

Socialist Republic of  
Vietnam

**MINISTRY OF AGRICULTURE AND RURAL DEVELOPMENT**

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Natural Disaster RISK MANAGEMENT Project

**ETHNIC MINORITY POLICY FRAMEWORK**

**(Final)**

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### Abbreviations

CEMMA	Committee for Ethnic Minorities and Mountainous Areas
EMDP	Ethnic Minority Development Plan
MARD	Ministry of Agriculture and Rural Development
PPU	Project Preparation Unit
M&E	Monitoring and Evaluation
NGO	Non Governmental Organization
CPMO	Central Project Management Office
PPMU	Provincial Project Management Unit
RAP	Resettlement Action Plan
SIA	Social Impact Assessment
NDMP	Natural Disaster Mitigation Project

## **I. Introduction**

1. Vietnam is a natural disaster prone country. Because of the country's geographic position and topography, the country suffers from typhoons, tropical storms, floods, drought, seawater intrusion, hail storms, landslides, forest fires, and occasionally earthquakes. Disasters triggered by typhoons and floods are by far the most frequent and severe. In spite of all its efforts, supported by international aids, Vietnam does not seem to overcome the impacts caused by this woe. Disasters are affecting Vietnam's economy, about a minus 2% on its GDP for the last decade, thus are becoming a major hindrance factor of the country's development.

2. This IDA supported Natural Disaster Mitigation Project (NDMP) seek to help in the implementation of the stated government policies of saving lives, protecting property, economic assets, livelihood and cultural identity of communities living in hazard prone areas. The project seeks to promote sustainable development and environmentally responsible attitudes in improving the efficiency of medium and long-term disaster reconstruction and recovery efforts.

3. The NDMP consists of 4 components which will be implemented over a six-year period starting from 2005

- (i) Structural and non-structural sub-projects to mitigate natural disasters
- (ii) Community Based Natural Disaster Mitigation (with smaller projects)
- (iii) Post-Disaster Reconstruction Support
- (iv) Institutional capacity building for natural disaster mitigation

4. Among these 4 components, the Components 3 and 4 cover the whole Vietnam territory, but they have either only a planned for post-disaster recovery feature and uncertainly-localized nature (the third), or of institutional character (the fourth). Meanwhile, the two first components anticipated to implicate direct, either negative (resettlement) or/and positive, social impacts on local population, including local ethnic minorities. Moreover, the Component 2 is community-based, which means participatory approach to be its key issue. The Components 1 and 2 include the most disaster-prone 17 provinces of the Central Coastal region (13 provinces) and of the Mekong River Delta (4 provinces) of Viet Nam, namely Thanh Hoa, Nghe An, Ha Tinh, Quang Binh, Quang Tri, Thua Thien – Hue, Quang Nam, Quang Ngai, Binh Dinh, Phu Yen, Khanh Hoa, Ninh Thuan and Binh Thuan (Central Coastal), and Long An, Dong Thap, An Giang and Ben Tre (the Mekong River Delta).

5. According to the national census of 1999, Ethnic Minorities<sup>1</sup> comprise about 14 percent of the national population and number about 10.5 million people. There are 53 recognized ethnic minority groups, of which fifty (50) groups mainly reside in uplands and

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<sup>1</sup> Ethnic minorities are the term used in this Framework for Ethnic Minority Development Plan (EMDP) for which the World Bank's policy OD 4.20 on Indigenous Peoples applies.

central coastal regions, while three (3) minority groups mostly live in the Mekong Delta plains. The Kinh group is the majority ethnic in the country.

6. In line with the World Bank’s Operational Directives on Indigenous People (OP 4.20) this policy framework is developed to guide the preparation and implementation of Ethnic Minority Development Plan (EMDP) for sub-projects in areas where ethnic minority live in groups. The policy framework (PF) sets out policy objectives and guidelines for the design and implementation of project provisions regarding ethnic minorities. It also provides guidance for processing and documentation requirements during preparation, implementation, and evaluation of NDMP.

7. Review of ethnic data at provincial level indicates that all the 17 provinces under the project consideration have ethnic minority populations, where there live 30 out of the 53 officially recognized ethnic minority groups (See Table 1 below).

8. Since the project is expected to have impacts on ethnic minority groups living in the project areas, then, based on this policy framework, Ethnic Minority Development Plans (EMDPs) will be developed for each of the sub-projects where ethnic minorities live. The EMDPs are to ensure that these ethnic minority groups are informed of impending project activities, and consulted regarding design and its outcomes so that all investments are carried out in ways that ensure that ethnic minority needs, institutions, and customs are accounted for to adapt responses which may be best known to these communities themselves.

