beneficiaries</li> <li>▪ Potentially adversely affected individuals/house holds</li> </ul>	<ul style="list-style-type: none"> <li>▪ As many as possible</li> <li>▪ 100% potentially adversely affected households</li> </ul>	<ul style="list-style-type: none"> <li>▪ Lead: PMUW</li> <li>▪ Implement: PMUW's Consultants</li> <li>▪ Provincial DOT</li> <li>▪ Provincial PC</li> </ul> <p style="text-align: right;">ES</p>

Project Stage	List of Information to be Disclosed	Methods Proposed	Timetable (Locations/ stages)	Target Stakeholders	Percentage Reached	Responsibilities
	Draft ESIA, ESMP, RPF/RPs, EMPF/EMDPs, SEP LMP, and ESCP including project's GRMs	<ul style="list-style-type: none"> <li>Face-to-face (community meetings, focus group discussions, consultation with key informants)</li> <li>Virtual (using social media such as Facebook, Zalo)</li> <li>Telephone calls</li> <li>Online scheduled meetings</li> </ul>		<ul style="list-style-type: none"> <li>Interested parties</li> </ul>	<ul style="list-style-type: none"> <li>100% all relevant government agencies involved in reviewing and approval of documents. For other interested parties, as many as possible</li> </ul>	<ul style="list-style-type: none"> <li>WB</li> </ul>
PRE-CONSTRUCTION & DURING CONSTRUCTION	<ul style="list-style-type: none"> <li>✓ Technical design</li> <li>✓ Site-specific ES documents (RPs, EMDPs, C-ESMP)</li> </ul>	<b>Disclosure methods</b> <ul style="list-style-type: none"> <li>Public notice boards</li> <li>Website (landing webpage)</li> <li>Social media (Facebook)</li> </ul>	<ul style="list-style-type: none"> <li>All project's communes</li> </ul>	<ul style="list-style-type: none"> <li>Prior to start of civil work at ward/ communes</li> </ul>	<ul style="list-style-type: none"> <li>100% identified adversely affected individuals/ households</li> </ul>	<ul style="list-style-type: none"> <li>Lead: PMUW</li> <li>Implement: PMUW's Technical Design Consultants</li> <li>City/ District Land Fund Development Canters</li> <li>Provincial DOT</li> </ul>
	<ul style="list-style-type: none"> <li>✓ Grievance Redress Mechanism.</li> <li>✓ Code of Conduct for workers.</li> <li>✓ LMP</li> </ul>	<b>Disclosure methods</b> <ul style="list-style-type: none"> <li>Distribution of leaflet of GRM</li> <li>Distribution of Code of Conduct to all project workers of Contractors</li> </ul>	<ul style="list-style-type: none"> <li>Before contractors' workers are mobilized to project's construction sites</li> </ul>	<ul style="list-style-type: none"> <li>Project workers.</li> </ul>	<ul style="list-style-type: none"> <li>100% project workers, including workers mobilized from local communities</li> </ul>	<ul style="list-style-type: none"> <li>PMUW.</li> <li>Contractors.</li> <li>PMUW's Construction Supervision Consultant</li> </ul>

Project Stage	List of Information to be Disclosed	Methods Proposed	Timetable (Locations/ stages)	Target Stakeholders	Percentage Reached	Responsibilities
		<ul style="list-style-type: none"> <li>▪ Distribution of LMP of Contractors</li> </ul> <p><b>Consultation methods</b></p> <ul style="list-style-type: none"> <li>▪ Face-to-face meetings</li> </ul>				
	<ul style="list-style-type: none"> <li>✓ Work construction opportunities, including recruitment criteria</li> </ul>	<p><b>Disclosure methods</b></p> <ul style="list-style-type: none"> <li>▪ Commune People's Committee</li> <li>▪ Commune Women's Union</li> </ul>	<ul style="list-style-type: none"> <li>▪ Prior to the start of the civil works, or as soon as the need for recruitment arise during construction process</li> </ul>	<ul style="list-style-type: none"> <li>▪ Local people (men and women suitable for the jobs)</li> </ul>		<ul style="list-style-type: none"> <li>▪ Lead: PMUW</li> <li>▪ Implement: Contractors</li> <li>▪ Collaborate: commune PC, commune Women's Union</li> <li>▪ Construction Supervision Consultant</li> </ul>
POST-CONSTRUCTION	<ul style="list-style-type: none"> <li>✓ Result summary of monitoring and evaluation, including grievance resolution results</li> </ul>	<ul style="list-style-type: none"> <li>▪ Workshops</li> <li>▪ Mass media</li> <li>▪ Summary reports</li> </ul>	<ul style="list-style-type: none"> <li>▪ Six months after the completion of the resettlement, and of civil works</li> </ul>	<ul style="list-style-type: none"> <li>▪ All stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ 100% affected individuals/ households</li> </ul>	<ul style="list-style-type: none"> <li>▪ Lead: PMUW</li> <li>▪ Implement: Independent Monitoring Consultant ES</li> </ul>

### 5.3. Proposed Consultation Strategy

- ***Consultation during project preparation and implementation stages***
58. The purpose of consultation is to ensure affected stakeholders, particularly those affected adversely by the project, to be able to receive accurate, comprehensible information about the objectives, scope, timing, and potential risks and impacts associated with the project. The project will arrange meetings so that stakeholders can express their concerns and share their knowledge, their anticipated effect that the project may have on them and make recommendation. Their feedback will be documented and considered to inform project intervention strategy.
59. Some helpful criteria that should guide consultations with stakeholders, in particular affected stakeholders, include:
- Face-to-face consultations should be inclusive of all stakeholder groups including women, ethnic groups, elderly, people living with a disability and other vulnerable persons;
  - Notices of meetings and surveys should be sufficiently notified in advance at prominent locations and information should be disclosed ahead of time when applicable and possible;
  - Comments and suggestions received from participants should be collected and incorporated into this SEP, other project documents, and in ongoing project implementation as much as possible, and stakeholders should be made aware how this was done in follow-up meetings/consultations;
  - Covid-19 measures should be taken into account, whether this means that social distancing measures will be put in place or that accommodations will be taken to conduct meetings virtually, taking into account the challenges and limitations in conducting virtual consultations and trying to find ways to overcome this.
60. The activities of this SEP will be coordinated with EMDF as applicable.
61. The PMUW will be responsible for planning and carrying out the consultation program as part of stakeholder engagement throughout the project cycle. Depending of the purpose, nature, and the target groups, the PMUW will conduct consultations to support the project implementation to ensure effective management of project's environmental and social risks and impacts. In some cases, the project's contractors are also expected to take an active role consulting affected stakeholders, particularly regarding complaints and grievances concerning hiring local workers, management of work camps, traffic routing, road traffic safety, and codes of conduct, among others.
62. Consultation is not only about disclosing necessary information, such as projects' risks and impacts, based on the final design, for instance. It aims to encourage a two-way communication in which sufficient time is given and people attending consultation, particular people from disadvantage, vulnerable, marginal groups, are provided good environment in which they feel comfortable to raise questions, provide feedback, and validate if they understand the project's risks and impacts correctly. Methods of consultation is important to enhance the effectiveness of the consultation meetings. Depending on the participants, and the nature of the topics being consulted, appropriate consultation methods will be used to promote people's active participation and feedback.
63. As the potential risks and impacts of the project is evaluated over time, particularly when project's feasibility study is finalized, impacts become known, and risks are better

assessed as the contractors go on board, consultation with potential affected stakeholders is critical – to keep them aware of the more accurate risks and impacts, as well as proposed direction for management of such risks and impacts, to enable affected people to prepare themselves. This also eliminate the chance of doubt which are not expected. The project will continue to engage with various groups of stakeholders, particularly the project-affected parties, as the project goes through appraisal stage, and implementation. The table below summarize key topics intended for consultation with various target groups. It provides suggested consultation methods and articulate the responsibility of those who will carry out the consultation, at different stage of project implementation.

- **Consultation in the post-construction/operation stages**

64. At this stage, the consultation will focus on the feedback from affected parties on the performance of the environmental and social risk and impact mitigation measures and management during the construction stage; sustainability of resettlement entitlements and achievement of the resettlement objectives; areas that need to be improved and lessons learned should be identified for the following projects; dissemination and reporting back to stakeholders on the outcome of the final monitoring and evaluation of the project will be also arranged.
65. During project implementation stages, COVID-19 pandemic may break out any time so that the Government’s regulations on covid-19 preventions and the World Bank’s Guidance Note on public consultation and stakeholder engagement activities during COVID-19 (**See Annex 3 for details**) and any updated guidance issued by the World Health Organization (WHO) must be followed. It is important that the alternative ways of managing consultation and stakeholder engagement should be in accordance with the local applicable laws and policies, especially those relating to media and communication.

- **Consultation Methods**

66. **Methods that will be used to carry out consultation contribute directly to consultation outcome. These methods should be designed to take into account the different characteristics of different stakeholder groups.** Main methods to be applied for consultation under the project will include face-to-face and virtual format. Face-to-face format include public meetings, focus group discussion, key informants interview, and discussions as part of household surveys. Virtual format will be applied only when social gatherings is restricted due to COVID-19 remerging. When this is the case, consultation will shifted to online, and will be maintained throughout project circle as an alternative means of two-way communication in the situation of COVID-19. During COVID circumstances, online consultation will be prioritized for adversely affected groups, including disadvantaged/ vulnerable group, followed by other key stakeholders such as governmental agencies, NGOs, service providers, and the general public, etc. Telephone interview will also be used as an additional channel where affected group do not have access to social media and necessary device for online consultation.
67. For the online consultation activities, the following steps to be taken to carry out virtual consultation:
  - Identifying objects/groups for consultation;

- Liaison with local government (district and commune People’s Committees) to request PC’s assistance in identifying and contacting representatives of potential affected households and other stakeholders;
  - Making preparatory steps prior to conducting virtual consultation;
  - Conduct virtual consultation; and
  - Process Information from Consultation and Prepare Consultation Records.
68. Some advantages and disadvantages of virtual consultation is described as following:
- *Advantages of virtual consultation*
    - The consultation activities can be done anywhere, at any time. Virtual consultation will help save more time than direct consultation, as well as solve geographic problems.
    - Consultation activities, consultation content can be recorded with audio or video so that can listen/review many times facilitate the assessment and gather information.
  - *Disadvantages of virtual consultation*
    - Virtual consultation activities will be depending on the quality of the signal and the internet connection, sometimes the bad signal will affect the overall mood of the participants and negatively affect the consultation results.
    - In addition, in some project areas, especially in rural areas, the lack of connection devices (smartphones, computers) of affected households also affects the organization and effectiveness of virtual consultation activities
69. ***Consultation will be organized for select location in all project provinces, particularly at sites where civil works are likely to cause adverse impact to local people, particularly vulnerable groups.*** At these select sites, consultation will also be extended to reach potential beneficiary groups as well as interested groups to ensure various views are sought from various affected and interested parties for each select location. In each site, group discussions will be organized to allow people sharing similarities (same EM group, sex, vulnerable group, type of impacts, etc.) can join to share their various views and concerns. For EM peoples who are adversely affected as a result of land acquisition and/or physical relocation, Free, Prior and Informed Consent need to be obtained when the activities that affect them are planned, and prior to implementing these activities.
- ***Covid-19***
70. In the context of the outbreak and spread of Covid-19, the Government of Vietnam (GOV) has taken various restrictive measures, such as restrictions on public gatherings, meetings and people’s movement. People have been advised to exercise social distancing to prevent and reduce the risk of transmission. As needed, the project will make accommodations in-light of Covid-19 measures such as:
- Consultation meetings and FGDs can be done via virtual means including phone calls, Zoom, Webex, Whatsapp, etc.
  - Limit the number of participants and attendees during meetings and interviews to maintain social distancing (1.5 meters) and encourage participants to wash their hands, wear masks and check for body temperatures; and
  - Conduct consultation meetings on a well-ventilated area (open space) and provide hand sanitizer gel or alcohol and face masks to distribute to all participants prior to the meeting.

