VIETNAM ELECTRICITY
NATIONAL POWER TRANSMISSION CORPORATION

TRANSMISSION EFFICIENCY PROJECT (TEP)

RESETTLEMENT PLAN

220KV DONG ANH SUBSTATION SUBPROJECT

(2st draft)

Prepared by

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**ABBREVIATION**

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>NPPMB</td>
<td>North Power Project Management Board</td>
</tr>
<tr>
<td>PCARB</td>
<td>Provincial Compensation, Assistance and Resettlement Board</td>
</tr>
<tr>
<td>PMB</td>
<td>Project Management Board</td>
</tr>
<tr>
<td>PECC1</td>
<td>Power Engineering Consulting Joint-Stock Company No.1</td>
</tr>
<tr>
<td>PTC1</td>
<td>Power Transmission Company No.1</td>
</tr>
<tr>
<td>RP</td>
<td>Resettlement and Compensation Plan</td>
</tr>
<tr>
<td>R&amp;E</td>
<td>Resources and Environment</td>
</tr>
<tr>
<td>S</td>
<td>Substation</td>
</tr>
<tr>
<td>PC</td>
<td>People's Committee</td>
</tr>
<tr>
<td>USD</td>
<td>U.S. Dollar</td>
</tr>
<tr>
<td>VND</td>
<td>Vietnam Dong</td>
</tr>
<tr>
<td>WB</td>
<td>World Bank</td>
</tr>
<tr>
<td>ROW</td>
<td>Right of way</td>
</tr>
<tr>
<td>FFC</td>
<td>Fatherland Front Committee</td>
</tr>
<tr>
<td>DPC</td>
<td>District People’ Committee</td>
</tr>
</tbody>
</table>
Census and Inventory  If the project needs to change the land use or to acquire land for project purposes, a Census of people that will be affected and an Inventory of affected assets will be undertaken based on the technical design of the project. The Census will include key socioeconomic information of the project affected persons (DPs), such as main occupations, sources of income, and levels of income in order to be able to determine vulnerable households as well as to establish baseline data for monitoring livelihood restoration of the DPs. The Inventory will include a detailed description of all affected lands, trees, structures, to be acquired permanently or temporarily in order to complete the Project; the names of the persons entitled to compensation (from the census); and the estimated full replacement costs, etc.

Compensation (in cash or in kind) for loss of assets and rehabilitation measures to restore and improve incomes will be determined in consultation with the DPs. Compensation for loss of assets will be at replacement costs.

Cut-off-date is the date of completion of the inventory of losses during preparation of the Resettlement Action Plan (RAP). Project affected households and local communities will be informed of the cut-off date for each project, and that anyone moving into the Project Area after that date will not be entitled to compensation and assistance under the Project.

Eligibility is the criteria to receive benefits under the resettlement program. This Resettlement Policy Framework (RPF) will provide general guidance on this but the eligibility criteria will not be definitively confirmed until the development of the RP.

Productive land refers to the various sub-categories of land that are used for agricultural purpose (as opposed to land for residential purpose), including agricultural, forestry, garden, aquaculture and pond land. N.B. Loss of land on which businesses are located is covered under the ‘relocation of business’ section of the entitlement matrix.

Replacement Cost. is the concept used to calculate the compensation amount for an asset and involves using current market value plus the transaction costs which may include taxes, fees, transportation, labor, etc. (OP 4.12, footnote 11).

Resettlement. This RPF, in accordance with the World Bank’s Operational Policy on Involuntary Resettlement (OP 4.12), covers the involuntary taking of land that results in (i) relocation or loss of shelter, (ii) loss of assets or access to assets; or (iii) loss of income sources or means of livelihood, whether or not the affected persons must move to another location.

Livelihood (income) restoration Livelihoods restoration refers to that compensation for PAPs who suffers loss of income sources or means of livelihoods to restore their income and living standards to the pre-displacement levels.

Right of Way. For this Policy Framework, Right of Way (ROW) is determined as a safety corridor along a power line or substation with width, length and height specified in the Decree 106/2005/ND-CP (dated August 17th, 2005 guiding the implementation of a number of articles under the Electricity Law regarding safety protection of high-voltage power grid) and Decree 81/2009/ND-CP (dated on 12th October 2009, amending or supplementing a number of
Vulnerable Groups. Vulnerable groups include those distinct groups of people who might suffer disproportionately or face the risk of being marginalized by the effects of resettlement, and specifically include:

- Poor and very poor household as identified by regulations of Government of Vietnam.
- Ethnic minority household (Ethnic Minority Planning Framework).
1 – INTRODUCTION

1.1 TRANSMISSION EFFICIENCY PROJECT (TEP)

National Power Transmission Corporation (EVNNPT) is implementing the “Transmission efficiency Project” funded by World Bank (WB). This project is comprised of the following three components: (i) The transmission Infrastructure Component, (ii) the Smart Grid Component, (iii) the Capacity Building and Institutional Strengthening Component. List of subprojects in three components are detailed in Appendix 1.

The project objectives for TEP is to:

- Invest transmission infrastructure construction in areas of national key economic development including Hanoi, Ho Chi Minh, Central region and Mekong Delta. The investment will help increase the transport capacity of the main 500kV trunk system while increasing its reliability of the supply points to the distribution system according to Power Development Planning VII of the Government.
- Improve the reliability of the system through the application of new technologies, modernization of the station to facilitate to use more efficient of the existing transmission infrastructure and in the future, contribute to prepare for power sources connection period in the future, suitable the smart grid development.
- Strengthen organizational capacity, finance and operation for EVNNNPT, contribute to the gradual development of NPT to become an independent transmission company with revenues from the application of cost-of service regulation in the transmission sector. The steps to be supported in this operation include the definition of technical and financial performance indicators, the introduction of enterprise asset management systems and strategies.
- Component 1 and parts of Component 2 will be implemented by the project Management Board of EVNNPT, Component 3 and parts of Component 2 will be implemented by EVNNPT and ERAV.

To implement sub-project of the components, it is necessary to conduct land clearance. However, the implementation the component 2 the smart Grid Component and component 3 the Capacity Building and Institutional Strengthening Component are not require land acquisition and resettlement. In this project, land acquisition is only in the sub-project of component 1. For ownership implementation reasons, need to prepare the Resettlement Plan (RP) separately before the project evaluation for each sub-project within Component 1.

1.2 220KV DONG ANH SUBSTATION SUBPROJECT.

The objective of the project will be achieved through specific activities: (i) to meet the load growing electricity demand of north region power system, especially load of Hanoi city. (ii) Reduce power capacity los, improve power quality and enhance effectiveness for electricity grid system in the areas. (iii) Create links strong between areas in the electricity system, to ensure safety and reliable operation to national electricity system.
The subproject will be constructed in land area of Bieu Khe village of Thuy Lam commune of Dong Anh district, Hanoi city. Detail is shown in Figure 1.

![The project location in Hanoi and surrounding areas](image)

**Figure 1: The project location in Hanoi and surrounding areas**

1.2.1. 220kV Đồng Anh substation main technical characteristics

*The capacity of substation*: 220kV Đồng Anh substation will be built with the capacity of 2x250MVA and land space for installation the third transformer at the substation. In this period, installing the first transformer AT1-250MVA put into operation in 2014, second transformer is expected to be built in period of 2016-2020. AT3 transformer will be installed after 2030.

220kV Đồng Anh substation located in paddy field in Bieu Khe of Thuy Lam commune and Ha Phong of Lien Ha commune in Dong Anh district, Hanoi city.

a) Primary part

*220kV side*: 220kV side is designed under double busbar system including the following bays:

- 02 transformer bays 500kV-900MVA (the present time, equipment installation for 01 bays and in investment project: TBA 500kV Đồng Anh and connection line)

- 03 transformer bays 220kV-250MVA (the present time, equipment installation for 01 bay)

- 01 transfer bay

- 02 outgoing bays 500kV Hiep Hoa substation
02 outgoing bays 220kV Long Bien substation
- 04 incoming connection line bays

* 110kV: will be developed completely with 23 bays:
- 03 220kV substation bays (in the present time 01 bay)
- 02 110kV-63MVA bays (install 01 transformer bay)
- 01 transfer bay
- 01 ring bay
- 06 outgoing bays
- 02 incoming bays to 110kV compensate capacity
- 08 incoming bays 110kV connection line

* 22kV side:
- Self-substation is expected to be built to supply electricity for the construction of 220kV substation, then will to be used as a second self-station source for the station. The station is arranged in fence.
- The switchgear is arranged outdoor.

**b) Secondary part**
- Control and protection equipment for four 220kV transmission lines.
- Control and protection equipment for 220kV coupler bay.
- Control and protection equipment for 220kV busbar.
- Control and protection equipment for 220/110/22kV AT2 transformer.
- Control and protection equipment for six 110kV transmission lines.
- Control and protection equipment for 110kV transfer bay.
- Control and protection equipment for 110kV coupler bay.
- Control and protection equipment for 110kV busbar.
- Equipment for energy purchase.

**c) Construction part**

220kV Dong Anh substation is constructed to conformity with the scale of 220kV Dong Anh substation this stage and calculate to coupling with 500kV substation later stage.

The total 220kV Dong Anh substation: 49,819.38 m².

➤ **Substation base leveling solution:**

High level of substation is selected at the lowest position of the road to the substation that has +6.40m altitude, average high level is +6.80m (According to the national standard altitude).

Material used for ground leveling is sand, soil. In this stage will conduct leveling for 220kV Dong Anh substation, there is no leveling for 500kV Dong Anh substation, so a high
embankment reinforced earth at station altitude, 2m at crest width and 9m at average foot width.

Rubble retaining wall (average 3m in heigh): 1,290m (including the wall around the 500kV switch yard).

Construction the function houses serve for management and operation:

+ The central control building : (26.5 x 15.0) m²
+ The 220kV and 110kV bay housing : (8.4 x 4.0) m²
+ The operator and shift rest house : (32.4 x 11.30) m²
+ Fire protection systems : (7.2 x 4.5) m²
+ The gate house : (6.0 x 3.6) m²
+ Garage : (5.5 x 7.0) m²

Supply and drainage system

Construction and installation fire project system

The road access substation: Road access substation to be turned from Thuy Lam- Lien Ha inter communal roads, width of 6m made by asphant concrete and 3.5 m wide pavement on both sides. This road is constructing to upgrade and adjust ran straight north-south direction (according to FS report).

1.3 RESETTLEMENT OBJECTIVES:

Resettlement Plan was established with the following objectives:

- Avoid or reduce to a maximum the involuntary resettlement by selecting the appropriate design alternative.

- In case involuntary resettlement cannot be avoidable, resettlement activities should be prepared and followed the sustainable development programs and provide appropriate support investment which allows DP their benefits from the subproject. DP will be fully consulted and allowed to participate in the preparatory activities and implementation of the Resettlement Plan.

- DP will be compensated for their losses, and will be provided with rehabilitation measures for their daily life in order to assist them maintain or improve the standard of living and production capabilities, income as before the project.
II – PROJECT IMPACT

To determine the impact caused by the subproject, PECC1 was conducted to determine the DP’s damages. PECC1 also carried out Inventory of Losses (IOL) for crops and infrastructure within the area of the station construction, tower foundation and right of way (ROW). This investigation and survey have determined the identity of affected person and their assets including land, infrastructures and crops. During the loss inventory, the potential and serious impacts are identified. The impact assessment was determined through a questionnaire for those affected people with their livelihood, income and property ownership.

A damage investigation was conducted in November, 2013 based on the detailed design of the connection line. The questionnaire used for the survey is presented in Appendix 2.

