



(5) **RAP Monitoring Plan**

In addition to the EMP, the Preparatory Study Team also recommends to prepare an RAP Monitoring Plan which has the following components.

- a) Follow up the preparation of the detailed plans on compensation, resettlement

The "Resettlement Action Plan (RAP) for the Project was prepared by VIDIFI in July 2009, and updated by PMU2 in May 2010. This RAP has the content in line of Vietnam regulations related to land acquisition, compensation and resettlement (in particular, it refers to "Decree No. 69/2009/ND-CP issued on August 13, 2009 on Additionally providing for land use planning, land prices, land recovery, compensation, support and resettlement"), and it can be considered as a "Master Plan on Compensation, Support, and Resettlement" (in Vietnamese: "Phương án tổng thể bồi thường, hỗ trợ, tái định cư", as stated in Article 29 of Decree No.69/2009/ND-CP) for the Project.

In accordance with Decree No.69/2009/ND-CP, the people's committees of project-affected districts shall take responsibility to prepare the "Detailed Plan on Compensation, Support and Resettlement" and the "Plan on Vocational Training and Occupational Change" (in Vietnamese: "Phương án đào tạo, chuyển đổi nghề nghiệp") for guiding tasks relating to compensation, resettlement, livelihood restoration, and other measures for mitigating adverse impacts caused by the Project to local residents living in the district.

According to the above-mentioned RAP, Hai An District and Cat Hat District would be affected by the Project in term of land acquisition, compensation, and resettlement.

**Table 3.4-12 List of Land Acquisition**

	Hai An District		Cat Hai District			Total
	Trang Cat Ward	Dong Hai 2 Ward	Nghia Lo Commune	Dong Bai Commune	Cat Hai Townlet	
Aquaculture land (ha)	57.30	18.60	28.26	9.51	14.61	128.28
Salt production land (ha)	0	0	1.008	2.29	2.81	6.18
Residential land (ha)	0	0	3.45	0.83		4.29
Sub-total (ha)						138.75
Public land (cemetery, etc.) (ha)						1.82
Total (ha)						140.57

Therefore, people's committees of these 2 districts should prepare its respective Detailed Plan on Compensation, Support and Resettlement and the Plan on Vocational Training and Occupational Change (hereinafter refer to as "the RAPs"). The preparation of these plans should be monitored, and followed up in the D/D stage.

b) Preparation of the RAP Monitoring Plan

\* Objectives

A RAP Monitoring Plan should be prepared to manage and supervise the implementation of the RAPs (prepared by the people's committees of project-affected districts). The RAP Monitoring Plan will be used as a tool to facilitate appropriate corrective measures during resettlement implementation based on the information obtained through routine collection of data.

\* Various stages to be covered by the RAP Monitoring Plan

The proposed RAP Monitoring Plan will cover various stages of resettlement and will target the activities described in the following table.

**Table 3.4-13 Stages of resettlement and targeted activities covered by the RAP Monitoring Plan**

Stages	Targeted activities
1. Preparatory Stage	<ul style="list-style-type: none"> <li>+ Conduct of baseline survey</li> <li>+ Consultations</li> <li>+ Identification of project-affected people (PAP) and the numbers</li> <li>+ Identification of different categories of PAP and their entitlements</li> <li>+ Collection of gender disaggregated data</li> <li>+ IOL survey (inventory of losses survey)</li> <li>+ Asset inventory</li> <li>+ Entitlements</li> <li>+ Valuation of different assets</li> <li>+ Budgeting</li> <li>+ Information dissemination</li> <li>+ Institutional arrangements</li> <li>+ Implementation schedule</li> <li>+ Review budgets and line items expenditure</li> </ul>
2. Relocation Stage	<ul style="list-style-type: none"> <li>+ Payment of compensation</li> <li>+ Delivery of entitlement</li> <li>+ Grievance handling</li> <li>+ Land acquisition</li> <li>+ Preparation of resettlement site, including civic amenities</li> <li>+ Consultations</li> <li>+ Relocation</li> <li>+ For PAP who do not relocate:                             <ul style="list-style-type: none"> <li>• Payment of Compensation</li> <li>• Livelihood restoration assistance.</li> </ul> </li> </ul>
3. Rehabilitation Stage	<ul style="list-style-type: none"> <li>+ Initiation of income generation activities</li> <li>+ Provision of basic civic amenities and essential facilities in the relocated area</li> <li>+ Consultations</li> <li>+ Assistance to enhance livelihood and quality of life</li> <li>+ Assistance to host populations</li> </ul>

**\* Scope of Monitoring: Internal & External**

**(a) Internal Monitoring**

Internal monitoring is an important responsibility and component of project management. The RAP Monitoring Plan will provide details of the monitoring and reporting framework for resettlement activities, including entitlements, timeframe, budget, costs, etc.