71. **Table 10** (below) briefly summarizes key consulting techniques that can be applied for certain groups. Table 6 summarizes overall consultation methods to be applied to each group. This includes key aspects such as topics subject to consultation, key implementing actors, and consultation requirement in accordance with project phase. These are for face-to-face and virtual consultation in case of COVID-19 restrictions.

Table 10: Summary of Consultation Techniques to be used for Key Stakeholder Groups

Consultation Techniques	Target group is Kinh people	Target group is EM people	Consultation materials
<p><b>FOCUS GROUP DISCUSSION</b></p>	<ul style="list-style-type: none"> <li>▪ <b>Language.</b> Vietnamese</li> <li>▪ <b>Group composition.</b> Female and male should be organized separately for gender sensitive consultation topics.</li> <li>▪ For adversely affected group, group discussion should be arranged by topics/type of impacts (e.g. physically relocated people in one group, land-based livelihoods in on group), etc.</li> <li>▪ <b>Participation.</b> Give individuals in discussion opportunities to ask questions, share their concerns. Every opinion counts.</li> <li>▪ <b>Communication.</b> Build rapport before starting discussions. Use oral, combined with visual methods (if needed) to explain information to people with limited literacy level. Present slowly, using simple and clear, non-technical language. Regularly stop to check if clarification that may be needed. Encourage people speak. Repeat presentation and questions as needed. Explain how issues raised would be</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Language.</b> mother language of the target group should be used for consultation</li> <li>▪ <b>Group composition.</b> Female participants should be organized separately for gender sensitive consultation topics.</li> <li>▪ <b>Participation.</b> Give individuals in discussion opportunities to ask questions, share their concerns in their own language (women and older people are more likely to be monolingual).</li> <li>▪ <b>Facilitator.</b> should be from the same EM, or an interpreter is arranged</li> <li>▪ <b>Communication.</b> Build rapport before starting the discussion. Use oral, combined with visual methods (if needed) to explain information to people with limited literacy level. Present slowly, using simple and clear, non-technical language. Regularly pause to check if people understand and if clarification is needed. Encourage people speak. Repeat presentation and questions as needed. Explain how issues raised would be addressed and communicated back to consulted people, and wider public, including project GRMs. Issues raised are</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Leaflet.</b> Prepared in Vietnamese for Kinh people, and in the language of the target EM peoples who have writing characters (such as Khmer)</li> <li>▪ <b>Language.</b> Clear and simple for easy reading and sharing with family members, and community members.</li> <li>▪ <b>Presentation.</b> Use photo, simple diagram as needed.</li> <li>▪ <b>Contacts.</b> Include contact details of the person who can be reached for further questions or clarification (e.g. full name, phone number, email, office address).</li> </ul>

Consultation Techniques	Target group is Kinh people	Target group is EM people	Consultation materials
	addressed and communicated back to consulted people, and wider public, including project GRMs.	answered at the meeting, or actively followed up. <ul style="list-style-type: none"> <li>▪ <b>Culture.</b> Respect local traditions of discussion, and decision making</li> </ul>	
<b>HOUSEHOLD SURVEY</b>	<ul style="list-style-type: none"> <li>▪ <b>Language.</b> Vietnamese</li> <li>▪ <b>Communication.</b> Build rapport with interviewee before starting the interview.</li> <li>▪ Don't simply ask questions from questionnaire, ask in a way that is most understandable to local respondents.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Language.</b> Mother language of the target EM group.</li> <li>▪ <b>Enumerators.</b> should be able to speak the same language with consulted EM</li> <li>▪ If household survey are organized in small group and all enumerators are Kinh, arrange at least one local EM speaking person to assist interpretation throughout the interview</li> <li>▪ <b>Communication.</b> Build rapport with interviewee before starting the interview.</li> <li>▪ Don't ask questions as they are from questionnaire, ask in a way that is most understandable to local respondents</li> </ul>	<ul style="list-style-type: none"> <li>▪ Use questionnaires in print or electronic device (for pre-built questionnaire).</li> </ul>
<b>KEY INFORMANT INTERVIEW</b>	<ul style="list-style-type: none"> <li>▪ Language: Vietnamese</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Language.</b> Mother language of the EM target group.</li> </ul>	
<b>PUBLIC MEETINGS</b>	<ul style="list-style-type: none"> <li>▪ Public meeting can be used as mean for public consultation and info disclosure. However, it should not be used as a mean to gain local acceptance for mitigation, compensation, and options of project benefits unless these issues have been discussed and agreed in earlier consultation(s). This is because varied levels of interest among participants attending the meeting.</li> </ul>		Same as for Focus Group Discussion.

72. The Summary of Proposed Methods for Consultation with Key Stakeholder Groups of the SWLC Project is presented in **Table 11** below.

Table 11: Proposed Methods for Consultation with Key Stakeholder Groups

Project Stages	Target Stakeholders	Topics for consultation	Methods used	Timetable (Location & dates)	Responsibilities
<b>PROJECT IMPLEMENTATION</b>	<b>1. AFFECTED GROUPS</b>				
	<b>1.1 BENEFICIARY GROUP</b>				
	<ul style="list-style-type: none"> <li>▪ Individuals/households who use the canal</li> <li>▪ Individuals/households who can improve business activities through improved waterway access</li> <li>▪ Individuals/households who run river tourism activities</li> <li>▪ Individuals/households who are involved in fishing/ aquaculture activities</li> </ul>	<ul style="list-style-type: none"> <li>▪ Project overview (goal, activities, potential benefits)</li> <li>▪ Potential key ES risks and impacts</li> <li>▪ Proposed ES management strategy (including alternative project design, potential measures to avoid adverse impact, or minimize if unavoidable)</li> <li>▪ Ways to enhance project development effectiveness</li> <li>▪ General approach taken to ensure poor and EM people are included in meaningful consultation during project preparation and implementation</li> <li>▪ Resettlement &amp; compensation policies</li> <li>▪ Livelihood restoration program for severely affected individuals/households</li> <li>▪ Occasional job opportunities</li> <li>▪ Grievance redress mechanisms</li> <li>▪ Key project implementing agency (PMU at provincial and central levels)</li> </ul>	<p><b><u>INTERACTIVE PLATFORMS</u></b> <u>Under no COVID restrictions</u></p> <ul style="list-style-type: none"> <li>▪ Face-to-face (community meetings, focus group discussions, consultation with key informants).</li> </ul> <p><u>Under COVID restrictions</u></p> <ul style="list-style-type: none"> <li>▪ Scheduled online meetings (Zoom, Zalo, ...) (for groups)</li> <li>▪ Social media (project dedicated Facebook, Zalo...)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Affected Ward/communes PC, and other places as convenience.</li> <li>▪ Before commencing civil works and throughout the project implementation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Lead: PMUW</li> <li>▪ Implement: PMUW's ES Consultants</li> <li>▪ Collaborate: Provincial DOT</li> <li>▪ Oversee: PPCs</li> </ul>
<ul style="list-style-type: none"> <li>▪ Private and public sector (including companies who enjoy better flow of water)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Project overview (goal, activities, potential benefits)</li> <li>▪ Potential key ES risks and impacts</li> <li>▪ Proposed ES management strategy (including alternative project design,</li> </ul>	<p><b><u>INTERACTIVE PLATFORMS</u></b> <u>Under no COVID restrictions</u></p> <ul style="list-style-type: none"> <li>▪ Face-to-face (community meetings, focus group</li> </ul>	<ul style="list-style-type: none"> <li>▪ In the offices of the Affected public utilities companies, and other places as convenience.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Lead: PMU</li> <li>▪ Implement: PMU's ES Consultants</li> <li>▪ Collaborate: Provincial DOT</li> </ul>	

Project Stages	Target Stakeholders	Topics for consultation	Methods used	Timetable (Location & dates)	Responsibilities
	for agricultural production (thanks to improved access to irrigation water).	<p>potential measures to avoid adverse impact, or minimize if unavoidable)</p> <ul style="list-style-type: none"> <li>▪ Ways to enhance project development effectiveness</li> </ul>	<p>discussions, consultation with key informants)</p> <p><u>Under COVID restrictions</u></p> <ul style="list-style-type: none"> <li>▪ Online scheduled meetings (Zoom, Zalo, ...) (for groups)</li> <li>▪ Social media (project dedicated Facebook, Zalo...)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Before commencing civil works and throughout the project implementation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Oversee: PPCs</li> </ul>
<b>1.2 ADVERSELY AFFECTED GROUP</b>					
	<p><b>DISADVANTAGED/ VULNERABLE GROUPS</b></p> <p>Elderlies/ Disabilities/ Poor/ Ethnic Minorities</p>	<ul style="list-style-type: none"> <li>▪ Project overview (goal, activities, potential benefits)</li> <li>▪ Potential key ES risks and impacts</li> <li>▪ Proposed ES management strategy (including alternative project design, potential measures to avoid adverse impact, or minimize if unavoidable)</li> <li>▪ Ways to enhance project development effectiveness</li> <li>▪ General approach taken to ensure poor and EM people are included in meaningful consultation during project preparation and implementation</li> <li>▪ Resettlement &amp; compensation policies</li> <li>▪ Livelihood restoration program for severely affected individuals/households</li> <li>▪ Occasional job opportunities</li> <li>▪ Grievance redress mechanisms</li> <li>▪ Key project implementing agency (PMU at provincial and central levels)</li> </ul>	<p><b><u>INTERACTIVE PLATFORMS</u></b></p> <p><u>Under no COVID restrictions</u></p> <ul style="list-style-type: none"> <li>▪ Face-to-face (community meetings, focus group discussions, consultation with key informants)</li> </ul> <p><u>Under COVID restrictions</u></p> <ul style="list-style-type: none"> <li>▪ Online scheduled meetings (Zoom, Zalo, ...) (for groups)</li> <li>▪ Recorded information session (posted on project dedicated online platforms) for people not attending scheduled meetings. Comment box function is built to collect written/ audio comments, questions, telephone numbers (for call back and being invited to specific groups) for follow-up consultations.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Meeting to be held at their house. Or W/CPCs' offices.</li> <li>▪ Where needed, further assistance should be sought (such as from caregiver, use of visual aids...) for affected people's understand and meaningful feedback.</li> <li>▪ During preparation of E&amp;S instruments and during the project implementation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Lead: PMUW</li> <li>▪ Implement: PMUW's ES Consultants</li> <li>▪ Collaborate: Provincial DOT</li> <li>▪ Oversee: PPCs</li> </ul>

Project Stages	Target Stakeholders	Topics for consultation	Methods used	Timetable (Location & dates)	Responsibilities
			<ul style="list-style-type: none"> <li>▪ Dedicated Facebook, Zalo, landing webpage to share project information, collect local comments, and provide response summary. QR codes are used to enable convenient, quick access by anyone</li> <li>▪ Telephone calls (for individuals)</li> <li>▪ Where small group of 5 people are still allowed, face-to-face will be arranged with assistance of local government staff and PMU's consultant</li> </ul> <p><b><u>LANGUAGES</u></b></p> <p>For face-to-face consultation and live, online meetings:</p> <ul style="list-style-type: none"> <li>▪ Use of ethnic languages of the target EM groups</li> <li>▪ Use Vietnamese for Kinh group.</li> </ul> <p>For written information disclosed:</p> <ul style="list-style-type: none"> <li>▪ Use of mother language of the major affected EM groups (e.g. Khmer...)</li> </ul> <p><b><u>GROUP COMPOSITIONS</u></b></p> <ul style="list-style-type: none"> <li>▪ For better discussion of a particular issues, group discussions (both face-to-face and online) will be organized</li> </ul>		