2.1 PROJECT IMPACT DETERMINATION

2.1.1 Project impact area

a) The land acquisition/permanent affected items

When the project construction will cause permanent and temporary effects as follows:

• The substation construction: The total permanent acquired land for the substation construction is 49,819.38 m²

b) The temporary affected items

Temporary affects is the affects occurring in a short-time period (construction time), the temporary effects in the project is not available because the construction items and auxiliary items will be located in the acquired land area for the substation

2.1.2 Define who is affected by the project

Based on the scope/area affected as described above, PECC1 coordinate with local authorities to conduct investigation to determine the households having land/property on the ground in the influence of the project. The investigation results are shown as follows:

• Total number of households affected by the project are expected 110 households (440 people). Include 16 households affected in Thuy Lam Commune (details in Annex 3). The number of affected households Lien Ha estimated 94 households, due to Lien Ha commune is in the progress of land consolidation, psychological fear for farmers in the process of implementing a major policy of the State, so locality not yet agree for the survey team conduct an investigation.

• According to preliminary survey almost 100% households affected by the project is acquired over 20% of the holding land.
2.2 TYPES OF IMPACT

2.2.1 Impact on Land

**Permanent impact**: The total permanent affected land area is 49,819.38 m², the details are summarised in the table below:

<table>
<thead>
<tr>
<th>No</th>
<th>Land type</th>
<th>Unit</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Rice land</td>
<td>m²</td>
<td>47,953.71</td>
</tr>
<tr>
<td></td>
<td>Inner-field canal land</td>
<td>m²</td>
<td>120</td>
</tr>
<tr>
<td></td>
<td>Inner-field concreted road land</td>
<td>m²</td>
<td>1120</td>
</tr>
<tr>
<td></td>
<td>Inner-field earth road land</td>
<td>m²</td>
<td>625.67</td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td><strong>m²</strong></td>
<td><strong>49,819.38</strong></td>
</tr>
</tbody>
</table>

**The legal status of the land.** According to survey results, 100% of the households in the surveyed area were granted the land use right certificates.

2.2.2 Affect to house and structure

There is no house and structure of the household affected by the project.

2.2.3 Impact to infrastructure

There are 1,120 m² inner-field concreted road (concrete, 3.5m in width) and 625.67 m² inner-field earth road within land acquisition of the project. However, according to this road shall be redone for the local in the substation construction time.

In addition, in the scale of land acquisition for the project, there are 120 m² of inner-field canals.

2.2.4 Impact on crops and trees

The entire project permanent or temporary land area which required for the project are the land of households cultivating rice, so there is no other tree and crop affected by the project in this area.

2.2.5 Unforeseen impact

During the implementation of the project, if realised unforeseen impacts, the consultant unit of the project shall assess the impacts and update in this RP or prepare a suitable new RP.
III – LEGAL FRAMEWORK AND COMPENSATION POLICY

3.1 LEGAL FRAMEWORK

3.1.1 The Government’s policy in Viet Nam

The Legal Framework of the Government of Vietnam: For public investment projects using domestic budget, principles and policies on land acquisition, compensation and resettlement arrangement are stipulated by the Government on the basis of laws, decrees and decisions by the Government on land acquisition, compensation and resettlement, including the following:

- The Land Law 2003, no. 13/2003/QH11, issued on November 26, 2003 (to be replaced by the Land Law 2013 which become effective from July 1st, 2014)
- Decree 181/2004/ND-CP issued on October 29th, 2004 guiding the implementation of the Land Law revised 2003.
- Decree No.188/2004/ND-CP issued on November 16th, 2004 providing the method of land price calculation and the tariff for all types of land;
- Decree 197/2004/ND-CP issued on December 3rd, 2004 on compensation, support and resettlement when land is recovered by the state.
- Decree 188/2004/ND-CP issued on November 16th, 2004 on methods to determine land prices and assorted land price brackets.
- Decree 17/2006/ND-CP dated January 27th, 2006 on revision and supplementation of some regulations in decrees guiding the implementation of the Land Law and Decree no. 187/2004/ND-CP on transformation of state companies into joint-stock companies.
- Decree 84/2007/ND-CP dated May 25th 2007 on revision of issuing LURC, land acquisition, implementation of land use right, procedure for compensation, resettlement when land acquired by State and grievance redress.
- Decree No. 69/2009/ND-CP, effective 1st October 2009; an amendment to Decree No. 197/2004/ND-CP; supplementary regulations on land use planning, land prices, land acquisition, compensation, support and resettlement.
- Circular No.116/2004/TT-BTC dated 17 December 2004 providing guidance for the implementation of Decree No. 197/2004/ND-CP dated 3 December 2004 on compensation, assistance and resettlement upon the State recovery of land;
- Circular 14/TT-BTNMT dated 1st October 2009 providing detailed regulations on
compensation, assistances, relocation and process and procedures for land acquisition, land hand-over and land lease.

- Circular 57/2010/TT-BTC issued on April 16th, 2010 prescribing the estimation, use and settlement of funds for compensation, support and resettlement upon recovery by the State.

- Circular No.02/2010/TTLT-BTNMT-BTC dated 8 January 2010 issued by the Ministry of Natural Resource and Environment and Ministry of Finance guiding the preparation appraisal, and issuance and revision of land prices revision and the competence of the city/province PC under the National Government control.


- Decision No. 52/2012/QD-TTg, dated November 16 2012, on the support policies on employment and vocational training to farmers whose agricultural land has been recovered by the State.


- Decree 106/2005/ND-CP (and its associated guiding circulars) dated on August 17th, 2005, guiding the implementation of a number of articles under the Electricity Law regarding safety protection of high-voltage power grid.

- Decree 81/2009/ND-CP (and its associated guiding circulars) dated on October 12th, 2009, amending or supplementing a number of articles of the government’s decree No. 106/205/ND-CP of August 17th, 2005 which details and guide a number of articles of the electricity law regarding the safe protection of high-voltage power grid works.


- Other regulations or administrative decisions with bearing on specific resettlement plan including relevant decisions of Provincial People’s Committees related to principles for compensation, assistance and resettlement in the event of land recovery by the State and PPCs’ decisions on compensation unit prices for land and affected assets due to site clearance in the two provinces.

3.1.2 Policy of the World Bank

The policy of the World Bank OP 4.12 on Involuntary Resettlement (OP/BP 4.12)

- Involuntary resettlement should be avoided where feasible, or minimized, exploring all viable alternative project designs;

- Where it is not feasible to avoid resettlement, resettlement activities should be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the persons displaced by the project to share in project benefits. Project affected persons should be meaningfully consulted and
should have opportunities to participate in planning and implementing resettlement programs;

- Project affected persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.

Criteria for the validity and compensation:

Who have to relocate or be affected by the project are valid compensation include: (a) who have a legal right in land or other assets, (b) who is there has been no legal rights in land or other assets, but has filed application for certificate authority to declare legal use in accordance with the laws of the State, based on documents such as property tax bill land, residential status certificate, or upon the residence of allowing local authorities to be in and use of the land affected by the project, and (c) who have no legal right or without certification report for the legal right to use land.

Persons of item (a) and (b) compensation for lost land and other assistance. Those under item (c) relocation assistance, rather than compensation for the land they are and other assistance, if necessary, to achieve the objectives outlined in this policy, if they have land within the project area before the closing date specified in the RPs. Those who infringe on the land after the closing date specified in the RP will not be entitled to any compensation or resettlement assistance.

Valuation of damages and compensation method used to determine the value of damage in projects financed by the Bank is based on the replacement cost (as defined in section B). In this project, the damages include the loss of land, buildings and other assets. Replacement cost of land includes the value of land is determined by the market price plus the cost of getting certificates of land use rights. For houses and other buildings, the value of which is determined by the market prices of construction materials to build a replacement house with an area and quality at least as old home before affected. For those works affected part or entire should compensation value includes the market prices of construction materials plus the cost of shipping materials, labor costs and contractor fees, registration fees and taxes transfer.

3.1.3 The necessary differences and exemptions

Comparison between Government of Vietnam and World Bank Approaches: Although the recent legislation on resettlement of Vietnam tends to be more consistent with that of the World Bank, there still exists some discrepancies required particular attention. The differences between the Government’s Laws and Decrees and World Bank Policy with regard to resettlement and compensation, and how to address these gaps are shown in Table.
Table 2 Comparison of Vietnam’s and World Bank’s Policies related to Involuntary Resettlement

<table>
<thead>
<tr>
<th>Subjects</th>
<th>Bank’s OP 4.12</th>
<th>Government of Vietnam</th>
<th>Project Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Land Property</td>
<td>DPs should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher</td>
<td>Resettlement site and its infrastructure should have equal or better development conditions than the existing one.</td>
<td>Livelihoods and income sources will be restored in real terms, at least, to the pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.</td>
</tr>
<tr>
<td>Policy objectives</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Support for affected households who have no recognizable legal right or claim to the land they are occupying</td>
<td>Financial assistance to all project affected persons to achieve the policy objective (to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher)</td>
<td>Financial assistance provided at different levels depending on the “legal” status of affected persons</td>
<td>Financial assistance of an agreed amount will be given to all DPs, regardless of their legal status, until their livelihoods and standards of living restore in real terms, at least, to pre-displacement levels.</td>
</tr>
<tr>
<td>Compensation for illegal structures</td>
<td>Compensation at full cost for all structures regardless of legal status of the DP’s land and structure.</td>
<td>Provided to cover the new structure costs. Depending on the “illegality status” attributed, covering between 80% and 0% of the total costs</td>
<td>Compensation at full replacement cost will be given for all structures affected, regardless of legal status of the land and structure.</td>
</tr>
<tr>
<td>Compensation methods for determining compensation rates</td>
<td>Compensation for lost land and other assets should be paid at full replacement costs,</td>
<td>Compensation for lost assets is calculated at price close to transferring the assets in local markets or the cost of newly-built structures. Provincial governments are granted to annually set up compensation prices for different categories of assets</td>
<td>Independent appraiser identifies replacement costs for all types of assets affected. Provincial government will use this assessment to establish the compensation rates at full replacement.</td>
</tr>
</tbody>
</table>
As a World Bank member country, the Government of Vietnam has committed that, should the international agreements signed or acceded to by Vietnam with the World Bank contain provisions different from those in the present resettlement legal framework in Vietnam, the provisions of the international agreements with the World Bank shall prevail. This RPF confirms that in approving this instrument, the Government of Vietnam and the Province/City People’s Committee, grant the waivers to the relevant articles in various Vietnamese laws that contradict or are not consistent with the objectives set forth in this RPF. The measures taken to address the differences and comply with World Bank involuntary resettlement policies are addressed under this RPF.

3.2 COMPENSATION POLICY

3.2.1 The principle of compensation policy

The principles set out in the Operational Policy 4.12 (OP / BP 4:12) of the World Bank has been applied to the drafting of this policy framework. These principles and objectives the following will apply:

a. Acquisition of land and other assets, and resettlement of people will be minimized as much as possible

b. All DPs residing, working, doing business or cultivating land in right of way (ROW) of distribution line (D/L), surrounding areas of tower foundation, the Substation areas, in the service roads under the project as of the date of the baseline surveys are entitled to be provided with rehabilitation measures sufficient to assist them to improve or at least maintain their pre-project living standards, income earning capacity and production levels. Lack of legal rights to the assets lost should not bar the DP from entitlement to such rehabilitation measures

c. The rehabilitation measures to be provided are: (i) compensation at replacement cost,
without deduction for depreciation or salvage materials for houses and other structures; (ii) agricultural land for land of equal productive capacity (iii) replacement of residential/premise land of equal size acceptable to the DP’s choice and transfer and subsistence allowances.

d. Particular attention will go to households that fall within the definition of vulnerable groups. Specific assistance measures will be included in RP.

e. Replacement residential and agricultural land will be as nearby as possible to the land that was lost, and acceptable to the DPs.

f. The resettlement transition period will be minimized and the rehabilitation means will be provided to the DP's prior to the expected start-up date of works in the respective project sites.

g. Plans for acquisition of land and other assets and provision of rehabilitation measures will be carried out in consultation with the DPs, to ensure minimal disturbance. Entitlements will be provided by DPs prior to expected start-up of works at the respective project site.

h. The previous level of community services and resources will be maintained or improved

i. Financial and physical resources for resettlement and rehabilitation will be made available and as where and when required

j. Civil works contractors will not be issued a notice of possession or a notice to proceed for any sub-project unless the Government has (a) Completed, satisfactorily and in accordance with the approved RP for that sub-project, compensation payments, and (b) ensured rehabilitation assistance is in place prior to starting civil work. Entitlements will be provided to DPs no later than one month prior to expect start-up of civil works at the respective project site.

k. Institutional arrangements will ensure effective and timely design, planning, consultation and implementation of RPs.

l. Effective and timely supervision, monitoring and evaluation of the implementation of RPs will be carried out.

