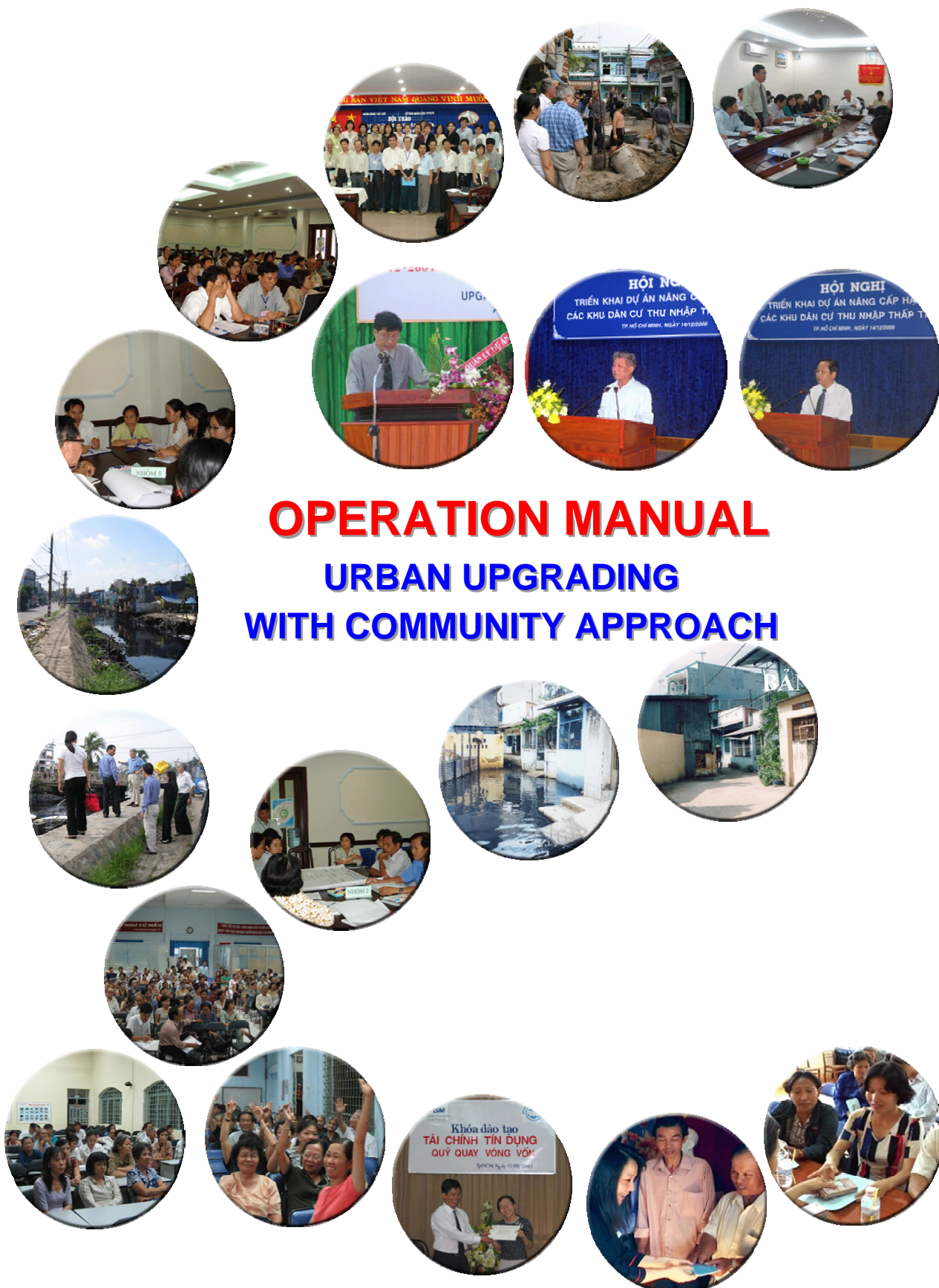


HO CHI MINH PEOPLE COMMITTEE
HO CHI MINH CITY URBAN UPGRADING PROJECT MANAGEMENT UNIT



HO CHI MINH CITY, 01st JANUARY, 2007

HO CHI MINH PEOPLE COMMITTEE
HO CHI MINH CITY URBAN UPGRADING PROJECT MANAGEMENT UNIT

OPERATION MANUAL
URBAN UPGRADING WITH COMMUNITY APPROACH

HO CHI MINH CITY, 01st JANUARY, 2007

ABBREVIATION

ES	Environmental safety
CSRC	Compensation, support and resettlement council
CRB	Community representative board
HUUPMU	Ho Chi Minh City Urban Upgrading Project Management Unit
CSC	Compensation for site clearance
CEMP	Community environment management plan
CUP	Community upgrading plan
EIA	Environment impact assessment
EMP	Environment management plan
FS	Feasibility study
CS	Community supervision
ES	Environment supervision
SCCB	Site clearance compensation board
PC	People's Committee
WU	Women's Union
HUUP	Ho Chi Minh City Urban Upgrading Project
LIA	Low-income area
RCP	Relocation compensation plan
MF	Micro finance
CC	Community consultant
DC	Design consultant
VUUP	Vietnam urban upgrading project
WB	World Bank

EXPLANATION OF TERMS

- **Upgrading:**

Being the process of plan realisation, but more flexible with the participation of the community, urban upgrading includes practical activities providing basic infrastructure services synchronically in order to improve and gradually increase the living conditions of poor resident communities in places with low quality living environment.

- **Community consultation**

Community consultation involves seeking the community's opinions, attitudes and concerns about some development plans in the planning process. This is the opportunity for people to express their opinions, thus they can have influence on decision making.

Currently, there exists a strict regulation concerning resident opinion contribution in the planning and decision making process, which is * COMMUNE DEMOCRACY REGULATION (issued in enclosure with the Government Decree No 79/2003/ND-CP dated 7 July 2003). It is stated in Article 1, Chapter 1 in the General regulations section:



Article 1: This regulation defines issues that the commune People Council and People's Committee (commune authorities) must inform the residents; issues that residents can discuss and make decisions about, issues that need residents opinions before government decision making, issues that residents can supervise and the forms of the realisation of Commune Democracy Regulation.

- **Why is it necessary to consult the community?**

- The project brings benefits for the community;
- The project products will be used and managed by the community;
- Therefore the project implementation requires a high level of support agreement of the community.

- **What does the community participate in?**

The community:

(i) Contributes ideas, knowledge, labour, land and money (voluntary land contribution to enlarge alleys).

(ii) Participates in decision making: e.g. whether or not the residential area should participate in the upgrading project, to what extent to enlarge the alley, whether to cover the alley by asphalt or concrete, how to select the sources of materials, etc.

(iii) Participates in supervising the project implementation.

- **Steps of community consultation**

Community consultation is a process which consists of six steps:

□ *Step 1: Identify the objectives of consultation:*

Why? To explore the attitudes and practice of the local authorities and community through the feedback to the draft plan, or to enable the community to select a certain development project, which will lead to agreement and co-operation.

□ *Step 2: Select methods of community consultation:*

Consider a number of methods and choose the most suitable one for the objectives and for approaching the subjects.

□ *Step 3: Identify residential groups who will be affected by project activities:*

Identify the investment boundaries and residential groups who will participate in the consulting process: which areas, participant characteristics concerning job, age, etc.

□ *Step 4: Develop detailed plan: Including identification of:*

- The objectives
- The methods to be used
- The affected community groups
- The preliminary contents of community consultation (forms, tables, questionnaires, etc.)
- The arrangement (time, place, people in charge, etc.)

□ *Step 5: Realisation of the selected consultation methods:*

This step is conducted on the basis of the developed detailed plan and includes:

- Organising community meeting, appointing people who have been trained and have prestige in the community to be the guides, providing prompts and raising issues, taking notes, approving and voting.

- Using questionnaires: The consultants, local authorities and the investor prepare the contents and instruct the community representatives to distribute and collect the questionnaires.

□ *Step 6: Considering community feedback in the process of decision-making:*

Analyse the received information, consider its value and decide on what should be used in the draft project.

- **Stakeholders**

- The stakeholders are those organisations and individuals who have responsibility and interest related to specific issues and activities.

- The stakeholders also include people who make decisions and people who are affected by the decisions.

- The community is one of the stakeholders affected by the decisions of development plans.

- **Primary, secondary and tertiary infrastructure (not applied to the classification of water drainage system)**

“Primary, secondary and tertiary infrastructure” include socio-technical infrastructure facilities functioning to serve urban areas of different scales:

- Primary infrastructure: functioning on a large scale, affecting a large area including many districts.
- Secondary infrastructure: functioning to serve several districts or several wards in a district.
- Tertiary infrastructure: functioning to serve residential clusters and groups, low-income residential areas – this is the target population of the urban upgrading project.

- **Community upgrading plans (CUPs)**

“*Community upgrading plans*” are the plans with community participation for upgrading needs, upgrading options and commitment to contribute and participate in supervision. These plans will be improved, finalised and presented for approval.

Community upgrading plans include: Preliminary community upgrading plans and complete community upgrading plans. These two steps of planning differ in the completeness level of upgrading options on the basis of successful community consultation.

- **Resettlement action plan (RAP)**

Includes the principles and procedures of compensation for site clearance, resettlement and recovery for people affected by the project.

- **Environment impact assessment (EIA)**

“*Environment impact assessment*” is the analysis and prediction of the possible impact on the environment by a particular investment project in order to propose environment protection measures when implementing the project.

- **Environment management plan (EMP)**

Environment management plan is a part of or the results of EIA study in the project preparation process. EMP determines management and observation methods to be used in the process of project implementation in order to avoid, prevent or minimise negative effects.

CHAPTER 1: INTRODUCTION TO URBAN UPGRADING PROJECT

1. OVERVIEW OF VIETNAM URBAN UPGRADING PROJECT

The population of cities in Vietnam has been growing rapidly, while infrastructure and utility service investments have not been able to meet the residents demand. Specifically, low-income areas (LIA) have been developing in an ad-hoc unplanned manner without adequate basic infrastructure services, resulting in environmental and health risks for their residents in particular and for the whole city at large.

In order to address above-mentioned challenges, the Socialist Republic of Vietnam has signed for a loan from the World Bank in order to implement Vietnam Urban Upgrading Project (VUUP).

VUUP is implemented in four cities: Hai Phong, Nam Dinh, Can Tho and Ho Chi Minh City. The objectives of the project are to alleviate poverty in the urban areas by improving environmental and living conditions of the urban poor with the use of community participatory planning method.

2. HO CHI MINH CITY URBAN UPGRADING SUB-PROJECT

Ho Chi Minh City urban upgrading project (HUUP) is a sub-project in the whole VUUP. The project consists of six components, in which component 1 “*Upgrading tertiary infrastructure in low-income residential areas*” aims at renewing, upgrading and enlarging alleys, improving or rebuilding water supply and drainage system, electricity supply, and streetlighting system in LIAs. Component 1 is divided into two phases: phase 1 and phase 2.

Phase 1 – Sectoral project 1 of the project - has been completed in general. This manual covers the steps in the process of phase 2 implementation – Sectoral project 2.

2.1. Objectives of the project

- (i) To alleviate poverty in urban areas
- (ii) To improve infrastructure, environmental and living conditions of low-income communities, contributing to urban renewal.
- (iii) To develop housing resource in order to increase housing provision for the poor.
- (iv) To provide credit for housing repairs for the urban poor.
- (v) To assist accommodation and land management of the City authorities in order to enhance the process of issuing Land and housing ownership certificates.



2.2. Major principles (12 principles)

- (i) Community participation;
- (ii) Minimizing relocation;
- (iii) Multi-sectoral participation (transport, water supply and drainage, electricity supply);
- (iv) Investing scale depends on participation capacity of the stakeholders (community, the city and the loan);

- (v) Applying the experience of the projects carried out in other areas of the city;
- (vi) Technical standards are suitable for the needs and capacity of the community;
- (vii) Considering the city's master plan;
- (viii) Inspecting primary and secondary infrastructure to link with tertiary infrastructure;
- (ix) Identifying the services that need residents' contribution;
- (x) Conducting work through consultancy and conforming to the current regulations of the WB and Vietnamese government;
- (xi) Upgrading infrastructure to meet the immediate demand of the community and to provide the basis for sustainable development in the future;
- (xii) Raising community awareness in the project implementation, especially in environment protection.

2.3. Criteria for project area selection

- (i) Low-income area: average income below 700,000 VND/month.
- (ii) Area scale $\geq 1000 \text{ m}^2$
- (iii) Technical infrastructure conditions: Lacking all or one of the following:
 - Drainage sewers: water is drained into the channels or is directly absorbed.
 - Water supply network that must be borrowed or buy with high price.
 - Electricity supply network that must be borrowed or connection.
- (iv) Transportation: developed spontaneously with many alleys narrower than 2m, winding and still not covered by concrete.
- (v) Project stability: There will be no other investment projects in next 10-15 years if the investment of urban upgrading project is approved.



2.4. Investment components of Ho Chi Minh City urban upgrading project

2.4.1 Component 1: Tertiary infrastructure upgrading in low-income areas

Consists of two sectoral projects. Upgraded items include: alley system, water drainage system, water supply system, lighting system.

- (i) Sectoral project 1: “Upgrading tertiary infrastructure in low-income areas inside Tan Hoa – Lo Gom basin” has been implemented in 04 districts: District 6, Tan Binh, Tan Phu and Binh Tan.
- (ii) Sectoral project 2: “Upgrading tertiary infrastructure in low-income areas outside Tan Hoa – Lo Gom basin” will be implemented in 14 districts: 1,4,7,8,9,10,12, Binh Thanh, Phu Nhuan, Tan Binh, Go Vap, Tan Phu, Binh Tan and Thu Duc.

2.4.2. Component 2: Related primary and secondary infrastructure

- (i) Sectoral project 3 –Component 2 – phase 1: Improving secondary and tertiary water drainage systems inside Tan Hoa-Lo Gom basin.
- (i) Sectoral project 4 –Component 2 – phase 1: Improving Tan Hoa-Lo Gom canals, canal banks and the roads along the canal.
- (iii) Sectoral project 5 and 6: Component 2 – phase 2: Improving secondary and tertiary water supply and drainage systems outside Tan Hoa-Lo Gom basin.

Improving and building secondary and tertiary water supply systems inside and outside Tan Hoa-Lo Gom basin to connect with the works of Sectoral projects 1 and 2; and to ensure water drainage for currently flooded areas.

2.4.3. Component 3: Resettlement housing

- (i) Sectoral project 7: Investing for building Vinh Loc B resettlement area of 30 hectares, Binh Chanh district.
- (ii) Sectoral project 11: Investing for building apartment blocks in Ward 11, District 6.
- (iii) Sectoral project 13: Investing for building apartment blocks 243 Tan Hoa Dong, District 6.

2.4.4. Component 4 : Capacity building for land and housing management (Sectoral project 9)

2.4.5. Component 5 : Micro-finance

Sectoral project 8 : Revolving loan fund for accomodation upgrading and income improvement for low-income households.