Project Stages	Target Stakeholders	Topics for consultation	Methods used	Timetable (Location & dates)	Responsibilities
			<p>taking into account aspects of gender, ethnicity, and types of impact, particularly for adversely affected group. This is to ensure homogeneity in groups, and thus promote more active participation of people.</p> <ul style="list-style-type: none"> <li>▪ Combined groups (male and female, different age groups...) are organized for general information session.</li> </ul> <p><b><u>PEOPLE WITH DIFFICULT ACCESSING TO ABOVE PLATFORMS</u></b></p> <ul style="list-style-type: none"> <li>▪ One-on-one, face-to-face meeting will be arranged (with government approval under COVID restriction situation)</li> <li>▪ If not possible, telephone call will be arranged (with assistance of family member, or a local governmental staff).</li> <li>▪ EM language will be used during consultation with EM peoples</li> </ul>		
	<ul style="list-style-type: none"> <li>▪ <b>NON-VULNERABLE GROUPS</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ Similar to the above</li> </ul>	<ul style="list-style-type: none"> <li>▪ Similar to the above</li> </ul>	<ul style="list-style-type: none"> <li>▪ Similar to the above</li> </ul>	<ul style="list-style-type: none"> <li>▪ Lead: PMUW</li> </ul>

Project Stages	Target Stakeholders	Topics for consultation	Methods used	Timetable (Location & dates)	Responsibilities
	<ul style="list-style-type: none"> <li>▪ <b>COMMUNITY AT LARGE</b> (communities located near civil works)</li> </ul>				<ul style="list-style-type: none"> <li>▪ Implement: PMUW's ES Consultants</li> <li>▪ Collaborate: Provincial DOT</li> <li>▪ Oversee: PPCs</li> </ul>
	<b>2. INTERESTED GROUPS</b>				
	<ul style="list-style-type: none"> <li>▪ <b>Governments</b> (central &amp; provincial levels)</li> <li>▪ <b>Services providers</b></li> <li>▪ <b>Community at Large</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ Project overview (project activities, implementation approach, potential benefits...)</li> <li>▪ Potential key ES risks and impacts</li> <li>▪ Proposed ES management strategy (including alternative project design, measures to avoid adverse impact, or minimize if unavoidable)</li> <li>▪ Ways to enhance project development effectiveness</li> </ul>	<p><b><u>INTERACTIVE PLATFORMS</u></b></p> <p><u>Under no COVID restrictions</u></p> <ul style="list-style-type: none"> <li>▪ Face-to-face (public hearings/ meetings, workshops...)</li> </ul> <p><u>Under COVID restrictions</u></p> <ul style="list-style-type: none"> <li>▪ Online scheduled meetings (Zoom, Zalo, ...) (for groups)</li> <li>▪ Recorded information session (posted on project dedicated online platforms) for people not attending scheduled meetings. Comment box function is built to collect written/ audio comments, questions, telephone numbers (for callback and being invited to specific groups) for follow-up consultations.</li> <li>▪ Dedicated Facebook, Zalo, landing webpage to share project information, collect local comments, and provide</li> </ul>	<ul style="list-style-type: none"> <li>▪ At the offices of the stakeholders.</li> <li>▪ During preparation of E&amp;S instruments and during the project implementation (construction and operation phases).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Lead: PMUW</li> <li>▪ Implement: PMUW's ES Consultants</li> <li>▪ Collaborate: Provincial DOT</li> <li>▪ Oversee: PPCs</li> </ul>

Project Stages	Target Stakeholders	Topics for consultation	Methods used	Timetable (Location & dates)	Responsibilities
			response summary. QR codes are used to enable convenient, quick access by anyone		
	<ul style="list-style-type: none"> <li>▪ <b>NGOs</b></li>   <li>▪ <b>GBV providers</b>      <b>service</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ Project overview (project activities, implementation approach, potential benefits...)</li> <li>▪ Potential key ES risks and impacts</li> <li>▪ Proposed ES management strategy (including alternative project design, measures to avoid adverse impact, or minimize if unavoidable)</li> <li>▪ Ways to enhance project development effectiveness</li> <li>▪ GBV (Sexual Exploitation and Abuse, and Sexual Harassment) in project area (provincial and commune levels)</li> <li>▪ Current provincial polices and annual activities for public awareness raising, prevention measures, and services for GBV survivors (include availability of counselling service, emergency support for GBV survivor (i.e. medical services and shelter...).</li> <li>▪ Commune capacity to respond to/ take on the caseload of GBV survivors</li> </ul>	<p><b><u>INTERACTIVE PLATFORMS</u></b></p> <p><u>Under no COVID restrictions</u></p> <ul style="list-style-type: none"> <li>▪ Face-to-face meetings</li> <li>▪ Telephone interview</li> </ul> <p><u>Under COVID restrictions</u></p> <ul style="list-style-type: none"> <li>▪ Scheduled online meetings (Zoom, Zalo, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>▪ At the offices of the stakeholders.</li> <li>▪ During preparation of E&amp;S instruments and during the project implementation (construction and operation phases).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Lead: PMUW</li> <li>▪ Implement: PMUW's ES Consultants</li> <li>▪ Collaborate: Provincial DOT</li> <li>▪ Oversee: PPCs</li> </ul>

Project Stages	Target Stakeholders	Topics for consultation	Methods used	Timetable (Location & dates)	Responsibilities
		<ul style="list-style-type: none"> <li>Contact information of GBV survivors at commune/district/provincial and central levels)</li> </ul>			
<b>OPERATIONS &amp; MAINTENANCE</b>	<b>1. AFFECTED GROUPS</b>				
	<ul style="list-style-type: none"> <li><b>Affected individuals/ households/ communities/ companies/ organizations</b></li> </ul>	<ul style="list-style-type: none"> <li>Outcomes of project, as a whole, and project activities, perceived benefits, overall users satisfaction ...)</li> <li>ES risks and impacts that may remain, measures that PMU and provincial authorities can take to address the residual ES risks sand impacts.</li> <li>Measures that should be taken for effective and efficient operation and maintenance of project activities, particularly civil works</li> </ul>	<p><b><u>INTERACTIVE PLATFORMS</u></b> <u>Under no COVID restrictions</u></p> <ul style="list-style-type: none"> <li>Face-to-face meetings</li> <li>Telephone interview</li> </ul> <p><u>Under COVID restrictions</u></p> <ul style="list-style-type: none"> <li>Scheduled online meetings (Zoom, Zalo, etc.)</li> <li>Dedicated online (Website, Facebook...) remain open to collect feedback from beneficiaries as well as adversely affected individual/ households/ companies/ organizations</li> </ul>	<ul style="list-style-type: none"> <li>At the offices of the stakeholders.</li> <li>After the works put into operation.</li> </ul>	<ul style="list-style-type: none"> <li>Lead: Provincial DOT</li> <li>Implement: Provincial, District, DOTs</li> <li>Collaborate: District, Commune PCs</li> <li>Oversee: PPC and PMU-W</li> </ul>
	<b>2. INTERESTED GROUPS</b>				
	<ul style="list-style-type: none"> <li><b>Individuals/ households/ communities/ companies/ organizations</b></li> </ul>	<ul style="list-style-type: none"> <li>Outcomes of project, as a whole, and project activities, perceived benefits, overall users satisfaction ...)</li> <li>ES risks and impacts that may remain, measures that PMU and provincial authorities can take to address the residual ES risks sand impacts.</li> </ul>	<p><b><u>INTERACTIVE PLATFORMS</u></b> <u>Under no COVID restrictions</u></p> <ul style="list-style-type: none"> <li>Seminar/workshop/public hearings</li> <li>Telephone</li> </ul> <p><u>Under COVID restrictions</u></p>	<ul style="list-style-type: none"> <li>Affected Ward/ communes PC, and other places as convenience.</li> <li>After the works put into operation.</li> </ul>	<ul style="list-style-type: none"> <li>Lead: Provincial DOT</li> <li>Implement: Provincial, District, Commune PCs</li> <li>Oversee: PPC and PMU-W</li> </ul>

Project Stages	Target Stakeholders	Topics for consultation	Methods used	Timetable (Location & dates)	Responsibilities
		<ul style="list-style-type: none"> <li>▪ Measures that should be taken for effective and efficient operation and maintenance of project activities, particularly civil works.</li> <li>▪</li> </ul>	<ul style="list-style-type: none"> <li>▪ Scheduled online meetings (Zoom, Zalo, etc.)</li> <li>▪ Dedicated online (Website, Facebook...) remains open to collect feedback from beneficiaries as well as adversely affected individual/households/ companies/ organizations</li> <li>▪ Project outcomes and lessons learned during project implementation shared on a) project's dedicated webpage and other project social media (Facebook...), b) press lease, c) popular media channels (in print and online)</li> </ul>		

#### **5.4. Proposed Strategy to Incorporate the View of Vulnerable Groups**

##### **5.4.1. Issues need to be concerned during consultation with vulnerable groups**

73. In the SWLC Project, vulnerable and disadvantaged groups may include, but not limited to, the following groups: (i) Elderly and/or social policy households (injured ex-soldier, heroic mothers); (ii) Poor/near-poor families; (iii) People with disabilities and their careers and; (iv) Women, in particular female-headed households or single mothers with young children. Vulnerable or disadvantaged individuals or groups may have limited understanding of project information or participation in the consultation process. Vulnerable groups in the project-affected communities will be further identified and consulted throughout project cycle.
74. The consultation with vulnerable groups will be conducted in small groups. Where possible, consultation should be held in focus group discussion organized by the type of impact and by similar socioeconomic status and other relevant characteristics to the purpose of homogeneity. For example, consultation with female participants should be facilitated by experienced (female) facilitator. Men should not be invited to female consultation to foster a comfortable environment for women to raise their voice.. Similarly, vulnerable individuals should not be consulted together with the better-off when it comes to addressing their needs and support they need for livelihoods restoration, etc. Where needed, consultation with individuals in especially difficult circumstance, such as poor person with disabilities, or with poor elderly, should be conducted individually to promote provision of feedback.
75. **Feedback of vulnerable individuals and groups are key to designing mitigation measures that minimize project negative impacts on them when these impacts are not avoidable.** This section describes how the views and concerns of vulnerable or disadvantaged groups will be sought during the project design and implementation, and measures to be taken to address potential barriers to the full participation of vulnerable individuals/households in project consultation. It also describes separate mechanisms for consultation, grievances redress, and measures that allow vulnerable group to minimize potential adverse impact and receive project benefits. As mentioned in Section 3.3, the vulnerable group identified under the project may include poor or near-poor families; (poor) ethnic minorities, female-headed households; elderlies, disabilities, informal or illegal land occupants etc.
76. **Individuals and households from vulnerable group are generally poor. Some may lead precarious life and may not connected to the local mainstream population.** Given the generally loose connection with the local mainstream group, the vulnerable may have limited access to day-to-day support to earn a living – particularly from outside their family and kin. Contact them to notify of project’s consultation events may face certain difficulties because they may not be at home most of the time, and have phone access. Poor individuals may work in far away their home – as hired labor, with unstable working times. Liaison with them for handing consultation invitation may require patience. There are cases where no family members are at home to receive the invitation, and to be clarified on the consultation purpose. This also reduce the likelihood of them attending the consultation. Some families may have dependents, such as the elderly, or young children. As caregivers, these members would not join consultations unless their daily

routine can be arranged, or consultation time is adjusted to avoid conflict with their daily work. In most cases, financial assistance need to be provided (to cover the opportunity cost) to encourage them to take a day off for consultation.

77. **Special effort to reach out to the vulnerable group during consultation process is important to ensure their full participation in – either they are adversely affected or are project beneficiaries.** Tailoring engagement interventions – through methods, time schedule, format, including financial assistance, etc., to accommodate the characteristics of target vulnerable group, is essential to ensuring their full participation. In addition, due consideration need to be given to issues related to gender, language, local culture, traits of their day-to-day living activities, etc. to promote their participation and actively engage to raise up their concerns, questions, or asking for clarification as well as support that they may need. Without this due attention, their full participation to project consultation cannot be ensured, which may affect the way they are affected by the project, and/or receive intended project benefits. To ensure view of vulnerable groups are incorporated into project design, it is important the entire process of consultation be well planned and carried out. This process includes a) notification, b) consultation organization, and c) incorporation of feedback into project design and implementation.
78. The **Table 12** below summarizes typical constraints for each group, and propose way to overcome such limitations to maintain the expected consultation quality

Table 12: Limitations and mitigation measures for vulnerable groups

Disadvantaged/Vulnerable Individuals/Groups	Limitations	Mitigation measures
Elderly people and/or social policy householders (injured ex-soldier, martyrs, heroic mothers);	Limited ability to move long distance.	Meetings should be held at the local cultural house of community or at the village head/village women's unions or in-house consultation with lonely elderly households due to moving difficulties. Information documents should be clear, concise and easy to understand and in large font size.
Persons with disabilities and their caretakers.	They lack confidence in themselves. They themselves feel that they are the inferior in the society. Their travel faces a lot of difficulties.	Documents with large font size and clear, using audio-visual aides, host meetings in wheelchair accessible venues. Consultation at household is also possible
Poor/near-poor families	They lack confidence in themselves. Their voices in community meetings often have less weight.	Holding separate focus group (man, female) meetings will make it easier to express their ideas and aspirations.