9. The screening of ethnic minorities for Component 1 and 2 for the Year 1 shows that there only Binh Thuan (province) CBDRM subproject (C2, in Bac Binh district) has ethnic minorities. Hence, a respective EMDP should be developed in accordance with provisions of this EMPF. The Vuc Mau Reservoir Rehabilitation Subproject (C1, Quynh Luu district, Nghe An province) is also located in areas having ethnic minorities. However, the results of field surveys and social impacts assessment of Vuc Mau Subproject revealed that there no direct, both negative and positive, impacts would be posed on the local ethnic minorities. Thus, an abbreviated EMDP has been developed for Vuc Mau Subproject for ensuring that ethnic minorities would be fully informed on the project and involved in the development process.

**Table 1 : Demographic Statistics of 17 Provinces under the NDMP**

No	Name of Provinces	Population (1000.per s)	Males (1000.per s)	Females (1000per s)	Ethnic Groups(1000.pers)
<b>North Central Coast Provinces</b>					
1	Thanh Hoa	3534.1	1727	1807.1	Kinh (2898.3); Tay(0.4);Thai(210.9; Hoa(0.3); Muong(328.7); H.mong(13.3); Dao(5.0); Khomu(0.6); Other groups(76.6)
2	Nghe An	2951.5	1453.2	1498.3	Kinh (2477.3); Thai(269.4); Muong(0.5); Tho(56.3) H.mong(26.0); Dao(0.4); Khomu(27); Other groups(94.6)

No	Name of Provinces	Population (1000.pers)	Males (1000.pers)	Females (1000pers)	Ethnic Groups(1000.pers)
3	Ha Tinh	1299.6	637.6	662	Kinh (1268.1); Other groups(31.5)
4	Quang Binh	825.5	408.1	417.4	Kinh (780.1); Bru-vankieu(10.9); Chut(3.4); Other groups(31.1)
5	QuangTri	596.8	293.6	303.2	Kinh (521); Bru-vankieu(40.8);Ta Oi(10.3); Other groups(24.7)
6	Thua Thien Hue	1091.6	538.4	553.2	Kinh (1006.1); Bru-vankieu(0.8);Ta Oi(24.4); Co Tu(12.1); Hoa(0.4);Other groups(47.8)
<b>South Central Coast Perovinces</b>					
7	Quang Nam	1420.9	687.3	733.6	Kinh (1280.5); Tay(0.5); Hoa(1.1); Muong(0.3);Mnong(13.7); Co To(37.3); Gie Trieng(4.5); Other groups(83.0)
8	Quang Ngai	1223.6	596.4	627.2	Kinh (1052.1); Xu Dang(11.7); Hre(102.9); Co (22.7); Other groups(34.2)
9	Binh Dinh	1513.1	734.5	778.6	Kinh (1431.7); Hoa(0.8); Ba Na(15.2); Cham(4.3); Hre(7.6); Other groups(53.5)
10	Phu Yen	823.5	407.8	415.7	Kinh (747.0); Tay( 1.5); Hoa(0.5); Nung(1.3); Dao (0.3); E De(3.4); Cham(16.2); Other groups(310.6)
11	Khanh Hoa	1080.8	534.5	546.3	Kinh (983.5); Tay( 1.2); Hoa(3.7); Muong(0.4); Nung(0.6); E De(2.5); Other groups(88.9)
<b>South East and Mekong River Delta Provinces</b>					
12	Ninh Thuan	542.6	267.6	275	Kinh (394.0); Hoa(2.5); Nung(0.6); Co Ho(2.43);Cham(57.1); Ra Glai(47.6); Chu Ru(0.3); Other groups(38.1)
13	Binh Thuan	1096.7	547.2	549.5	Kinh (973.8); Tay( 4.5); Hoa(11.2); Nung(1.9); Muong(0.4);Gia Rai(0.4);Co Ho(8.8); Cham(29.3);Ra Glai(12.5); Cho Ro(2.3); Other groups(51.6)
14	An Giang	2128.8	1047.2	1081.6	Kinh (1940.4); Hoa(11.3); Cham(12.4); Kho Me(78.7);Ngai(0.4); Other groups(85.6)
15	Long An	1363.6	668.3	695.3	Kinh (1301.8); Hoa(2.7); Other groups(59.1)
16	Ben Tre	1319	638.1	680.9	Kinh (1293.1); Hoa(5.2); Other groups(20.7)
17	Dong Thap	1607.8	788.6	819.2	Kinh (1562.8); Hoa(2.6); Kho Me(0.4); Other groups(42.0)

10. This policy Framework is based on results of preliminary screening of ethnic minorities, reviews of secondary literature related to ethnic minorities in the proposed project areas, project's social impacts assessment, stakeholders consultation, including interviews and group discussions with local authorities at different levels and with ethnic minorities. Focused group discussion, group and household interviews were conducted with Khmer ethnic minority group in Tan Duyet commune, Dam Doi district, Ca Mau province; with Thais ethnic group in Cam Son and Phuc Son communes, Anh Son district, Nghe An province to learn about local natural disaster experiences and designing strategies of empowering and planning for capacity building. Consultation with Thais ethnic minority was also carried out

for Vuc Mau subproject, in Tan Thang commune, Quynh Luu district, Nghe An province, to make its social impacts assessment and preparation of the Vuc Mau's EMDP.