Internal monitoring should focus on the following indicators.

**Table 3.4-14 Indicators to be applied for the internal monitoring**

Sequence	Dimensions of the resettlement process	Indicators
Project Inputs	Institutional preparedness	Qualified staff in place
	Institutional preparedness	Equipment available
	Institutional preparedness	Finance on deposit
Project Process	Information to PAP	Information disseminated
	Capacity building	Training of PAP
	Consultation and participation	Meetings held and committees formed
Project Outputs	Compensation	Compensation paid for acquired assets
	Acquisition	Assets acquired
	Compensation	Community assets replace and relocation site prepared
	Relocation of PAP	Relocation completed and grants paid
	Rehabilitation	Jobs/businesses/income provided

The following activities will be recommended for the institutional preparedness.

- 1 Creation of a project implementation unit (PIU)
- 2 Acquisition of office space, furniture & computers, etc.
- 3 Assignment of adequate staff
- 4 Budget allocation
- 5 Training needs assessment & capacity building plan of staff
- 6 Establishment of monitoring unit with adequate staff
- 7 Capacity building for staff
- 8 Establishment of field office with all infrastructure & computers and transport
- 9 Preparation of activities implementation schedule with specific monitoring indicators
- 10 Formation of Monitoring Committee at field level
- 11 Capacity building for committee members
- 12 Creation of database
- 13 Hiring an External Monitor
- 14 Reporting protocols of external monitor

**(b) External Monitoring**

In addition to internal monitoring, external (or independent) monitoring is required to provide an independent periodic assessment of resettlement implementation and impacts, to verify internal monitoring and to suggest adjustment of delivery mechanisms and procedures as required.

The main objectives of the external monitoring is to review implementation and assess the achievement of resettlement objectives, the changes in living standards and livelihoods, restoration of the economic and social base of the affected people, the effectiveness, impact and sustainability of entitlements, the need for further mitigation measures if any, and to learn strategic lessons for future policy formulation and planning. A social and economic assessment of resettlement, measurement of the income and standards of living of the PAP before and after resettlement are integral components of the external monitoring activity.

To function effectively, the organization responsible for external monitoring should be independent of the government agencies involved in resettlement implementation.

Regular external monitoring should begin along with implementation activities and continue until the end of the project. Sample socio-economic surveys should be conducted before beginning resettlement (baseline survey), repeated one year and three years after resettlement is completed, to assess the effectiveness of remedial measures.

**Table 3.4-15 Indicators to be applied for the external monitoring**

Sequence	Dimensions of the resettlement process	Indicators
Project Process	Information to PAP	Information disseminated
	Capacity building	Training of PAP
	Consultation and participation	Meetings held and committees formed
Project Outputs	Payment of compensation and timing	Compensation paid for acquired assets
	Land acquisition, land readjustment	Assets acquired
	Preparation and adequacy of resettlement sites, house construction	Community assets replace and resettlement site prepared
	Relocation of PAP	Relocation completed and grants paid
	Rehabilitation, provision of employment, adequacy and income levels	Jobs/businesses/income provided
	Training	Training provided
	Rehabilitation of vulnerable groups	Jobs/businesses/income provided
	Infrastructure repair, relocation or replacement	Repaired, relocated or replaced infrastructure
Project Impacts	Enterprise relocation, compensation and its adequacy	Relocated enterprise
	Results of RAP implementation	Incomes restored
	Results of RAP implementation	Living standards restored

Organ responsible for the external monitoring should be equipped with adequate human resources, logistics, computers, etc. It should be a dedicated monitoring team with adequate gender representation. The skill of team members plays a crucial role in effective monitoring. Hence, the team needs to have members who are trained and skilled in data base management, interview techniques, social and economic assessments and financial audit.

It is recommended that the external monitoring organ should include following experts:

- A team leader
- Social scientist
- Gender specialist
- Research and Statistical specialist
- Accounts & Financial expert

**\* Reports and Reporting**

The importance of regular reporting on financial and physical progress will form the basic functions of project management. Responsible project managers will rely on timely feedback regarding availability of inputs, flow of finances, and delivery of services. Progress will be reported against time bound actions. Quantitative monitoring indicators will be identified and used to monitoring many aspects of project performance. With regard to socio-economic impacts, however, supplementary qualitative assessment will also be identified and used.

The reports will be classified as:

- Progress reports during implementation of the RAP
- Qualitative reports highlighting qualitative aspects
- Financial reports
- Evaluation reports based on benefits and impact of assistance provided.