3.2.1 Compensation, assistance and resettlement policies for the project

a) Criteria for the validity and compensation

Who have to relocate or be affected by the project are valid compensation include: (i) who have a legal right in land or other assets, (ii) who is there has been no legal rights in land or other assets, but has filed application for certificate authority to declare legal use in accordance with the laws of the State, based on documents such as property tax bill land, residential status certificate, or upon the residence of allowing local authorities to be in and use of the land affected by the project, and (iii) who have no legal right or without certification report for the legal right to use land.
Persons of item (i) and (ii) compensation for lost land and other assistance. Those under item (iii) relocation assistance, rather than compensation for the land they are and other assistance, if necessary, to achieve the objectives outlined in this policy, if they have land within the project area before the closing date specified in the RAP. Those who infringe on the land after the closing date specified in the RP will not be entitled to any compensation or resettlement assistance.

b) Entitlement policy

DPs losing agricultural/productive land and crops

The entire permanent acquired land for the project shall be compensated in the cash equivalent at replacement cost.

DP will be compensated for the loss of standing crops at market price, productive trees will be compensated at replacement cost.

DP’s whose land is temporarily taken by the works under the project will be compensated for their loss of income, standing crops and for the cost of soil restoration and damaged infrastructure.

DPs losing residential land and house/structure

The provision of replacement land (house site and garden) of equivalent size, satisfactory to DP or each compensation at replacement cost according to DPs’ choice.

Cash compensation reflecting full replacement cost of the house/structure, without deduction for depreciation or salvage material or compensate in kind according to DPs’ options.

If residential land is only partially being affected by the project and the remaining area are not sufficient for reorganizing DP’s house then at request of the DP, the entire residential land will be acquired at full replacement cost.

If house/other structure is only partially being affected by the project and the remaining areas are not convenient to using, the house/structure will be acquired at full replacement cost, without depreciation.

If the residential land area is loss smaller than compensated land area, the DP shall not require to payment for the difference.

Tenants, who have leased a house for residential purposes will be provided with a cash grant of six months rental fee at the prevailing market rate in the area, and will be assisted in identifying alternative accommodation.

However, according to the survey result, the project is only affected to rice land, not affected any other structure and house of the local people.

c) Assistance policy

Besides the direct compensation for the losses, DPs also will be entitled to additional assistance (subsidies/allowances) as follows:

Transportation allowance

No DP has to resettle so the project should not apply this assistance.
**Production and living rehabilitation allowance**

All DPs whose portion of the land to be lost from 30% to 70% of the total area of the landholding will be entitled to support by cash equivalent to 30 kg rice per person for duration of 6 months;

In addition, DP will be support by cash to change job and create jobs with value equal 5 times of agricultural land price under the provisions for the actual agricultural land is required but maximum not exceeding the agricultural land allocation limit in the locality.

**Temporary land acquisition supports**

With case of temporarily recovered land for construction time, finish of construction time, handed over the user the acquired land, the organization, households and individuals whose land to be acquired temporarily beside the compensation, support and resettlement under this regulation, temporary acquired land is entitled to supported 50,000VND/m² for wet rice cultivation land and 35,000 VND/m² for other agricultural land and is exempted entire land use tax in the land acquired time and in 03 next continous years to restore for the land.

**Support families entitled to the social welfare.**

The families entitled to the social welfare of the State as certified by the Department of Labor, invalid and Social Welfare if to be required land more than 30% of agricultural land shall be supported with levels as follows:

1. People who participated revolutionary activities before 1945, hero of the armed force, relatives of martyrs who receive monthly allowance and wounded soldiers and sick soldiers or who are entitled the policies as wounded soldier, sick soldiers lost labor by 85% or more will be supported 7,000,000VND/land, house used owner (Seven million VND);

2. Wounded soldiers 61% to below 81%: is supported 6,000,000d/ land, house used owner (Six million VND);

3. Wounded soldiers 41% to below 61%: is supported 5,000,000d/ land or house used owner (Five million VND);

4. Families of martyrs or who is entitled montly allowance, wounded soldiers ... lost labor from 21% to under 41%: is supported 4,000,000d/ land, house used owner (Four million VND);

5. Families who receive other social allowance of the State is supported 3,000,000d/ land, house used owner (Three million VND)

If in a household that have many people entitled to one of the above support, the household is only counted once according to support at highest level.

**Bonus/encourage relocation scheduled:**

A bonus be awarded to DP who handover land and vacate their premises in accordance with the resettlement schedule with the worth to 5 million VND per household.
IV – RESETTLEMENT, SUPPORT AND COMPENSATION PLAN

4.1 COMPENSATION

4.1.1 Compensation for Loss of Agricultural Land

a) Legal and Legalized Land Users

If the lost area represents less than 20% of a Household’s (HH’s) land holding (or less than 10% for poor and vulnerable groups), and the remaining area is economically viable, compensation in cash will be at 100% replacement cost for the lost area.

If the lost area represents 20% or more of the HHs’ land holding, (or 10% or more for the poor and vulnerable groups) or the remaining area is economically not viable, then “land for land” compensation should be considered as the preferred option.

If no land is available, then implementing agencies (IAs) must demonstrate this to the World Bank’s satisfaction before proceeding.

If land is not available, or if the DP prefers cash compensation, then cash compensation will be provided for the lost area at 100% of land replacement cost, and the DP will be provided with rehabilitation measures to restore the lost income sources, such as agricultural extension, job training, credit access, provision of non-agricultural land at a location appropriate for running off-farm business or services.

If the DPs wish, and there is land of similar value elsewhere, the project should also assist these DPs to visit these areas and help with legal transactions should they wish to acquire them.

For agricultural land lying intermixed with residential areas, and garden and pond land lying adjacent to residential areas, apart from compensation at the price of agricultural land having the same use purpose, monetary support shall also be provided; with the prices for such support being equal to between 50% and 70% of the prices of adjacent residential land; and with the specific support levels being decided by the Provincial People's Committees (PPC) to suit local conditions.

Users with temporary or leased rights to use communal/public land (DPs who rent communal or public land)

Cash compensation at the amount corresponding to the remaining investment put on the land or corresponding to the remaining value of the land rental contract, if it exists.

For DPs currently using land assigned by State-owned agricultural or forestry farms on a contractual basis for agricultural, forestry, or aquaculture purposes (excluding land under special use forests and protected forests), compensation shall be provided for investments made on the land, but not for the land itself, and these DPs may also receive additional support according to the following provisions:

Additional monetary support shall be provided for DPs that receive land on a contractual basis and are public employees or workers of State-owned agricultural or forestry farms, or who are former employees of such farms and who are now receiving an allowance related to their former employment. The highest level of additional monetary support shall be equal to the price
of land to be compensated, calculated on the basis of the value of the affected land area which shall, however, not exceed the local agricultural land assignment limits. The PPC shall decide on the specific support levels to suit the local conditions but the additional monetary support shall not be less than 70% of the compensation value for the land actually acquired.

Where DPs receive land on a contractual basis but are other than the individuals specified at (a) above, they shall only receive compensation for investments made on the land.

**Land Users without formal or customary recognized rights to the affected land**

Instead of compensation, these DPs will receive rehabilitation assistance up to 100% of the land value in cash. DPs will be entitled to rehabilitation measures mentioned above to ensure their living standards are restored.

In case the land is rented through civil contract between individuals, households, or organizations, then the compensation for crops, trees, or aquaculture products will be paid to the affected land users and the project client shall assist the renter to find similar land to rent.

In cases when DPs utilize public land (or protected areas), with an obligation to return the land to the Government when requested, the DPs will not be compensated for the loss of use of the land. However, these DPs will be compensated for crops, trees, structures and other assets they own or use, at full replacement cost. Although they cannot reside in such public safety-hazard areas, if access has not been denied previously through well-documented signs and such things as fences, the social and baseline assessment should consider if such a physical impediment (like a newly restricted public safety area) is causing loss of livelihood due to people no longer being able to get to jobs and other assets associated with their subsistence as a result of restricted safety zone definition, which may for example add significant cost to traveling from home to business, schools, etc.

**4.1.2 Compensation for Loss of Residential Land**

Losing of residential land without associated structures: Compensation for loss of land in cash at replacement cost to legal and/or “legalizable” land users. For land users who have no recognizable land use right, financial assistance of an agreed amount will be provided. The amount will be determined by the respective Provincial People’s Committee.

Loss of residential land with associated structures and the remaining land is sufficient to rebuild the structure (reorganizing DP): Compensation for loss of land will be made in cash at (i) full replacement cost for legal and legalizable land users; (ii) Financial assistance of an agreed amount will be provided to land users who do not have recognizable land use rights. If DPs have to rebuild their houses, they will be provided with a rental allowance for a period of 3 months while their houses are being rebuilt.

Loss of residential land with associated structures and the remaining land is insufficient to rebuild the structure (relocating DP): other than specific provisions listed below, in case where relocated DPs belong to vulnerable groups, the project will consider providing them with additional assistance (in cash and kind) to ensure that they can afford to relocated to a new site.

(i) For DPs who have legal or legalizable rights to the affected land:

A land plot of equivalent size and quality, in a well-developed resettlement site. Where
land is not available, an apartment will be provided to the DP. The will be done in consultation with the DP. Full ownership title to the land or apartment will be given at no cost to the DP.

OR,

On request of and with full consultation with the DP, cash compensation at full replacement cost, plus the amount equivalent to the value of the infrastructure investments calculated as an average for each household in a resettlement site. In this case, the household will be expected to relocate themselves.

In the event that the compensation (or assistance) amount accounts less than the cost of a land plot in the project’s resettlement site, DPs will be supported with the difference required for the acquisition of the land plot. If a land plot in the project resettlement site is not the chosen DP’s option, cash assistance will be provided equivalent to difference required to acquire a chosen land plot.

(ii) DPs who do not have formal or customary rights to the affected land:

An identified assistance amount will be provided based on the level of legality of the land and on a case by case basis.

If the DP has no place to move, a land plot or an apartment satisfactory to them will be provided in the resettlement site.

4.1.3 Compensation Policy for Loss of Houses/Structures

Houses

Compensation or assistance in cash will be made for all affected private-owned houses/structures, at 100% of the replacement costs for materials and labor, regardless of whether or not they have title to the affected land or a construction permit for the affected structure. The compensation will be sufficient to rebuild the affected house/structure of the same quality. As per OP 4.12 cash compensation will be at full replacement cost in local markets. No deductions will be made for depreciation or salvageable materials.

If the house/structure is partially affected, a financial assistance will be provided to enable DPs to repair the affected house/structures to restore it to the former condition, or better, at no additional cost to them.