Disadvantaged/Vulnerable Individuals/Groups	Limitations	Mitigation measures
Women, particularly women-headed households or single mothers with underage/dependent children	They are very limited in terms of time because they have to take on many roles at the same time.	Adjustment of timing of meetings to avoid working time; And if possible, the project arranges a facility such as care of a child or children while they participate in the meeting.

### 5.5. Timeline

79. Below is expected timeline of the project implementation:

- Project preparation: 2021 - 2022
- Bank Appraisal: 16 February 2022
- Board approval: 22 May 2022
- Project Implementation: 2022-2026
- Project closure: 2026

80. Key consultation activities as part of stakeholder engagement program are described in the **Table 13** below.

Table 13: Key consultation activities

Affected groups	Type of impacts and risks requiring consultation/engagement	Key project timelines			
		Project preparation (2021 - 2022)	Project Implementation (2022-2026)		Project completion (2026)
Affected by land acquisition			Before land acquisition	After land acquisition completion	
Affected households (land and physical resettlement)	<ul style="list-style-type: none"> <li>• Land acquisition</li> <li>• Affected land-based income generation activities</li> </ul>	<ul style="list-style-type: none"> <li>• Done on a sampling basis</li> </ul>	<ul style="list-style-type: none"> <li>• To be repeated targeting 100% affected households (when technical design for road and river dredging are finalized and approved, and when DMS is completed)</li> </ul>	<ul style="list-style-type: none"> <li>• To be done 6 months after compensation payment and physical relocation are complete</li> </ul>	<ul style="list-style-type: none"> <li>• To be done on a sampling basis as part of endline survey (i.e. for project completion report)</li> </ul>
Vulnerable households		<ul style="list-style-type: none"> <li>• Done on a sampling basis</li> </ul>			
Affected income generation activities		<ul style="list-style-type: none"> <li>• Done on a sampling basis</li> </ul>			
Households experiencing cumulative impact		<ul style="list-style-type: none"> <li>• Done on a sampling basis</li> </ul>			
HH temporarily affected during construction stage			<ul style="list-style-type: none"> <li>• To be done when specific locations and construction measures are final</li> </ul>		
State own companies	<ul style="list-style-type: none"> <li>• Electric poles and transmission line</li> <li>• Water supply line</li> <li>• Telecommunication lines</li> </ul>	<ul style="list-style-type: none"> <li>• Not yet</li> </ul>	<ul style="list-style-type: none"> <li>• To be done when DMS is completed</li> </ul>		
Private companies	<ul style="list-style-type: none"> <li>• Temporary impact during construction (limited traffic in front companies)</li> </ul>	<ul style="list-style-type: none"> <li>• Not yet</li> </ul>	<ul style="list-style-type: none"> <li>• To be done prior to construction commencement (for appropriate)</li> </ul>		

Affected groups	Type of impacts and risks requiring consultation/ engagement	Key project timelines		
		Project preparation (2021 - 2022)	Project Implementation (2022-2026)	Project completion (2026)
			construction arrangement)	
Households not affected by land acquisition but affected by ES impacts and risks during construction and/or operations				
Communities in the vicinity of the project sites	<ul style="list-style-type: none"> <li>• Dust, noise and vibration</li> <li>• Generation of wastewater and waste, traffic safety, accessibility</li> <li>• Water usage opportunities</li> <li>• Disruptions of public services such as power and water supply, drainage</li> <li>• Erosion</li> <li>• Safety risks related to construction sites</li> <li>• Social disturbance, health risks related labour influx</li> <li>• Site-specific impacts and risks Community health</li> <li>• Road traffic safety</li> <li>• Risks of GBV, including SEA/SH</li> </ul>	<ul style="list-style-type: none"> <li>• Done on a sampling basis</li> <li>• during preparation of ESIA and other ES instruments</li> </ul>	<ul style="list-style-type: none"> <li>• Inform the community before construction commencement;</li> </ul>	Repeated when construction packages are awarded to select contractors

## **5.6. Review of comments and feedbacks**

81. The stakeholder engagement process involves three key steps as following:
  - (i) share project information;
  - (ii) gather written and oral feedback (concerns, grievances); and
  - (iii) act on feedbacks and report back.
82. Multiple channels will be established to gather feedbacks from project stakeholders through channels that are convenient for them (Section 4.2 and 4.3 above).
83. Feedback/grievances submitted by stakeholders through project's multiple dedicated channels will be registered and processed by the agencies in charge, including commune PCsPC, and contractors (for matter related to construction, labor and working conditions), and other governmental agencies, particularly when affected parties move on to subsequent steps of the GRM procedures. Important feedback, such as grievances, will be acknowledged in writing by the respective grievance receiving units (commune PC, contractors, etc.) within the timeframe set forth in project's respective GRM procedure . It is noted that if a grievance is submitted through PMU-W dedicated channels (as mentioned above), PMU-W GRM focal points will acknowledge the receipt of grievance (as first thing first), meanwhile notifying the aggrieved persons that their grievance(s) will be transferred to the agency in charge who will then contact them within a period of time to acknowledge the receipt of grievance, and inform how their grievance will be addressed, including next steps in the GRM process.
84. PMU-W acts as focal point that determines how comments and grievances provided by affected parties are considered, resolved, and incorporated into project. PMU-W needs to classify feedbacks into two main groups: 1) grievances, and 2) questions, comments, suggestions. For grievances, depending on the types, grievances will be resolved by responsible agencies within the specified timeframes (described in projects GRM). For questions, comments, suggestions submitted by affected and interested parties – through face-to-face and online consultation channels, simple questions can be responded face-to-face and online. For comments, suggestions related to project design, these will be registered and considered by PMU-W in consultation with relevant stakeholders (e.g. government agencies, technical consultants...) before response can be made.
85. Responses to general questions/ comments/ suggestion will be made as soon as possible. For example, response will be made at consultation meetings if answer to questions could be given during the consultation. For questions/ comments/ suggestion that take time to consider, a summary of responses will be prepared and reported back to the affected and interested groups in the next consultation with the same group. At the same time, a summary of these responses will be shared to the general public through PMU-W's dedicated webpage on a quarterly basis, or sooner when available. Figure 1 (below) summarizes the entire consultation process loop, covering (i) share project information, (ii) gather feedback, and (iii) act on feedback and report back.

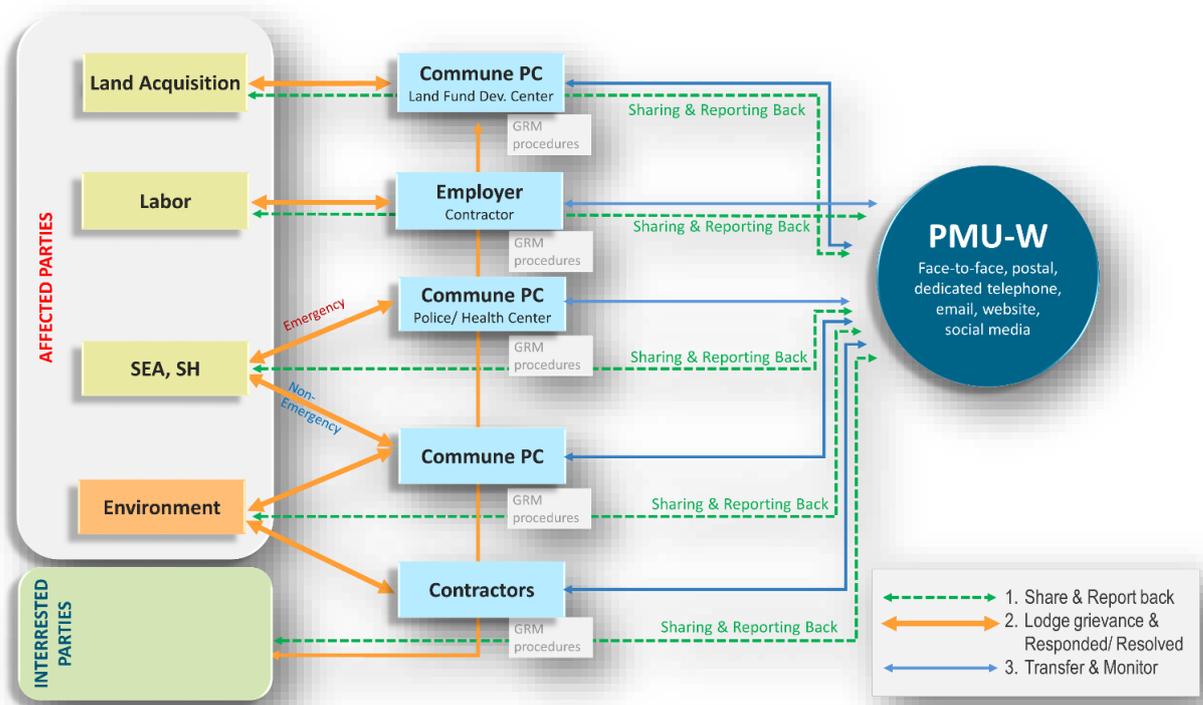


Figure 2 – Responsibility in Continuous Engagement & Closing Feedback Loop

### 5.7. Future Phases of the Project

86. The stakeholders will be kept informed as the project develops, including reporting on project's re-evaluation of environmental and social risks and impact (following feasibility study finalization), and environmental and social performance and implementation of the stakeholder engagement plan and grievance redress mechanism during project implementation. Project will maintain annual report to project stakeholders, as a minimum, but will report more frequently during periods when construction is unfold and people may experience more impacts or when phases are changing (for example, quarterly reports during construction, then annual reports during implementation).
87. With regards to grievance redress mechanism, complainants will be informed the progress of grievance solution – through the grievance mechanism designed specific to the nature and the impact of the affected people, e.g. workers, or land affected households.

## VI. RESOURCES AND RESPONSIBILITIES FOR IMPLEMENTING STAKEHOLDER ENGAGEMENT ACTIVITIES

### 6.1. Resources

#### 6.1.1. Appointment of Staff in charge

88. The PMUW will be in charge of stakeholder engagement activities. The **Table 13** below provides contact information of PMUW's members that people can use to provide comments or questions about the project, or the consultation process; including how their comments are incorporated into project design and implementation. In case there is change to the following personal, this SEP will be updated to reflect new arrangements of personnel and will be disclosed through the same information channel.