The reporting cycle is determined on the need and relevance of regularly monitoring essential components. A monitoring time line described in Table 3.4.15 is recommended.

**Table 3.4-16 Monitoring Time Line to be Examined and Recommended**

Activity	Content	Time line
Quarterly Financial Reports	Expenditure vs. budgeted amount by budget heads and sub heads	Submitted within 30 days of end of financial quarter
Six Monthly Progress Report	Narrative and as per Monitoring Plan format giving details on activity, results, issues affecting performance and variance if any and reason for same and corrections recommended	Submitted within 30 days of end of the six month period
Annual Reports	Narrative and as per reporting format giving details on activity, results, issues affecting performance and variance if any and reason for same and corrections recommended	Submitted within 30 days after the year end
Annual Financial Audit	Professional audit of accounts, prepared by qualified CA firm	Within 90 days of end of fiscal year
Final Report	Projects achievements, failures and impact from the project	Submitted within 90 days of end of the project

**\* Data Management**

In addition to the findings of regular monitoring, some specific information are also required to develop a comprehensive database on the PAP, their situation and changing patterns during the period. To track disbursements, the monitoring unit should establish and maintain a completed database on all affected households/persons and a full inventory of lost assets. Computers can be extensively used both for analysis of data and presentation. The available data can be analyzed and depicted in various forms such as graphs, statistics, and spreadsheets.

In order to manage various kinds of data and information on PAP, we will assist the monitoring unit in establishing a Management Information System (MIS) whose outline is as following.

**Table 3.4-17 Management Information System (MIS)**

Functions	Source of Information, Data collection method	Responsibility for collection and analysis
(a) Procurement and physical delivery of goods, structures, and services, and the costs incurred	Internal, monthly, or quarterly, physical and financial reporting	Implementing agency, resettlement unit, if existing
(b) Use of the structures and services by PAP and their initial reactions	PAP contact monitoring	Project resettlement unit and contracted external monitoring agency
(c) Reasons (social, economic, or environmental) for unexpected reactions by the PAP, when these are revealed by the information obtained in (b) or through other sources	Diagnostic studies, and other special studies	External monitoring agency or other agency contracted to study the issue (such as academic institution, NGO or consultants)
(d) Measurement of output indicators such as productivity gains and income restoration to the extent that these can be measured during implementation	Internal reporting and external sample surveys	Project resettlement unit or external agency, (such as consultants, NGO, or academic institution)

**(6) Conduct information dissemination and public consultations**

Activities for information dissemination and public consultation should be carried out, in order to facilitate the Project implementation, and particularly to realize smooth implementation of resettlement and compensation.

**\* Objectives**

The main objectives of the information dissemination and public consultation are suggested as:

- To help local residents and, in particular the APs, to comprehend goals, benefits, scale and scope of the Project; and to grasp possibly adverse impacts of the project etc... Through this basis, people will be able to analyze advantages and disadvantages affecting local communities or the whole city. They will also have opportunities to get better opinions about the project.
- To identify stakeholders, especially who will be negatively affected by the Project and extents of the impacts. Based upon this information the Project can be designed so as to reach solutions that can avoid, limit or mitigate the negative impacts and protect people's benefits.
- To grasp people's expectations and worries and to consult people's opinions and suggestions on issues related to resettlement, livelihood rehabilitation, means of support to persons in special difficulties, means of community organization, etc. This information will be reflected into the preparation and revision of compensation programs and resettlement plans.

\* Methodology

The following activities for information dissemination and public consultation are recommended.

- a) Identify the various stakeholders who will be involved in the Project;
- b) Prepare a plan for disseminating information to the stakeholders;
- c) Identify participation mechanism to facilitate the consultation process;
- d) Prepare a detailed plan for public consultation;
- e) Identify institutional and financial provisions for continuing consultation;

As for information dissemination, it is recommended to make prints of several kinds of brochures and leaflets to introduce about outline of the Project, key impacts caused by the Project, the compensation and resettlement policy, the decisions on compensation tariffs, and other issues concerned. These brochures and leaflets will be distributed widely to all affected households and to all concerned people.

It also needs to coordinate with PMU2 to mobile mass media, such as newspaper, TV broadcasting, radio broadcasting, and particularly the broadcasting system of the communes, to frequently disseminate updated information on the Project.

As for consultation with PAPs, it needs to coordinate with competent authorities to organize consultation meetings with participation of the PAPs, representatives of Hai Phong City, districts and commune authorities, representatives of citizen organizations, NGOs, etc. to disseminate information and consult about the issues relating to the Project implementation. The organization of the meetings is announced broadly to people in advance so that all people in the affected areas can attend to get information on the Project, particularly on the compensation policy, etc. and they can address their opinions and discuss related issues.