## **II. General situation of ethnic minorities in Vietnam**

11. While ethnic minorities in Vietnam are scattered all over the country, about 80% Ethnic Groups live in the uplands. The upland minority groups are the Thai, Muong, Tay, Nung, H'Mong, Dao, Ede, Gia Rai, M'Nong, Xu Dang, Ba Na, etc... The remainder live predominantly in the Lowland regions of Central Coast and Me Kong Delta Provinces, mix with the Kinh, majority group. The lowland ethnic minority groups are the Hoa (Chinese), Cham and Kh'me.

12. Population growth in the mountainous regions is higher than the national population growth rate, which is 2.1 percent. In the Northern region, the population growth rate is 2.3 percent and in the Central Highlands it is 3 percent. For several ethnic groups, the population growth rate is much higher than the national average.

13. There is great diversity among the ethnic minority groups in terms of their size, language, lifestyle, customs and beliefs, social organization, and means of livelihood that generalization is not possible. However, there are some characteristics that are commonly shared by ethnic minority groups:

- Attachment with community land, natural resources, social organization and lifestyle;
- Their customs, beliefs and rituals, lifestyles, community organization, the role of family, respect for elders and village authorities reflect the differences in their language and cultural traditions; and
- Level of social integration can be characterized and measured by the Human Development Indicator (HDI) poverty, education, health care, infrastructure, etc.

14. Over the last decade, Vietnam has made considerable progress in achieving economic growth and in reducing poverty. Most Vietnamese have better lives today than they had ten years ago. But poverty reduction has been fairly uneven: the urban poverty rate is 6.6% compared to 35.7%. in rural areas, while in some pockets of the Northwest mountains it reaches 68.7%. There are twice more ethnic minorities (75 percent) who fall below the poverty line compared to Kinh (31 percent). The gap in income and living standards between ethnic minorities and the Kinh population is seen to be widening.

15. In recent years, education and training for the Ethnic Minority people have made active changes, most of hamlets now enjoy school. More than 50% of school are concretely made, about 95% of school boys go to school.

16. People's health care work has been deeply concerned, network of local health care is further developed, all communes enjoy clinic, provinces' hospitals are increasingly upgraded with equipment serving for treatment. Communal primary health care and treatment have made great progress, the provinces have better implemented nation programs of epidemic

prevention.

17. The basic technical infrastructure, including transportation, power supply and tele-communication network have been improved radically in areas with concentration of ethnic minorities, thanks to the great common efforts made and investments given by the Government to the Ethnic Minorities and Mountainous, remote and difficulty communes and own efforts and contributions of local communities. Thus, according to Results of the recent Vietnam Household's Living Standards Survey of GSO for the year 2002, 90.3% of hamlets/villages in the low mountainous areas and 86.56% of those ones in high mountainous areas have access to vehicle-accessible roads. The rate is a bit higher for hamlets/villages of upland/hilly areas. In the Mekong Delta, where inland waterways are traditional transport means, the ratio of hamlets/villages accessing to vehicle roads (equal 62.32%) are much lower than the national average. According to results of this survey, up to 85.57 % of hamlets/villages of difficulty and remotest areas now have access to the National Power Grid; 42.58% of them have access to tele-communication network, and 59.6% - are neighbored to places having tele-communication service. Between the two National Living Standards Surveys, VLSS 1997-1998 and VLSS 2002, the average distance from hamlets/villages that do not have schools insides, to nearest primary schools has been reduced from 2.66km to 2.26 km for the low mountainous and difficulty areas, and from 4.81km to 3.15 km for the high mountainous areas... All the above indicate that the living conditions of upland, mountainous and remote areas have been and are continued to be improved remarkably. Nonetheless, numerous difficulties, which are related to relatively inadequate infrastructure and/or determined by economical and socio-cultural factors, still remain, posing great challenges for ethnic minorities to catch up and make use benefits from the common socio-economic development process in the country.

18. Literacy is lower among ethnic minorities. The literacy ratio for ethnic minorities is estimated to be 73 percent compared to 90 percent for the total population. Primary education is available for 90 percent of the total population while for ethnic and poor it is much more limited. At secondary and higher education levels, gender disparities still exists due to cost, fees, and socio-cultural barriers.

19. In order to fill the human resources needs of the ethnic minority groups, the National Education Target Program for Mountainous Areas established boarding schools in 47 lower and secondary provincial schools. Notably, 200 elementary and lower secondary schools at district level and 10 pre-university institutions have been developed and improved. Every year, about 4000 high school graduates are eligible to enroll in universities and colleges. These students are expected to provide the manpower for ethnic minority mountainous area development.