Table 14: Contact Information of key persons for SEP implementation

No.	Names	Position	Telephones	Emails
1	Duong Thanh Hung	PMUW's Director	0983119666	<a href="mailto:pmuwhanoi@gmail.com">pmuwhanoi@gmail.com</a>
2	Le Van Kieu	PMUW's Social specialist	0918277088	<a href="mailto:Levankieu74@yahoo.com">Levankieu74@yahoo.com</a>
3	Nguyen Thi Thanh Vo Thi Hong Phong	PMUW's Environmental Specialist	Mrs Thanh 0989667119 Mrs Phong 0902706690	<a href="mailto:thanhpmuw@gmail.com">thanhpmuw@gmail.com</a> <a href="mailto:hongphong1104@gmail.com">hongphong1104@gmail.com</a>
4	Le Dinh vu	PMUW's GRM focal person	0908782728	<a href="mailto:dinhvupmu@gmail.com">dinhvupmu@gmail.com</a>

89. The address of the PMUW's office as following:

- **PMUW's office in Hanoi:**
  - Address: 308 Minh Khai Street, Hai Ba Trung District, Ha Noi
  - Telephone/Fax:(024) 39747633/ (024) 39747634
  - Email: [pmuwhanoi@gmail.com](mailto:pmuwhanoi@gmail.com)
- **PMUW's office in Ho Chi Minh City:**
  - Address: 1041/80 Tran Xuan Soan Street, Tan Hung Ward, District 7, Ho Chi Minh
  - Telephone/Fax: 02837751012
  - Email: [pmuwhanoi@gmail.com](mailto:pmuwhanoi@gmail.com)

#### 6.1.2. Budget allocation for SEP implementation

90. Adequate budget for stakeholder engagement will be allocated to allow appropriate implementation of this stakeholder engagement plan. Budget for SEP will include cost for organizing meetings, workshops and trainings, hiring of staff, travelling to project locations, translation and printing of relevant materials and operating GRMs. Costs associated with consulting affected stakeholders on complaints and grievance redress in connection with contractors' day to day activities, such as hiring local workers, workers camp management, road traffic safety, etc., will be contractors' responsibility.

91. In relation to the above scope of stakeholder engagement, a budget of **VND 1,256,000,000** (equivalent to **US\$ 55,000**) is estimated for the implementation of the Stakeholder Engagement Plan. This budget will be provided by PMUW and does not include the costs for independent environmental and social monitoring consultant which is estimated separately in the RAP.

Table 15: Estimation of budget for SEP implementation

No.	Stakeholders Engagement Activities	Interpretation	Unit	Quantity	Unit Prices	Total Cost (VND)
<b>I</b>	<b>Project Preparation Phase</b>					-
1	Information Disclosure: (i) Draft version of SEP, ESCP, ESIA, RAP and LMP; (ii) Final version of SEP, ESCP, ESIA, RAP and LMP.	Included in the Bidding Package for E&S documents	-	-	-	-
2	Consultations about (i) Project interventions and scope; and E&S principles, and risks/impacts and proposed mitigation measures		-	-	-	-
3	Citizen Engagement at design stage	Included in the Design Package	-	-	-	-
<b>II</b>	<b>Project Implementation and close out Phases</b>					<b>1,150,000,000</b>
1	Training Courses					
1.1	<i>The ESIA/ESMP, RAP, EMDP, LMP, SEP and Coordination activities<sup>3</sup></i>	<i>(i) For representatives of Departments/sectors, local authorities, PMUW staff, LFDCs. Implementation right before starting project activities, expected 06 courses (01 courses for each province/city), 20 people each course. (ii) To representatives of Contractor and Construction Supervision Consultant. Implement as soon as possible after mobilization of contractors. Estimated 06 courses (01 course for each civil works package), 15 people each course.</i>	-	-	-	-

<sup>3</sup>The cost for the training courses will be included in CSC and IMC packages

No.	Stakeholders Engagement Activities	Interpretation	Unit	Quantity	Unit Prices	Total Cost (VND)
	<i>Labor and Working Conditions, including Occupational Health and Safety Module, and GBV</i>	<i>For PMUW staff, representatives of Contractors and Construction Supervision Consultants. Implement as soon as possible mobilization of contractors. Estimated 5 courses (01 course for each civil works package), 15 people each course.</i>	-	-	-	-
2	Project inception meetings and review meetings					
2.1	<i>Disseminate information and compensation policies</i>	<i>Included in the cost of RAP implementation</i>	-	-	-	-
2.2	<i>Resettlement and livelihood restoration options</i>		-	-	-	-
2.3	<i>Land compensation and acquisition packages; Resettlement and livelihood restoration implementation.</i>		-	-	-	-
2.4	<i>Selection criteria and TOR for employment opportunities for construction work.</i>	<i>Included in the Contractor's Construction Packages</i>	-	-	-	-
2.5	<i>Raising awareness of the people about the sustainable environment and connecting to the project's roads</i>	<i>Objects are the beneficiary households in the service area of the project. The awareness raising will be coordinated in many forms, as detailed below:</i>	-	-	-	-

No.	Stakeholders Engagement Activities	Interpretation	Unit	Quantity	Unit Prices	Total Cost (VND)
	<i>Public meetings/training/workshops (TOT training)</i>	<i>TOT training for key communication staff in 21 communes and 11 districts of 05 city/provinces under the project area. Expected 32 courses (05 in provincial level, 11 in district level and 23 in communal level) with 20 participants for each course.</i>	course	39	20,000,000	760,000,000
	<i>Broadcasting news (include in the news program of local TV and louder speaker of communes/wards)</i>		-	-	-	-
2.6	Periodic E&S monitoring	Included in the independent monitoring consulting package	-	-	-	-
2.7	Ex-post E&S evaluation		-	-	-	-
3	Citizen Engagement at design	Included in the Design Package	-	-	-	-
4	Communication materials		lumpsum/course	39	10,000,000	390,000,000
<b>III</b>	<b>Sub-Total (= I + II)</b>					<b>1,150,000,000</b>
<b>IV</b>	<b>Contingency (10%)</b>					<b>115,000,000</b>
	<b>TOTAL</b>					<b>1,265,000,000</b>

## **6.2. Management Functions and Responsibility**

92. The overall management responsibility for carrying out stakeholder engagement activities is Director of the PMUW. For effective implementation, PMUW needs to engage various stakeholders identified in Chapter 3 (above). However, the participations of governmental agencies, such as People's Committees and their functional agencies at three levels (provincial, district, and commune), and the community in the project area, are key to effective SEP implementation.

- **Responsibilities of Provincial Peoples Committees (PPCs)**

93. The PPCs are responsible as following in the SEP implementation:

- Approve and disclose final SEP and other E&S instruments at provincial level before project appraisal;
- Oversee the implementation of the SEP at project level
- Support PMUW in engaging necessary stakeholders, particularly governmental agencies at provincial level and central levels
- Direct City/District/Township Peoples Committees and related agencies at provincial level to engage in the project preparation and implementation;
- Resolve complaints of complainants regarding to land acquisition and administrative decisions related to direct workers.

- **Responsibilities of District Peoples Committees (DPCs)**

94. The DPCs are responsible as following in the SEP implementation:

- Disclose SEP and other E&S instrument at district level;
- Oversee the implementation of the SEP at District level
- Support PMUW in engaging necessary stakeholders, particularly governmental agencies under District Peoples' Committee in the preparation and implementation of the project;
- Direct related agencies at District level and communal People's Committees to engage in the project preparation and implementation.
- Resolve complaints of complainants regarding to land acquisition at district level.

- **Responsibilities of Ward and Commune Peoples Committees (W/CPCs)**

95. The W/CPCs are responsible as following in the SEP implementation:

- Cooperate with PMUW to disclose and implementation of the SEP and other E&S instruments at ward/commune level
- Support PMUW in engaging affected people in consultation meetings and land acquisition process;
- Where necessary, engaging mass organizations, e.g. Women's Union, Farmers' Association, etc., to provide support to specific groups, such as affected female groups, affected farmers, affected vulnerable groups
- Resolve complaints of complainants regarding to land acquisition at commune level.

- **Responsibilities of local communities in the project area**

96. The local communities in the project are responsible as following in the SEP implementation:

- Actively participate in consultation meetings organized at ward/commune and village levels
  - Provide comments and suggestions for the project based on the information provided by the meeting facilitators;
  - Provide supervision on the implementation of the project including technical design, land acquisition, livelihood restoration, GRM;
  - Assist PMUW and contractors to identify the potential E&S risks and impacts related to labour influx, and discuss with PMU and contractors about measures that can be taken to avoid, or minimize the potential risks and impact to community.
  - Proactively advise PMUW and contractors the customs and habit of the community to enable PMUW and contractors to adapt to work in harmony with the community along and in vicinity of the project roads.
  - Support local authorities to resolving complaints of affected people at community.
- **Responsibility of Construction Supervision Consultants (CSCs)**
97. The CSCs are responsible as following in the SEP implementation:
- Conducting training for contractors, workers and local communities on LMP, GBV/SEA/SH, ESHS;
  - Set up and maintain hotlines to receive feedback and concerns on ES issues.
- **Responsibility of Independent ES monitoring consultant**
98. The Independent ES monitoring consultant is responsible as following in the SEP implementation:
- Conducting training for PMUs, LFDCs, contractors on RAP, ESMP;
  - Set up and maintain hotlines to receive feedback and concerns on ES issues.
- **Responsibility of Contractors**
99. The Contractors are responsible as following in the SEP implementation:
- Inform the workers on ESHS requirements, codes of conducts, and the GRM
  - Provide training on ESHS for the workers.
100. It is noted that at the ward/community level, SEP activities will be carried out by PMUW environmental and social team, with support of the relevant departments at province or city level. However, some of the consultation will be conducted by PMUW's consultants as per the consultant's contract with PMUW. For instance, the E&S independent monitoring consultant will conduct consultation with affected household, typically every six months, to collect feedback from individual and households affected by land acquisition, whereas the district Land Fund Development Center (who will be contracted by PMUW) to conduct various rounds of consultation with the affected households – from detailed measurement survey through compensation payment and resettlement arrangement.
101. Every Stakeholder consultation event will be documented in writing. This documentation will include a record of dates and venues where meetings were held, participants lists, type of information shared with participants and key issues discussed, and minutes of any commitments made or agreements reached. Summary of consultation outcomes,

including pending issues will be briefed to the management of PMUW on a monthly basis, or as soon as possible, depending on the nature of the issues.

102. The SEP will remain in the public domain throughout the project life, and will be updated when changes are made, particularly related to the scope, nature, and the responsibilities of the designated personnel.

## VII. GRIEVANCE REDRESS MECHANISM (GRM)

### 7.1. Purpose of the Project GRMs

103. **The project has designed a set of Grievance Redress Mechanisms (GRM) which complainants can easily use to lodge a grievance/ concern.** The GRMs guide complainants through steps on how a complaint could be filed, including channels through which a complaint can be submitted, time-limit for each step, acknowledgement of receipt of complaint, notification of resolution decision, etc.). During the grievance resolution process, dialogues will be hold between GRM personnel in charge and the aggrieved person, where possible, to offer opportunity for both sides to understand the issue, clarify and solve the grievance in a manner that is amicable and efficient. The project also has an appeal option that complainant can resort to, particularly when they are not satisfied with the complaint resolution results, or they did not hear back from the grievant resolving unit within the specified timeframes.

### 7.2. Description of the Project GRMs

104. **The project GRMs are developed on the basis of current relevant laws and regulations of Viet Nam which hold agencies in charge of complaint resolution accountable to the complaint resolution process.** All grievances will be registered, processed, and followed up. Grievance resolution results will be documented by agencies receiving and resolving the complaints. PMU-W will also maintain a record of all project related grievances. A GRM focal will be appointed within PMU-W to assist PMU-W in following up the resolution process of all project related grievance, and to receive and transfer complaints in agency in charge of compliant resolution. Under this project, collective grievances are also accepted. A collective complaint can be lodged through the group's representative. For EM peoples, informal grievance mechanism currently adopted by EM people are accepted to ensure the GRM that the EM prefers is culturally appropriate to them.

105. **To ensure vulnerable group can easily access and use the project's GRM, project GRMs will disclosed and clarified to them during consultation meetings during project preparation and project implementation.** These GRMs are also posted at the dedicated website of PMU-W, and websites of provincial DOTs, and posted at billboards of Peoples Committee at all project communes. During consultation sessions, project leaflet that contains also project GRMs will be delivered to all affected people who attend the consultation sessions. Contact details, including name of PMU-W GRM focal points, telephone, email, are available on PMU-W webpage, and in leaflet in case complaints want to call to seek further guidance on how to use project's GRM.