In addition, following activities should be conducted in order to facilitate the implementation of compensation procedures, resettlement plan, livelihood restoration plan, and other measures for mitigating adverse impacts cause by the Project to local communities.

- a) Organizing visits to the project-affected areas. Consulting with PAP on the measures for mitigating adverse impacts caused by the Project
- b) Conducting socio-economic surveys, and other kinds of public hearing surveys to PAP, in order to grasp their living conditions, recording their opinions and expectations on relevant issues, and on measures for mitigating adverse impacts, etc.
- c) Assisting local authorities in carrying out *inventory of loss survey* (making and distributing guidance documents to PAP to instruct them on how to classify lost assets, on applicable prices of lands, plants, and other assets... in order to fulfill the forms of declaration of lost lands and assets)
- d) Promoting PAP to participate in the *inventory of loss survey*. Their participation in these surveys will help ensuring the rights of the poors and vulnerable people, and to avoid unfair and unreasonable compensation due to wrong inventories.
- e) Assisting projected-affected communes to organize meetings right in the communes in order to inform local residents about the Project, the compmpensation program, the RAP, etc. and to consult with local residents on the Project implementation.



(7) Estimated cost for implementation of Environmental Management Plan

a) Cost Estimate for Training

Estimated cost for the personnel training is presented in Table 3.4.17.

**Table 3.4-18 Personnel Training Program**

Feature	Description	Staff	Number of people	Time	Cost (Million VND)
Environmental protection	Once a year for : - EMP - Environmental monitoring and report, - Emergency Plan - Cultural property protection - Biodiversity protection	Members of Environmental Team of contractors	10 pers	2012~2015	200.0
Environmental supervision	Once a year for: Site supervision, methodology, procedures, etc.	Leaders and members of the Environmental Team of contractors	18 pers	2012~2015	300.0
<b>Total</b>					<b>500.0</b>

b) Cost Estimate for Environmental Protection

The cost estimated for environment management covers both the capital cost and recurring cost, including monitoring cost, for environmental facilities. All of the cost has been included in the overall budget of the project.

\* Cost Estimate for Environmental Protection

Table 3.4.18 and Table 3.4.19 show estimated costs for environmental protection that should be done by contractors. These costs should be included in the bidding documents for the contractors.

**Table 3.4-19 Estimated Costs for Environmental Protection (1)**  
**- for construction of environmental facilities**

Item	Mitigation Measures	Quantity	Cost (Million VND)
Surface water	Septic tanks and garbage pit in construction site	4	410
	Surface run-off collection device on bridge deck	2 sets	120
Air	Water spray vehicle		
Eco-environment	Soil conservation measures in excavation area, filling area, bridge sites, spoil tipping area, and temporary works site	-	1,000
	Temporary ditch, settling tank	-	
	Materials to be used in rain season	-	
	Greening works design	-	
Noise	Planting trees at the road section near residential areas of Ninh Tiep Hamlet and Trung Hamlet (1.5km, 4m/tree, 200,000VND/tree)	375	75
Surface water	Wastewater treatments near Ninh Tiep Hamlet and Trung Hamlet (in the parking area / service area)	2 sets	70
	Septic tank near Ninh Tiep Hamlet and the parking area / service zone	2 sets	12
	Emergency measures for accidental pollution	2 sets	60
Environmental management	Implementation of EMP in construction phase	3 years	40
Environmental monitoring	Implementation of monitoring plan in construction phase	3 years	75
Personnel training	Training for leaders and members of the Environmental Teams of contractors	-	25
Acceptance	Inspection and acceptance of mitigation measures	-	40
<b>Total</b>			<b>1,927</b>

**Table 3.4-20 Estimation of environmental facility annual operation cost**

No.	Item	Cost (Million VND)	Remark
1	Monitoring cost in operation stage	30	Wastewater treatment facilities
2	Staff training cost	4	
3	Energy and medical consumption	5	
4	Environmental facilities operation, maintain and update	10	
5	Staff salary of environmental facilities operation and maintain (2 pers, 3,000,000VND/month/per)	72	
6	Vegetation plant maintain	10	
Sub-total		131	
Total (2years)		262	