20. In general, the ethnic minority women suffer more from the effect of poverty and disadvantaged living conditions than ethnic minority men. The women's situation is also influenced by many socio-cultural practices that are related to gender issues.

21. Illiteracy among women is double that for men. According to the VLSS for 2002, the adult female rate of illiteracy is 10.7 percent compared to 4.75 percent for men. The situation is much worse

in the mountainous ethnic minority areas, where the adult illiteracy is much higher: equal 28.7% for female and 11.25% for male in the Western Northern Mountains region; 12.6% for female and 6.8% for male in the Northern Mountain region; and, 18.4% and 9.6% respectively for the Central Highland region.

22. There are strict division of labor between men and women, although variations are common among ethnic minority communities. Women are assigned the traditional “women’s work” such as taking care of domestic chores, reproductive and family care and activities related to hygiene and sanitation. In preventive and health care practices at household level, women play a specific role in the care of common diseases based on local experience and traditional knowledge; in food preparation and cooking, diet as well as household living arrangements.

23. Ethnic minority women often lack the knowledge about their rights. This is exacerbated by the prevalence of traditional customs and practices that has a negative impact on women’s health and development.

24. Gender gaps are more marked and complex among certain ethnic minority groups. Some ethnic minority groups maintain strong matrilineal traditions where women’s status is higher than men’s. This is found among the Cham, Ede and Hmong groups. Men are still considered the representative head and main decision maker in the household and community. Generally, women have a limited role and representation in the public community sphere. This situation is accentuated by the language barrier which is typically more pronounced for women than for men.

In ethnic minority communities the role and power of village elders is strong.

### **III. General information on ethnic minorities in project areas**

25. As mentioned above, there are about 30 ethnic minorities live in the 17 project provinces of the Central Coast and Mekong Delta. Although ethnic minorities in the project provinces may reside intersected or mixed with each other and with the Kinh majority, in one area may present people of different ethnic groups, but general geographical trends in distribution of different ethnic minorities are remarkable.

26. The most populous ethnic minorities in the Northernmost Central Coastal provinces such as Thanh Hoa and Nghe An include Muong, Thai and H’Mong groups. Most of other local ethnic minority people also belong to the same language families with them, namely Viet - Muong, Tay-Thai and Meo-Dao.

27. In Thanh hoa, the Muong is the largest ethnic minority group ( 45%), living close to lowlands and villages of Kinh majority. The Thai is a populous local ethnic group too (25%), distributed in Am river catchmen, in Lang Chanh and Quan Hoa districts. The H’Mong people (20%) occupy highest attitudes of western mountains at borders with Lao Republic. The Dao group (6%) forms small scarttered settlements on mountain high sides.



28. In Nghe An, the Thai is the largest ethnic minority group (65%), followed by Muong ethnic group (20%). The rest are H'Mong, Xa Khmu, who occupy bordering with Laos mountainous territories.
29. Ha Tinh has very few ethnic minority population, with some small groups such as Ma Lieng in its south-west mountains, and some Thai, H'Mong, Dao, Xa Khmu and Muong in its mountainous Northern-West.
30. The Northern-West of Quang Binh is the habitat of Muong language speaking ethnic minorities such as Nguon, Sach, while its South-West is the area of Khua, Van Kieu and other groups of the same, Mon-KhMer, language family.
31. The ethnic minorities of Viet - Muong language family count for 49.5% of the total population of the mountainous Northern Central Coast provinces, making up almost a half of the total ethnic minority population speaking Muong language of the North of Vietnam. They include Muong, Moi Bi, Tho, Vuon, Dan Lai, Ly Ha, Nguon, Sach, Ruc... Muong ethnic minority is the largest local ethnic minority group of the mountainous west of Thanh Hoa and Nghe An. The most of Muong language speaking groups reside in uplands, where the plains change to the mountains. They came to the region for many centuries. They live neighboring with lowland Vietnamese to the East and with mountainous Thais to the West. In general, the Muong speaking ethnic minorities have relatively advanced agriculture, possessing more or less developed medium- or small scale irrigation systems, productions tools and experienced in farming techniques, by which they are almost in the level similar to that of the local Kinh group. The ethnic minorities of Muong language group usually form relatively big villages at foot-hills or on hills sides surrounding more or less open and fertile valleys. Some their groups, such as Tho, Nguon and Sach..., occupy relatively remote areas, building houses on sides of forested mountains and cultivating upland crops. Several other small ethnic minority groups, such as Ruc, still are hunters or collectors of wild products and practice primitive cultivation, occupying more remote land.
32. The ethnic minorities of Thais language group share 43.4% of the total mountainous population of the Northern Central Coastal region, counting for almost one third of their total population in the North of Vietnam. According to anthropologist's experts, the most of ethnic minorities of Thais language group in the Northern Central Coastal Vietnam are belonged to the ethnic group of black Thais, who immigrated into the region from the Northern mountainous areas of Laos during the XI-XIII centuries. They formed different local groups of Thais over the region. Generally most of the Thais speaking ethnic minority groups are farmers, cultivating both wet-rice and upland crops along the valleys of more or less big rivers. A part of Thais live close to Muongs, occupy relatively low and even terrains, next to waterways or main roads. Other Thai ethnic groups habituate on more steep mountain sides, or occupy narrow and remote valleys, where scarcely populated and further from communication roads.