#### 7.2.1. Summary of national legislation of grievance and complaint

106. **The key law that governs complaint resolution procedures in Vietnam is the Law on Complaints (Law No.02/2011/QH13, dated 11 November 2011).** The law specifies the rights and obligations of the complainant and the complaint resolution personnel. It also sets forth principles and procedures that should be applied to whole grievance redress process. As labor management, gender-based violence, land acquisition are issues of typically high concerns, and the following laws are applied to the complaint resolution process.

- Law on Complaints (No.02/2011/QH13, dated 11 November 2011)

- Law on Denunciation (No.25/2018/QH14, dated 12 June 2018), Land Law (No. 45/2013/QH13, dated 29 Nov 2013)
- Law on Administrative Procedures (No. 93/2015/QH13, dated 25 November 2015)
- Labor Code (No. 45/2019/QH14, dated 20 November 2019)
- Law on Cadre and Civil Servant (No.22/2008/QH12, dated 13 November 2008 and No. 52/2019/QH14 amending the Law No. 22/2008/QH12)
- Law on Public Employee (58/2010/QH12, dated 15 November 2010)
- Law modifying some articles for cadre, civil servant, and public employee (No. 52/2019/QH14, dated 25 November 2019)
- Law on Domestic Violence Prevention and Control (No. 02/2007/QH12, dated 21 November 2007)

107. Under the above laws, relevant decrees and circulars may be applied to guide the complaint resolution process – for specific matters. These legal documents include:

- Decree No. 124/2020/NĐ-CP (dated 19 October 2020)
- Decree No. 24/2018/NĐ-CP (dated 27 February 2018) regarding complaints and denunciation related to labor.
- Decree No. 08/2009/NĐ-CP providing detailed regulation and guidance on implementation of some articles of Law on Domestic Violence Prevention and Control
- Circular No. 07/2013/TT-TTCP (dated 31 October 2013) specifying procedure for administrative complaint resolution
- Circular No. 02/2016/TT-TTCP (20 October 2016) amending and supplementing some articles of Circular No. 07/2013/TT-TTCP.

### **7.2.2. Guiding principles**

108. Based on the guidance of the above legal documents, the following guiding principles are used to ensure the requirements of the national laws and those of the World Bank regarding GRM design are harmonized:

- **Project’s GRM will be disclosed in public domains** (e.g. websites of PMU-W, provincial DOT, notice board at commune People’s Committee...).
- **Complaint can be lodged in written or verbal<sup>4</sup>, and through multiple channels**, including direct submission (handing), postal mail, email, and telephone to commune PC and/or PMU-W.
- **Complainant can appoint his/her representative**. In case they cannot directly file a complaint, complainant can ask their family member, or someone they trust to transcribe their complaint, and act as their representative to lodge the complaint.

---

<sup>4</sup> If verbal complaint is made at one-stop shop of Peoples Committee at commune, district, or provincial levels, the competent person who receive the complainant at the one-stop shop will guide the complainant to fill in complaint form. If complainant does not know how to write, the person receiving the complainant will help the complainant write down his/her complaints and asked the complainant for their signature or fingerprint to the form completed (Article 8, Law on Complaints 2011).

- **Anonymous complaints are accepted through all project channels dedicated to receiving grievances.** Complaints that are anonymous will be registered and processed if sufficient information are provided to allow further investigation.
  - **Complaint will be registered in logbook** by parties receiving the complaints and will be monitored by the party in charge of complaint resolution. A grievance database will be established and maintained by PMU-W and managed by PMU-W's GRM focal point).
  - **Complainant will be acknowledged in writing.** For all levels (commune, district and province), the person/agency in charge of resolving the complaint will notify complainants in writing and initiate the complaint resolution process within 10 days from receipt of the complaint.
  - **Timeframe for grievance resolution is specified for each step**, including period of prescription. All grievances will be acknowledged within 10 working days and solved within (i) 30 working days of receiving the grievance for the first level (maximum 45 working days for complicated case or remote area); (ii) 45 working days of receiving the grievance for the second and third levels (maximum 60 working days for complicated case or remote area).
  - **A grievance resolution decision will be issued** in writing and sent to the complainant, and the relevant parties within 3 and 7 working days following the date of issuing decisions for the first and second levels, respectively. Decision of the court is final decision that both defendant and complainant have to execute.
  - **Complainants bear no costs associated with the entire complaint resolution process.** Costs related to grievances arising as a result of project impact will be borne by the project.
  - **Public disclosure of complaint resolution decisions will be made.** Information that identifies complainants will be removed for privacy reason.
109. Based on the above principles, three GRMs have been designed for project use, including GRM for complaints related to (1) land acquisition, (2) labor management, and (3) gender-based violence (SEA and SH). Details of these procedures are provided in respective documents: Resettlement Plan and Labor Management Procedures. Please see RP and LMP for details [*the link of PMUW's website will be inserted here*]. A summary of the three GRM procedures are provided below.

### **7.2.3. Summary of three GRMs**

- **For land acquisition and physical resettlement issues**
110. **Complaint concerning land acquisition, physical resettlement, and relevant issues are expected to be lodged through commune Peoples' Committees.** Submission of complaints can be done using emails, postal, hand delivery, or verbally through direct meeting or telephone. Within 10 days from the date of receiving the complaint, the person in charge of complaint resolution shall accept the complaint and notify the complainant in writing. Time limit for complaint resolution – from the date of acceptance, is 30 days for first-time complaint, and 45 days for second time and third-time complaint. The statute of limitation (for initiating a lawsuit) is 30 days from the date the time-limit for complaint resolution expires, and from the date the complainant receives the

complaint resolution decision. In remote area where travel is difficult, statute of limitation can be extended but not exceed 45 days. Complainant can also initiate a lawsuit at any stage of the grievance resolution process if they disagree with the complaint resolution decision, or if the case are not resolved following the expiry of the time-limit for complaint resolution (see Resettlement Plans for details) [*the link of PMUW's website will be inserted here*].

111. **Complaints can also be submitted to PMU-W – in writing or verbally, through PMU-W dedicated channels.** Complaints filed through PMU-W will be registered in PMU-W GRM logbook and will be transferred to parties directly responsible for resolving the grievances – as per law.

- **For labor and working conditions**

112. **Complaints related to employment opportunities, wages, payment, working conditions, health, safety, administrative acts and decisions, discipline decisions, etc. are handled through different procedures as regulated by the law.** The GRM for project workers provides steps that direct and contracted workers can follow to file a complaint related to labor and working conditions. Project workers can submit their complaint in writing, or face-to-face verbally – except for complaint against discipline decision which must be submitted to their employer/contractor who are responsible for solving first-time complaint. Complainant can also lodge a grievance through PMU-W using email, post, or telephone using PMU-W dedicated channels for GRM. Complainant can bring their case to the court of law at any stage during the complaint resolution process (See **Labor Management Procedures** for details). [*the link of PMUW's website will be inserted here*].

- **For SEA and SH**

113. For emergency, domestic violence incidences can be reported to nearest police stations, or to commune People's Committee or the village head. These units are legally responsible to taking action to address the incidence, including provision of immediate help and support to the GBV survivors. In addition, these formal channels, domestic violence incidences can be reported through informal channels, such as GBV community-based groups that are established with the support of provincial Women's Union to provide assistance to GBV victims.

114. When non-emergency cases, GBV grievance can be submitted verbally or in writing through commune Peoples' Committees. Complaints can also be sent through PMU-W by telephone, letter, or email. GBV complaints are redressed in accordance with the Vietnam's Law on Complaint 2011. The time limit for complaint resolution – from the date of acceptance, is 30 days for first-time complaint, and 45 days for second time and third-time complaint. Complainant may bring the case to the court if the case is not resolved following the expiry of the time-limit for complaint resolution. If complaint disagrees with the complaint resolution decision/result, they can initiate a lawsuit to court of law within 30 days from the date of issuance of the complaint resolution decision. In remote area where travel is difficult, statute of limitation can be extended but shall not exceed 45 days. Complainant can initiate a lawsuit at any stage of the grievance resolution process (See Labor Management Procedures for details) [*the link of PMUW's website will be inserted here*].

### **7.3. Responsibilities of PMU-W**

115. PMU-W will work closely with PC at all levels to actively monitor and assist the resolution of any grievance received from complainants. PMU will appoint two staff members to serve as GRM focal point and GRM operator for GBV issues. The GRM focal point will maintain a logbook that record all grievances received, including information related to the nature of the grievances, dates of receipt, names, contact details of the aggrieved affected persons, actions that have been taken, and status of grievance resolution.
116. Names and contact details of GRM Focal Points and GRM operator for GBV issues will be included in project GRMs, and will be disseminated through project' information booklet, PMU-W website, and posted at public billboard at People's Committees of all project communes. All complaints and grievances will be documented carefully and fully and will be resolved in a timely and transparent manner. A summary of grievance resolution results will be made public through PMU-W's quarterly internal monitoring report and semi-annual independent monitoring report of independent monitoring consultant. All costs associated with the grievances of the complainant will be borne by the project.

## VIII. MONITORING AND REPORTING

117. PMU-W takes the lead role and assume an overall responsibility in monitoring the implementation of all activities and process laid out in this SEP. To promote the participation of all stakeholders during project implementation, stakeholders are encouraged to monitor project activities that affect them – directly or indirectly.
118. This Stakeholder Engagement Plan (SEP) will be periodically revised and updated as necessary during project implementations to ensure that the information in this document is up to date, reflecting the development, including the nature and magnitude of environmental and social risks and impacts. Monthly summary and internal reports on public grievances, enquiries and relating incidents, together with the status of implementation of associated corrective/preventative actions will be gathered by responsible staff and reported to the management of PMUW. The monthly summary will also provide way for assessing both the number and the nature of complaints and requests for information.

### 8.1. Involvement of stakeholders in monitoring activities

119. **Independent E&S monitoring.** PMU will engage an independent E&S monitoring consultant (IMC) as a third party to assist PMU in monitoring and evaluation of the implementation of E&S risk and impact management and mitigation measures, including compensation and resettlement. The independent E&S monitoring consultant will undertake periodic E&S monitoring every six months on the implementation of E&S risk and impact management in compliance with regulations set forth in the project's ESIA/ESMP, RAP, SEP and LMP. They will also monitor closely the implementation of project's GRM.
120. The IMC will be recruited at the beginning of project implementation, based on criteria for selection of third parties set forth in the ESIA/ESMP and RAP (see these documents for details).
121. **Community Monitoring.** As per Decree 84/2015/NĐ-CP (dated 30 September 2015) regarding investment supervision and assessment, local people can establish community investment supervision board to conduct environmental, social and construction safety supervision on their voluntary basis. During project implementation, communities who benefit from the project road will be encouraged to establish a local team as per Decree 84/2015/NĐ-CP to monitor and provide their feedback on issues associated with the construction works.

### 8.2. Reporting back to Stakeholders

122. For community concerns, the project will report back to community and other relevant stakeholder groups, primarily through public meetings and/or public disclosure where people of community can easily access such as community's common house or communal office. The feedback report will be shared or disclosed to concerned community and other stakeholders within the timeframe set up in the stakeholder engagement program.
123. For individual concerns, including grievances related to E&S issues such as inaccurate measurement of affected land area, undervalued compensation rate, or request for additional support for livelihood restoration, the PMUW and local implementing agencies will report back individually, through the same channel the grievances are received, for

convenient follow-up on the part of the affected persons. Feedback received through the GRM will be responded in writing and sent directly to complainant via postal mail.

124. For comments of stakeholders both affected and concerned parties on the project design, safeguards documents, they will be addressed in relevant documents and posted on the websites of PMUW, relevant webpage of the provincial PCs, and also posted locally in the public notice board at communes' Peoples Committee office. Comments, questions submitted in association with specific documents disclosed on the above websites will be reviewed and responded in a timely manner as regulated in ESCP, SEP, ESMP, RAPs and LMP.
125. Stakeholders are always reminded of available GRM for lodging their concerns, grievances and complaints related to the project implementation, including the implementation of E&S risk and impact management and mitigation measures via public meeting, consultation and feedback reports.