Graves

Compensation for the removal of graves/ tombs will include the cost of excavation, relocation, reburial and other related costs which are necessary to satisfy customary requirements. Compensation in cash will be paid to each affected family or to the affected group as a whole as is determined through a process of consultation with the affected community. The level of compensation will be decided in consultation with the affected families/communities. Household and individual graves are considered physical cultural resources (PCR) and even though the costs associated with their relocation may be covered in the resettlement plan, the WB OP 4.11 on Physical Cultural Resources should be triggered and relevant cross references should be made to the Environmental Management Plan or project implementation manual.

Tenants
The tenants of state or organization’s houses will be: (i) entitled to rent or buy a new apartment of the area at least equal to their affected one if they/he/she have a demand for; or (ii) provided an assistance equal 60% of replacement cost of the affected land and houses. The structure created by the DPs themselves will be compensated at their full replacement costs.

The tenants who are leasing a private house for living purposes will be provided with transportation allowance for moving assets, as well as will be assisted in identifying alternative accommodation.

4.1.4 Compensation Policy for Loss of Standing Crops and Trees

For annual and perennial standing crops, regardless of the legal status of the land, compensation will be paid to the affected persons, who cultivate the land, according to the full market value of the affected crops and/or at replacement cost for affected perennial trees. Regarding the removable affected trees, the compensation will be equal the transportation cost plus actual loss. Perennial crops will be compensated for at the calculated value of their life time productivity.

4.1.5 Compensation Policy for Loss of Income and/or Business/Productive Assets

For DPs losing income and/or business/productive assets as a result of land acquisition, the mechanism for compensating will be:

The registered non-farm producer/business DPs, who have income-generating and/or business/productive assets affected, will be given cash business assistance for the loss of business income, equivalent to 50% of the annual average for the last 3 years net income. (This amount is equivalent to 100% of monthly net income for 6 months).

The non-registered business or non-farm producer DPs, whose operations are recognized by local authority and who have income and/or business/productive assets affected, will be given assistance in cash for the income losses for three months at the minimum

If the business has to be relocated, then, a priority to provide a replacement business site accessible to customers, or, compensation in cash for the affected area at a replacement cost, plus transportation allowance to remove movable attached assets. If there is no land available, then the business/non-farm producer DPs will be entitled for rehabilitation measures such as job training, credit access to help restore the income sources

4.1.6 Compensation Policy for Temporary Impact during Construction

In the event of temporary impact during construction, DPs are entitled to the following:

Compensation for all affected assets/investments made on the land, including trees, crops etc., at full replacement cost;

Cash compensation for land temporarily acquired in the form of rent which is at least equivalent to the net income that would have been derived from the affected property during the period of disruption;

4.1.7 Damages to Private or Public Structures

Damaged property by contractor will be restored by contractors immediately at full replacement value, after completion of civil works, to its former condition. Under their
contract specifications, the contractors will be required to take extreme care to avoid damaging property during their construction activities. Where damages do occur, the contractor will be required to pay compensation immediately to affected families, groups, communities, or government agencies at the same compensation rates that are applied to all other assets affected by the Project.

Compensation for loss of community assets: In cases where community infrastructure such as schools, bridges, factories, water sources, roads, sewage systems is damaged, the project will ensure that these will be restored or repaired at no cost for the community and to the community’s satisfaction.

4.1.8 Secondary DPs

This applies to those affected by development of individual resettlement or group resettlement sites. Because all secondary DPs are likely to be affected in similar ways as primary ones, they will be entitled to compensation and rehabilitation assistance in accordance with the same respective provisions for all other DPs.

4.2 ALLOWANCE AND LIVELIHOOD REHABILITATION

Besides the compensation for affected assets, DPs will be provided with financial assistance to cover their expenses during the transition period. The assistance levels will be adjusted, taking into account inflation factor and price increase to be appropriate to the payment time. These will be detailed in the RP. They include, but are not limited to:

- **Transportation allowance** will be given to relocating DPs. The amount will be determined by local authority

- **House renting allowance** or temporary accommodation will be provided for relocating DPs during the time when the DPs are waiting for the land plot or apartment to be ready plus for the period of building the new house.

- **Removal Support**: Organizations and DPs that are allocated or leased land by the state or are lawfully using land and have to relocate their productive and/or business establishments are entitled to financial support for dismantling, relocating and re-installation of the establishment. Support levels will be determined by actual costs at the time of removal, based on self-declaration of the organizations and verification by the agency in charge of compensation. This will then be submitted to the relevant authorities for approval.

- **Subsistence allowance for relocating**: All DPs (i) relocating within province shall receive a cash allowance equal to 30 kg of rice per month in uninterrupted 03 months; (ii) relocating out of province shall receive a cash allowance equal to 30 kg of rice per month in uninterrupted 06 months; (iii) who are in a severe socioeconomic difficulty or who relocating to areas of socioeconomic difficulty shall receive cash allowance equal to 30 kg of rice per month in uninterrupted 12 months.

- **Support for living stabilization**: (a) DPs losing 20 - 70% of their agricultural landholding (or 10 - 70% for the poor and vulnerable groups) will be provided with
the amount equivalent to 30 kg of rice/person/month for 6 months if they do not have to relocate and 12 months in case of relocation. In some special cases, in extremely difficult areas, the compensation may be provided for a maximum of 24 months; (b) DPs losing more than 70% of their agricultural landholding will be assisted for 12 months if they do not have to relocate and 24 months in case of relocation. In some special cases, in extremely difficult areas, the compensation may be provided up to a maximum of 36 months; (c) Households affected by loss of less than 20% of land, where the remaining land is rendered unviable for continued use, will be assisted with the above support plus any additional support as determined, for a period of 12 months. In case of land-for-land compensation, DPs will be assisted with seedlings, agricultural-forestry extension programs, husbandry etc.

- **Support for job changing** (with several options provided depending on the interest of the DPs): The support amount is 2-5 times of the agricultural land price for the whole acquired agricultural area but not exceeding the local land allocation limit at the moment of handing over land.

- **Support for training, apprenticeships on vocational training establishments in the province** and exemption from tuition fees for the training courses for those of working age (not applicable for those who enroll for a vocational training outside the province). After finishing training courses, they will be given priorities to be recruited in local manufacturers/businesses.

- **Support for the poor and vulnerable groups**: Additional support will be provided to the poor and vulnerable groups to ensure they will be able to restore the losses and livelihood at least at pre-project level.

- **Other rehabilitation measures** as agricultural extension services, job training and creation, credit access, non-farm land allocation for non-farming business/activities, and/or other measures as appropriate will be given to DPs losing major income sources to ensure their livelihood is restored to the pre-project level.

- **Relocation bonus**: A bonus of maximum 5 million VND will be awarded to DPs who dismantle their houses and vacate their premises in accordance with the resettlement schedule.

### 4.3 RELOCATION

From the results of the survey, investigation shows that, there is no affected household resettled due to land acquisition by the project.
5.1. COMMUNITY CONSULTATION AND PARTICIPATION OF PEOPLE

Public consultation activities carried out under 02 forms leaflets Things to know about compensation policies, clearance and electrical safety of the project and community meetings.

Leaflets Things to know about compensation policies, clearance and electrical safety of Transmission Efficiency Project has been prepared (in the form of questions - answers and images) and distributed to 100% of households affected families and the public in the project area (November 2013) - this is the basis for community participation and DP to different stages of the work. This document consists of two main parts, namely: (1) The frequently asked questions of people affected, (2) The image describes accident prevention measures and protection of power grid safety corridors electricity. Based on information provided in leaflets, survey the damage and loss, the compensation plan and support, matrix rights and other work-related compensation, local communities and the DP will be directly involved and effective in monitoring the implementation of this Plan. Compensation Board at district level held meetings with commune/village concerned to inform them about the pilot project. In addition, commune leaders also announced to the local people related to sub-projects on the potential impacts of the project, especially the matrix of interest.

Public consultation meeting was held in (i) the CPC office in Thuy Lam commune and Lien Ha commune Dong Anh district, Hanoi city. Owner and Consultant Company in consultation with organizations of people for resettlement Plan of sub-project "Building 220kV Dong Anh substation". Representatives of Owner and consulting firm presented to the public on the following issues:

- A description of the project plan for construction of the line route, station locations and the construction necessary to build the works mentioned above, funding for the project investment, project objectives, the project items
- The compensation of the project;
- Measures to minimize the impact and limit damage to people...

Representing people are invited to attend the consultation meeting including representatives of the affected households, the authority representatives, the relevant agencies and sectors, (the Women's Association, the Veterans ...) and local power bodies.

Consultation results showed that:

1) 100% of local people agree with land acquisition for the subproject;
2) 90% of local people agree with the compensation plan by cash, the rest have not yet given specific decisions.

5.2 INFORMATION DISCLOSURE

Per requirement of Bank’s policy, the Vietnamese version of this draft report was publically disclosed at project communes, PMBs, and VDIC of the World Bank office in Hanoi (Jan. 2014). English version was also disclosed in InfoShop of the World Bank in Washington
D.C. Final versions (English and Vietnamese) will also be re-disclosed at project sites, PMBs, VDIC and InfoShop.

5.3 GRIEVANCE REDRESS MECHANISM

DPs are entitled to the complaints regarding their interests and responsibilities in the Project implementation including but not limited to entitlements, compensation policy, unit prices, land acquisition, resettlement and other entitlements related to the recovery support programs. Complaints can also concern issues related to construction safety and nuisances caused by construction. Grievance procedures should be affordable and accessible procedures for third party settlement of disputes arising from resettlement; such grievance mechanisms should take into account the availability of judicial recourse and community and traditional dispute settlement mechanisms.

The mechanism of complaint and complaint and grievances resolution steps are as below:

**First Stage - At Commune People’s Committee (CPC)**

An aggrieved DP may bring his/her complaint to any member of the CPC, in writing or verbally. It is incumbent upon said member of CPC to notify the CPC about the complaint. The CPC will meet personally with the aggrieved DP and will have 15 days following the lodging of the complaint to resolve it. The CPC secretariat is responsible for documenting and keeping file of all complaints that it handles.

**Second Stage - At District People’s Committee (DPC)**

If after 15 days the aggrieved DP does not hear from the CPC, or if the CPC gives its solutions, but DP is not satisfied with the decision taken on his/her complaint, the DP may bring the case, either in writing or verbally, to any member of DPC or DCB. The DCB in turn will have 30 days to resolve the case. The DPC is responsible for documenting and keeping file of all complaints that it handles.

**Third Stage - At Provincial People’s Committee (PPC)**

If after 30 days the aggrieved DP does not hear from the DCB, or if the DP is not satisfied with the decision taken on his/her complaint, the DP may bring the case, either in writing or verbally, to any member of the PPC. The PPC has 45 days within which to resolve the complaint to the satisfaction of all concerned. The PPC secretariat is also responsible for documenting and keeping file of all complaints that it handles.

**Final Stage - Court of Law Decides**

If after 45 days following the lodging of the complaint with the PPC, the aggrieved DP does not hear from the PPC, or if he/she is not satisfied with the decision taken on his/her complaint, the case may be brought to a court of law for adjudication. Under no circumstance, can the DP be evicted from his/her property nor can the Government take over his/her property without the explicit permission of the court.

In order to minimize complaints, PMBs (via their assigned grievance focal point or grievance facilitation unit – GFU) will cooperate with the District Compensation Board/ Center for Land Development Fund to participate in and consult on settling complaints. Names and
contact details of Grievance Focal Points and/or the Grievance Facilitation Unit (GFU) will be made publically available in information brochures and at project areas.