2.4.6. Component 6 : Technical assistance and capacity building for project management (Sectoral project 10)

This project aims to provide technical assistance, facilities and equipments, training and experience exchange at home and overseas for PMU, related departments and sectors, local authorities, community representatives and other bodies participating in the project.



Diagram: Contents of tertiary infrastructure upgrading connected with primary and secondary infrastructure related to other issues of the project.



2.5. Organizational structure for project implementation

2.5.1. Responsibilities of district People's Committees

- To carry out plans for wards participating in the project.
- To approve project planning drawing 1/500, technical drawing (according to levels), technical proposals.
- To establish Site clearance compensation board (SCCB) and develop compensation schemes for site clearance and resettlement.
- To guide the cost estimates development and approval, to conduct compensation for site clearance (CSC) and arrange resettlement.
- To guide ward People's Committees in community mobilization for land and construction expenses contribution (minimum 10%).

- To guide in resolving problems and difficulties during the process of implementation.
- To solve conflicts (if such occur)

2.5.2. Responsibilities of ward People's Committees

- To select and appoint community representatives for project implementation supervision.
- To develop implementation plans, to assist and co-operate with PMU in proposing areas for project implementation with community participation.
- To establish and assist community representative board (CRB).
- To assist and co-operate with consultants in community consultation for developing alley traffic plans.
- To mobilize the community in land and construction expenses contribution (minimum 10%).
- To assist in executing CSC and construction.
- To maintain security and order during the project implementation.

2.5.3. Community representative board (including males and females)

(i) **Members** : include representatives of Fatherland Front, Ward People's Committee, Women's Union, Youth Union, heads of residential clusters and groups, residents in the project area.

(ii) **Duties:**

- To organize community meetings
- To propagandize and mobilize the community to participate in the project (land and construction fund contribution, site clearance, etc)
- To express opinions of the community, to inform the community about the project and the meetings concerning project plans.
- To assist consultants in developing community upgrading plans (CUPs)
- To assist in listing affected households and level of damage.
- To offer suggestions concerning the legal basis for compensation, such as the sources of related land and house documents.
- To offer suggestions concerning loans for accommodation repairs.
- To participate in planning for construction supervision and management of the project components after completion.

2.5.4. Community supervision group

- Being selected by the communities.
- Participating in the process of developing CUPs.
- Participating in supervising resettlement, compensation and construction .
- Being trained and provided with basic knowledge about construction supervision.

2.5.5. Governing agency

Ho Chi Minh City People's Committee is also the investment deciding level authorised by the Prime Minister.

2.5.6. Project owner

Ho Chi Minh City urban upgrading project management unit .

2.5.7. Donor

The World Bank

2.5.8. Agencies co-operating with the project owner

Relevant authorities: Department of Planning and Investment, Department of Transport and Public Works, Department of Finance, Department of Construction, Department of Architecture and Planning, Department of Natural Resources and Environment, etc.



2.5.9. District project management unit

Being in charge of the project management (if needed)

2.5.10. Consultant

PMU is in charge of selecting and signing contracts with consultants.

(i) Consultancy in developing investment project and detailed design :

- Nagecco General construction consultancy company (group 1) ;
- Saigon Weico Environment water and technical infrastructure company (group 2);
- Vietnam Environment water company – Viwase (group 3).

(ii) Consultancy in supervising construction:

Will be selected by PMU when executing the construction.

(iii) Other consultants (RAP, EIA)

2.5.11. Work Contractors :

Being selected by PMU through domestic competitive bidding.

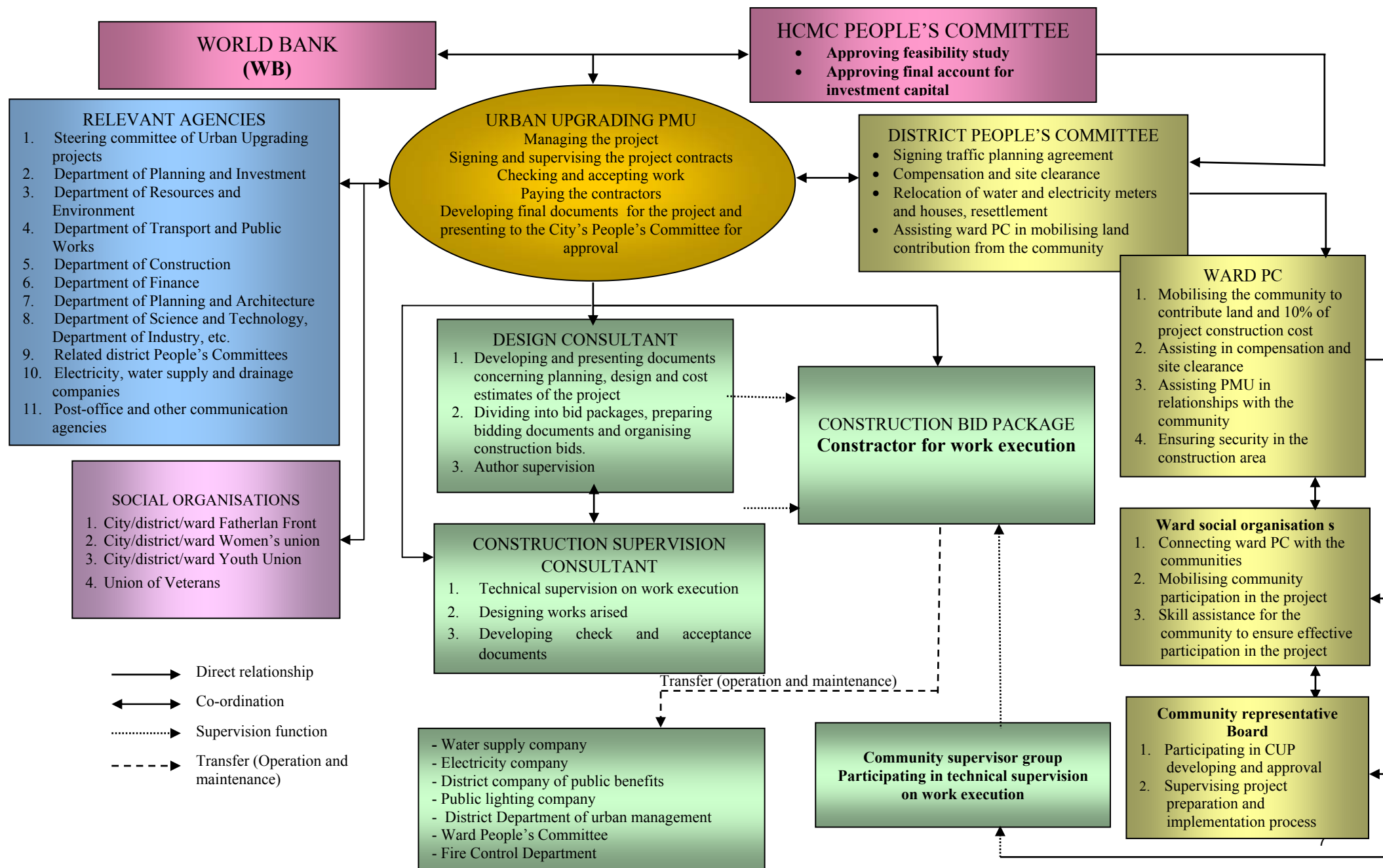
2.5.12. Local project assisting organisations

- District/ward People's Committees and local organisations (Fatherland Front, Association of Veterans, Women's Union, Youth Union)
- Community representative board and community supervision teams: including community representative groups and community supervision groups in the upgraded areas.

1.5.13. Organisations to receive, manage and operate the works

- Water supply branch: water supply system
- Water drainage branch: Water drainage system
- Electricity company: electricity system
- Public lighting company: public lighting for alleys
- Department of fire prevention: fire hydrants
- District/ward People's Committees: alleys and sewers
- Residential community.

DIAGRAM OF IMPLEMENTATION ORGANIZATION



- **Summary of the steps in the procedure of implementing Ho Chi Minh City urban upgrading project – Sectoral project 2**

Step 1: Identifying upgrading needs of residents in low-income areas. Consulting the community and preparing CUPs. Proposing suitable technical standards and estimating investment capital.

Step 2: Developing basic design. Completing Community Upgrading Plans (CUPs). Developing Resettlement Action Plan (RAP) and Environment Impact Assessment (EIA).

Step 3: Developing detailed design, cost estimates and bidding documents.

Step 4: Conducting compensation and site clearance

Step 5: Work construction execution

Step 6: Acceptance, final account and handover

Step 7: Operation and maintenance

CHAPTER 2: DEVELOPMENT AND IMPLEMENTATION OF THE PROJECT

1. THE LEGAL BASIS

- Vietnam construction standards issued by the Ministry of Construction in enclosure with the Decision 682/BXD-CSXD dated December 14, 1996.

- Construction Law issued in accordance with The President's instruction No 26/2003/L-CTN dated December 10, 2003.

- Government Decree 209/2004/ND-CP dated December 16, 2004 concerning construction work quality management;

- Government Decree 16/2005/ND-CP dated February 7, 2005 concerning construction investment project management;

- Government Decree 99/2007/ND-CP dated June 13, 2007 concerning construction investment capital management;

- Circular letter 02/2007/TT-BXD of the Ministry of Construction dated 14 February 2007 which include instructions concerning: development, assessment and approval of construction investment projects, construction permission and construction investment project management as stated in the Government Decree 16/2005/ND-CP dated 07 February 2005 and Decree 112/2006/ND-CP dated 29 September 2006.

- Joint Circular 04/2007/TTLT-BXD-BCA dated 07 July 2007 of the Ministry of Construction and Ministry of Public Security concerning co-ordination in dealing with legal offences in construction activities.

- Circular 05/2007/TT-BXD dated 25 July 2007 of the Ministry of Construction concerning the development and management of construction investment budget.

- Circular 06/2007/TT-BXD dated 25 July 2007 of the Ministry of Construction concerning instructions in contracts in construction activities.

- Circular 108/2007/TT-BTC dated 07 September 2007 of the Ministry of Finance concerning finance management mechanism for official development assistance programmes and projects (ODA)
- Official document 1599/BXD-VP dated 25 July 2007 of the Ministry of Construction concerning the announcement of methods to identify construction cost index;
- Official document 1600/BXD-VP dated 25 July 2007 of the Ministry of Construction concerning the announcement of construction investment capital ration (2007);
- Official document 1601/BXD-VP dated 25 July 2007 of the Ministry of Construction concerning the announcement of construction cost index;
- Official document 1571/BXD-VP dated 14 August 2007 of the Ministry of Construction concerning the announcement of cost quota for project management and construction investment consultancy (to replace Decisions 10 and 11);
- Other related documents.

2. INVESTMENT REPORT (FEASIBILITY STUDY)

2.1. Works to develop investment reports

Component 1: “*Upgrading tertiary infrastructure in low-income residential areas*” aims at renewing, upgrading and enlarging alleys, improving or rebuilding water supply and drainage system, electricity supply, and street lighting system in LIAs. Component 1 is divided into two phases:

(i) Phase 1 - Sectoral project 1: “*Upgrading tertiary infrastructure in low-income areas inside Tan Hoa – Lo Gom basin*” has been implemented in 04 districts: Tan Binh, Tan Phu, Binh Tan and District 6.

In phase 1 the PFS report of the whole project and the FS report of Sectoral project 1 have been developed by Van Xuan Environment and construction design Company (Van Xuan consultancy) in accordance with the Contract 001/HD-QLDA signed 06 June 2002 between the Urban Upgrading PMU and Van Xuan consultancy.

The PFS has been approved by the Government as stated in the official document 907/CP-QHQT dated 09 July 2003 based on the Statement 1099/UB-DT 21 March 2003 of Ho Chi Minh City people committee and the official document 341/BKH-VPTD dated 09 June 2003 of the Ministry of Planning and Investment.

The FS of the project has been approved by Ho Chi Minh City People's Committee as stated in the Decision 4997/QD-UB dated 17 November 2003 and Decision 4960/QD-UB dated 07 October 2004, Decision 2807/QD-UB dated 20 June 2006 to correct Decision 4997/QD-UB dated 17 November 2003.

(ii) Phase 2 – Sectoral project 2: “*Upgrading tertiary infrastructure in low-income areas outside Tan Hoa – Lo Gom basin*” will be implemented in 14 districts: 1,4,7,8,9,10,12, Binh Thanh, Phu Nhuan, Tan Binh, Go Vap, Tan Phu, Binh Tan and Thu Duc and will be divided into 3 groups:

+ **Group 1 (TV1):** Includes 17 low-income areas (LIAs) in 05 districts: district 4 (wards 15, 16, 18), district 7 (wards Tan Thuan Tay, Tan Kieng, Tan Quy, Tan Thuan Dong), district 8 (wards 8,10,15), Tan Phu (Tan Quy ward), Binh Tan (wards Binh Hung Hoa A,

Binh Tri Dong). The construction investment project is developed by General construction consultancy Company (Nagecco).

+ **Group 2 (TV2)**: Includes 24 LIAs in 06 districts: Binh Thanh (wards 2, 15), Go Vap (wards 5, 14, 15), Phu Nhuan (wards 7, 8), Thu Duc (Linh Tay, Linh Chieu wards), district 9 (Phuoc Long A ward), district 12 (Tan Thoi Nhat, Tan Hung Thuan, Dong Hung Thuan, Thanh Loc wards). The construction investment project is developed by Saigon Environment water and technical infrastructure company (Saigon Weico).

+ **Group 3 (TV3)**: Include upgraded fourth level alleys in 05 districts: district 1 (Tan Dinh ward), district 10 (wards 1, 13, 14), Binh Thanh (wards 1, 3, 7, 12, 17, 19, 21, 22, 24), Phu Nhuan (wards 1, 3, 9, 12, 13), Tan Binh (wards 4, 5, 7, 8, 13). The construction investment project is developed by Vietnam water and environment company (Viwase).

2.2. Contents of the investment reports

- Necessity of investment;
- Advantages and disadvantages;
- Mode of resources exploitation and use;
- Estimation of scale and capacity;
- Main components;
- Expected construction site and land use needs;
- Analysis and preliminary selection of techniques and technology;
- Material, services and technical infrastructure provision conditions;
- Site clearance and resettlement plans (if applicable);
- Environment impact, fire and explosion prevention and control, security;
- Investment forms;
- Preliminary total cost estimates, capital sources: budget, loans, others;
- Socio-economic effectiveness of the project;
- Investment phasing (if applicable).

3. PROCEDURE

3.1. Step 1: Identifying needs for upgrading and developing community upgrading plan (preliminary CUP)

3.1.1. Field survey (3 months)

(i) Purpose

To explore the current socio-economic conditions of the residents and tertiary infrastructure in LIAs in order to ensure matching the criteria of the HUUP.

(i) Content

Consultants together with local authorities conduct field survey to collect data concerning the infrastructure of the project areas. The data concerning living standards,



occupations, income, infrastructure, etc. is collected (the data is provided by ward authority).