## ANNEXES

### Annex 1 – Monitoring Indicators of Stakeholder Engagement

No.	Monitoring parameters	Performance Monitoring Indicators
1	<b>Project information dissemination &amp; disclosure</b>	<ul style="list-style-type: none"> <li>▪ Percentage of adversely affected households receiving project ES leaflets (that have information about project’s potential ES risks and impacts, proposed mitigation measures, grievance redress mechanism...)</li> <li>▪ Percentage of vulnerable adversely affected households receiving project ES leaflets</li> <li>▪ Average number of days that information about potential ES risks and impacts are provided to the target group before conducting consultation</li> </ul> <p><b><i>For EM peoples</i></b></p> <ul style="list-style-type: none"> <li>▪ Percentage of adversely affected EM households received written project information in their own language (leaflet, summary of project information, incl. ES risks and impacts, mitigation measures, compensation, assistance, livelihoods restoration plan, GRM...)</li> </ul>
2	<b>Public meetings/ consultation</b>	<ul style="list-style-type: none"> <li>▪ Percentage of adversely affected households attending public meetings</li> <li>▪ Percentage of vulnerable adversely affected households attending target consultation sessions</li> <li>▪ Number of public meetings hold</li> <li>▪ Number of public meetings hold after RP is approved for implementation (compensation payment/resettlement)</li> <li>▪ Percentage of severely affected households attending consultation following updating of RP.</li> <li>▪ Number of facilitated home visits made to affected vulnerable households who have difficulties moving (caregiver to people with disabilities, or other justifiable reasons that prevent them from attending meetings)</li> </ul> <p><b><i>For EM peoples</i></b></p> <ul style="list-style-type: none"> <li>▪ Percentage of adversely affected EM households consulted in their local EM language.</li> </ul>
3	<b>Participatory monitoring</b>	<ul style="list-style-type: none"> <li>▪ Number of monitoring groups voluntarily set up by local community (per Decree 84/2015/NĐ-CP dated 30 September 2015)</li> <li>▪ Percentage of key issues raised by community monitoring group that are solved in quarterly reporting period</li> </ul>
4	<b>Reporting back to stakeholders</b>	<ul style="list-style-type: none"> <li>▪ Number of meetings hold to report back to stakeholders (on specific issues discussed/concerns raised in previous consultation meetings)</li> <li>▪ Percentage of key issues raised that are considered and incorporated into project design/implementation</li> </ul> <p><b><i>For EM peoples</i></b></p>

No.	Monitoring parameters	Performance Monitoring Indicators
		<ul style="list-style-type: none"> <li>▪ Percentage of key issues raised by EM peoples are solved, and reported back in their EM language</li> </ul>
5	<b>Grievance Mechanisms</b> <b>Redress</b>	<ul style="list-style-type: none"> <li>▪ Percentage of adversely affected households receiving project leaflets with guidance on steps and procedures for lodging complaints/grievance</li> <li>▪ Percentage of vulnerable adversely affected households receiving project leaflets with guidance on steps and procedures for lodging complaints/grievance</li> <li>▪ Percentage of affected households randomly asked (e.g. during independent ES monitoring trips) acknowledge their understanding of GRM procedures (e.g. can name at least three steps, and court appeal)</li> <li>▪ Percentage of grievance solved within the time frame stipulated for each step</li> <li>▪ Percentage of complaints related to compensation rates</li> <li>▪ Percentage of complaints related to accuracy of measurement data</li> <li>▪ Percentage of complaints related to physical resettlement (e.g. location of resettlement plots, households splitting, payment methods...)</li> <li>▪ Percentage of complaints related to environmental impacts</li> </ul>
	<b>Beneficiary indicators</b> <b>feedback</b>	<ul style="list-style-type: none"> <li>▪ Percentage of complaints indicate they are guided carefully in the first time they contact agency in charge of complaint resolution</li> <li>▪ Percentage of complaints indicate they are satisfactory grievance time-limit (prescription period)</li> <li>▪ Percentage of complaints who indicate they are satisfactory with grievance resolution results</li> <li>▪ Percentage of beneficiaries who feel that project investments reflect their needs</li> </ul>

## **Annex 2 – General guide COVID-19 considerations in construction/civil works**

**INTRODUCTION.** The Contractor should identify measures to address the COVID-19 situation. What will be possible will depend on the context of the project: the location, existing project resources, availability of supplies, capacity of local emergency/health services, the extent to which the virus already exist in the area. A systematic approach to planning, recognizing the challenges associated with rapidly changing circumstances, will help the project put in place the best measures possible to address the situation. As discussed above, measures to address COVID-19 may be presented in different ways (as a contingency plan, as an extension of the existing project emergency and preparedness plan or as standalone procedures). Implementing Agencies (IA) and contractors should refer to guidance issued by relevant authorities, both national and international (e.g. WHO), which is regularly updated (WHO advice for the public, including on social distancing, respiratory hygiene, self-quarantine, and seeking medical advice, can be consulted on this WHO website: <https://www.who.int/emergencies/diseases/novel-coronavirus-2019/advice-forpublic>).

Addressing COVID-19 at a project site goes beyond occupational health and safety, and is a broader project issue which will require the involvement of different members of a project management team. In many cases, the most effective approach will be to establish procedures to address the issues, and then to ensure that these procedures are implemented systematically. Where appropriate given the project context, a designated team should be established to address COVID-19 issues, including PMU representatives, the Supervising Engineer, management (e.g. the project manager) of the contractor and sub-contractors, security, and medical and OHS professionals. Procedures should be clear and straightforward, improved as necessary, and supervised and monitored by the COVID-19 focal point(s). Procedures should be documented, distributed to all contractors, and discussed at regular meetings to facilitate adaptive management. The issues set out below include a number that represent expected good workplace management but are especially pertinent in preparing the project response to COVID-19.

### **(a) ASSESSING WORKFORCE CHARACTERISTICS**

Many construction sites will have a mix of workers e.g. workers from the local communities; workers from a different part of the country; workers from another country. Workers will be employed under different terms and conditions and be accommodated in different ways. Assessing these different aspects of the workforce will help in identifying appropriate mitigation measures:

- The Contractor should prepare a detailed profile of the project work force, key work activities, schedule for carrying out such activities, different durations of contract and rotations (e.g. 4 weeks on, 4 weeks off).
- This should include a breakdown of workers who reside at home (i.e. workers from the community), workers who lodge within the local community and workers in on-site accommodation. Where possible, it should also identify workers that may be more at risk from COVID-19, those with underlying health issues or who may be otherwise at risk.
- Consideration should be given to ways in which to minimize movement in and out of site. This could include lengthening the term of existing contracts, to avoid workers returning home to affected areas, or returning to site from affected areas.

- Workers accommodated on site should be required to minimize contact with people near the site, and in certain cases be prohibited from leaving the site for the duration of their contract, so that contact with local communities is avoided.
- Consideration should be given to requiring workers lodging in the local community to move to site accommodation (subject to availability) where they would be subject to the same restrictions.
- Workers from local communities, who return home daily, weekly or monthly, will be more difficult to manage. They should be subject to health checks at entry to the site (as set out above) and at some point, circumstances may make it necessary to require them to either use accommodation on site or not to come to work.

**(b) ENTRY/EXIT TO THE WORK SITE AND CHECKS ON COMMENCEMENT OF WORK**

Entry/exit to the work site should be controlled and documented for both workers and other parties, including support staff and suppliers. Possible measures may include:

- Establishing a system for controlling entry/exit to the site, securing the boundaries of the site, and establishing designating entry/exit points (if they do not already exist). Entry/exit to the site should be documented.
- Training security staff on the (enhanced) system that has been put in place for securing the site and controlling entry and exit, the behaviors required of them in enforcing such system and any COVID - 19 specific considerations.
- Training staff who will be monitoring entry to the site, providing them with the resources they need to document entry of workers, conducting temperature checks and recording details of any worker that is denied entry.
- Confirming that workers are fit for work before they enter the site or start work. While procedures should already be in place for this, special attention should be paid to workers with underlying health issues or who may be otherwise at risk. Consideration should be given to demobilization of staff with underlying health issues.
- Checking and recording temperatures of workers and other people entering the site or requiring self-reporting prior to or on entering the site.
- Providing daily briefings to workers prior to commencing work, focusing on COVID-19 specific considerations including cough etiquette, hand hygiene and distancing measures, using demonstrations and participatory methods.
- During the daily briefings, reminding workers to self-monitor for possible symptoms (fever, cough) and to report to their supervisor or the COVID-19 focal point if they have symptoms or are feeling unwell.
- Preventing a worker from an affected area or who has been in contact with an infected person from returning to the site for 14 days or (if that is not possible) isolating such worker for 14 days.
- Preventing a sick worker from entering the site, referring them to local health facilities if necessary or requiring them to isolate at home for 14 days.

**(c) GENERAL HYGIENE**

Requirements on general hygiene should be communicated and monitored, to include:

- Training workers and staff on site on the signs and symptoms of COVID-19, how it is spread, how to protect themselves (including regular hand washing and social

distancing) and what to do if they or other people have symptoms (for further information see [WHO COVID-19 advice for the public](#)).

- Placing posters and signs around the site, with images and text in local languages.
- Ensuring hand washing facilities supplied with soap, disposable paper towels and closed waste bins exist at key places throughout site, including at entrances/exits to work areas; where there is a toilet, canteen or food distribution, or provision of drinking water; in worker accommodation; at waste stations; at stores; and in common spaces. Where hand washing facilities do not exist or are not adequate, arrangements should be made to set them up. Alcohol based sanitizer (if available, 60- 95% alcohol) can also be used.
- Review worker accommodations, and assess them in light of the requirements set out in [IFC/EBRD guidance on Workers' Accommodation: processes and standards](#), which provides valuable guidance as to good practice for accommodation.
- Setting aside part of worker accommodation for precautionary self-quarantine as well as more formal isolation of staff who may be infected.

#### **(d) CLEANING AND WASTE DISPOSAL**

Conduct regular and thorough cleaning of all site facilities, including offices, accommodation, canteens, common spaces. Review cleaning protocols for key construction equipment (particularly if it is being operated by different workers). This should include:

- Providing cleaning staff with adequate cleaning equipment, materials and disinfectant.
- Review general cleaning systems, training cleaning staff on appropriate cleaning procedures and appropriate frequency in high use or high-risk areas.
- Where it is anticipated that cleaners will be required to clean areas that have been or are suspected to have been contaminated with COVID-19, providing them with appropriate PPE: gowns or aprons, gloves, eye protection (masks, goggles or face screens) and boots or closed work shoes. If appropriate PPE is not available, cleaners should be provided with best available alternatives.
- Training cleaners in proper hygiene (including hand washing) prior to, during and after conducting cleaning activities; how to safely use PPE (where required); in waste control (including for used PPE and cleaning materials).
- Any medical waste produced during the care of ill workers should be collected safely in designated containers or bags and treated and disposed of following relevant requirements (e.g., national, WHO). If open burning and incineration of medical wastes is necessary, this should be for as limited a duration as possible. Waste should be reduced and segregated, so that only the smallest amount of waste is incinerated (for further information see WHO interim guidance on water, sanitation and waste management for COVID-19).

#### **(e) ADJUSTING WORK PRACTICES**

Consider changes to work processes and timings to reduce or minimize contact between workers, recognizing that this is likely to impact the project schedule. Such measures could include:

- Decreasing the size of work teams.
- Limiting the number of workers on site at any one time.
- Changing to a 24-hour work rotation.

- Adapting or redesigning work processes for specific work activities and tasks to enable social distancing, and training workers on these processes.
- Continuing with the usual safety trainings, adding COVID-19 specific considerations. Training should include proper use of normal PPE. While as of the date of this note, general advice is that construction workers do not require COVID-19 specific PPE, this should be kept under review (for further information see WHO interim guidance on rational use of personal protective equipment (PPE) for COVID-19).
- Reviewing work methods to reduce use of construction PPE, in case supplies become scarce or the PPE is needed for medical workers or cleaners. This could include, e.g. trying to reduce the need for dust masks by checking that water sprinkling systems are in good working order and are maintained or reducing the speed limit for haul trucks.
- Arranging (where possible) for work breaks to be taken in outdoor areas within the site.
- Consider changing canteen layouts and phasing meal times to allow for social distancing and phasing access to and/or temporarily restricting access to leisure facilities that may exist on site, including gyms.
- At some point, it may be necessary to review the overall project schedule, to assess the extent to which it needs to be adjusted (or work stopped completely) to reflect prudent work practices, potential exposure of both workers and the community and availability of supplies, taking into account Government advice and instructions.