33. The Meo-Dao speaking ethnic groups consist about 3.2% of total ethnic minority population of the Northern Central Coastal region. H'Mong, or Meo, ethnic group occupy the highest altitudes, usually at 500m-1000m above the sea level, where climate is rather temperate. Below altitudes of H'mong there live Dao ethnic minority. A settlement of H'Mong usually gathers only more or less than 20 houses/families, while that of Dao composes lesser, of about 5-7 houses. H'Mong and Dao traditionally practice slash and burn agriculture and depend a lot on forest products. Both H'Mong and Dao are shifting or nomadic settlers.

34. The ethnic minorities of Mon-Khmers language group make up 1.9% of the mountainous population of the Northern Central Coastal region. They include Khua, Van Kieu, Ba Hi, Ta Oi, Bru... They mostly occupy undulate highland, more or less even hills, next to upstream of big rivers. All of them are farmers, practicing both wetland and upland farming. Their villages used to be in proximity from each to other and people from different villages usually visit each others. Each village of Khua and Van Kieu minorities usually have about 20-30 houses and settle in a location for about 15-20 years then shift to new sites.

35. Ta Oil and Pa Co ethnic minorities in Thua Thien Hue; Co Tu in Quang Nam; Gie Trieng and Xe Dang and Mnong in Quang Nam and Quang Ngai, Ba Na in upland Binh Dinh and Phu Yen, Co Ho in Khanh Hoa and Binh Thuan are belong to the Mon-Khmer language group.

36. The Cham is the most populous ethnic minority group in the Southern Coast of Vietnam. Out of Cham's total population of about 90,000 people throughout Vietnam, two third of them are concentrated in Southern Coastal provinces, such as Binh Dinh (about 3,000 people), Ninh Thuan and Binh Thuan (57,000 people). The rest 30,000 of Cham live in the Mekong Delta, concentrating in An Giang and Kien Giang provinces, and some in the Eastern South. They are the ethnicity whose forebears made up the Champa Kingdom in the Central part of Vietnam in the ancient time. The Cham have their own scripts. While the Cham in plains of the Southern Central Coastal provinces mainly engage in agriculture, mostly based on cultivation of crops and, in much lesser extend, animal husbandry, the Cham in An Giang, in contrast, mostly engage in commercial activities, particularly of traditional medicine and cloth, or are being fishermen of the Mekong river downstream water. Usually, the Cham form separate, pure ethnic villages in a pure or in a ethnic-mixed communes. Most the Cham of Southern Central Coastal provinces practice Hinduism and are matrilineal. Traditional Hinduism Cham families are extended, including many generations. Land and properties used to be common assets of all members of extensive family. The oldest women are heads in Hinduism Cham families and are household's decision-makers. The small part of Central Coastal Cham believes to Muslim. The latter is religion for the most of Cham of the Mekong River Delta.

37. Besides of Cham, Khmers and Hoa also present in considerable numbers, forming ethnic minority communities in An Giang, project provinces of the Mekong Delta. Unlike the other ethnic minorities, people of Hoa ethnic group used to be among the better-off

population, representing relatively well-off traders and residing mostly in towns throughout the Delta.

The Khmers (who are ethnically the same as the major population in Cambodia), often are poor rural farmers or fishermen.

38. The most of ethnic minorities living in upland, mountainous parts have houses built on stilts. While the plain-habituating ethnic minorities, including Cham and Khmers live in on-ground houses. The role of elders, chief of villages and heads of kinships still play important role in social relations within the ethnic minority communities.

#### **IV. Policy Framework**

39. The main objective of this Ethnic Minority Framework is to provide specific guidance on how Ethnic Minority Development Plans for the NDMP sub-projects are to be carried out. The plans will provide details such as whether ethnic minorities live in project areas, their livelihood, socio-cultural, and political systems including their institutions and decision-making processes. These details will help in the project planning to ensure that the development process fosters full respect for their dignity, human rights, and cultural uniqueness. More specifically, it is to ensure that EMs do not suffer adverse impact as a result of the project. The World Bank's OD 4.20 on Indigenous People emphasizes that the strategy for addressing the issues pertaining to indigenous peoples must be based on *informed participation* of indigenous people themselves. Thus identifying local preferences through direct consultation, incorporation of indigenous knowledge into project approaches are core activities for any project that affect indigenous people and their rights to natural and economic resources. Thus starting at an early stage a specialist experienced in ethnic minority issues will work to ensure that they are consulted throughout the project cycle.