- Social aspect: Investigating the scale of LIAs including the number of households, registration condition, occupation, living conditions, income, etc.
- Technical aspect: Investigating technical infrastructure including the width of existing alleys, quality of the road surface, sewage system, water supply system, lighting system, etc.

Housing:

- Semi-strong and temporary houses: %?
- Average house area/person: %?
- Housing ownership without proper legal documents: %?

Alleys:

- Narrower than 3m: %?
- Narrower than 2.5m: %?
- Narrower than 2m: %?

Water supply: lacking water supply pipe system: %?

Water drainage: flooded households: %?

Electricity supply: lacking electricity meters: %? having no power: %?

It is also necessary to identify other projects that are being or will be launched in the study areas in order to avoid project replication in the same area.

(iii) Methods

- Based on the provided land administration maps, technical consultants together with ward land administration staff conduct general field survey to determine the boundaries of upgraded areas.
- Observing the scene of the areas expected to be upgraded;
- Collecting basic data and information provided by ward authority;
- Collecting information concerning other projects which will be implemented in the project area (if available) from district and ward levels.
- Consulting ward staff and households in the area, heads of residential groups and prestigious people in the community.

3.1.2. Geological and terrain study (2.5 months)

- After receiving the file of land administration map of related areas provided by PMU, geodesy consultants check and conduct supplementary measurement in order to update the information concerning forms and shapes of houses and alleys in the area and determine the height and the boundaries of the upgraded areas;
- Based on this existing map, the technical consultant group will investigate the shape and quality of existing alleys and the direction of water drainage to determine the direction of water supply and drainage conjunctions;

- Also based on this map, the planning consultant group will investigate to develop transport-planning proposal, to build alleys and sub-alleys and to determine the direction of conjunctions with the network outside the area.

3.1.3. Developing preliminary planning proposal

The main alleys will be enlarged to minimum 4.5m, the sub-alleys – to minimum 2m.

(i) Proposing suitable standards

Based on the information related to the technical infrastructure and fieldwork results as well as the opinions of the community and related agencies and organisations, the consultants will propose standards suitable for contribution capacity of the community and adequate to increase living conditions of the residents in the area, specifically:

- Main alleys: the minimum width of 4.5m ensures normal traffic of ambulances and fire-engines;
- Sub-alleys: the minimum width of 2m is an easy and low-cost option for the two-way traffic of pedestrians and two-wheel vehicles.
- Water supply: to ensure water provision capacity for the whole area:
 - + Main alleys: PVC pipes Φ 150
 - + Sub-alleys: PVC pipes Φ 100
- Electricity supply: propose 2KVA station per household to meet the required standard of 0.40 KVA per capita.

(ii) Developing preliminary planning proposal

The preliminary transport planning proposal will be developed according to the suitable standards for LIAs with the following objectives:

- To minimise relocation: the sub-alleys need not be straight and can be winding to limit housing relocation and still ensure normal traffic.
- To satisfy fire prevention requirements: the main alleys (4.5m) and sub-alleys (2m) are to be connected so that the fire hose with the maximum length of 150m can reach every corner in the area.

3.1.4. Community consultation to reach a consensus on the planning proposal

The general objective of community consultation is to increase the role of the community in planning improvement for the area where they are living in order to ensure that the upgrading meets the needs, the desires and the participation capacity of residents.

(i) 1st Community meeting session (1 month)

- **Objective:** To consult the community about alley upgrading plan implementation, to seek comments on tertiary infrastructure upgrading proposals such as alley width, water supply and drainage items, street lighting and fire-hydrants as sketched by the consultants on the map.

- **Content:**



- Project brief introduction (with the project summary enclosed)
- Introduction of technical consultants on upgrading planning proposals for each component as shown on the map, guide discussions and taking notes of the community feedback.
- Social consultants raise issues for discussions:
 - + To ensure community agreement on the principle of co-ordination between government and residents, which is the main principle of the World Bank concerning partial contribution to the project cost from residents. The level of contribution depends on the capacity of households.
 - + To explore community capacity for land contribution (space land, yard, fence, terrace) and 10% of the construction cost. At this stage voting by raising hands or using questionnaires is sufficient for seeking community opinions without forming final decisions.
 - + Note: Land contribution must be voluntary. Households who agree to contribute land will make a voluntary commitment.

- **Method and instrument:**

- Method:
 - + 100% of households living along upgraded alleys must participate in the community meeting. It is possible to divide into several sessions if the number of participants is big, a maximum of 50 people per session is desired. Everyone who participates in the meeting must sign in the list of participants.
 - + Organising community meeting with participant-centered approach. All the opinions must be heard and discussed openly in the meeting. The opinions of general agreement must be written in the meeting minutes which will be signed by the participants.
- Instrument preparation for community meeting:
 - + Draft planning drawing: the draft drawing shows clearly the current state of every alley, upgrading options. A0 paper size is required and different colours should be used for different types of upgraded alleys, making it easy for the residents to see.
 - + Brief introduction of the project;
 - + Community meeting guidelines;
 - + Community meeting minutes;
 - + List of households participating in the meeting.

(ii) 2nd Community meeting session (01 month) – or 3rd if the consensus on the planning proposal has not been reached after the two sessions

After the first meeting, technical consultants will revise and make changes in the upgrading proposal according to community comments, while maintaining technical requirements and principles of the project.

The second meeting is similar to the first session: Consultants present the revised proposal on the map.

(iii) Final meeting for ward leaders and community representatives

- After having final revision of the planning proposal, technical and social consultants will hold a meeting with ward leaders and Community representative board (CRB), heads of residential groups and some active households to finalise the proposal.

- Content of the meeting: Consultants present the final planning proposal including all the items:

- + Number of upgraded alleys, width and length of alleys, surface is covered with concrete.
- + Sewage network: Alleys with sewers, length and diameter of sewers. Expected points of connection from households to the sewers.
- + Water supply system: Alleys with new water supply system, alleys with upgraded existing water supply system, width of the water pipes.
- + Number of lighting poles and fire hydrants.
- + Number of affected or partially affected households (households that must be relocated).

Note: After having the feedback from the community, consultants will revise and finalise the preliminary design drawing, together with local authorities and CRB **re-check the list of affected households** and announce the affected land and house area of each household. This list-checking process is very important because any inexact detail will affect people's trust in the quality of survey and planning development and, moreover, may also lead to conflicts in the community.

- Expected result: community agreement on the revised proposal.



3.1.5. Reaching an agreement with districts on alley transport planning (1 month)

(i) Purpose

To reach an agreement with districts on the contents of the project, to let them consider if the contents match the district planning, to make it the legal basis for developing basic design.

(ii) Contents

- Contents of the planning proposal:

- + Name of the planning project, investor, transport planning agency;
- + Characteristics and scale of investment, users and needs for use;
- + Progress of planning and approval;
- + Authority level for assessment and approval;

- + Transport planning drawing;
- Seeking comments on planning: The design consultant will survey a geology, terrain, preliminary mapping and will take comments on planning with the target subjects include:
 - + Ward people committee;
 - + Social organisations (Fatherland Front, Women association, Youth Union, etc.)
 - + CRB;
 - + Community in the upgraded areas.

(iii) Method

- Before presenting the planning to district authority for approval, the design consultants should organise community meeting to seek comments on the planning proposal.
- Design consultants will inform ward People's Committees about the contents, date, venue and participants of the meetings in order to co-operate in organising the meetings.
- Organizing community meeting to take feedback on planning, this meeting should have meeting minutes.
- Design consultants revise the planning drawing and present to district people committee for approval.

3.1.6. Developing preliminary CUPs (5 months)

(i) Socio-economic survey (2 months)

- Objectives: To explore current socio-economic, education, health and living conditions of the residents, their occupation, income, desires and contribution capacity, housing condition, land and house ownership rights of the households in the project area.
- Method:
 - + Studying a sample of 10-20% of households in the area with a priority of households living along upgraded alleys.
 - + Conducting household interviews using socio-economic questionnaires designed by social consultants.
 - + Conducting in-depth interview with ward People's Committee leaders, land administration or urban management staff and community representatives.
- Results of socio-economic survey will be presented in a separate report and a part of it will be used for CUPs (refer to socio-economic questionnaires in appendix 3).

(ii) Contents of preliminary CUPs

- *Brief introduction of the project.*
- *Location and scale of upgraded areas (area, population, number of households, number of flats, number of residential groups).*
- *Summary of socio-economic conditions (data collected from socio-economic survey).*
- *Overview of the CUPs development:*
 - + Brief description of the planning procedure by tables and charts
 - + Summary of community consultations (1st, 2nd, 3rd community meetings including contents, results, issues that were agreed on, participants, etc.)
 - + Tertiary infrastructure components proposed by the community in the order of priority (described by tables and charts).
- *Description of the current infrastructure conditions: transport, water supply, drainage, lighting system, social infrastructure such as schools, markets, health stations, public leisure space (if available).*
- *Technical standards of infrastructure upgrading:*
 - + Principles of upgrading;
 - + Technical standards proposed (suitable with LIAs, budget and contribution capacity of the community).
- *Technical proposal for infrastructure upgrading:*
 - + Technical solution for the infrastructure components to be upgraded
 - + Investment options

- + Analysis, comparison and selection of options
- - *Expenses:*
 - + Components to be upgraded;
 - + Land and housing compensation.

3.2 Step 2: Preparation of preliminary design, completed CUPs, RAP and EIA

3.2.1 Preliminary design preparation: (3 months)

(i) *Design of investment work items*

According to the traffic planning agreed with the Ward and District governments, Consultant will prepare detail planning for roads and power and water supply systems as followings:

- Roads
- ❖ *Main alleys (width $\geq 6m$):*
 - + Existing alleys:
 - + Hot fine asphalt concrete (C15) IA, 6cm thick.
 - + Binder spraying: $1,0 \text{ kg/m}^2$
 - + Macadam sub - base 0-4, 1st grade, 30cm thick, $K \geq 0.98$
 - + Structure of base elevation:
 - If $H_{tn} \leq 0.5m$: Base will be elevated with a macadam sub base of 0-4
 - If $H_{tn} > 0.5m$: 0.5m on the top will be elevated with a macadam sub base of 0-4, black sand will be used for the lower part with a geotechnical cloth layer for separation.
 - + $E_{\text{general}} \geq 137.63 \text{ Mpa}$.
 - + Extension area:
 - + Hot fine asphalt concrete (C15) IA, 6cm thick.
 - + Binder spraying: $1,0 \text{ kg/m}^2$
 - + Structure of base elevation:
 - If $H_{tn} \leq 0.5m$: Base will be elevated with a macadam sub base of 0-4
 - If $H_{tn} > 0.5m$: 0.5m on the top will be elevated with a macadam sub base of 0-4, black sand will be used for the lower part with a geo-technical cloth layer for separation.
 - + Removal of 30 cm unsuitable topsoil (if any)
 - + $E_{\text{general}} \geq 137.63 \text{ Mpa}$.
- ❖ *Main alleys (width $4.5m \div 6m$):*
 - + Existing alleys:
 - + Cement concrete gravel 1×2 #300 20cm thick, slump 8-10cm, ready mixed concrete.
 - + Macadam sub - base 0- 4, 1st grade, 30cm thick, $K \geq 0.98$
 - + Structure of base elevation:
 - If $H_{tn} \leq 0.5m$: Base will be elevated with a macadam sub base of 0-4

- If $H_{tn} > 0.5m$: 0.5m on the top will be elevated with a macadam sub base of 0-4, black sand will be used for the lower part with a geo-technical cloth layer for separation.
- + Extension lane area:
 - + Cement concrete gravel 1×2 M300 20cm thick, slump 8-10cm, ready mixed concrete.
 - + Macadam sub - base 0- 4, 1st grade, 30cm thick, $K \geq 0.98$
 - + Structure of base elevation:
 - If $H_{tn} \leq 0.5m$: Base will be elevated with a macadam sub base of 0-4
 - If $H_{tn} > 0.5m$: 0.5m on the top will be elevated with a macadam sub base of 0-4, black sand will be used for the lower part with a geotechnical cloth layer for separation.
- + Removal of 30 cm unsuitable topsoil (if any)
- ❖ *Small lanes (Width $\geq 2m$):*
 - + Existing alleys:
 - + Cement concrete gravel 1×2 #200 10cm thick
 - + Macadam sub - base 0- 4, 1st grade, 15cm thick, $K \geq 0.98$
 - + Structure of base elevation:
 - If $H_{tn} \leq 0.5m$: Base will be elevated with a macadam sub base of 0-4
 - If $H_{tn} > 0.5m$: 0.5m on the top will be elevated with a macadam sub base of 0-4, black sand will be used for the lower part with a geo-technical cloth layer for separation..
 - + Extension lane area:
 - + Cement concrete gravels 1×2 #200 10cm thick
 - + Macadam sub - base 0- 4, 1st grade, 15cm thick, $K \geq 0.95$
 - + Structure of base elevation:
 - If $H_{tn} \leq 0.5m$: Base will be elevated with a macadam sub base of 0-4
 - If $H_{tn} > 0.5m$: 0.5m on the top will be elevated with a macadam sub base of 0-4, black sand will be used for the lower part with a geo-technical cloth layer for separation.
 - + Removal of 30 cm unsuitable topsoil (if any)

These structures will be inspected at upgrading areas in accordance with the geological survey results of each district to ensure the technical requirements. Survey results are shown in Appendixes.

If the structure of the existing ground doesn't meet the specified requirements, the consolidation solutions will be proposed for each necessary location.

• Drainage

Culvert (DN600 or D400), for main and small lanes:

- Cajuput stakes (if applicable, DN 8cm - 10cm) along the culvert;
- Black sand fill at stake top position, 20cm thick;

- Installation of reinforced concrete culverts (DN 600 or D400) in the middle of 2 supports, joints with bricks, 2cm cement plaster;
- Sand fill to half of the culvert high.
- Separation with a geotechnical cloth layer (not applied for small lanes) the upper remaining part will be the same as the lane structure.

+ Manholes including 4 types:

- Manholes for DN400 culverts, depth: Htb <1.9m;
- Main hole for D400 culverts, using existing manholes, wall heightening with bricks;
- Manhole for D600 culverts without collectors.
- Manhole for D600 culverts with collectors.

• **Water supply**

- Water pipe types: DN 150 PVC pipes for main lane and DN 100 PVC pipes for small lanes.
- Water meter installation: at the pipeline end points of main lanes
- Hydrants installation: on main lanes at interval of 150 m
- Pipeline jointing: Connections to the general mains shall be done with prior written approval of the local water company.



• **Lighting**

+ Types of lamps, cables and meters used

- High pressure sodium yellow lamps of 70W/220V/50Hz will be installed at each power post of the local power company.
- Cables: quadplex 4x11mm² cables for main lanes; quadplex 2x11mm² for small lanes.
- Muller 3x22 + 1x11mm² copper covered cables for the power supply to control boxes.
- CVV 2x2,5mm² copper covered cables for lighting (installed inside lamp posts)
- M 1x11mm² copper uncovered cables for repeat earth lines and earth lines for control boxes

Connection: *connections to the general mains shall be done with prior written approval of the local power company*

(ii) Investment cost estimates

- Foundation for cost estimation: The quantities of main materials will be calculated in accordance to the Project preliminary design and material prices and rates regulated for Hochiminh City.