#### **(f) PROJECT MEDICAL SERVICES**

Consider whether existing project medical services are adequate, taking into account existing infrastructure (size of clinic/medical post, number of beds, isolation facilities), medical staff, equipment and supplies, procedures and training. Where these are not adequate, consider upgrading services where possible, including:

- Expanding medical infrastructure and preparing areas where patients can be isolated. Guidance on setting up isolation facilities is set out in [WHO interim guidance on considerations for quarantine of individuals in the context of containment for COVID-19](#). Isolation facilities should be located away from worker accommodation and ongoing work activities. Where possible, workers should be provided with a single well-ventilated room (open windows and door). Where this is not possible, isolation facilities should allow at least 1 meter between workers in the same room, separating workers with curtains, if possible. Sick workers should limit their movements, avoiding common areas and facilities and not be allowed visitors until they have been clear of symptoms for 14 days. If they need to use common areas and facilities (e.g. kitchens or canteens), they should only do so when unaffected workers are not present and the area/facilities should be cleaned prior to and after such use.
- Training medical staff, which should include current WHO advice on COVID-19 and recommendations on the specifics of COVID-19. Where COVID-19 infection is suspected, medical providers on site should follow [WHO interim guidance on infection prevention and control during health care when novel coronavirus infection is suspected](#).
- Training medical staff in testing, if testing is available.

- Assessing the current stock of equipment, supplies and medicines on site, and obtaining additional stock, where required and possible. This could include medical PPE, such as gowns, aprons, medical masks, gloves, and eye protection. Refer to WHO guidance as to what is advised (for further information see [WHO interim guidance on rational use of personal protective equipment \(PPE\) for COVID-19](#)).
- If PPE items are unavailable due to world-wide shortages, medical staff on the project should agree on alternatives and try to procure them. Alternatives that may commonly be found on construction sites include dust masks, construction gloves and eye goggles. While these items are not recommended, they should be used as a last resort if no medical PPE is available.
- Ventilators will not normally be available on work sites, and in any event, intubation should only be conducted by experienced medical staff. If a worker is extremely ill and unable to breathe properly on his or her own, they should be referred immediately to the local hospital (see (g) below).
- Review existing methods for dealing with medical waste, including systems for storage and disposal (for further information see WHO interim guidance on water, sanitation and waste management for COVID-19, and WHO guidance on safe management of wastes from health-care activities).

#### **(g) LOCAL MEDICAL AND OTHER SERVICES**

Given the limited scope of project medical services, the project may need to refer sick workers to local medical services. Preparation for this includes:

- Obtaining information as to the resources and capacity of local medical services (e.g. number of beds, availability of trained staff and essential supplies).
- Conducting preliminary discussions with specific medical facilities, to agree what should be done in the event of ill workers needing to be referred.
- Considering ways in which the project may be able to support local medical services in preparing for members of the community becoming ill, recognizing that the elderly or those with pre-existing medical conditions require additional support to access appropriate treatment if they become ill.
- Clarifying the way in which an ill worker will be transported to the medical facility, and checking availability of such transportation.
- Establishing an agreed protocol for communications with local emergency/medical services.
- Agreeing with the local medical services/specific medical facilities the scope of services to be provided, the procedure for in-take of patients and (where relevant) any costs or payments that may be involved.
- A procedure should also be prepared so that project management knows what to do in the unfortunate event that a worker ill with COVID-19 dies. While normal project procedures will continue to apply, COVID-19 may raise other issues because of the infectious nature of the disease. The project should liaise with the relevant local authorities to coordinate what should be done, including any reporting or other requirements under national law.

#### **(h) INSTANCES OR SPREAD OF THE VIRUS**

WHO provides detailed advice on what should be done to treat a person who becomes sick or displays symptoms that could be associated with the COVID-19 virus (for further information see [WHO interim guidance on infection prevention and control during health care when novel coronavirus](#) infection is suspected). The project should set out risk-based procedures to be followed, with differentiated approaches based on case severity (mild, moderate, severe, critical) and risk factors (such as age, hypertension, diabetes). These may include the following:

- If a worker has symptoms of COVID-19 (e.g. fever, dry cough, fatigue) the worker should be removed immediately from work activities and isolated on site.
- If testing is available on site, the worker should be tested on site. If a test is not available at site, the worker should be transported to the local health facilities to be tested (if testing is available).
- If the test is positive for COVID-19 or no testing is available, the worker should continue to be isolated. This will either be at the work site or at home. If at home, the worker should be transported to their home in transportation provided by the project.
- Extensive cleaning procedures with high-alcohol content disinfectant should be undertaken in the area where the worker was present, prior to any further work being undertaken in that area. Tools used by the worker should be cleaned using disinfectant and PPE disposed of.
- Co-workers (i.e. workers with whom the sick worker was in close contact) should be required to stop work, and be required to quarantine themselves for 14 days, even if they have no symptoms.
- Family and other close contacts of the worker should be required to quarantine themselves for 14 days, even if they have no symptoms.
- If a case of COVID-19 is confirmed in a worker on the site, visitors should be restricted from entering the site and worker groups should be isolated from each other as much as possible.
- If workers live at home and has a family member who has a confirmed or suspected case of COVID19, the worker should quarantine themselves and not be allowed on the project site for 14 days, even if they have no symptoms.
- Workers should continue to be paid throughout periods of illness, isolation or quarantine, or if they are required to stop work, in accordance with national law.
- Medical care (whether on site or in a local hospital or clinic) required by a worker should be paid for by the employer. (i) CONTINUITY OF SUPPLIES AND PROJECT ACTIVITIES Where COVID-19 occurs, either in the project site or the community, access to the project site may be restricted, and movement of supplies may be affected.
- Identify back-up individuals, in case key people within the project management team (PIU, Supervising Engineer, Contractor, sub-contractors) become ill, and communicate who these are so that people are aware of the arrangements that have been put in place.
- Document procedures, so that people know what they are, and are not reliant on one person's knowledge.
- Understand the supply chain for necessary supplies of energy, water, food, medical supplies and cleaning equipment, consider how it could be impacted, and what

alternatives are available. Early pro-active review of international, regional and national supply chains, especially for those supplies that are critical for the project, is important (e.g. fuel, food, medical, cleaning and other essential supplies). Planning for a 1-2 month interruption of critical goods may be appropriate for projects in more remote areas.

- Place orders for/procure critical supplies. If not available, consider alternatives (where feasible).
- Consider existing security arrangements, and whether these will be adequate in the event of interruption to normal project operations.
- Consider at what point it may become necessary for the project to significantly reduce activities or to stop work completely, and what should be done to prepare for this, and to re-start work when it becomes possible or feasible.

#### **(j) TRAINING AND COMMUNICATION WITH WORKERS**

Workers need to be provided with regular opportunities to understand their situation, and how they can best protect themselves, their families and the community. They should be made aware of the procedures that have been put in place by the project, and their own responsibilities in implementing them.

- It is important to be aware that in communities close to the site and amongst workers without access to project management, social media is likely to be a major source of information. This raises the importance of regular information and engagement with workers that emphasizes what management is doing to deal with the risks of COVID-19. Allaying fear is an important aspect of work force peace of mind and business continuity. Workers should be given an opportunity to ask questions, express their concerns, and make suggestions.
- Training of workers should be conducted regularly, as discussed in the sections above, providing workers with a clear understanding of how they are expected to behave and carry out their work duties.
- Training should address issues of discrimination or prejudice if a worker becomes ill and provide an understanding of the trajectory of the virus, where workers return to work.
- Training should cover all issues that would normally be required on the work site, including use of safety procedures, use of construction PPE, occupational health and safety issues, and code of conduct, taking into account that work practices may have been adjusted.
- Communications should be clear, based on fact and designed to be easily understood by workers, for example by displaying posters on hand washing and social distancing, and what to do if a worker displays symptoms.

#### **(k) COMMUNICATION AND CONTACT WITH THE COMMUNITY**

Relations with the community should be carefully managed, with a focus on measures that are being implemented to safeguard both workers and the community. The community may be concerned about the presence of non-local workers, or the risks posed to the community by local workers presence on the project site. The following good practice should be considered:

- Communications should be clear, regular, based on fact and designed to be easily understood by community members.
- Communications should utilize available means. In most cases, face-to-face meetings with the community or community representatives will not be possible. Other forms of communication should be used; posters, pamphlets, radio, text message, electronic meetings. The means used should take into account the ability of different members of the community to access them, to make sure that communication reaches these groups.
- The community should be made aware of procedures put in place at site to address issues related to COVID-19. This should include all measures being implemented to limit or prohibit contact between workers and the community. These need to be communicated clearly, as some measures will have financial implications for the community (e.g. if workers are paying for lodging or using local facilities). The community should be made aware of the procedure for entry/exit to the site, the training being given to workers and the procedure that will be followed by the project if a worker becomes sick.
- If project representatives, contractors or workers are interacting with the community, they should practice social distancing and follow other COVID-19 guidance issued by relevant authorities, both national and international (e.g. WHO).

**ANNEX 3: TEMPLATE TO RECORD GRIEVANCES/ GRIEVANCE LOG**

Name of Complainant (or anonymous)	Sex (M/F/ Other)	Age	Contact info	Date Received  (include different stages/ steps in the Grievance System if relevant, i.e. date of complaint at first stage, date at second stage, etc.)	Nature of the grievance (Environmental, land acquisition, social, health, etc.)  Describe the complaint	To whom was grievance submitted (include different stages/steps in the Grievance System if relevant)	Description of the problem	Actions to be done to resolve grievance (include different stages/steps in the Grievance System if relevant)	Responsible department	Responsible person	Due Date	Current Status (open/ closed)

**ANNEX 4: SAMPLE FORM TO SUBMIT GRIEVANCES**

FULL NAME AND LAST NAME of Complainant (or Anonymous):

\_\_\_\_\_

GENDER: \_\_\_\_\_

AGE: \_\_\_\_\_

CONTACT DETAILS (by post, by telephone, by e-mail):

\_\_\_\_\_

STATEMENT OF GRIEVANCE (Reason for complaint and activity leading to complaint. Please include as much details as possible to answer the following questions: (i) what happened, (ii) when it happened, (iii) who did it happen to, (iv) what was the impact of what happened. Include additional information as needed/desired.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

REMEDY REQUESTED BY COMPLAINT:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

FOR ADMIN USE ONLY:

Date Grievance Received: \_\_\_\_\_

- a. In person
- b. In writing

Grievance Received by: \_\_\_\_\_

## ANNEX 5: TEMPLATE TO RECORD CONSULTATIONS

**Date and Time:**

**Organizer:**

**Location:**

### TOPIC/OBJECTIVE

[Describe what is the purpose of the consultation, what information is being presented, what feedback is being sought, etc.]

### SUMMARY OF INFORMATION PRESENTED

[Describe the format of the consultation, who facilitated/presented, the language used, brief summary of information presented, whether information had been shared in advance, etc. Please note information provided should cover project activities and expected environmental and social impacts, as well as proposed mitigation measures and project's grievance redress mechanism.]

### SUMMARY OF PARTICIPANTS

[Describe the total number and type of stakeholders (e.g. % of female, % of ethnic minority people, etc.) that are part of the consultations, how they were invited, any special measures that were taken to accommodate them, etc.]

### FEEDBACK RECEIVED

Who	Description / Feedbacks/Inputs
	•
	•
	•
	•
	•
	•

### NEXT STEPS

[Describe any next steps that may be relevant following this consultation, such as documents that may need to be updated, how participants will be informed whether their feedback was incorporated, follow-up meetings planned, etc.]

### PARTICIPANT'S LIST AND PHOTOS

[Attach]