40. The Vietnam Law upholds the equality of ethnic minority groups, as stipulated in Article 5 in the Vietnam Constitution (1992):

*“The Socialist Republic of Vietnam is a united nation having many nationalities. The State implements a policy of equality and unity and supports the cultures of all nationalities and prohibits discrimination and separation. Each nationality has the right to use its own language and characters to preserve their culture and to improve its own traditions and customs. The State carries out a policy to develop thoroughly and gradually improve the quality of life of ethnic minorities in Vietnam physically and culturally.”*

41. Policies for ethnic minority groups have been promulgated to reduce migration trends among the ethnic groups. A landmark policy is Government Guidance No.525/TTG on 2/11/1993 that called for the implementation of development in the highland and ethnic areas. Its main points were

- Develop infrastructure especially transportation road system and fresh water supply;

- Increase food security;
- Consolidate the education system, adjust education program based on the characteristics of provinces, create favorable conditions, and support the non-formal education programs; and
- Develop the internal economy.

42. Under these government policies, ethnic minority groups have been receiving critical benefits, such as preferential treatment in college admission and provision of basic necessities such as cooking oil, kerosene, and iodized salt at highly subsidized rates. The government, foreign donor agencies, and many NGOs have organized numerous development and special assistance programs that targeted ethnic minorities. Substantial funds have been invested with the intention of helping the uplands in general and ethnic minorities in particular to “catch up” with lowland areas.

43. In 1994, the Committee for Ethnic Minorities and Mountainous Areas (CEMMA), an agency directly under the office of the Prime Minister, was assigned as coordinator for Instruction 525, which significantly increased the role of CEMMA in the development of ethnic minorities.

44. In November 1995, the Framework for External Assistance to Ethnic Minority Development was enacted. Based on previous experience, the Framework suggested a new strategy for ethnic minority development within the government policy objectives of stability, sustainable growth and equity, and poverty alleviation. Among the operational implications of this new strategy were: (i) a need for an integrated policy and planning framework, which is participatory; (ii) a concern to strengthen the management capacities of CEMMA and existing agents; (iii) a recognition of cultural, linguistic and social differences; (iv) an emphasis on balancing investments in human resources and physical infrastructure; (v) a participatory approach which employs consultation with ethnic minorities; and (vi) a need to improve the flow of resources to identify poverty groups.

45. Decision 135 from 1998 put the framework into policy and focused specifically on poverty alleviation for ethnic minority groups. The general objectives were: (i) rapidly improving the life of ethnic minority groups in extremely poor villages in mountainous and remote areas; (ii) creating better conditions for these rural areas in order to surmount poverty and backward and slow development, (iii) integrating ethnic minority groups in the general development of the whole country; and (iii) contributing to security, safety, and natural defense. Among the goals from 1998-2005 were: eliminating hunger and reducing poverty by 4-5% annually (and 25% by 2005), supporting infrastructure (domestic water supply, building vehicle roads to commune centers, and promoting rural market development), encouraging children to go to school in right age, providing training to the majority of ethnic minority groups, enriching them with knowledge and skills of production, and controlling dangerous diseases.

46. Thus Vietnam’s legal stated policy concerning ethnic minorities is similar in content to the World Bank policy on Indigenous Peoples OD 4.20. The policies of the Government regarding ethnic minorities do not contradict or prevent any of the provisions of OD 4.20 to be

implemented in NDMP. This policy framework will apply to all subprojects under the NDMP where Ethnic Minority people is living in there.

## **V. Guidelines for Ethnic Minority Development Plans (EMDPS)**

47. The purpose of the guidelines are to ensure that ethnic minorities are informed, consulted and mobilized to participate in the sub-projects in NDMP. The main features of the EMDP are: 1) a preliminary screening process (to determine whether they are Ethnic minorities in the sub-project sites for year one and thereby collect all pertinent information on them); 2) a social impact assessment to determine the degree and nature of impact of each sub-project on ethnic minorities with action plans to mitigate adverse impacts and improve their conditions. Consultation with and participation of the minority population, their leaders and local government officials will be an integral part of the overall EMDP.

48. In order to identify whether there are ethnic minorities in subproject areas, a desk review of literature (including government statistics, historical records, available studies including anthropological/sociological literature) will be carried out.

49. This will be supplemented with fieldwork in project sites to a) collect updated, first hand information on ethnic minorities; 2) to elicit their views about the NDMP, its design, and implementation and to understand from ethnic minorities how they expect the project to impact them. The Ethnic Minority Development Plan (EMDP) will consist of the following sections:

- (a) Preliminary screening (including data on ethnic minority legal status)
- (b) Social impact assessment (including demographics, land tenure, location)

50. If it has been determined (through the EMDPs) that adverse impacts on ethnic minorities are unavoidable and adequate mitigation plans have not been developed, the World Bank will not appraise projects until suitable plans which have been reviewed and accepted by the Bank are developed by the borrower.