Local mass organizations such as Fatherland Front, Farmer’s Union, Women’s Union will be mobilized to participate actively in the process of resolving complaints, questions. The independent monitoring agency will be responsible for checking the procedures for and resolutions of grievances and complaints. The independent monitoring agency may recommend further measures to be taken to redress unresolved grievances.

DPs will be exempted from all administrative and legal fees. Besides that, an escrow accounts for resettlement payments should be used when grievance is resolving to avoid excessive delay of the project while ensuring compensation payment after the grievance has been resolved. All PMBs should maintain a system to register queries, suggestions and grievances of the DPs. All queries, suggestions and grievances and their resolution should be recorded and forwarded to the PC and its functioning monitored monthly. PMBs will formulate and maintain a database of the DPs’ grievances related to the Project to ensure that all complaints are recorded, recognized and processed by the functional units at all levels.
Implementation of RPs will be periodically supervised and monitored by the respective AMB in a close coordination with the respective Peoples' Committees at different administrative units.

According to the World Bank guideline on involuntary resettlement, an independent agency will be retained by AMB to periodically carry out external monitoring and evaluation immediately after an approval of RP since start of the project implement. The independent monitoring time will be proposed by AMB and consistent with WB.

6.1 INTERNAL MONITORING AND SUPERVISION

Internal monitoring and supervision will:

1) Verify that the baseline information of all DP’s has been carried out and that the valuation of assets lost or damaged, and the provision of compensation, resettlement and other rehabilitation entitlements has been carried out in accordance with the provisions of this Policy Framework and the respective RP.

2) Oversee that the RPs are implemented as designed and approved.

3) Verify that funds for implementing the RPs are provided to the respective AMB in a timely manner and in amounts sufficient for their purposes, and that such funds are used by the respective PMB’s in accordance with the provisions of the RP and policy framework.

4) Record all grievances and their resolution and ensure that complaints are dealt with in a timely manner.

Table 3: Some key activities for internal monitoring and supervision

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<td>Inform residents and local authorities about the project</td>
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<td>Payment of compensation (including updated with RP - for example, the DP, the budget, the impact ...)</td>
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<td>Collection and settlement of complaints</td>
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<td></td>
</tr>
<tr>
<td>18.</td>
<td>Consultation and participation of</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
6.2 INDEPENDENT MONITORING

Independent Monitoring: An independent agency or agencies or individual consultant will be retained by NPPMB to periodically carry out external monitoring and evaluation of the implementation of annual RPs. The independent agencies will be academic or research institutions, non-Governmental Organizations (NGO) or independent consulting firms, all with qualified and experienced staff and terms of reference acceptable to the World Bank. Independent monitoring begins about the same time as implementation activities and continues until the end of project/subproject. The independent monitoring agency will:

1) Determine whether the procedures for DPs participation and delivery of compensation and other rehabilitation entitlements has been done in accordance with this Policy Framework; and

2) Assess if the Policy Framework objective of enhancement or at least restoration of living standards and income levels of DPs have been met.

3) Gather qualitative indications of the social and economic impact of Project implementation on the DPs.

4) Suggest modification in the implementation procedures, as the case may be to achieve the principles and objectives of this Policy Framework.

In addition to verifying the information furnished in the internal supervision and monitoring reports of the respective project management units, the external monitoring agency will collect information from affected households. Depending on the magnitude of project impact, borrower with consultation from Task’s Team of the World Bank will decide the extent of using independent monitoring consultant.

6.3 REPORTING REGIME

Internal monitoring unit will establish a quarterly report detailing progress with the implementation of RP, this report will be sent to EVN, the Electricity Corporation of Hanoi, the World Bank and external monitoring unit independent route. The terms for the units offline independent monitoring will be detailed when the contract with the AMB.
A Resettlement Plan cannot be considered complete until a completion audit or survey confirms that all entitlements have been received by beneficiaries and livelihood restoration is progressing on schedule.
VII – IMPLEMENTATION ARRANGEMENTS

7.1 INSTITUTIONAL ARRANGEMENT

The responsibility for preparing and implementing the Resettlement Policy Framework and RPs are as follows:

*Project Management Boards*, representing NPT, have following responsibilities:

- Prepare RPs in accordance with the RPF. Coordinate with the provincial People’s Committees and local authorities to obtain consensus from provincial People’s Committee for the RPs and submit them to the WB for review and clearance.
- Develop and implement a training program for the provincial and district People’s Committee’s, relevant stakeholders involved in RP implementation and Grievance Redress.
- Where relevant, provide technical support (e.g. consultation mobilization) in identifying the replacement cost to inform compensation rate during the RP implementation.
- Secure timely availability of required budget for RP preparation and implementation;
- Conduct internal monitoring of RP implementation as per requirements set out in the project’s RPF and the RPs.
- Prepare bi-annual progress reports and submit to WB
- Designate staff with solid experience in resettlement and familiar with Bank’s safeguard policies as a social focal point for PMB.
- Take part in compensation, support and resettlement council at local level and ensure that the agreed RPs are properly implemented, documented and reported.
- Work closely with competent governmental agencies to address concern, grievances related to resettlement in their managed subprojects.

*Provincial People’s Committees* have responsibilities as follows:

- To direct, organize, propagate and mobilize all organizations and individuals concerning compensation, support and resettlement policies and ground clearance according to the land recovery decisions of competent State bodies;
- To direct the provincial/municipal services, departments, branches and district-level People's Committees: (i) To draw up resettlement and resettlement area plans in service of the land recovery; (ii) To draw up compensation, support and resettlement plans according to their competence;
- To approve or assign the district-level People's Committees to approve compensation, support and resettlement plans;
- To approve land prices; promulgate the property price tables for compensation calculation; prescribe support levels and supporting measures according to their competence;
Subproject “220kV Dong Anh substation”

Resettlement arrangement plans, job change training plans according to their assigned competence;

To direct the concerned agencies to settle citizens' complaints, denunciations related to compensation, support and resettlement according to their law-prescribed competence;

To guarantee impartiality and equity when considering and deciding on the compensation, support and resettlement when land is recovered by the State according to their competence prescribed in this Decree;

To decide or assign the district-level People's Committees to apply coercion to cases of deliberately failing to abide by the State's land recovery decisions according to their competence;

To direct the examination and handling of violations in the compensation, support and resettlement domain.

The District People’s Committees have responsibilities as follows:

To direct, organize, propagate and mobilize all organizations and individuals concerning compensation, support and resettlement policies and ground clearance according to the land recovery decisions of competent State bodies;

To direct the compensation, support and resettlement councils of the same level to draw up, and organize the implementation of, the compensation, support and resettlement plans; approve the compensation, support and resettlement plans according to the responsibility assignment by the provincial-level People's Committees;

To coordinate with the provincial/municipal services, departments and branches, organizations and investors in executing investments projects to build and plans to create resettlement areas in their localities according to the assignment of the provincial-level People's Committees;

To settle citizens' complaints, denunciations related to compensation, support and resettlement according to their assigned competence; issue coercive decisions and organizing coercion in the cases falling under their competence; coordinate with the functional agencies in organizing coercion according to the decisions of competent bodies.

The compensation, support and resettlement councils shall assist the People's Committees of the same level in making, and organizing the implementation of, compensation, support and resettlement arrangement plans; work on the collective principle and decide by majority; where the numbers of votes for and against are equal, the opinion of the side joined by the council chairman shall be followed. Responsibilities of council members are as follow:

The council chairman shall direct the council members to make, submit for approval and organize the implementation of, the compensation, support and resettlement plan;

The investor shall be responsible for assisting the council chairman in making the compensation, support and resettlement plan, ensuring sufficient funds for timely payment of compensation, support and resettlement money;
Representatives of persons who have land recovered shall be responsible for reflecting the aspirations of persons who have land recovered, persons who must be relocated; mobilizing persons who have land recovered to move and clear the ground according to schedule;

Other members shall perform the tasks as assigned and directed by the council chairman, suitable to their respective branches.

The compensation, support and resettlement councils shall be responsible for the accuracy and rationality of inventory statistics, the legality of land and property eligible or ineligible for compensation, supports in the compensation, support and resettlement.

The *Center for Land Fund Development* has main responsibilities related to resettlement as follows:

To assume the prime responsibility for, or coordinate the with the compensation and ground clearance council in, organizing compensation and ground clearance;

To work and coordinate closely with project’s stakeholders to update and implement RP as per project’s RPF.

To provide compensation and ground clearance services;

To develop resettlement areas;

To build infrastructure on land funds assigned to it for management in order to organize auction;

To provide information on land prices and land funds to organizations and individuals upon request;

To assist the District People’s Committee and Provincial People’s Committee in disseminating information related to Resettlement Plan.

To assist the District People’s Committee in handling complaints at district level.

To perform other tasks under decisions of the provincial-level People's Committee.

The *Commune People's Committees* shall have the responsibilities:

To organize propaganda on the land recovery purposes, compensation, support and resettlement polices of the projects;

To coordinate with the compensation, support and resettlement councils in certifying land and property of persons who have land recovered;

To join in, and create conditions for, the payment of compensation and support money to, and arrange resettlement for, persons who have land recovered, and create conditions for the ground clearance.
7.2 PERFORMANCE TIME

Expected time:

**AMB và Compensation Board:**

1. Founded Compensation April 2014
2. Start implementing community information February 2014
3. Start the detailed mapping and inventory of assets April 2014
4. Starting pay compensation May 2014

**DP:**

1. Begin to declare the number and legal status of assets February 2014
2. Start receiving compensation and ground clearance May 2014

Invocation for bids:

Start the bidding device: 2014

Construction work:

Begin construction work: December 2012

(Progress of construction work is anticipated to be approximately 12 months, commencement third quarter 2014, it is expected to operation in the second quarter 2015).

**Monitoring:** February 2014 – September 2014

**Notes:**

- With the negligible impact (no relocation) and with appropriate force personnel, the community information and detailed mapping and inventory is expected to be completed within 2 months and compensation work really well to be completed within 2 months.

- Implementation progress shown above have been discussed between the Consultant and AMB, taking into consideration the volume of the works of the project, relating the number of communes in each district, its personnel fit and ability to deploy but but many activities.

All of RP activities must be completed satisfactorily before a Bank issued no objection in writing sub-projects. Any change in RP after the World Bank must be through a representative office in Hanoi Bank for consideration prior to implementation.
8.1 BASIS FOR COST ESTIMATE

Compensation price for agricultural land, trees and crops affected temporarily and permanently is calculated on the base of:


(iii) The decision on the compensation rate of the Hanoi city People’s Committee, the city Financial Department and reference actual land price in locality.

In principle, the entire acquired area and property will be compensated at replacement cost. However, at the present time, there have not yet been compensated, moreover, replacement cost is the cost at compensation time, so this rate has not yet been determined, it is calculated temporarily according to unit price of the city People’s Committee, namely:

**Compensation for land**

Article 9 of Decree No. 197/2004/ND-CP dated 3/12/2004 on Compensation, support and resettlement when land is recovered by the state;

Decision No. 51/2012/QD-UBND, dated 28/12/2012 promulgating the regulation of land prices in the Hanoi city in 2013;

**Compensation for houses /structures**


Decision No. 02/2013/QD-UBND, dated 07/01/2013 on amending and supplementing a number of articles of the regulation issued together with the decision No. 108/2009/QD-UBND dated 29/9/2009 of People’s committee of Hanoi city on the compensation, support and resettlement when land is recovered by the state in Hanoi city;

Decision No. 420/QD-SXD, dated 17/01/2013 publishing new construction price in house, structure, work as a basis of for compensation, support when land is recovered by the state in Hanoi city.