- Calculation: Costs for each work item shall be based on the quantity of main material and material prices including contingency coefficients.

(iii) Submission of preliminary design for approval

For projects of group B, project preliminary design shall be examined and submitted to the Ho Chi Minh City People's Committee by the Department of Transportation and Public works. For projects of group C, project preliminary design shall be examined and approved by the Department of Transportation and Public works.

(iv) Agreements for utilities connections and fire prevention (3 months)

- Roads: Project Consultant shall obtain written agreement of local transportation management Unit and relevant district People's Committee.
- Drainage: Project Consultant shall obtain written agreement of Drainage Company.
- Water Supply: Project Consultant shall obtain written agreement of local water supply company
- Fire prevention: Project Consultant shall obtain written agreement of local Fire Police Department
- Lighting: Project Consultant shall obtain written agreement of local power supply Company

3.2.2. Developing complete CUPs (5 months)*(i) Objectives:*

- To ensure community participation in the process of project implementation.
- To reach an agreement on the objectives and contents of the project, as well as the interest and responsibilities in participating in the project implementation, operation and maintenance.

(ii) Methods:

- Consultants organize community meetings to gather opinions of related individuals and agencies concerning the design proposal, contribution to project implementation cost, relocation and resettlement plans, etc.
- Socio-economic survey to explore the scale and socio-economic conditions of the upgraded areas.
- Subjects of consultation: representatives of district and ward People's Committees, residential groups and the community in the project area.

(iii) Contents of the complete CUPs

Include the following:

A. Overview:

1. Brief description of the project
2. Introduction (location, boundaries of LIAs, area, number of households, number of houses, population).
3. Overview of the planning procedure (needs analysis, community consultation and CRB formation).
4. Summary of socio-economic and health conditions in the area (household structure, residence status, occupation, education level, health conditions).
5. Summary of technical infrastructure and environment conditions (water drainage, water supply, electricity supply, alleys, garbage, sanitation and air quality).

B. Technical infrastructure upgrading options:

1. Suitable technical standards
 - a. Principles to identify suitable technical standards.
 - b. Summary of suitable technical standards.
2. Technical infrastructure upgrading options
 - a. Proposed options
 - b. Selected options
3. Investment cost for upgraded components
 - a. Table of cost estimates for upgraded components
 - b. Community contribution to upgraded components

C. Relocation, resettlement and compensation for site clearance

1. Resettlement and compensation policy
2. Conditions of affected households

D. Institutional proposal

1. Management organization structure at ward and district levels.
2. Roles of the parties involved (including ward people committee, social organizations at ward level, CRB, CSB, residential groups, households).

E. Operational guidelines

1. Detailed design
2. Bidding organization
3. Execution supervision

F. Operation and maintenance

1. Roles of the authorities and functional agencies
2. Roles and responsibilities of the community

G. Operation management

1. Management of upgrading activities of related agencies
2. Management of issues related to the environment (effects during the construction, measures to minimize those effects during and after the construction).

Note: In the above - mentioned contents, the main focus of the community is on:

- ✧ The upgraded components (because the community needs to know in order to monitor and supervise)
- ✧ Community contribution (because the community needs to know in order to arrange contribution level of each household depending on their capacity and interest).
- ✧ Conditions of affected households (concerning site clearance) in order to clearly identify the parts of houses or yards to be cut and to publish the number of households to be relocated and the number of houses to be damaged.

(iv) Finalising complete CUPs

The complete CUPs will be developed by consultants through direct communication with the community, will be signed by the community representatives and ward people committee and finally presented by PMU to the City people committee for approval.

- **Data collection for RAP and EIA**

The consultants produce a report of preliminary RAP. This report provides necessary data for the consultants (other team) to develop RAP and consists of the following:

- *Project description:*
 - + Objectives of the project;
 - + Spatial context and administrative scale;
 - + Project components;
 - + Replacement studies and mitigation measures
- *General information:*
 - + When and how to start and finish the process of data collection;
 - + Amount of land being affected for the whole project and for each component;
 - + Number of households being affected for the whole project and for each component;
 - + Number/area of accommodation/facilities being affected for the whole project and for each component (data concerning accommodation and facilities will be classified according to types of accommodation)
- *Compensation for site clearance*
- *Participation and supervision*
- *Cost and finance:* Detailed procedure of determining replacement prices will be described, compensation schemes will be listed and a detailed evaluation of the resettlement cost will be provided.

Data preparation for RAP consultancy of Phase 2 includes:

- *Analysis the extent of impact*
- *Socio-economic conditions*
- *Paying affordability of the residents*
- *Resettlement options selected by the residents*
- *Collecting information about compensation schemes. The sources include: authorities, community, real estate market, etc.*
- *Economic rehabilitation ability of the residents*
- *Community participation in resettlement compensation activities;*
- *Cost estimates of resettlement and damage compensation and assistance.*

Data collection for developing EIA:

- Investment report consultants will prepare environment data for the EIA consultants to develop EIA and related CEMPs to meet the demand of Vietnamese government and the World Bank.
- Environment data collection includes:
 - + Physical environment (terrain, geology, climate, hydrograph, water drainage, surface water, underground water, etc.)
 - + Ecosystem (...)
 - + Socio-economic conditions (population, income, health, education level, etc.)
 - + Human use values (air quality, noise, solid waste management, sewage and drainage system, etc.)
 - + Assessment of current environmental impact before the project implementation
 - + Anticipate potential impact during construction and operation and propose mitigation measures.
 - + Conduct community consultation about the environmental issues according to existing regulations and, when demanded, organize dialogues with the community about CEMP and CUP.

3.2.3. Developing RAP (6 months)

(i) Objectives:

- RAP should be developed in order to build strategies for mitigating unwanted effects of the project and to maintain living standards of people affected by land reclaim and other effects of resettlement.
- RAP also aims to determine the legal frame work of this project (policies of the donor and Vietnam Government applied in the project policies), which includes affected people's rights, institutional frame, time frame, mechanism and procedure of resolving complaints and conflicts, cost estimates.
- RAP needs to be updated and approved by WB before the process of land reclaim because it is the legal basis for all the credit-based issues concerning resettlement.

(ii) Method:

- Survey affected households:

The number of affected households and the area of affected land and housing is explored, then the affected area of each house is calculated in details in order to be put in the survey table (for developing RAP) of each household with a detailed drawing of 1/200 ratio.
- Socio-economic survey (for the questionnaire refer to Appendix 4)
 - + Survey of the overall situation of the area concerning household size, residence status, occupation and income, accommodation
 - + Survey of affected households in relation to:
 - o General information of each household.
 - o Properties affected by the project

- Consultation about compensation prices and modes (using cash or flats or site services), income rehabilitation (job training or recommendation, instruction in getting loans, etc.)
- Evaluating compensation levels:
 - + Land compensation prices: The prices will be determined by consulting the annual schemes of the City People's Committee, the press and media and the compensation prices in other similar locations. Suitable prices then will be proposed for each particular project area with the consideration of the current normal market price. The compensation is especially prioritized for the households to be resettled. Those who are staying and directly benefit from the project are mobilized to donate land on the principle of "co-ordination between government and residents".
 - + Housing compensation prices: are estimated based on the architectural compensation scheme according to Decision 118/2004/QD-UB concerning the issuance of the standard minimum price list for housing and other types of architecture in the area of Ho Chi Minh City and other relevant documents. RAP consultants then propose prices for each particular type of housing such as: contemporary house, brick house, concrete house, etc.
- Evaluation of the land and house compensation levels
- Propose areas for resettlement.



(iii) Main contents of RAP (for details refer to Appendix 1)

- Term explanation
- Execution summary
- Introduction to the project
- Areas of land reclaim and resettlement
- Mitigation measures for land reclaim and losses
- Rights policy
- Resettlement areas
- Income rehabilitation program
- Arrangement for implementation
- Implementation plan
- Community consultation
- Monitoring and evaluation
- Complaints and resolving complaints.
- Cost estimates

3.2.4. Developing EIA (6 months)

(i) Principles:

EIA must meet the demand of existing regulations of Vietnam government, specifically Law of Environment Protection approved by the National Assembly on 29 November 2005

and being valid since 1 July 2006 to replace the Law of Environment Protection in 1993, and other relevant Decrees and Circulars. Besides, EIA also needs to follow the policies of WB concerning environmental safety.

(ii) Objectives:

- EIA and EMP consultants (environment consultants) will develop an EIA report for each group of component 1 - phase 2 in order to:
 - + Identify and evaluate the positive and negative effects of tertiary infrastructure upgrading activities of the group;
 - + Offer suitable measures to mitigate the negative effects to an acceptable level and to enhance the positive effects
- Besides, environment consultants will develop CEMPs for each ward in the area of the Sectoral project 2 in order to manage and monitor the implementation of mitigation measures during construction and operation.
- Based on the CEMPs developed for wards in the project area, environment consultants will develop EMP for each group, which is a compulsory part of the EIA report of the group.

(iii) Contents of EIA (for details refer to Appendix 2)

- a) *Introduction*
 - Background of the project
 - Legal basis
 - ✓ Legal documents of Vietnam
 - ✓ Environmental safety policies of WB
 - EIA implementation arrangement
- b) *Brief description of the project*
 - Name of the project
 - Project owner
 - Physical location of the project
 - Main contents of the project
- c) *Natural environmental and socio-economic conditions*
 - Natural environmental conditions:
 - ✓ Geographical and geological conditions
 - ✓ Hydrometeorological conditions
 - ✓ Current state of natural environmental components
 - ✓ Air, water and land environment
 - Socio-economic conditions
- d) *Environmental impact assessment:*
 - Sources of impact

- Impact assessment
- Assessment of methods used
- e) *Measures to mitigate negative effects, to prevent and response to environmental problems*
- f) *Commitment of applying environment protection measures: commitment of the project owner to apply mitigation measures, to conform to general regulations concerning environment protection related to the process of project implementation.*
- g) *Environmental processing works, environment management and monitoring program*
 - List of environmental processing works (if available)
 - Environment management and monitoring programme
- h) *Cost estimates for environmental works: including expected expenses for constructing and operating environmental works during project implementation and operation.*
- i) *Community consultation*
 - Seeking comments from ward/commune People's Committees
 - Seeking comments from ward/commune Fatherland Front Committees
- j) *Instruction concerning data sources and methods of assessment*
 - Sources of data
 - Methods to be used in the process of EIA
 - Comments on the particularity and reliability of the assessment
- k) *Conclusions and recommendations*

3.2.5. CEMP development

(i) Objectives of CEMP

- To ensure that the interventions proposed in the project are community-based (through CUPs), suitable and environmentally sustainable.
- CEMP reports are integral parts of CUPs. Environment consultants must consider and edit CUPs related to environmental issues, then develop CEMPs accordingly for each wards participating in the project.

(ii) The structure of each CEMP includes the following:

- Description of environmental conditions and environmental problems that the community has to face.
- Evaluation of replacement alternatives to solve those problems and suggest suitable solutions.
- Identification of infrastructure needs (main sewer system, garbage collection system at the city level, etc.) to provide effective assistance for the community level;
- Proposing mitigation measures at the community level and the adjustments for infrastructure and utility services at the city level to support these mitigation measures. These mitigation measures and adjustments need to be considered and taken into account in technical design and investment reports.

- Identification of institutional mechanisms at the community level in order to develop, operate and maintain sub-project including mitigation measures.
- Developing monitoring scheme with community participation.

(iii) Consultation and information dissemination

- Wards in the project area need to be informed about the environment contents in the process of community consultation (article 20 in Vietnam Laws of environment protection 2005).
- Environment consultants are to discuss environmental issues with ward/commune People's Committees, community representatives of the project area if necessary. Opinions of relevant wards need to be included in the EIA report.

3.2.6. EMP preparation

(i) The concept of EMP

EMP is the product of the EIA process – to link the difference between expected results and proposed activities, and is a compulsory chapter in the EIA report. Environment consultants will develop an EMP for each group based on the CEMPs developed for wards in the project area.



(ii) EMP contents

- **Mitigation measures:**

- Proposing feasible mitigation measures to minimise the main negative effects to an acceptable level;
- Developing implementation procedure, distributing human resources and training needs;
- Estimating total cost;
- Determining methods and criteria for these measures and other necessary facilitating services for applying mitigation measures.

- **Institutional strengthening and training**

- Determining the regulations for applying mitigation measures
- Overview of the authorities and their organisation capacity at the ward, district, city and national levels.
- Suggesting steps of strengthening. These suggestions should be extended with the arrangement between sectoral projects, management procedures, operation management training, distribution of human resources, increasing community awareness, budget distribution and developing financial support plans.

- **Environment monitoring**

- Preparing detailed arrangement for monitoring the implementation of mitigation measures during construction and operation.
- Estimating the cost of investment and operation management, developing the procedure, distributing human resources, proposing methods and criteria for supervision.

- Environment monitoring will be conducted during construction stage at 3 levels: (i) monitoring the implementation of mitigation measures by the Contractors; (ii) community-based supervision; (iii) general supervision of the project effects. Environment consultants need to suggest the frequency, methods and responsibilities of supervision for each component.

(iii) EMP reports should include:

Plans for construction works under Sectoral project No.2 need to be followed suitable forms. These plans should match the general construction design, bidding documents and project implementation in general.

3.3. Step 3: Developing detailed engineering design and bidding documents

3.3.1. Developing detailed engineering design (3 months)

(i) Basis for design:

- Documents concerning construction and hydrometeorological investigation and other relevant legal documents;
- Basic design;
- Construction standards to be applied;
- Regulations concerning architecture and construction planning.

(ii) Design documents developed for each work include:

- Design presentation;
- Design drawings;
- Construction cost estimates;
- Documents concerning checking and acceptance, investigation, design and cost estimates verification (if available).

(iii) Estimating total cost

- The total cost of the work is estimated based on the cost estimates for its components and other expenses including spent sums.

(iv) Presentation for approval

- The detailed engineering design documents and total cost estimates will be submitted by the consultant to the City People's Committee for approval. If authorised by the City People's Committee, PMU will be in charge of the process of verification and approval.

3.3.2. Execution bidding documents

(i) Legal basis:

- + Construction Laws No 16/2003/QH11 of the National Assembly dated 26 November 2003;
- + Decree No 16/2005/ND-CP of the Government dated 07 February 2005 concerning construction investment project management;
- + Decree 209/2004/ND-CP of the Government dated 16 December 2004 concerning construction quality management;
- + Procurement Laws 61/2005/QH11 dated 29 November 2005;
- + Decree No 111/2006/ND-CP dated 29 September 2006.

- + Guidelines: Procurement under IBRD loans and IDA credits May 2005 version; Guidelines: Selection and employment of consultants by World Bank borrowers.