### **V.1. Preliminary Screening**

51. A team of experts (anthropologists/rural sociologists) with specialization in ethnic minority issues will be hired by CPMO from MARD. This team will visit all subproject-areas from year one to identify ethnic minority groups and undertake preliminary consultation with the local administration and ethnic minority leaders. Prior to such visits, the CPMO should inform the local authorities that the NDMP and its sub-projects for year one are underway, and that this team plans to discuss the project with commune members including male and female farmers, members of the women's associations, village leaders, and other key members of the commune. If any ethnic minorities are in the commune, special meetings should be held with them to ensure that they are familiar with the project details, and to

ensure to that they are consulted on project impacts, and that their views on the subject are taken into account.

52. The purpose of this field visit is for the social scientists to undertake a screening for ethnic minority population, together with ethnic minority leaders and local authorities. The screening will collect the following information:

- (a) names of ethnic groups in the commune
- (b) total number of ethnic minority groups in the commune
- (c) percentage of ethnic minority of commune population
- (d) number and percentage of ethnic minority households in the project affected areas

53. If the result of the investigation shows that there are ethnic minority groups living in proposed project area, a social impact assessment will be undertaken for the area.

## **V.2. Social Impact Assessment**

54. A social impact assessment (SIA) will be undertaken by social scientist(s) hired by the CPMO for preparation of relevant EMDPs. The assessment will use qualitative and quantitative tools to determine the likely social impacts of a project on stakeholders and the likely effect of stakeholders on the project. The purpose is not only to identify key stakeholders but it is also to ensure an appropriate framework for their participation in preparation, implementation and monitoring. It is to involve and give voice to people the project intends to benefit. The following data will be collected at a minimum:

- *demographic data* to develop socio-demographic and vulnerability profiles of ethnic minority groups. This will include names and total numbers of ethnic minorities groups in the province, percentage of ethnic minority groups in the proposed project areas,
- *social-and economic data concerning* livelihood systems, production and marketing activities of ethnic minorities
- *land tenure* aim at controlling the situation of agricultural and permanent land using. This is very important to manage and compensate when the resettlement issue happens.
- *health status* to evaluate the rate of old people and teenagers who have infected disease are caused by subprojects' construction.
- *educational data.*
- *social organization.* This would mean an understanding of how people are organized into different social groups, based on the status ascribed to them at birth – according to their ethnic status, locality, language, class or any others
- *Relationships of ethnic minorities to othe local and national groups* Social groups relate to each other in different ways. This would examine the intra and inter group relations

55 *Stakeholder analysis*: Since EMs are one of the stakeholders likely to be affected by the project, the interests of this group vis a vis the NDMP has to be solicited and their view should be taken into account in project planning. This would examine the characteristics and interests of ethnic minorities; it need to understand how they expect the NDMP will impact their lives from their socio-cultural and economic perspectives, and learn about their suggestions for mitigating measures and the ways to improve project benefits for ethnic minorities.

56. *Focus Group Discussions* among ethnic minority communities in the project areas will be carried out. These group interviews should be fairly homogenous groups disaggregated by sex, age, socio-economic class and any other variable, which makes sense in the local context. The purpose of these discussions is to gain minority insights on the NDMP. The anthropologist/sociologist consultant(s) will be responsible for gathering and analyzing the results of the consultations and to recommend follow up actions reflecting the discussions.

### **V.3. Strategy for Local Participation and Consultation**

57. Dissemination of information about the project, and discussion on the possible impact on ethnic minorities and others are essential for living up to World Bank policy on *informed participation* of the indigenous people themselves. During Project preparation local preferences should be identified through direct consultation ethnic minorities and their indigenous knowledge should be incorporated into project approaches. Only accurate information and consultation between implementing agencies and ethnic minorities can maximize Project benefit to ethnic minorities, and secure their human rights and respect for their particular cultural values. Consultation and participation can also contribute to conflict mitigation and help Project implementation in a timely and cost efficient manner.

58. If the social impact assessment identifies ethnic minorities to be affected (positively or negatively) in subproject areas in succeeding phases of NDMP, the public participation and consultation procedures developed in the Policy Framework for Resettlement should apply to ethnic minorities as well. In the case ethnic minorities will be affected during Project *implementation and monitoring and evaluation*, consultation and participation should be particularly adapted to the specific circumstances and living conditions of ethnic minorities.

59. The **first step** is for the social scientist together with local authorities to discuss the results of the SIA with the traditional leaders of ethnic minority groups. **Second step** is through a Participatory Rural Appraisal (PRA) process information from the SIA should be disseminated and supplemented with consultation with ethnic minorities groups on, but in no way limited to, the question raised below:

- what appropriate language should be used to inform about the Project
- where should information about the Project be disclosed
- how can the Project secure that all involved ethnic minorities be heard

- what measures should be taken to mitigate the specific needs of the ethnic minority groups
- how can the Project contribute to gender equality
- how can ethnic minorities be helped to form water user groups
- what kind of training will be needed if any
- should ethnic minorities be represented on the board of PPMUs

60. The **third step** is to prepare an EMDP together with representatives from the ethnic minorities in the area. Ethnic minority leaders together with representatives from their group, one woman and one man, will form the planning and implementation group for each group in each subproject.