**Compensation for trees and crops**

Article 24 of Decree No. 197/2004/ND-CP dated 3/12/2004 on Compensation, support and resettlement when land is recovered by the state;

Decision No.108/2009/QD-UBND dated 29/09/2009 on promulgating the regulations on compensation, support and resettlement when land is recovered by the state in Hanoi city;

Decision No. 02/2013/QD-UBND, dated 07/01/2013 on amending and supplementing
a number of articles of the regulation issued together with the decision No. 108/2009/QĐ-UBND dated 29/9/2009 of People’s committee of Hanoi city on the compensation, support and resettlement when land is recovered by the state in Hanoi city;

Decision No. 48/2011/QĐ-UBND dated 26/12/2011 on amending, supplement of several Articles of Decision No. 02/2010/QĐ-UBND dated 18/01/2010 on the land acquisition, land allocation and lease, change of land use purpose for the implementation of investment project and rural housing in residential site in Hanoi city;

Announcement No. 7038/STC-BG dated 31/12/2012 of the Financial Department of Hanoi city on “Compensation unit price for trees, crops, animals on land having water surface to serve site clearance activities in Hanoi city in 2013”;

8.2 REPLACEMENT COST SURVEY

According to compensation, assistance and resettlement policy of the project at the time of the RP implementation, the relevant agencies under the City People’s Committee of and the independent monitoring agency will carry out the survey on cost of land replacement, house and tree and market price for crops. The compensation unit price adjustment will be prepared by the City People’s Committee to ensure the compensation of land and house equal to replacement cost and compensation of trees and crops equal to the market price.

At the present time, there have not yet been compensated, replacement price is the price at the compensation time, so this price has not yet been determined so this price should be advance calculated by the Hanoi People’s Committee.

8.1 COST ESTIMATES

Table 4 Cost of compensation, support and resettlement

<table>
<thead>
<tr>
<th>NO.</th>
<th>Items</th>
<th>Unit</th>
<th>Quantity</th>
<th>Unit price (VND)</th>
<th>Amount (VND)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Compensation for land</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Paddy land</td>
<td>m²</td>
<td>47,953.71</td>
<td>135,000</td>
<td>6,473,750,850</td>
</tr>
<tr>
<td>2</td>
<td>Compensation for trees and crops</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Rice (on the permanent acquired land)</td>
<td>m²</td>
<td>47,953.71</td>
<td>7,000</td>
<td>335,675,970</td>
</tr>
<tr>
<td>3</td>
<td>Assistance</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Support for policy family</td>
<td>TT</td>
<td></td>
<td></td>
<td>50,000,000</td>
</tr>
<tr>
<td></td>
<td>Cash assistance equivalent to 30 kg rice per person per month for</td>
<td>Per.</td>
<td>440</td>
<td>2,160,000</td>
<td>950,400,000</td>
</tr>
</tbody>
</table>
### Table 5 Estimated PR implementation cost

<table>
<thead>
<tr>
<th>No.</th>
<th>Content</th>
<th>Cost (VND)</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>RP implementation cost (a)</td>
<td>220,000,000</td>
<td>Estimate</td>
</tr>
<tr>
<td>2</td>
<td>Total compensation cost (b)</td>
<td>44,559,439,177</td>
<td>Estimate</td>
</tr>
<tr>
<td>3</td>
<td>Implementation cost for compensation and site clearance</td>
<td>810,171,621.4</td>
<td>Estimate</td>
</tr>
<tr>
<td>4</td>
<td>Monitoring cost: 2%(a+b)</td>
<td>810,171,621.4</td>
<td>Estimate</td>
</tr>
<tr>
<td>5</td>
<td>Cadastral surveying fees</td>
<td>200,000,000</td>
<td>Estimate</td>
</tr>
<tr>
<td>6</td>
<td>Independent monitoring cost of RP (about 6,000USD/year. people x 2 years x 21,000VND/US)</td>
<td>252,000,000</td>
<td>Estimate</td>
</tr>
<tr>
<td>7</td>
<td>Provision expense: 10%(a+b)</td>
<td>4,477,943,917.7</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td><strong>51,329,726,338</strong></td>
<td></td>
</tr>
</tbody>
</table>
APPENDIX
## Appendix 1- Entitlement Matrix

<table>
<thead>
<tr>
<th>Type of Loss/ Impacts</th>
<th>Application</th>
<th>Entitlements</th>
<th>Implementation Arrangements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Legal land users</strong></td>
<td></td>
<td>Cash compensation at replacement cost (free from taxes and transaction costs) at 100% replacement cost for the lost area.</td>
<td>- Affected households to be notified at least ninety days before land recovery by the Project.</td>
</tr>
<tr>
<td><strong>1. Productive land</strong></td>
<td></td>
<td></td>
<td>- The owner of land will hand over the land within 20 days from the date District Compensation Board fully pays compensation for land.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- For vulnerable and severely affected households, affected farmers, including landless, allocation of arable land equal per capita arable land in commune. If there no land available for allocation or, on the DPs’ request through informed choice, training/ rehabilitation programs will be provided to at least restore, if not improve, their income and living standards.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Other assistance options which each province could decide based on the locality conditions.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Affected households to be notified at least ninety days before land recovery by the Project (Land law-2003; Article 39- Item 2).</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- The owner of land will hand over the land within 20 days from the date District Compensation Board/ Land Fund Development</td>
</tr>
<tr>
<td><strong>Productive land</strong></td>
<td></td>
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<td></td>
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<td></td>
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<td></td>
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<td></td>
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<td></td>
</tr>
<tr>
<td><strong>1. Legal land users</strong></td>
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<tr>
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<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>1.1. Marginal loss (&lt;20% of land holding or &lt;10% for vulnerable group)</td>
<td>The remaining area of affected plot is still economically viable for use or meets the expected personal yield.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
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<tr>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>1.2. Loss &gt;20% or &gt;10% for vulnerable groups</td>
<td>Land for land compensation should be as the preferred option. If land is not available, or at the DP’s choice, cash compensation can be provided for the lost area at 100% of land replacement cost. The DP will be provided with the additional rehabilitation measures to restore the lost income sources</td>
<td></td>
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<td></td>
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<td></td>
</tr>
</tbody>
</table>

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1 The sub-categories of productive land such as agricultural, forestry, garden, aquaculture and pond will be compensated at different rates. These will be specified and detailed in the Resettlement Action Plans to ensure the compensation is reflective of current rates and takes into account geographic variation. Land on which businesses are located will be compensated as detailed in the section on relocation of business.
<table>
<thead>
<tr>
<th>Type of Loss/ Impacts</th>
<th>Application</th>
<th>Entitlements</th>
<th>Implementation Arrangements</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Center has paid compensation and other allowances in full.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- For poor, vulnerable and severely affected farmers, including landless, allocation of arable land equal to per capita arable land in commune, or if there no land available for allocation or, on the DPs request through informed choice, training/rehabilitation programs will be provided to at least restore, if not improve, their income and living standards.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Land Users with temporary or leased rights to use land.</strong></td>
<td></td>
<td>Cash compensation at the amount corresponding to the remaining investment on the land or corresponding to the remaining value of the land rental contract.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Land Users who do not have formal or customary rights to the affected land</strong></td>
<td></td>
<td>DPs will receive assistance corresponding up to 100% of the land value in cash. In addition to above, rehabilitation/training assistance will be provided. In case the DP uses public land where there was previous agreement to return the land to the Government when so requested, they will not be compensated for the acquired public land but will be compensated for structures, crops, trees and other assets on the land at 100% of the replacement cost.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>2. Residential land</strong></td>
<td><strong>2.1. Marginal loss (i.e., land is still viable for use and not requiring</strong></td>
<td>Compensation for loss of land in cash at (i) replacement cost to the legal and legalizable land users; (ii) An financial assistance of an agreed</td>
<td>- Affected household to be notified at least 180 days before land recovery by the Project.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- The owner of land will hand over the land within 20 days from</td>
</tr>
<tr>
<td>Type of Loss/Impacts</td>
<td>Application</td>
<td>Entitlements</td>
<td>Implementation Arrangements</td>
</tr>
<tr>
<td>----------------------</td>
<td>-------------</td>
<td>--------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td>relocation)</td>
<td></td>
<td>amount to the land users not having recognizable land use right. If DPs have to rebuild their houses, they will receive a house rental allowance for 3 months in recognition of the time needed to rebuild their houses.</td>
<td>the date District Compensation Board/ Land Fund Development Center has paid compensation in full.</td>
</tr>
</tbody>
</table>

2.2. Relocated DPs

(i) **Legal or legalizable land users:**

It land is not available, a land plot in a resettlement site or apartment will be provided to the DP, in consultation with them. They will have full land title or apartment ownership title without any cost to them.

Or, on request of the DPs through informed choice, cash compensation at full replacement cost plus the amount equivalent to the value of the infrastructure investments calculated averagely for each household in a resettlement site. In this case, they will be expected to relocate themselves.

If the compensation amounts to less than the cost of a land plot in the project’s resettlement site, DPs will be provided additional supported to enable them to acquire the land plot (or cash assistance will be provided equivalent to this difference for self-relocated DPs).

- Affected household to be notified at least 180 days before land recovery by the Project.
- The owner of land will hand over the land within 20 days from the date District Compensation Board/ Land Fund Development Center has paid compensation in full.

The process of compensation for a plot at the resettlement site will be as follows:

- If the selling cost of plot(s) at the new site is more than the value of the affected residential land, DPs receive new plot at no additional cost.
- If the plot(s) at the new site is equal the value of affected residential land, DPs receive new plot at the new site without any balance.
- If the plot(s) at the new site is less than the value of affected residential land, DPs will receive plot and the difference in cash.