(ii) Contents of the construction bidding documents

- + The values of the items in an area are normally not significant. Therefore it is necessary to merge several neighbouring areas into one bidding package to enable bid organisation, execution and supervision. However, the package should not be too big to exceed the bidding capacity of local contractors, hence reducing the competitiveness of the bids.
- + According to the WB guidelines, the national competitive bidding contracts should not be more than 2 millions USD (equivalent to 32 billions VND). On the other hand, according to Vietnam regulations, the bidding is organised at the city level, therefore the value of bidding contracts can be more than 5 billions VND. National competitive bidding will be applied for construction contracts. The value of each contract is less than 2 millions USD (equivalent to 32 billions VND).

For national competitive bidding contracts, the contents of bidding documents comply with the instruction stated in the Decree No 111/2006/ND-CP dated 29 September 2006 concerning the implementation of Bidding laws and selection of contractors according to Construction laws, which includes:

- + Part A: Bid invitation
 - + I. Bid invitation announcement
 - + II. Bid invitation letter
- + Part B. Contents of bidding documents
 - +B1. Bidding procedure requirements
 - + I. Instruction for bidders
 - + II. Bid data sheets
 - + III. Evaluation criteria and evaluation contents
 - + IV. Bid forms
 - +B2. Construction requirements
 - + I. Scope of work and progress of implementation
 - + II. Technical requirements
 - + III. Technical design
 - +B3. Contract requirements
 - + I. General conditions of contracts
 - + II. Specific conditions of contracts
 - + III. Contract forms

(iii) Bidding organisation procedure

• **National competitive bidding:**

The construction bidding packages of the project are worth less than 2 millions USD (equivalent to 32 billions VND). Therefore, the bidding organisation procedure will be as follow:

Step 1: Preparation for bidding

- *Developing bid invitation documents: Bid invitation documents will comply to the government's forms and include the following contents: technical requirements; financial and commercial requirements; evaluation criteria; major requirements, preferential conditions (if available); taxes, insurance and other requirements.*
- *Forming bidding specialist team: the members of the team must have certificates of bidding training courses.*
- *Bid invitation: Bid invitation must be announced on the mass media.*

Step 2: Bidding organization

- *Issuing bid invitation documents:*
- *Bid invitation documents are distributed to bidders participating in the open bidding.*
- *Accepting and managing bids.*
- *Bids submitted as required in the bidding invitation must be accepted by bid inviters and managed under the "Confidential" mode.*
- *Bid opening*

Step 3: Bid invitation clarification (Contractors needing clarification must notify in writing)

- *Bid invitation clarification is conducted by the inviters in one of the following forms:*
 - ✓ *Sending documents concerning bidding invitation clarification to the bidders who have received bidding documents;*
 - ✓ *Organising pre-bid conference to discuss the items that need clarification in the bidding documents.*

Step 4: Bids evaluation procedure

- *Preliminary evaluation of bids in order to eliminate unsatisfactory bids.*
- *Detailed evaluation of bids is conducted according to the following rule:*
 - ✓ *Technical evaluation to identify the bids which meet the requirements of the bidding documents.*
 - ✓ *Comparison and classification of bids based on the cost at the same technical, financial and commercial level.*

Step 5: Bids clarification

- *Contractors shall not permitted to alter their bids after the deadline for receipt of bids.*
- *After bid opening, bidders are responsible for bid clarification if it is required by the bid inviters,*
- *Bid clarification should be conducted only between the inviters and the bidder whose bid documents need clarification.*

Step 6: Presenting for approval and appraisal of the bidding results

- *A report about bidding results shall be forwarded by the investor to Ho Chi Minh City People's Committee for approval and to the Department of planning and investment for appraisal.*

- *Department of planning and investment is responsible for developing an appraisal report about bidding results and presenting to authorities for approval.*

Step 7: Approval of bidding results

- *Ho Chi Minh City People's Committee shall consider the approval of bidding results on the basis of bidding results report and bidding result appraisal report.*

- *The appraisal documents include the following: name of the winning bidder; bid price; form of the contract; time duration of the contract; other items that need attention (if available).*

- *If there is no winning bidder, this must be stated clearly in the appraisal documents and the bidding is cancelled in order to select contractor according to the government's regulations.*

Step 8: Announcement of the bidding results

- *Bidding results must be announced immediately after the approval by the authorities.*

- *In the results announcement explanation for bidders whose bids were rejected is not necessary.*

Step 9: Negotiating, improving and signing the contract

- *Negotiation and improvement of the contract and signing the contract with the winning bidder shall be based on the following:*

- ✓ *Approved bidding results;*
- ✓ *Contract forms with all the specific information of the bid package;*
- ✓ *Requirements stated in the bidding documents;*
- ✓ *Contents of the bids and bids clarification of the winning bidder (if available)*

- *Results of contract negotiation and improvement is the basis for the investor and the contractor to sign the contract.*

- *In the case of unsuccessful contract negotiation and improvement, the investor shall report it to the authorities in order to consider and select the next contractor.*

• **Direct Contracting**

Direct contracting is applied for the packages of less than 500 millions VND value and other cases permitted by the authorities. The procedure of direct contracting for a bid package includes:

- *Issuing documents of requirements;*
- *Preparing proposal documents;*
- *Evaluating proposal documents;*
- *Presenting results of direct contracting for appraisal and approval;*
- *Negotiating, improving and signing the contract.*

3.4. Step 4: Compensation and resettlement (12 months)

Sectoral project No 2 is a project based on the principle of co-ordination between the Government and residents. Therefore, part of the construction cost (minimum 10% of the total construction cost) and land contribution is mobilized from the residents. The mobilization

process lasts from the beginning stage of project implementation until the stage of site clearance and construction execution.

3.4.1. Land contribution propaganda and mobilisation from the residents

(i) Purpose

To help residents realize the direct benefits of upgrading infrastructure in residential areas, leading to their voluntary contribution of land/housing or finance on the principle of co-ordination between the Government and residents.

(ii) People in charge

- Social consultants
- Representatives of Ward People's Committee, residential clusters and groups, community and other local relevant agencies.

(iii) Tools

- Policies and regulations of the authorities
- Leaflets and other assisting tools.

(iv) Contents and methods

- Giving a full description of the current poor infrastructure conditions that the residents have faced for many years, then introducing the project and the specific benefits it brings to the community in the project area, such as smooth transportation, increased value of land and housing, improved living environment (without flooding, etc.).
- Specifying levels of resident voluntary financial contribution, options of voluntary destruction of affected parts of land and housing or land compensation rejection.
- Listing the households which contribute affected parts of land or money for construction; publishing the list at the ward People's Committee, residential clusters and groups.
- Households voluntarily contributing land need to have a commitment specifying the contributed land area with the signature of the head of the household and confirmed by ward People's Committee.
- Households which contribute money need to have the receipt by ward People's Committee specifying the amount of money being contributed.
- List of names and amount of money contributed will be publicly posted at the ward People's Committee office.

3.4.2. Steps in the process of site clearance compensation

(i) Developing documents concerning compensation, support and resettlement

- + PMU shall develop the documents suggesting the People's Committees of districts participating in the project to arrange the process of compensation, support and resettlement.
- + The documents include:
 - + Documents suggesting the realization of compensation, support and resettlement,



requirements of the progress;

- + Decisions concerning land handover, land rent or assignment of site preparation for investment project implementation (copies);
- + Approved investment project (if available)
- + General proposal of compensation, support and resettlement;
- + Maps of the current situation with the ratio of 1/500 with identified area and boundaries of reclaimed land confirmed by the Department of Resources and Environment;
- + Planning drawings of the site approved by the Department of Planning and Architecture;
- + Financial plan or financial commitment according to site clearance progress;

For essential projects, it is sufficient to have the approval of the investment project or the City People's Committee's policy to form the Compensation, support and resettlement Board of the project.

(ii) Forming the Compensation, support and resettlement Council of the project (CSRC)

- After receiving the documents from the client, District People's Committee is responsible for forming CSRC and assigning tasks of appraisal and presentation for approval for relevant units and agencies, such as Site clearance compensation Board and related functional district offices.
- The district Site clearance compensation Board is responsible for developing project site clearance plan and submitting to the District People's Committee for approval.
- Members of CSRC include:
 - + President: Vice-president of District People's Committee
 - + Vice-president: Head of District Site clearance compensation Board
 - + Vice-president: Head or Deputy of District Department of planning and finance.
 - + Standing member: Representative of the investor (except for the projects with 100% of overseas investment capital).
 - + The members:
 - Head or Deputy of the District Department of Urban management;
 - Head or Deputy of the District Department of Resources and Environment;
 - President of ward/commune People's Committees in the project area;
 - Representatives of Fatherland Front Committee and other agencies at district level;
 - Representatives of residents whose land will be reclaimed (01-02 people).

+ Some other members can be appointed or tasks of the members can be adjusted by the President of District People's Committee depending on the district organization mechanism and the scale of a particular project.

(iii) Boundaries handover

The PMU will sign a contract with SCCB to conduct CSC. After signing the contract with SCCB, design consultants of the project will hand over the project boundaries for the SCCB to carry out measurement and drawing of the current situation of affected land and housing. These will be the basis for developing general and detailed proposals of compensation, support and resettlement.

(iv) Developing general proposal of compensation, support and resettlement

SCCB will co-ordinate with PMU in developing general proposal, the contents of which include the following:

- *Basis for developing the general proposal;*
- *Summary of data concerning the area of each type of land, or class of land for agricultural land, the number of maps; estimated value of existing properties on the land;*
- *Summary of data concerning the number of households, number of people in the family, number of labourers in the reclaimed land area, specifying the number of labourers who have to change their jobs and the households to be resettled;*
- *Anticipating support measures for job creating and vocational training plan.*
- *List of works and scale of government's works, works of organizations, of religious facilities, of the community which are to be relocated and anticipated places for relocation.*
- *Number of graves to be relocated and expected places.*
- *Cost estimates carrying out.*
- *Financial sources carrying out;*
- *Working progress.*

After developing general proposal, SCCB will co-ordinate with PMU to forward the proposal to SCRC and submit it to the District People's Committee for approval.

(v) Community meeting to announce the general plan

After the general plan has been approved, the district SCCB is responsible for informing the affected people about the reasons for land reclaim, anticipated level of compensation and support for resettlement, measures of occupation change and job creation; time allocation for relocation and reclaimed land handover as stated in the general proposal.

Based on the legal regulations, land users have the rights to give comments, suggestions or queries to the SCCB concerning the informed contents.

(vi) Land reclaim decisions

The land reclaim decisions will be issued by the City and District People's Committees after 20 days since the community meeting for general proposal announcement.

The decisions will be sent to the affected people and posted at the ward/commune People's Committee offices where the land is reclaimed.

(vii) Solving complaints concerning land reclaim decision

Complainers need to forward their complaint in writing to the ward People's Committee for resolution. Ward People's Committee is responsible for solving problems at their level of competence, and forwarding complaints to higher levels if the contents of the complaints exceed their competence.

(viii) Measurement, drawing, and collecting legal land and housing information

- SCCB will carry out the measurement and drawing, determine clearance landmarks; carry out the listing of land and related properties and identify the source of land ownership according to existing procedures and regulations.

- People whose land is reclaimed will fill in the forms distributed and guided by the SCCB.

- Contents of the form:

- + The area, type of land (according to purpose of use), source, starting time of use, type of land use rights certificate available;
- + Number of houses, type of house, class of house, duration of use and other works constructed on the land; amount of crops on the land (if available).
- + Number of permanent residents, number of labourers affected by the land reclaim, desires for resettlement and occupation change (if available);
- + Number of graves to be relocated

- ***Proposal of compensation, support and resettlement***

After completing the process of measurement and quantification, the SCCB will develop a detailed proposal for compensation, support and resettlement (hereafter PCSR) according to existing regulations.

The contents of PCSR include:

- *Name and address of affected people;*
- *Area and type of land, class of land (for agricultural land), location and source of the land to be reclaimed; quantity, percentages of the remained quality of the damaged properties;*
- *Basis for calculating the amount of compensation and support such as land compensation prices, housing and works compensation prices, number of residents and labourers in the working age, number of people who receive social welfare.*
- *The amount of money for compensation or support;*
- *Resettlement arrangement*
- *Relocation works of state-owned and organizations, religious groups, communities;*
- *Relocation of graves;*

(ix) Compensation prices application

After the PCSR's approval, SCCB will carry out the application of compensation prices as well as negotiation and payment for the affected residents.

People whose land is reclaimed must handover the land to SCCB after receiving compensation and support.

(x) Construction site handover

The SCCB will organize the handover of the construction site.

The participants of the handover ceremony include: SCCB, ward/commune People's Committees, PMU and the executive contractor.

3.5. Step 5: Construction stage

3.5.1. Bidding for construction (procedure, time of contractor selection)

(i) Purpose

To ensure fairness, transparency, and to increase competitiveness as well as to reduce the cost of construction, to select suitable contractors in the arrangement of project implementation.

Based on the characteristics and scale of the project, contractors will be selected according to the following rules:

(ii) Principles

For the works with complex technical and architectural requirements and the investment size of more than 01 billion VND, the town or district People's Committees decide to select contractors through open or limited bidding according to bidding laws 2005 and Decree 111/2006/ND-CP dated 29 September 2006.

For the works with simpler technical requirements and the size of less than 01 billion VND, the town or district People's Committees decide on the application of direct contracting without bidding, but it should be monitored by ward People's Committee and community supervisors.

(iii) People in charge of contractor selection

Contractor selection for the project is organized by the PMU.

(iv) Procedure

- Developing bidding plan and presenting it for approval:
- Basis for developing bidding plan:
 - + Investment decision approving the project.
 - + Agreement No 27526-VN concerning credit provision for Vietnam urban upgrading project between Vietnamese Government and the World Bank.
 - + Design, cost estimates, approved total cost estimates (if available).
 - + Sources of funding for the project: ODA, budget and community contribution.
 - + Other relevant legal documents.
- Contents of bidding plan:
 - + Division of construction bid package:



- The division of the package depends on the technical characteristics and the procedure of project implementation with the principle of attracting the most competent bidders to participate in the bid and creating fair competition among bidders. The division may be as follows:
 - Divide according to wards with the maximum bid value of 5 billions VND. The reason is that in reality large bidders normally hire smaller bidders for each component, while remaining the managers of the whole package and receive interest percentages form the total value;
 - One or several construction works can be a construction bid package. All the construction parts of the components in an investment cycle can also be a construction bid package.
- + Bid package value and funding sources:
 - Bid package value is based on the approved cost estimates
 - Funding sources: ODA, budget and community contribution
- Form of selecting contractors: national competitive bidding.
- Bidding organization procedure: for details refer to the above mentioned section.

3.5.2. Division of works according to wards

The project developer and designer shall determine the value of each bidding package on the basis of area and scale, so that each package will be within the area of one ward and the value will not exceed the existing limit.

3.5.3. Time of construction: 18 months is expected for the Sectoral project 2

3.6. Step 6: Construction arrangement

3.6.1. Method of construction arrangement

- Following the signed contract
- The construction may commence when all of the following conditions are ready:
 - + Construction site to be handed over
 - + Building certificate for the required work
 - + Approved design drawings for construction and cost estimates of the component
 - + Legal construction contract
 - + Sufficient fund according to the project progress.
 - + Measures to ensure safety and environmental sanitation.