**Table 3.4-21 Estimated cost for socio-economic survey (unit:US\$)**

		Unit	Quantity	Day	Unit price	Sub-total
1	Preparation (4 persons, 3 days)					480
	Making of questionnaire	person, day	1	1	50	50
	Questionnaire printing	sheets	150	1	0.2	30
	Personnel fees	person, day	4	2	50	400
2	Logistics, hotel, accommodation					0
	Air ticket	round	0	0	150	0
	Hotel, accommodation	person, day	0	0	20	0
3	Survey (9 surveyors, 5 field days)					7,550
	Rent-cars	car, day	0	30	50	0
	Rent-motorbikes	motorbikes, day	5	5	20	500
	Personnel fee: Project Manager	person, day	1	5	150	750
	Personnel fee: administrative assistant	person, day	1	5	50	250
	Personnel fee: surveyors	person, day	5	5	80	2,000
	Communication	day	6	5	10	300
	Foods	person, day	6	5	10	300
	Training course for interviewers	set	1	3	100	300
	Provincial guiders	province	2	2	50	200
	Local guiders at communes and villages	commune	9	5	50	2,250
	Allowance for interviewers	person, day	5	5	4	100
	Gift for the Householders	HH	120	1	5	600
4	Report making					5,710
	Data input	sheets	120	1	1	120
	Report writing: Project Manager	person, day	1	6	150	900
	Report writing: Team leaders	person, day	3	6	80	1,440
	Printing (Vietnamese)	copy	50	1	15	750
	Translation (English)	page	100	1	15	1,500
	Printing (English)	copy	50	1	20	1,000
5	Management and others					1,374
	Management (5% of total cost)					687
	Contingency (5% of total cost)					687
Total (during pre-construction stage)						15,114
During construction stage, one year after resettlement						18,288
During construction stage, three years after resettlement						20,404
Grand total cost for socio-economic surveys (US\$)						53,806

**Table 3.4-22 Estimated cost for environmental sampling survey – direct expenses**

Project Phase	Item	Monitoring Parameter	Location	Frequency	Total cost (x 1000 VND)	Reference Standards
Pre-construction phase	Air quality	NO <sub>2</sub> , SO <sub>2</sub> , CO, SPM, Carbohydrates, Microclimate conditions	7 sites (3 samplings /site)	Once	38,556	TCVN 5937: 2005
	Noise	Laeq, L10, L90	7 sites (24 hours continuous measurement)	Once	33,600	TCVN 5948: 1998 TCVN 5949: 1998 Japanese guidelines for road construction and operation
	Surface water quality	Temperature, pH, SS, DO, BOD, COD, E.Coli, Total-P, Total-N, NO <sub>3</sub> <sup>-</sup> , NH <sub>4</sub> <sup>+</sup> , Oil/Grease, CN, Heavy metals (Cd, Pb, Cr, As, Hg)	9 sites	Once	17,172	TCVN 5942: 1995 TCVN 5945: 2005
	Sub-total				89,328	
Construction phase	Air quality	NO <sub>2</sub> , SO <sub>2</sub> , CO, SPM, Carbohydrates, Microclimate conditions	7 sites (3 samplings /site)	6 times = 2.5 years x 2 times/year +1	231,336	TCVN 5937: 2005
	Noise	Laeq, L10, L90	7 sites (24 hours continuous measurement)	6 times = 2.5 years x 2 times/year +1	201,600	TCVN 5948: 1998 TCVN 5949: 1998 Japanese guidelines for road construction and operation
	Water quality	Temperature, pH, SS, DO, BOD, COD, E.Coli, Total-P, Total-N, NO <sub>3</sub> <sup>-</sup> , NH <sub>4</sub> <sup>+</sup> , Oil/Grease, CN, Heavy metals (Cd, Pb, Cr, As,	9 sites	6 times = 2.5 years x 2 times/year +1	103,032	TCVN 5942: 1995 TCVN 5945: 2005

Project Phase	Item	Monitoring Parameter	Location	Frequency	Total cost (x 1000 VND)	Reference Standards
		Hg )				
	Sub-total				535,968	
Operation phase	Air quality	NO <sub>2</sub> , SO <sub>2</sub> , CO, SPM, Carbohydrates, Microclimate conditions	7 sites (3 samplings /site)	Once	38,556	TCVN 5937: 2005
	Noise	Laeq, L10, L90	7 sites (24 hours continuous measurement)	Once	33,600	TCVN 5948: 1998 TCVN 5949: 1998 Japanese guidelines for road construction and operation
	Water quality	Temperature, pH, SS, DO, BOD, COD, E.Coli, Total-P, Total-N, NO <sub>3</sub> <sup>-</sup> , NH <sub>4</sub> <sup>+</sup> , Oil/Grease, CN, Heavy metals (Cd, Pb, Cr, As, Hg )	9 sites	Once	17,172	TCVN 5942: 1995 TCVN 5945: 2005
	Sub-total				107,194	