The planning and detailed design for the relocation sites will be done by consultant of DCB/ CLDF in consultation with stakeholders and then approved by the PPC.
<table>
<thead>
<tr>
<th>Type of Loss/Impacts</th>
<th>Application</th>
<th>Entitlements</th>
<th>Implementation Arrangements</th>
</tr>
</thead>
<tbody>
<tr>
<td>(ii) DPs who do not have formal, or customary rights to the affected land:</td>
<td></td>
<td>An identified assistance amount will be provided based on the level of legality of the land and on a case by case basis. If the DP has no place to move, a land plot or an apartment satisfactory to them will be provided in the resettlement site. In case the relocated DP belong to vulnerable groups, the project will consider providing them with additional assistance (in cash and kind) to ensure that they can afford to relocated to a new site.</td>
<td>Detailed regulation on plot allocation will be developed by DCB/CLDF through consultation with commune and DPs, followed by approval of PPC. For relocating households, assistance is in form of land-for-land of similar characteristics with title at no cost. The replacement land is no less than 40m², or compensation in cash with equal value if DP opts for self-relocation. Area and number of resettlement sites will be decided in consultation with DPs.</td>
</tr>
<tr>
<td>3. Houses</td>
<td>3.1. Partial impact: Unaffected portion of the house is still viable for use and could be</td>
<td>If house/structure is partially affected and the remaining structure is viable for continued use, the project will provide a house/structure repair cost, in addition to the compensation for affected</td>
<td>For poor or vulnerable DPs who have no other residential land in the same as their affected commune, the project will provide either a residential plot of minimum size at a common resettlement site, or an individual resettlement site, with title to the land (plot of 40 m² in urban area and 100m² in rural area); or on request of the DP, through informed choice, an assistance amount corresponding 60% of the land replacement cost for them to rearrange relocation by themselves. The calculation of rates will be based on the actual affected area and not the useable area.</td>
</tr>
<tr>
<td>Type of Loss/Impacts</td>
<td>Application</td>
<td>Entitlements</td>
<td>Implementation Arrangements</td>
</tr>
<tr>
<td>---------------------</td>
<td>-------------</td>
<td>--------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td>remained from the technical viewpoints, therefore, require no relocation.</td>
<td>portion at replacement cost, to enable DPs to restore it to former or better conditions.</td>
<td>- Compensation for other structures/fixed assets will be at full replacement cost and will be in cash.</td>
<td></td>
</tr>
<tr>
<td>3.2. Full impact (i.e., house is partially acquired by the project but no longer viable for continued use or the entire structure is acquired).</td>
<td>Compensation in cash for entire affected structures will be provided at 100% of the full replacement cost for materials and labor, regardless of whether or not they have title to the affected land or permit to build the affected structure. The amount will be sufficient to rebuild a structure the same as the former one at current market prices. No deductions will be made for depreciation or salvageable materials. Compensation for other structures/fixed assets will be at full replacement cost and will be in cash.</td>
<td></td>
<td>The calculation of rates will be based on the actual affected area and not the useable area.</td>
</tr>
<tr>
<td>Type of Loss/Impacts</td>
<td>Application</td>
<td>Entitlements</td>
<td>Implementation Arrangements</td>
</tr>
<tr>
<td>---------------------</td>
<td>-------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td></td>
<td></td>
<td>The tenants who are leasing a private house for living purposes will be provided with transportation allowance for moving their assets. They will also be assisted in identifying alternative accommodation.</td>
<td></td>
</tr>
<tr>
<td>4. Crops and Trees, aquaculture products</td>
<td>Owners regardless of tenure status</td>
<td>For annual and perennial standing crops or trees, aquaculture products regardless of the legal status of the land, compensation in cash will be paid to the affected persons, who cultivate the land, at full replacement cost in local markets to ensure the compensation is sufficient to replace the lost standing crops, trees or aquaculture products.</td>
<td>DPs will be given notice several months in advance regarding evacuation. Crops grown after issuance of the deadline will not be compensated.</td>
</tr>
<tr>
<td>6. Public structures</td>
<td>Loss of, or damage to assets</td>
<td>Either in (i) cash compensation to cover the cost of restoring the facilities or (ii) in kind compensation based on the negotiation between District Compensation Board/ Land Fund Development Center and owners of assets.</td>
<td>For public structures, the displacement will be carried out by the owners prior to the start of works.</td>
</tr>
<tr>
<td>7. Communal-owned assets, collective assets</td>
<td>Loss of, or damage to assets of village, ward, commune, district, provincial government unit.</td>
<td>Either (i) cash compensation to cover the cost of restoring the facilities or (ii) in kind compensation based on the negotiation between DCB/ CLDF and owners of assets.</td>
<td>For the communal owned assets directly affecting lives and production activities of the community, restoration must be done prior to the start of works.</td>
</tr>
<tr>
<td>Type of Loss/Impacts</td>
<td>Application</td>
<td>Entitlements</td>
<td>Implementation Arrangements</td>
</tr>
<tr>
<td>---------------------</td>
<td>-------------</td>
<td>--------------</td>
<td>-----------------------------</td>
</tr>
</tbody>
</table>
| 8. Graves           | Have to move the graves or tombs | - All costs of excavation, relocation and reburial will be reimbursed in cash to the affected family.  
- Graves to be exhumed and relocated in culturally sensitive and appropriate ways. | |
| 9. Loss of Income/Livelihood due to loss of productive land | Impacts due to permanent loss of 20% or more of their total productive land or where <20% land affected but the remaining land is rendered unviable. (Legal, legalizable land users and DPs with lease agreement over the affected land) | - **Allowance for Loss of Livelihood:** Affected person will be compensated with one-time payment at cash equivalent to 30 kg of rice/person/month at local market price, including:  
(a) DPs losing 20 - 70% of their agricultural landholding (or 10 - 70% for the poor and vulnerable groups) will be provided with the amount equivalent to 30 kg of rice/person/month for 6 months if they do not have to relocate and 12 months in case of relocation. In some special cases, in extremely difficult areas, the compensation may be provided for a maximum of 24 months;  
(b) DPs losing more than 70% of their agricultural landholding will be assisted for 12 months if they do not have to relocate and 24 months in case of relocation. In some special cases, in extremely difficult areas, the compensation may be provided upto a maximum of 36 months; (c) Households affected by loss of | The amount will be given in tranches every 6 months to coincide with the cropping season while affected households are taking part in the income restoration program in order to restore their pre-project income/livelihood. |
<table>
<thead>
<tr>
<th>Type of Loss/Impacts</th>
<th>Application</th>
<th>Entitlements</th>
<th>Implementation Arrangements</th>
</tr>
</thead>
<tbody>
<tr>
<td>less than 20% of land, where the remaining land is rendered unviable for continued use, will be assisted with the above support plus any additional support as determined, for a period of 12 months. In case of land-for-land compensation, DPs will be assisted with seedlings, agricultural-forestry extension programs, husbandry etc.</td>
<td></td>
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</tr>
<tr>
<td><strong>Support for job changing:</strong> Every DP affected by loss of productive land, irrespective of the degree of impact, will be provided with additional assistance equivalent to 2 - 5 times the compensation amount.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Support for vocational training and job creation:</strong> DPs will be exempted from exemption from tuition fees for the training courses for those of working age (not applicable for those who enroll for a vocational training outside the province). After finishing training courses, they will be given priorities to be recruited in local manufacturers/businesses.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Loss of Income/Livelihood due to relocation of business</td>
<td>Marginal impacts</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Type of Loss/Impacts</td>
<td>Application</td>
<td>Entitlements</td>
<td>Implementation Arrangements</td>
</tr>
<tr>
<td>----------------------</td>
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<td>----------------------------</td>
</tr>
</tbody>
</table>
| **Owner of the affected business and employees** | For DPs losing income and/or business/productive assets as a result of land acquisition, the mechanism for compensating will be:  
  - The registered non-farm producer/business DPs, who have income-generating and/or business/productive assets affected, will be given cash business assistance for the loss of business income, equivalent to 50% of the annual average for the last 3 years net income. (This amount is equivalent to 100% of monthly net income for 6 months).  
  - The non-registered business or non-farm producer DPs, whose operations are recognized by local authority and who have income and/or business/productive assets affected, will be given assistance in cash for the income losses for three months at the minimum  
  - If the business has to be relocated, then, a priority to provide a replacement business site accessible to customers, or, compensation in cash for the affected area at a replacement cost, plus transportation allowance to remove movable attached assets. If there is no land available, then the | | |
<table>
<thead>
<tr>
<th>Type of Loss/Impacts</th>
<th>Application</th>
<th>Entitlements</th>
<th>Implementation Arrangements</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>business/non-farm producer DPs will be entitled for rehabilitation measures such as job training, credit access to help restore the income sources.</td>
<td></td>
</tr>
<tr>
<td>Relocating shop owners regardless of tenure status.</td>
<td>If the business has to be relocated, the project will provide alternative site with local advantage and physical attributes similar to the land lost with easy access to customers base, satisfactory to the DP, OR compensation in cash for the affected land at replacement cost, plus transportation allowance for movable attached assets.</td>
<td>DPs will be given priority for business relocation along highway, communal roads and along canals near the bridges or footbridges in order to maximize their benefit from business opportunities. At the time of compensation, allowances will be adjusted to account for inflation.</td>
<td></td>
</tr>
</tbody>
</table>
| 11. Allowances/Assistance Targeted to Vulnerable Households | Loss of land and non-land assets | Specific assistance to vulnerable groups would be as follows:  
-Social Policy: (i) Relocating Households that include heroic mothers, war veterans, wounded or dead soldiers families will be provided with support as regulated by the PPCs but not less than VND 10 mil per household: (ii) Poor Relocated Households or Poor Households where 20% or more of their productive land is affected or where <20% land is affected but the remaining land is rendered unviable: 3-5 mil/HH (to be certified by local authority). |  
- Allowance for households as per Government regulation (social policy households, heroic mothers, wounded, dead soldiers). If the household eligible to more than one additional support allowance for the vulnerable people, only one package with the highest value will be applied. |
<table>
<thead>
<tr>
<th>Type of Loss/Impacts</th>
<th>Application</th>
<th>Entitlements</th>
<th>Implementation Arrangements</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Other vulnerable groups affected by the Project, whether they have to relocate or not, (female headed households, households with disabled persons, elderly without any source of support, ethnic minority households) will get the same support given to poor households in accordance with the provincial policy but not less than VND 3 mil per household. - These households are entitled to take part in Income Restoration Program</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12. Other Allowances/Assistances</td>
<td>Loss of land and non-land assets</td>
<td>Incentive Bonus: A bonus of maximum 5 million VND will be awarded to DPs who dismantle their houses and vacate their premises in accordance with the resettlement schedule. Repair Allowance: If house/structure is partially affected and the remaining structure is viable for continued use, the project will ensure that these will be restored or repaired at no cost for the community and to the community’s satisfaction. The relocating households with children who are going to schools will be supported with 1-year tuition as regulated by the Ministry of Education Based on the actual situation of the locality, the PPC Chairman issues other allowances to ensure accommodation and livelihood restoration for DPs. Special cases have to be submitted to the</td>
<td></td>
</tr>
<tr>
<td>Type of Loss/Impacts</td>
<td>Application</td>
<td>Entitlements</td>
<td>Implementation Arrangements</td>
</tr>
<tr>
<td>---------------------</td>
<td>-------------</td>
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<td>-----------------------------</td>
</tr>
<tr>
<td><strong>Prime Minister for approval.</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>13. Temporary impacts</strong></td>
<td>Temporary loss of land and assets.</td>
<td>Compensation for all affected assets/investments made on the land, including trees, crops etc., at full replacement cost; Cash compensation for land temporarily acquired in the form of rent which is at least equivalent to the net income that would have been derived from the affected property during the period of disruption; Restoration of the land within 3 months after use: The contractor is expected to return the land in its original condition within 3 months of the termination of the civil works.</td>
<td>If the quality of land is radically changed when returned to DPs, requiring DPs to change in the types of land use; then DPs should be compensated for all envisaged cost of losses.</td>
</tr>
<tr>
<td><strong>14. Any other impacts that may be identified during implementation</strong></td>
<td>Individuals, organizations in the project area</td>
<td>Entitlements to compensation and other assistance would be provided in accordance with the compensation policy. Secondary impacts on production and business or DPs isolated from access to resources temporarily have to be compensated and supported in accordance with RP.</td>
<td>In case of impacts on livelihoods of DPs, the contractors, construction units have to agree with the households on payment for disruption of business.</td>
</tr>
</tbody>
</table>
Appendix 2

SOCIO-ECONOMIC SURVEY AND INVENTORY OF LOSSES
QUESTIONNAIRE

Transmission Project (RCS C13164-VIE)

-----------------------------------------------

Questionnaire code: ___/___/___; Survey date: ____ /__ /2011

A-BACKGROUND INFO

1. Name of head of household: .................................................Age....... Gender: [ ] (Male=1; female=2)
   a) Ethnicity: [ ] (1=Kinh; 2=Thai; 3=Tay; 4=Nung; 5= Muong; 6=Tho; 7=Others)
   b) Education Level: [ ] (1=Illiterate; 2=Primary school; 3=Secondary school; 4= Yet graduated from high school; 5=High school; 6=Vocational training; 7=University and post graduate; 8=Others)
   c) Main occupation: [ ] (1= Agriculture; 2=Livestock husbandry; 3=Selling goods; 4=Restaurant ; 5=Factory worker; 6=official; 7=private company; 8=transportation; 9=driver 10= receive domestic economic support; 11=receive economic support from abroad ; 12=housewife; 13=Others
   d) Secondary jobs: [ ] (1=Livestock husbandry; 2=perennial crops; 3=aquaculture; 4=handicraft; 5=forestry; 6=small business; 7=mechanic)

2. Home address: Village: .............................................Commune:
   ..................................................District.................................Province .................