3.6.2. Responsibilities of the parties involved

(i) Investor

- The supervision of construction execution quality by the investor includes:
 - + Inspecting the conditions for starting a construction work
 - + Inspecting suitability of the contractor's capacity with the bids and construction contract.

- + Inspecting and supervising material and equipment quality, quality of devices to be installed in the project which have been provided according to design requirements.
- + Inspecting and monitoring during the work construction execution.
- The investor needs to inform the contractors and the construction design consultant about the duties and rights of the construction execution supervisors to ensure co-ordination.
- Responsibilities of the investor:
 - + Compensating for contract violations to the contractor;
 - + Being responsible against the laws in the case of non-quality checking for acceptance, erroneous checking results or incorrect checking amount, deviations from design and other violations.
 - + When discovering the violations of the contractor related to the quality of works, the construction must be stopped and the contractor is required to overcome the consequences.



(ii) Design consultants

- Appointing competent people to conduct author supervision in the process of work construction.
- When discovering deviations from the design, author supervisor has to record it in the investor's supervision diary and require the compliance to the design. In case of failing to overcome, design contractors must inform the investor in documents.
- The construction design contractor is responsible for participation in the process of construction checking if required by the investor. Through supervision, if there are any inadequacies of the construction work being found, the construction design contractor shall inform the investor in document stating clearly the reasons for rejection of acceptance.

(iii) Supervision consultants

If supervision consultants are hired by the investor, they will be responsible for the supervision.

(iv) Local authorities

- Assisting the agencies participating in the project to carry out their tasks.
- Ensuring order and security in the construction area.
- Assisting in the process of site clearance compensation
- Mobilizing the community to participate in the project.

(v) Community supervision

- Community supervision team will directly participate in the process of execution supervising.
- The duties of community supervision team are as follows:
 - + Supervision of materials used in the project

- + Supervision of the work execution compliance to the design
- + Supervision of the contractor's work quality
- + Supervision of the work progress
- + Supervision of the application of safety measures and measures to mitigate negative environmental effects in the work execution process.

(vi) The Contractors

Work execution contractor is responsible for managing the quality of construction work, specifically:

- + Developing an appropriate quality management system to suit the demands, characteristics and scale of the construction work, in which clearly defines the responsibilities of individuals and units participating in managing the qualities of works.
- + Conducting experiments to check work materials, building components and equipments prior to the construction and installation according to the standards and design requirements.
- + Develop and monitor execution methods and progress
- + Keeping work execution diary as required
- + Checking labour safety and environmental hygiene inside and outside the construction site;
- + Organizing internal check and acceptance; formulating drawings for parts of the building work, work components and the whole completed work.
- + Reporting to the investor about the working progress, quality, quantity, safety and environmental hygiene during work execution as required.
- + Preparing documents for check and acceptance in accordance with law.

The contractor is responsible for the work quality and compensation for losses in case of violating of the contract, use of incorrect materials, poor quality of building work execution causing damages or environmental pollution and other actions leading to losses.



3.7. Step 7: Check and acceptance, final account and hand over

3.7.1. Check and acceptance and hand over of the completed work

(i) Purpose

To confirm that the results of the building work execution meet the quality and aesthetic requirements according to the design.

(ii) People in charge



- PMU is responsible for organizing check and acceptance of completed works.
- Participants of the check and acceptance include:
 - + Investor
 - + Contractor for execution of building work
 - + Design contractor participates in check and acceptance upon request by the investor.
 - + Consultants for work execution supervision
 - + Ward People's Committee
 - + Community supervision
 - + Other relevant agencies (electricity, water supply, water drainage, etc.)

(iii) Procedure:

- The contractor is responsible for organizing internal check and acceptance of building works, especially covered parts of the works before the check and acceptance by the investor. For the parts of works that have been checked and accepted, but the subsequent execution has not yet been commenced, it is necessary to re-organize check and acceptance before the subsequent work execution. For parts of work, subsequent stage of which is executed by another contractor, the work must be checked and accepted by that contractor.
- The investor is responsible for organizing check and acceptance timely after receiving the check and acceptance request form of the work execution contractor. The process includes the following:
 - + Check and acceptance of each building task in the process of work execution;
 - + Check and acceptance of parts of the building work, stages in building work execution.
 - + Check and acceptance of work components and the whole building work for utilization.
- The completed work components and completed building work is permitted to be utilized after having been checked and accepted by the investor.

3.7.2. Final account

(i) Purpose

To confirm the legal real value of the work executed.

(ii) People in charge:

Ho Chi Minh City People's Committee, Management Unit of Ho Chi Minh City urban upgrading project, Department of Finance, Treasury.

(iii) Procedure:

- Investor develops final account documents to present to the investment governing agency after the work has been completed.
- Final account documents include:
 - + Presenting form for final account approval

- + Payment documents for each stage
- + Summary of total final expenses of the work
- + Other related documents

3.8. Step 8: Operation and maintenance

3.8.1. Role of authorities and functional bodies

Cost for operation and maintenance of alleys, public lighting system, fire hydrants will be covered by the State budget. Management responsibilities are distributed as follows:

- District urban management departments are responsible for managing alleys;
- Water drainage company is responsible for managing water drainage system;
- Public lighting company is responsible for managing public lighting system in alleys;
- Fire Control Unit is responsible for managing, operating and maintaining fire hydrants.
- **Water Supply Company is in charge of operating and maintaining water supply system. The cost for operation and maintenance is stated in the water bill.**

3.8.2. Role of the community

Item	Contents of participation	Time	Responsibility
Alleys	Not allowing actions which may cause damages to alleys (water discharge, surface digging, circulation of heavy trucks, etc.)	After construction	Everyone in the community. Case of small damages (coming off) may be fixed by the community. Significant damages should be reported to the District Urban Management Department
Electricity supply and lighting	Electricity poles and cables (not allowing ropes or clothes hanging on the electricity poles, flying kites in the alleys, checking light bulbs, etc.)	After construction	Everyone in the community. Cases of incidents should be reported to the head of the residential group and then to the Electricity company and ward People's Committee
Water supply and fire hydrants	Water supply pipes (not allowing damages to the pipes, illegal water supply network, checking for water leakages, etc.) Protecting fire hydrants	After construction	Everyone in the community Cases of incidents should be reported to the head of the residential group and then to Water Supply Company and Fire Control Department
Water drainage	Sewers, gas pits (not allowing circulation of heavy trucks or discharging garbage into the sewers, checking for blockage, etc.)	After construction	Everyone in the community Cases of incidents should be reported to the head of the residential group and then to Water Drainage Company

Item	Contents of participation	Time	Responsibility
	Building family septic tanks according to technical standards		

3.8.3 Feedback mechanism in the process of operation and maintenance

Feedback can be sent to specialized managing units for each type of works, specifically:

- District Urban Management Department is in charge of managing alleys;
- Water drainage company is in charge of managing water drainage system; (Telephone: 8234444)
- Public Lighting Company is in charge of managing public lighting system in alleys;(Telephone: 8535500)
- Fire Control Department is in charge of managing, operating and maintaining the fire hydrants. (Telephone: 114)
- Saigon Water Supply Corporation, telephones:
 - + Districts 1, 3, 4, 7, Nha Be: 8297147
 - + Districts 5, 6, 8, 10, 11, Binh Chanh: 8556169
 - + Districts 12, Tan Binh, Binh Thanh: 8442656
 - + Districts Phu Nhuan, Go Vap, Hoc Mon, 2, 9, Thu Duc: 8960240



APPENDICES

APPENDIX 1: MAIN CONTENT OF RAP

Generally, a complete RAP shall include the following:

Abbreviations

Definitions

Introduction

- Brief summary about Vietnamese Urban Upgrading Project, introduction about the Ho Chi Minh city Urban Upgrading Sub-Project, details of RAP preparation Project;

- Project works items;

- Description of Project item that requires land acquisition.

- Total estimates for the extend of land acquisition and resettlement.

1. Scope of land acquisition, resettlement and methods for minimize the land acquisition and damages

1.1 1.1.1. Description of efforts and solutions to minimise the displacement due to Project

1.2 1.1.2. Description of the results of these efforts

1.3 1.1.3. Description of operation of institutes to minimise the displacement in implementation period.

2. Benefit Policies

- Description of regulations of Vietnam (law and legislative writings of the central and local governments on land compensation, site clearance and resettlement);

- Analyze and clear statement of the differences between Vietnamese regulations and those of the Sponsor (particularly World Bank in this Project) and description of Project specific institution to solve the discrepancies.

- Description of policies on the rights of the affected people of each impacts and clarification of resettlement implementation based on the identified and agreed resources in RAP;

- Description of the methods for accession of construction structure, land, trees and other assets.

- List of affected people's rights.

- Principles for compensation and resettlement.

3. Resettlement sites

- Necessity or un-necessity of preparation of resettlement sites: Reasons, participation of affected people into definition of resettlement sites, assessment of advantages and disadvantages of each site and selection of more advantaged site.

- Statement of performed feasibility study to define the suitability of resettlement sites (land, land use, water source, utilities...) and assessment for social and environmental impacts of these sites;

+ Participation of affected people to the development of acceptable strategies for alternative houses. Construction of new houses.

- + Provision of cost estimates for requirements of resettlement sites and correspondence.
- + Statement of policies related to a) procurement, b) development or arrangement of resettlement sites, including giving land and grant land use certificates.
- + Detail statement on the participation of the local community in RAP (including definition of potential impacts to them and solutions to minimise the disadvantaged impacts and RAP preparation) , potential advantages for the local community.

4. Income recovery programme

- Asesment of compensation rates, whether it's enough to facilitate for the affected people to recover income infected by each type of impacts? What are the additional methods to recover income for the affected people?

- Descriptions of procedure of interview affected people and their participation in definition of strategies for income recovery;

- Brief summary of income recovery strategies for each impact type and statement on organisational, financial and technical of these strategies;

- What are the changes of these strategies in each impact scope;

- Whether income recovery require any changes in their livelihood;Whether any proposed changes or alternative solutions for the livelihood of the affected people, and thus, what training courses is needed, time for preparation and implementation...

- Potential risks make affected people resseded in family economy.

- Institutional and other risks caused by superficial implementation of resettlement programmes ;

- Description of effective supervision of income recovery solutions;

- Description of any social and community development programmes are carried out in the project area or neighbourhood. If any, do these programmes meet priority requirements of their targeted community? Are there any oppotinuties for Project to propose assistance for new programmes or extension of the current programmes to meed those priority requirements?

5. Implementation arrangement

- Indicate the organizations to be responsible for the project activities implementation, description of policy items for the beneficiaries, implementation of the income recovery programme and corporations in related actions indicated in RAP;

- Regulations for the corporation to be done in case of the resettlement out of the authorized decision or the places that resettlement will be carried out in stages and through the entire Project;

- Definition of the agency to execute all the implementation bodies. Shall this agency be officially authorized and any natural resources needed?

- Indicate the external institutions and organizations that not belonged to Project but have relations to the income recovery progress (such as development of land resource, land distribution, credit provision, training etc,) and policies regulated for their operation;

- Analyses of institutional capability for the commitment of resettlement implementation;

- Analyses on institutional issues to ensure the independent supervision, price quantification and auditing of RAP and to ensure that remedial actions are carried out promptly.

6. Implementation plan

- To list RAP implementation steps including definition of organizations to be responsible for each type of actions and provide brief description of each action types;

- Prepare monthly programme (ex. follow Grant chart) for the activities to implement as a part of resettlement implementation;

- Describe of the relation and corporation between resettlement implementation and the launching of the construction contracts for each Project work item.

7. Participation and community consultancy

- Description of related parties.

- Description of the correspondence progress for the participation of affected people and related parties in the preparation and planning for resettlement activities;

- Description of the correspondence progress for the participation of affected people and relevant parties in the implementation and supervision of resettlement activities;

- Description of the plan to publicize the RAP information to affected people and relevant parties including information about asset compensation, assistance for resettlement and settlement for any queries or claims.

8. Social - economic surveys and summary of statistic data

- Supply statistic data, asset and natural resource inventory results and result of socio - economic survey about the Project area with the socio - economic condition of the affected families;

- Identification of impact types and affected people;

- Brief description of community consultancy results in different surveys with affected people;

- Description of the demand for statistic data, asset and natural resource inventory, socio - economic surveys, if necessary, as part of the supervision and quantify the RAP implementation.

9. Supervision and assessment

- Internal and external supervision procedures;

- Main quantities indicators stated in the main socio - economic surveys. Preparation of list of indicators for internal supervision;

- Description of institutional and financial arrangements;

- Cycle of preparation and content regulated for internal supervision statements;

- Procedure of internal feedback for internal supervision statement;

- Methodology of external (dependent) supervision;

- External supervision indicators;
- Procedure of internal feedback for external supervision statement;
- Arrangement for the final external quantification.

10. Claim and settlement

- Procedure for claim and settlement, provide detail information of register steps (free of charge), deadline for answers and communication means;
- Procedure of dispute settlement;
- Provision of bringing the case to court if the settlement is failed.

11. Cost estimates

- Clarification of financial responsibilities and authorities;
- List of budget sources for resettlement activities and clarification of the capital flows;
- To ensure that the budget for resettlement activities is sufficient for implementation and it is included in the total budget of the Project;
- Estimation of costs for resettlement activities;
- Estimates for all the expenditures per items of the Project resettlement including planning, implementation, management and administration, supervision and quantification and contingencies;
- Cost estimates for external supervision and quantification.
- Additional documents (if any)

APPENDIX 2. STRUCTURE AND CONTENTS OF EIA REPORT

INTRODUCTION

1. Project rationale

- Briefly description of the rationale of Vietnamese Urban Upgrading Project (VUUP). Clearly statement of related issue of the Ho Chi Minh City Urban Upgrading Project, especially the information on the Sub- Project No. 2.

- Authorities to approve the Project (Ho Chi Minh City People's Committee)

2. Legislative and technical foundations for Environmental Impact Assessment (EIA) implementation

2.1. Legislative documents

- Legislative documents of Vietnam
- Policy of Environmental safety of World Bank

2.2. Environmental Standards

2.2.1 Air standards

- TCVN 5937:2005: Air quality: Ambient air quality standard
- TCVN 5938:2005: Air quality: Maximum allowable concentration of hazardous substances in ambient air
- TCVN 5939:2005: Air quality: Industrial emission standards - Inorganic substances and dusts
- TCVN 5940: 2005: Air quality: Industrial emission standards -Organic substances
- TCVN 5970:1995: Planning for ambient air supervision
- TCVN 5974:1995: Ambient air - Determination of black air

2.2.2 Water standards

- TCVN 5502:2003: Domestic supply water – Quality requirements
- TCVN 6772:2000: Water quality - Domestic wastewater - Allowed limitation values for pollution
- TCVN 5524:1995: Water quality - general requirements for protection of surface water against pollution
- TCVN 6980:2001: Water quality – Standards for industrial effluents discharged into rivers using for domestic water supply.
- TCVN 6981:2001: Water quality – Standards for industrial effluents discharged into lakes using for domestic water supply.
- TCVN 6982-2001: Water quality - Standards for industrial effluent discharged into rivers using for water sports and recreation
- TCVN 6983-2001: Water quality - Standards for industrial effluent discharged into lakes using for water sports and recreation
- TCVN 6984-2001: Water quality - Standards for industrial effluent discharged into rivers using for protection of aquatic life

- TCVN 6985-2001 : Water quality - Standards for industrial effluent discharged into lakes using for protection of aquatic life
- TCVN 5525:1995: Water quality - general requirements for protection of ground water

2.2.3 Solid waste

- TCVN 6706:2000: Hazardous wastes - Separation

2.3. Other relevant documents

- Project research statements
- Technical documents
- Documents of project approval, technical proposal approvals...