61. The **fourth step** is for the planning and implementation group to meet with design engineers to discuss feedback from all the localities and use information to design and mitigate measures.

62. During Project implementation and monitoring the implementing agency should consult with the local planning and implementation group and arrange public meetings particular for ethnic minorities in addition to the rules and procedures elaborated in the Policy Framework for Resettlement in NDMP.

#### **V.4. Ethnic Minority Development Plan (EMDP)**

63. The presence of ethnic minorities in the project area will trigger the development of an Ethnic Minority Development Plan (EMDP)... The action plan will consist of a number of activities and will include mitigation measures of potentially negative impacts, modification of subproject design, and development assistance. In the event of land acquisition in ethnic minority communities, the project will ensure that their rights will not be violated and that they be compensated for the use of any part of their land in a manner that is culturally acceptable to them. The compensation will follow the Resettlement Policy Framework developed for the NDMP. An Ethnic Minorities Development Plan will include:

- (1) Legal Framework
- (2) Baseline data
- (3) Land tenure
- (4) Strategy for local participation
- (5) Technical identification of development or mitigation activities
- (6) Institutional arrangements
- (7) Implementation schedule
- (8) Monitoring and evaluation
- (9) Cost estimates and financing plan

64. In EMDP for subproject areas in which ethnic minorities will only be positively



affected as a result of Project activities the EMDP should report on: (i) the identification efforts and results, (ii) the social, economic, and cultural uniqueness of the ethnic groups, (iii) the information dissemination strategy, (iv) the process and effort, (v) the consultation process, (vi) feedback from the communities, (vii) the project impact upon the ethnic minority groups, and (viii) the strategy for the ethnic minorities to participate in Project design and implementation.

65. In EMDP for subprojects in which ethnic minorities will be negatively affected by land acquisition or loss of other assets due to the Project the above information will have to be supplemented with (ix) identification of the adverse impact, and (x) develop mitigation measures.

## **V.5. Implementation Arrangements**

66. The Central Project Management Office (CPMO) will be responsible for preparing and overall implementation of the EMDPs. Social capacity to dealing with ethnic minority issues will be established at the CPMO with assistance of the project's Consultant. A full- or part-time social staff specialized on these matters will be allocated for the CPMO. In case of necessity, when subprojects implicate ethnic minorities, the CPMO may hire anthropologist/sociologist consultant(s) for preparing relevant EMDPs.

67. The PMUs are responsible for daily EMDP implementation. Preparation and implementation of the EMDPs will be carried out in close collaboration with ethnic minorities and local authorities (local Committee for Ethnic Minorities and Mountainous Areas, Resettlement Committees, the Land Departments etc.,) and local mass organizations ... The Project social scientist (anthropologist/ sociologist) will be responsible for assisting in planning, coordinating and supervising EMDP implementation. He will also be responsible for training respective PMUs, and local authorities involved in implementation of the EMDPs.

## **V.6. Monitoring**

68. Implementation of the EMDP will be regularly supervised and monitored internally by CPMO of MARD in coordination with the respective Committees for Ethnic Minorities and Mountainous Areas at grassroots level in each subproject area. The findings and recommendations will be recorded in quarterly reports and be forwarded to MARD and the World Bank Office in Vietnam.

69. An independent agency, which will be hired by CPMO of the MARD to undertake external monitoring and evaluation of the resettlement action plans (RAP), will also be responsible for M&E of the EMDP implementation. When the external monitoring agency will visit a sample of project affected households for resettlement in each subproject area on an annual basis, the agency will also visit a sample of at least 10% of ethnic minority households in the subproject areas.

## **V.7. Implementation schedule**

70. The EMDP's implementation schedule will be coordinated with the subproject implementation. A complete implementation schedule will be detailed in the EMDP. All social impact assessment (SIA) and consultation meetings will be undertaken before subproject designs are prepared. Compensation for land acquisition will be satisfactory completed at least one month prior to start of civil works. Monitoring and evaluation should take place at the recommended times during and after civil works.

## **V.8. Budget**

71. The EMDP will include information on detailed cost of mitigation measures and other rehabilitation entitlements for ethnic minorities in the affected subproject areas. Sources of funding for the various activities and financing plans will be clearly specified in the cost tables of the EMDPs. The cost of EMDP preparation will be drawn from the project's TA grant. The borrowee will pay cost for EMDP implementation.

## **V.9. Reporting/Documentation**

72. Prior to project appraisal, the EMDP will be prepared and submitted by CPMO to MARD and then to the World Bank. .