3. Vulnerable group: [ ] (Woman headed=1; Ethnic minority=2; Disabled=3; Poor household=4; Social policy household=5)
### B. SOCIO-ECONOMIC SURVEY

4. Household component (including head of household)

<table>
<thead>
<tr>
<th>Name</th>
<th>Gender</th>
<th>Relation to the household head</th>
<th>Ethnicity</th>
<th>Main Occupation</th>
<th>Education level (7 and above)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0=Male</td>
<td>1=Male</td>
<td>1=Kinh</td>
<td>1= Agriculture;</td>
<td>0=Illiterate</td>
</tr>
<tr>
<td></td>
<td>1=Female</td>
<td>2=Female</td>
<td>2=Thai</td>
<td>2=Livestock husbandry;</td>
<td>1=Primary school</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2=Female</td>
<td>3=Tay</td>
<td>3=Selling goods;</td>
<td>2=Secondary school</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3=Son/daughter</td>
<td>4=Nung</td>
<td>4=Restaurant;</td>
<td>3=Yet graduated from high school</td>
</tr>
<tr>
<td></td>
<td></td>
<td>4=Son-in-law/ Daughter-in-law</td>
<td>5=Muong</td>
<td>5=Factory worker;</td>
<td>4=High school</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5=Grand</td>
<td>6=Tho</td>
<td>6=official;</td>
<td>5=Vocational</td>
</tr>
<tr>
<td></td>
<td></td>
<td>6=Others</td>
<td>7=Others</td>
<td>7=private company;</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>8=transportation;</td>
<td></td>
</tr>
</tbody>
</table>

5. Annual household income: .................. VND

**Main household income sources are from:**

1) Agricultural production activities  
   Amount ______________________  
   ___ VND

2) Business  
   Amount ______________________  
   ___ VND

3) Salary  
   Amount ______________________  
   ___ VND

4) Other sources (for example, overseas remittances)  
   Amount ______________________  
   ___ VND
6. **Water use: water sources for domestic use (tick the corresponding bracket)**

1) Dug well
2) Village well
3) Tap water
4) Rain water
5) River, stream, pond, lake
6) Buy water
7) Creek
8) Others

7. **Common diseases among the community (specify)**

1. Catch a cold
2. Dysentery
3. Influenza
4. Hepatitis
5) Respiratory diseases
6) Intoxicated
7) Malaria
8) Others
9) Cholera
10) No answer

5. **Main energy for lighting for household?**

1) Grid electricity
2) Power generator/hydropower
3) Battery
4) Kerosene lamp
5) Wood/coal
6) Others

6. **Main energy for cooking of the household? (Can select more than 1)**

1) Electricity
2) Biogas
3) Power generator

4) Others

5) Gas/oil

6) No answer

7) Wood

7. Has the living condition of the household changed during the last 3 years?

1) Remain the same [ ]; Reason

2) Better [ ]; Reason:

3) Worse [ ]; Reason:

C. INVENTORY OF LOSSES

1. Land use situation of the household (affected land is in the scope of acquisition for the project)

<table>
<thead>
<tr>
<th>Types of land</th>
<th>Impact degree</th>
<th>Land tenure</th>
<th>Legal title</th>
<th>Impacts caused by</th>
</tr>
</thead>
<tbody>
<tr>
<td>1=Residential land</td>
<td>Land within and beyond the project area (m²)</td>
<td>Total area of affected land (m²)</td>
<td>1=Owner, 2=Lease</td>
<td>1=Transmission line</td>
</tr>
<tr>
<td>2=Land for growing rice</td>
<td></td>
<td></td>
<td></td>
<td>2=Station</td>
</tr>
<tr>
<td>3=Garden land</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4=Aquaculture land</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5=Forestry land</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6=Non-agricultural land</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Plot</td>
<td>Within</td>
<td>Beyond</td>
<td></td>
<td></td>
</tr>
<tr>
<td>------</td>
<td>--------</td>
<td>--------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Plot 1</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Plot 2</td>
<td></td>
<td></td>
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<tr>
<td>Plot 3</td>
<td></td>
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<tr>
<td>Plot 4</td>
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<td>Plot 5</td>
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<tr>
<td>Plot 6</td>
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<td></td>
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<tr>
<td>Plot 7</td>
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<tr>
<td>Plot 8</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
2. **Affected houses**

<table>
<thead>
<tr>
<th>Types of houses</th>
<th>Legal title</th>
<th>Impact degree</th>
<th>Project area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Villa</td>
<td>1. With certificate</td>
<td>(Partially affected = 1; Fully affected = 2)</td>
<td>1 = Main canal</td>
</tr>
<tr>
<td>2. Grade 1</td>
<td>2. Without certificate</td>
<td></td>
<td>2 = Northern Canal</td>
</tr>
<tr>
<td>3. Grade 2</td>
<td>3. Build on agricultural land</td>
<td></td>
<td>3 = Southern Canal</td>
</tr>
<tr>
<td>4. Grade 3</td>
<td>4. Rented house</td>
<td></td>
<td>4 = Management house</td>
</tr>
<tr>
<td>5. Grade 4</td>
<td></td>
<td></td>
<td>5 = Borrow pit</td>
</tr>
<tr>
<td>6. Temporary</td>
<td></td>
<td></td>
<td>6 = Disposal area</td>
</tr>
<tr>
<td>7. Shop separated from house</td>
<td></td>
<td></td>
<td>7 = Others</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total floor area (m²)</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
</table>

**Notes**

- A household can be impacted on several houses, thus it is necessary to fill full information of all affected houses.

3. **Information related to houses out of the project area (if any):**
   - No. of houses: [ ]
   - Area of houses out of the project area (m²): .............. m²

4. **Other affected structures and facilities**
   (List auxiliary structures **separated from** affected houses listed above and facilities)
<table>
<thead>
<tr>
<th>Structures/ Facilities</th>
<th>Types of structures</th>
<th>Unit</th>
<th>Quantity</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Kitchen separated from the main house</td>
<td>1. Temporary 2. Equal to grade 4 house</td>
<td>m2</td>
<td>l= Transmission line 2= Station</td>
<td></td>
</tr>
<tr>
<td>2. Livestock sheds</td>
<td>1. Temporary 2. Equal to grade 4 house</td>
<td>m2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Electricity meter</td>
<td>Electricity meter</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Water meter and estimate of water pipeline length</td>
<td>Water meter</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Telephone</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Fence</td>
<td>1. Brick 2. Steel, wire or wood</td>
<td>Fence</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Latrine, bathroom (separated from the main house)</td>
<td>1. Brick, concrete 2. Bamboo, thatch</td>
<td>m2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. Earth grave a) In cemetery b) Individual</td>
<td></td>
<td>Grave</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Built grave</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
11. Well
   1. Drilled
   2. Dug

12. Water container
   1. Brick/ concrete
   2. Inox
   3. Plastic

13. Yard (only cement or tiled)

14. Fish pond (excavated amount)

15. Others (Name and affected area)

5. Affected trees and crops

(Only list affected perennial crops and fruit trees)

<table>
<thead>
<tr>
<th>Trees and crops</th>
<th>Name</th>
<th>Unit</th>
<th>Amount</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1= Transmission line</td>
</tr>
</tbody>
</table>

a) Fruit tree (main)

1) Pomelo
   2)
   3)
   4)
   5)

b) Timber tree (main)

1)
<p>| | | | | |</p>
<table>
<thead>
<tr>
<th></th>
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<tbody>
<tr>
<td>2)</td>
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<td>3)</td>
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<td>4)</td>
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<tr>
<td>5)</td>
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</tr>
</tbody>
</table>

c) Pot plant (main)

<p>| | |</p>
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<thead>
<tr>
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<tbody>
<tr>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>d) Crops (main)</th>
<th>Tree</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Maize</td>
<td></td>
</tr>
<tr>
<td>2) Potato</td>
<td></td>
</tr>
<tr>
<td>3) Earthnut</td>
<td></td>
</tr>
<tr>
<td>4) Bean</td>
<td></td>
</tr>
<tr>
<td>5)</td>
<td></td>
</tr>
</tbody>
</table>

e) Surface water area for aquaculture | m2

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
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</tr>
</tbody>
</table>

D. CONSULTATION

6. Only for households losing productive and agricultural land
If agricultural or other productive lands are affected (acquired), which compensation option does your family chooses?

a) Land-for-land (if land fund in the commune is available) with equal type of land and area/nature [ ]
b) Compensation in cash [ ]
c) Not yet decided [ ]

7. Only for households losing residential land

Is the remaining residential land area out of the project area enough for the household to rebuild house?

1- Yes [ ] 2- No [ ]

8. Only for households losing residential land

If the remaining residential land area is not viable to rebuild house (the remaining area is smaller than 40m² in the urban area or 100m² in the rural area), which relocation option does the household choose?

a) Self relocate to another land plot of the household [ ]
b) Self relocate to another place decided by the household [ ]
c) Project’s resettlement site [ ]
d) Move to the resettlement site arranged by the local authorities [ ]
e) Not yet decided [ ]

9. What is your plan to use compensation cash?

a) Build or repair house [ ]
b) Buy new land [ ]
c) Buy other properties [ ]
   Specify________________
d) Invest in small business [ ]
e) Bank saving [ ]
f) Spend on children’s study [ ]
g) Others [ ]
   Describe________________

10. At present does the family have plan to replace production/income from agricultural land and/or restore business?

1. No □ [ ] 2. Yes: [ ] □

   If yes, what is the plan:
a) Buy new agricultural land for production [ ]
b) Reestablish business in the new place [ ]
c) Business [ ]
d) Open small shop [ ]
e) Handicraft [ ]
f) Look for new job [ ]
g) Others [ ] Describe
________________________________________

Surveyor On behalf of the household
### Appendix 3

#### Inventory of Displaced People

**City:** Hà Nội  
**District:** Đống Anh  
**Commune:** Thủy Lâm

| No. | Name of head of household | No. of Person | Total landholding (m²) | Total acquired land (m²) | % loss land | assets acquired | Crops lost | Other loss | Other loss:  
|-----|---------------------------|---------------|------------------------|--------------------------|-------------|----------------|------------|------------|---------------- 
<p>|     |                           |               |                        |                          |             | Number and type of structures lost | Structure acquired permanent (m²) | Structure acquired temporary (m²) | Area of residential lost (m²) | Fruit trees and number lost | Paddy area (m²) | (Specify) | House (rented) | Business | Income lost | Temporary lost (mò tạ) |
| 1   | Trần Thị Tiên              | 1             | 750                    | 156                      | 20.8        | 1                           | 156                     |                           |                           |                           | 0          |            |               |          |              |                      |
| 2   | Ngô Văn Minh (Ái)         | 5             | 1604                   | 360                      | 22.4        | 2                           | 360                     |                           |                           |                           | 0          |            |               |          |              |                      |
| 3   | Nguyễn Thị Tư (Vân)       | 4             |                        |                          |             |                             |                         |                           |                           |                           | 450        |            |               |          |              |                      |
| 4   | Phạm Tráng Việt           | 5             | 2115                   | 615                      | 29.1        |                             | 615                     |                           |                           |                           | 569        |            |               |          |              |                      |
| 5   | Dương Thị Tăng (Đinh)      | 3             | 532                    | 240                      | 45.1        |                             | 240                     |                           |                           |                           | 0          |            |               |          |              |                      |
| 6   | Phạm tráng Thủ              | 2             | 2710                   | 569                      | 21.0        |                             | 569                     |                           |                           |                           | 0          |            |               |          |              |                      |</p>
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Appendix 4

IMAGES OF THE PROJECT AREA STATUS
Appendix 5

IMAGES OF COMMUNITY MEETING MINUTES