3. EIA implementation arrangement

- Describe briefly about the Project Owner's arrangement for EIA implementation and EIA report preparation, indicate clearly if the Project Owner employ any consultants to provide the EIA preparation service. Provide name of the consultant organization, name of the Director, address and other relevant information.

- List of EIA preparators.

Chapter 1: BRIEF DESCRIPTION OF PROJECT

1.1 Project title

State the Project title exactly as provided in the Project Feasibility Study or Investment Report.

1.2 Project Owner

Give the full name of the Project own organization, address, contact means, name and title of the Head of the Project owner organization.

1.3 Project location

Geographical location (coordinate, borders) in relations with natural objects (traffic roads, rivers, ponds, mountains...), socio - economic objects (residential areas, urban, production - trading - service objects, cultural and religious and tourist works...) including charts and appropriate legends.

1.4 Project scope

List all the quantities and scopes (area and time) of the Project works and attach with master plan.

Chapter 2: NATURAL, ENVONMENTAL, ECONOMICAL AND SOCIAL CONDITIONS

2.1 Natural and environmental conditions

2.1.1 Geographical and geological conditions

Only mention the objects, phenomena and processes affected by the Projects. Indicate data sources, referred documents.

2.1.2 Hydrometallurgical conditions

Only mention the objects, phenomena and processes affected by the Projects. Indicate data sources, referred documents.

2.1.3 Existing condition of natural environmental components:

Only mention the objects, phenomena and processes affected by the Project. Indicate data sources, referred documents.

2.1.4 For water, air and land environment, it's necessary to:

- Provide survey and analysis data at time of carrying out the EIA of environment quality (Note that sampling place, sample codes, time of sampling shall be shown in appropriate tables and schedules including with sketches for illustration)
- Evaluate the sensitiveness and give preliminary assessment on the carrying capacity of the environment

2.2 Socio - economical conditions

2.2.1 Economical conditions

Only mention the economic activities (industrial, agricultural, transportation, business, tourism, services...) in the Project area and neighborhood that affected by the Project. Indicate data sources, referred documents.

2.2.2 Social conditions

Only mention the residential areas, urban, production - trading - service objects, cultural and religious and tourism works the economic activities in the Project area and neighborhood that affected by the Project. Indicate data sources, referred documents.

Chapter 3: ENVIRONMENTAL IMPACT ASSESSMENT

3.1 Impact causing source

- Causing source related to waste
- Causing source not related to waste
- Prediction of the environmental risks caused by Project

3.2 Impacted objects and impact extent

3.3 Impact assessment

- Assess particular impacts for each impact causing source and impacted object. Each impact shall be assessed particularly on extent and temporal and spatial scopes.
- The assessment shall be in details and for individual projects, not in general.

3.4 Assessment on method applied

Evaluation for the trustiness of the applied EIA method and of every implemented assessment; uncertain issues in the assessment (reasons, proposal).

Chapter 4: METHODS TO MINIMIZE THE NEGATIVE IMPACTS, PREVENTION AND REACTION TO ENVIRONMENTAL PROBLEMS

4.1 Negative impacts

- Each defined negative impact shall be included with appropriate minimize methods as well as the statement on their advantages, disadvantages, feasibility and effectiveness. In cases that no methods are found or the methods are not feasible for the Project, the reasons

and recommendations shall be proposed so that the responsible authorities can make proper decisions.

- Evidence shall be provided to illustrate that the negative impacts has been decreased after applying of minimizing methods. It should be included with the comparison and reference to the current applied regulations, codes, standards and practices. If the regulated requirements are not met, reasons and recommendations shall be proposed.

4.2 Environmental problems:

- A general plan for problem prevention and reaction shall be submitted with the following details:

- Activities and methods that Project Owner will be actively carry out within his capability, assessment on feasibility and effectiveness.

- Other activities and methods that need corporation and assistance of State authorities and other partners.

- Force major and recommendation.

Chapter 5: COMMITMENT FOR ENVIRONMENTAL PROTECTION IMPLEMENTATION

Project Owner shall commit their implementation of methods to minimize the above mentioned negative impacts, at the same time; they shall commit to apply all methods and general regulations for environmental protection that related with Project execution.

Chapter 6: ENVIRONMENTAL TREATMENT WORKS, ENVIRONMENTAL MANAGEMENT AND SUPERVISION PROGRAMMES

6.1. List of environmental treatment works (if applicable)

- Treatment works for solid, fluid, gas and other wastes within the Project scope (including the detail programme for each work)

- Treatment works for factors other than wastes such as erosion, land slide, depression, river bank erosion, flow consolidation, surface and ground water level changes, alum contamination, salt contamination, micro-climate change, the recession of environmental components, biological diversification changes... including the detail programme for each work

6.2. Environmental management and supervision Programmes

6.2.1. Environmental management Programme

This Programme shall be prepared for the purposes of management of environmental protection issues in the progresses of (i) construction of project works (ii) project management and operation. This Programme shall include: organization and personnel for environmental management, management of waste including harmful wastes, prevention of environmental problems (not include fire prevention, this will be carried out separately follows the fire prevention regulations) and other management issues related to the Project.

6.2.2. Environmental supervision Programme

a. Waste supervision

The programme's work is to supervise flow/total amount of waste and supervise of specific pollution parameters for waste of the Project in conformity with the current standards

and regulations of Vietnam with supervision at the minimum interval of 3 months. Supervision locations shall be shown in charts with detail notes.

b. Supervision of ambient environment

The supervision shall be taken at minimum frequency of every 5 months for specific pollution parameters of the Project in accordance with the current standards and regulations of Vietnam in cases that there are no general supervision stations/spots of the environmental authorities in the Project areas. Supervision locations shall be shown in charts with detail notes.

c. Other supervision

The supervision shall be taken only for factors such as erosion, land slide, depression, river bank erosion, flow consolidation, surface and ground water level changes, alum contamination, salt contamination, micro-climate change, the recession of environmental components, biological diversification changes... ..and other impact causing sources (if any) in cases that there are no general supervision stations/spots of the environmental authorities in the Project areas and with proper frequency to control the temporal and spatial changes . Supervision locations shall be shown in charts with detail notes.

Chapter 7: COST ESTIMATES FOR ENVIRONMENTAL WORKS

Costs for construction and operation of environmental works shall be estimated during the Project construction and operation.

Chapter 8: COMMUNITY CORRESPONDENCE

8.1. Comments of communal/district People's Committees

8.2. Comments of communal/district Homeland Front Committees

Chapter 9: INDICATION OF DATA RESOURCES AND ASSESSMENT METHODS

9.1. Data resources

9.1.1 Referred documents and data sources

- List the referred documents and data with full information: title, origin, release time, author, and publisher or data providers.
- Evaluation of the update and trustiness of those referred data and documents.

9.1.2 Data and documents prepared and supplied by the Project owner

- List of documents and data created, origin, time and location that those documents and data created
- Evaluation of the update and trustiness of those created data and documents.

9.2. Methods applied in EIA preparation

9.2.1 List of methods applied

List all the methods applied in procedures of environmental impact assessment and EIA report preparation including methods of evaluation, surveys, study, testing and other relevant methods.

9.2.2 Assessment of trustiness of the methods applied

Trustiness of those methods shall be evaluated in accordance with quantitative or qualitative rates based on their nature, features and specification of them.

9.3. Evaluation of the detailing and trustiness of the assessments

Give objective evaluation about the carefulness and trustfulness of the assessments on potential environmental impacts, risks and problems.

If any assessments found to be untruthful it's necessary to give subjective and objective reasons (information is insufficient, the data is out of date, methods are insufficient, method trustiness are limited, qualification of the assessment and EIA preparation staff are limited, other reasons)

CONCLUSION AND RECOMMENDATION

1. Conclusion

Conclusion should be made for the issues such as: are all the impacts identified and assessed? Are there any unqualified issues? Give overall assessment on extent and scope of the identified impacts, feasibility of the impact minimizing methods, which impacts can not be provided with the impact minimizing methods due to they are out of the Project Owner capability and solutions proposed.

2. Recommendations

Issues that out of the Project Owner's authority (if any) shall be reported to the relevant functional authorities.

APENDIX 3: SOCIO - ECONOMIC SURVEY FORM (for CUPs preparation)

**HO CHI MINH CITY URBAN UPGRADING PROJECT
SOCIO - ECONOMIC SURVEY FORM**

AREA CODE:

--	--

FORM CODE :

--	--	--	--

Date.....

District: . Ward:.....

House No.....:ClusterStreet:.....

Householder's name : Sex : Male ☐ / Female ☐

SECTION I: GENERAL

1. Number of households living in the house :households

No.	Name of people living in the house	Male	Female	Age	Education	Residence status	Note
a)	(b)	(c)	(d)	(e)	(g)	(h)	(i)
1							
2							
3							
4							
5							
6							
7							
10							
...							

Note for insertion: Education

Not finish primary education = 1

Primary education (class 1-5) = 2

Junior high school(class 6-9) = 3

High school (class 10-12) = 4

Vocational schools = 5

Graduate = 6

Post graduate = 7

Illiterate = 8

Residence status

KT 1 (permanent) = 1

KT2 = 2

KT 3 = 3: KT 4= 4

SECTION II. INCOME AND JOBS

How many people in your family have income?

No	Name	Occupation	Job Code	Transport mean used	Regular income VND/month	Irregular income VND/.....	Note Reasons
a	B	c	d	e	G	h	i
1							
2							
3							
4							
5							
Total							

Occupation Codes:

1 = Civil servants;

4 = Factory workers;

7 = Working in service lines;

2 = Servicemen/Public security men;

5 = businessmen;

8 = Manual labourers

3 = Doctors, architects, engineers, teachers;

6 = craftsmen

9 = Pensioners; 10= Others

Codes for transportation means to work places:

1 = On foot

3 = By motorbike

5 = By Employer's buses

2 = By bicycle

4 = By bus

6 = Others (please clarify)

2. How many people in your family are unemployed?

No	Family	Previous job	Period of unemployment to date	Reasons of unemployment
1				
2				
3				

3. Average monthly expenditures of your family :

No.	Description	Amount (in VND)/ month,.....	Note
1	Food		
2	Electricity		
3	Water		
4	Firing		
5	Telephone/ Internet		
6	Garbage disposal		
7	Transportation/ fuel		
8	House renting (if any)		
9	Education		
10	Medical		
11	Entertainment		
12	Parties		
13	Others		
	Total		

SECTION III. ACCOMODATION

4. When your family moved to this area?

☐ a. Before 18/12/1980 ☐ b. From 18/12/1980 to 15/10/1993 ☐ c. After 15/10/1993

5. Where did you live?

☐ a. HCM City ☐ b. Outside HCM city (particularly).....

6. Accommodation area

☐ a. House area (length x width): m xm = m

☐ b. Land area (length x width):.....m xm = m

7. House type:

☐ a. Permanent

☐ b. Semi - solid

☐ c. Wooden frame, leaf roofing ☐ d. Other (particularly).....

6. Which kind of certificates for land use and house ownership do you have?

- ☐ a. Land use right certificate ☐ c. Temporary certificate
☐ b. House ownership certificate ☐ d. Others ☐ e. don't have any papers

Reasons for not having relevant legal papers

- ☐ e1. To expensive ☐ e2. Not having sufficient legal papers for certificate grant
☐ e3. Hired land and house ☐ e4. Others

7. House possession status :

- ☐ a. Own private house ☐ b. Hired private house ☐ c. Hired state- owned house
☐ d. Compound ☐ e. Others (particularly).....

8. House location

- ☐ a. Next to streets/roads ☐ b. Lane > 5m ☐ c. Lane from 3 to 5m
☐ d. Lane < 3m ☐ e. near drainage channels ☐ f. On drainage channels

SECTION IV. CONDITIONS OF LIVING AND ENVIRONMENT

9. What are the supplies of domestic water for your family?

Water Supplies	For cooking/ drinking uses	Other domestic uses
a. Tap water through separated water meter	<input type="checkbox"/>	<input type="checkbox"/>
b. Tap water subsided from another connection	<input type="checkbox"/>	<input type="checkbox"/>
c. River/pond water	<input type="checkbox"/>	<input type="checkbox"/>
d Rainwater	<input type="checkbox"/>	<input type="checkbox"/>
e. Water from drilled wells	<input type="checkbox"/>	<input type="checkbox"/>
f. Water from digged well	<input type="checkbox"/>	<input type="checkbox"/>
g. Water bought from hawkers	<input type="checkbox"/>	<input type="checkbox"/>
h. Others	<input type="checkbox"/>	<input type="checkbox"/>

10.Type of sewage and drainage used by your family are :

- ☐ a1. Septic tank ☐ a2. Connected directly to public drainage
☐ a3. Gravity ☐ a4. Others:

11.Type of toilets used:

- ☐ a1. Private toilet with septic tank ☐ a2. Private toilet that connected to public drainage
☐ a3. Public toilet ☐ a4. Toilet on channels, ponds
☐ a 5. Others:.....

12.Which service of garbage collection do you use?

- ☐ a1. State - owned ☐ a2. Private ☐ a3. Dispose to public bins
☐ a4. Dispose to channels ☐ a 5.Dispose to roads ☐ a 6. Fire
☐ a 7. Others (give detailed information)

13.What's your power supplies:

- ☐ a1. With private meter ☐ a2. Subsided from neighbor's connection
☐ a3. Other uses (in particular)☐ a4. No power

14.Access road to your house is :

- ☐ a. Asphalt road ☐ b. Concrete road ☐ c. gravel road ☐ d. soil road

15. Was your house flooded in this year

- ☐ a. Yes. Flood height: ? cm If yes, please state the reasons?
- ☐ a1. Big rains ☐ a2. Low house foundation ☐ a3. Flood tide
- ☐ a4. Lack of drainage system ☐ a5. Bad drainage system
- ☐ a6. Other reasons
- ☐ b. No

SECTION V. HEALTH AND ENTERTAINMENTS

19. Has anybody in your family been ill in the last two weeks?

- ☐ a. Yes *If yes, what is the illness?*
- ☐ a1. Cold/fever ☐ a2. Gastritis ☐ a3. Hemorrhage ☐ a4. Diarrhea
- ☐ a5. Typhoid fever ☐ a6. Trauma..... ☐
- a7. Others
- ☐ b. No

20. Do you think that illness related to your current living environment?

- ☐ a. Yes If yes, the main reason are
- ☐ a1. Bad quality water ☐ a2. Air pollution
- ☐ a3. Floods ☐ a4. Flies and other insects
- ☐ a5. Lack of nutrition ☐ a6. Others
- ☐ b. No

21. Do your family members use medical services of the local medical centre?

- ☐ a. Yes ☐ b. No

If no, in your opinion, the local medical services are:

- ☐ b1. Too expensive ☐ b2. Insufficient equipments and facilities
- ☐ b3. Bad services ☐ b4. Others.....

22. What are the available entertainment and sport facilities in your area?

- ☐ a. Park ☐ b. Outdoor entertainment center ☐ c. Cinema
- ☐ d. Karaoke clubs ☐ e. Internet games ☐ f. Swimming pools
- ☐ g. Sport clubs ☐ h. Others

23. Are you satisfied with the available entertainment and sport facilities in the area?

- ☐ a. Yes
- ☐ b. No *If no, why?*
- ☐ b1. Too expensive ☐ b2. Have no time for them
- ☐ b3. Bad facilities ☐ b4. Other reasons

SECTION VI. DEMAND FOR URBAN UPGRADING AND FUND CONTRIBUTION CAPABILITY

24. Which of the following issues are pressing to your family?

- ☐ a. Flood ☐ b. Environmental pollution ☐ c. Bad accommodation
- ☐ d. Lack of entertainment areas and parks ☐ e. The living area is not secured
- ☐ f. Illness ☐ g. Unemployment ☐ h. Debts
- ☐ i. Others.....

25. Three most important issues to be solved to improve your family living environment are:

- ☐ a. Rehabilitation of existing drainage system ☐ h. Provision of jobs/new jobs
☐ b. New water supply system installation ☐ i. Improvement of education and training condition
☐ c. Supply garbage collection system ☐ j. House construction and repair
☐ d. Building of new roads ☐ k. Strengthen security for the area
☐ e. Lane/road widening ☐ l. Better medical/sanitation services
☐ f. No more floods ☐ m. Others.....
☐ g. Access to credits for business

26. If the local drainage, road, power, water supply systems are to be rehabilitated and upgraded, are you ready to contribute to the budget funds?

- ☐ a. Yes ☐ b. No

26.1. If your fund contribution is required, how much your family can give?

- ☐ a1. 100,000 VND ☐ a2. from 100,000 VND to 200,000 VND
☐ a3. from 200,000 VND to 300,000 VND ☐ a4. from 300,000 VND to 400,000 VND
☐ a5. from 400,000 VND to 500,000 VND ☐ a6. from 500,000 VND to 1,000,000 VND

27. If your family have demand of house repairing when the lane is widened, then:

- ☐ a. Your family can afford all costs ☐ b. You can afford only part of the costs

28. Do you intend to receive a credit for house repairing?

- ☐ a. Yes
 a1. If the credit is 5 million VND, your family can repayVND monthly.
 a2. If the credit is 10 million VND, your family can repayVND monthly.
 a3. If the credit is 15 million VND, your family can repayVND monthly.
 a4. If the credit is 20 million VND, your family can repayVND monthly
☐ b. No

28. Other comments and recommendations :

.....

Thank you for your corporation.

Interviewee
(sign)

Interviewer
(sign)

APPENDIX 4: SOCIAL - ECONOMIC SURVEY FORM (for RAP preparation)

Ho Chi Minh city Urban Upgrading Project
Implementation Office

Survey Consultant

SOCIAL - ECONOMIC SURVEY FORM FOR PROJECT AFFECTED HOUSEHOLDS (for RAP preparation)

AREA CODE		HOUSEHOLD CODE		FORM CODE			

Name of upgrading area :.....

Ward: District: Group: Cluster:.....

House No.: Street: Telephone no.:

Interviewer Date

Interviewee.....

Wholly affected household ☐1 Partly affected household ☐2

----------

I. INFORMATION OF THE HOUSEHOLD:

1. Full name of householder:

2. Full name of house owner:

(Reasons why the householder and the house owner are not the same person shall be clearly stated)

3. Number of households according to family register books:.....

4. Number of people living in the house.....

5. Your family moved to this house:

- Before 18/12/1980 ☐1

- Before 15/10/1993 ☐2

- After 15/10/1993 ☐3 If after 1993 please state particularly:

6. Economic activities (production or business) of your family in this house:

6.1. If you do, please state the particular activities:

.....

6.2. How many employees are there (if any)?:people.

6.3. Are you borrowing any credits for business?

- Yes ☐1 - No ☐2

If you are, please clarify:

6.3.1. Source of credits

6.3.2. Interest.....%/ month

6.3.3. Credit amount: VND

7. Average cost for expenditures of your family :..... VND/.....persons

AREA CODE

--	--

HOUSEHOLD CODE

--	--

FORM CODE

--	--	--	--

8. Family members:

	2	3	4	5	6	7	8	9	10	11	12	13
No.	Names of family members	Sex 1=Male 2=Female	Year of birth	Type of Family Register Book 1=KT1 2=KT2 3=KT3 4=KT4	Ethnic group	Relation with house - holder 1= house - holder	Education (Please clarify K 10 system or K 12 system)	Profession	Occupation	Working/ studying place (district)	Transport mean	Income VND/ month
1												
2												
3												
4												
5												

Code:

Column 6 (Ethnic group): 1=Việt; 2=Hoa; 3= others (in particular)

Column 7 (Relation with the householder): 2= Wife/husband; 3= birth children; 4= Son/daughter in-law; 5= grand children 6= Parents 7= brothers/sisters 8=others

Column 8 (Education): State the highest class that person has learnt and the education system (10 or 12). Ex.: 8/10 or 9/12

Column 9&10 (Profession & occupation): 1= Civil servant; 2=Nurse, doctor; 3=serviceman/public security; 4=teacher; 5=worker;

6=Engineer, Architect; 7=Businessman; 8= pupils, student; 9=housewife, pensioner; 10=crafter; 11= others (state clearly)

Column 11 (Working place): 1= at home; 2= at local district, ward; 3= at other ward, commune of the same local district; 4= At other urban districts ; 5 = At suburb district; 6= Not permanent; 7= Other provinces.

Column 11: 1= Public; 2=Bicycle; 3=Bicycle; 4=on foot; 5=others

9. Average saving amount of your family: VND/ month
10. In your opinion, your income is:
- Stable ☐1
 - Unstable. ☐2 Reasons:
11. Medical and health condition:
- 11.1. Are there any people who have chronic diseases in your family?
- Yes ☐1 If yes, what is the diseases?
 - No ☐2
- 11.2. Are there any handicapped in your family?
- Yes ☐1 No ☐2
- 11.3. Do people in your family have periodic medical?
- Yes ☐1 No ☐2
- 11.4. Where do your family members have medical when they are ill? (Please choose the most appropriate answers only)
- Ward medical station ☐1 - Treat themselves ☐4
 - District Medical Center ☐2 - Hospital ☐5
 - Private doctors ☐3 - Oriental medical room ☐6
12. The education of the family children
- 12.1 How many children who don't go to school or give up school in your family?
- 1 ☐ Primary school children. 2 ☐ junior secondary school children
- 12.2 Reasons:
- Insufficient legal documents as required ☐1 Unable to let them go to school ☐4
 - Need them for family work ☐2 - Others: ☐5
 - Schools too far ☐3
13. Domestic utilities
- 13.1 Domestic power: Your domestic power supply source is:
- Public power lines, separated meter ☐1
 - Connected from other connection ☐2
 - Use own power generator ☐3
 - No electricity ☐4
- 13.2. Water supply: Your domestic water supply source is:
- Tapped water with separated meter ☐1 River/pond water ☐4
 - Tapped water from another connection ☐2- Rain water ☐5
 - Digging/drilling well ☐3 Retail buying (tanker...) ☐6
- 13.3. Family utilities:
- Telephone ☐1 - Bicycles nos. ☐5
 - Television ☐2 - Motorbikes nos. ☐6
 - Cassette player ☐3 - Washing machine ☐7
 - Video player ☐4 - Air conditioner ☐8
 - Other facilities ☐9

II. ASSETS AFFECTED BY PROJECT

II.1/ LAND

II.1.1. Land for dwelling houses

14. Total land area you are using: m²

15. Total land area affected by Project: m²

16. Legal status of using land:

- With land use certificate ☐1
- Without land use certificate ☐2 If not, please give further information:
- You are applying for the certificate ☐3
- If you have other relevant papers, please give details: ☐4

17. Are there any disputes on your current using land? - Yes ☐1 - No ☐2

II.1.2 Agricultural land

18. Total of agricultural land you are possessing:m2

19. Total of agricultural land affected by Project:m2

20. Land legal status: With land use certificate ☐1 without land use certificate ☐2

21. Are there any disputes on that land? Yes ☐1 No ☐2

II.2/ House

22. House area:m2

23. Legal status:

23.1 The house was built in: 1 ☐ Year 2 ☐ Don't know.

23.2 Legal status:

- Have construction permission ☐1
- Have house renting contract ☐4
- Waiting for approval ☐2
- In dispute ☐5
- Without construction permission ☐3
- Have house ownership certificate ☐6

24. House location:

- Road front ☐1
- On lane < 3 m ☐4
- On lane > 5m ☐2
- Partly on channels ☐5
- On lane from 3-5m ☐3
- Wholly on channels ☐6

25. House type:

- Detached house ☐1
- Duplex ☐3
- Triplex ☐2
- Fourplex ☐4

26. House structure (House grade 1,2,3,4)

26.1. Number of floors:.....a/ floors (including ground floor and entresol, if any)

b/ Among which entresol : 1 ☐ nos.

2 ☐ No

26.2. House frame made of:

- Concrete ☐1
- Good timber ☐4

- Steel ☐2

- Brick ☐3

- Cheap timber ☐5

- Other materials ☐6

26.3. Floors:

a. Ground floor – 1

- Brick tiling ☐1

- Cement ☐2

- Soil ☐3

Other material ☐4

c. Third floor (if any)

- Concrete ☐1

-Concrete with mess reinforcement ☐2

- Timber ☐3

Other material ☐4

b. First floor and second floor (if any)

- Concrete ☐1

- Concrete with mess reinforcement ☐2

- Timber ☐3

Other material ☐4

d. Forth (if any)

- Concrete ☐1

- Concrete with mess reinforcement ☐2

- Timber ☐3

Other material ☐4

26.4. Walls:

- Brick ☐1

- Planks ☐2

- Other material: ☐3

26.5. Ceiling:

- No ceiling ☐1

- Concrete ☐2

- Good timber/planks ☐3

- Other materials:☐4

26.6. Roofing:

- Concrete ☐1

- tiles ☐2

- Fibrocement ☐3

- Corrugated iron sheets ☐4

- Other materials: ☐5

27. Rate of affection

27.1. Yard (if applicable)

- Wholly ☐1

- Partly ☐2

- Affected area:m2

27.2. House (if applicable)

- Wholly ☐1

- Partly ☐2

- Affected area:m2

28. Other affected structures and assets (please indicate types, structure and/or area).

1. Power meter:pcs.

5. Other assets please indicate clearly, ex, plants, trees, graves...

2. Water meter:.....pcs

.....

3. Telephone line:.....m

.....

4. Well:.....nos

.....

29. Sketch of location and dimension of the affected land and house (drawn by the interviewer - Appendix 1)

III. INTERVIEW ON COMPENSATION AND RESELEMENT

30. Estimated compensation prices:

30.1. Land compensation:

30.1.1. it's intended that the land compensation prices will be under Decision 179/2006/QD-UB dated 22/12/2006 of Ho Chi Minh city People's Committee. In your opinion, those prices are:

Reasonable ☐1 Low ☐2 High ☐3 No comment ☐4

30.1.2. Do you know what the land price of this area per m2?

1 ☐ Around: VND/m2

2 ☐ Don't know.

3 ☐ Other comment:

30.2. Houses:

30.2.1. It's intended that the land compensation prices will be under Decision 179/2006/QD-UB dated 22/12/2006 of Ho Chi Minh city People's Committee. In your opinion, those prices are:

Reasonable ☐1 Low ☐2 High ☐3 No comment ☐4

30.2.2. In your opinion, how much does it cost to repair your house front area?

1 ☐ Around VND

2 ☐ Other comment:

31. about accommodation (for displaced households only)

31.1. Have you been informed by the local government on the expected resettlement area?
- Yes ☐1 - No ☐2

31.2. Which option of compensation and moving do you choose?

a/ Receive compensation money and find the new accommodation by yourselves ☐1

Please indicate where you intend to move to:

..... District (Move to Question 33)

b/ Receive the land lot with sufficient utilities in the Vinh Loc B resettlement site, Binh Chanh District ☐2 (Move to Question 31.5)

c/ Apartment..... ☐3 (Move to question 31.3)

d/ Other comments (indicate clearly) .. ☐4

31.3. If an apartment is chosen by you, what is your intention?

- Rent an apartment ☐1 (ability for renting payment: VND/month)

- Buy an apartment in lump sum payment if discount is given ☐2

- Buy an apartment with payment in installments ☐3

31.4 Your desired apartment area is:

- Under 30m2 ☐1 From 46 to 55m2 ☐3

- From 30 to 45m2 ☐2 Over 55m2 ☐4

- Reasons:

31.5. If you choose is buying an apartment or a land lot, the compensation amounts will be not enough for it. What is your funding source for the remaining? (Choose 1 answer only)

- Money of the family, relatives ☐1 - Bank credits ☐4

- Project credits ☐2 - Don't know ☐5

- Borrow from friends ☐3 - Others: ☐6

31.6. If receiving a credit, how long do you expect to repay it? (Choose 01 answer only)

- Under 5 years ☐1 - From 11 to 15 years ☐3
- From 5 to 10 years ☐2 - From 16 to 20 years ☐4 - Don't know ☐5

31.7. Please choose 3 public facilities you expect most in the resettlement site:

- Playground ☐1 - School ☐5
- Park ☐2 - Pub, restaurant ☐6
- Market ☐3 - Services(post, buses) ☐7
- Community Hall ☐4 - Medical services ☐8
- Others (indicate): ☐9

32. Demand of credits for housing rehabilitation (for households who are not displaced)

32.1. Do you have demand of credits for housing rehabilitation?

- Yes ☐1 if yes, how much do you intend to borrow.....? VND
- No ☐2 (Move to question 33)

32.2. You intend to use the credit for:

- House foundation raising ☐1 - Build septic tank, internal drainage system ☐3
- Repair of house front ☐2- Others (indicate)..... ☐4

32.3. If receiving credits, how do you intend to repay?

- Weekly repayment ☐1 - Daily repayment ☐2 - Monthly repayment ☐3

32.4 If receiving credits, how long would you like for the repayment?..... years

33. Do you face any troubles with the moving or cut a house part:

- Yes ☐1 Please indicate: - No ☐2

34. What assistance do you propose for the purpose of income recovery?

- Profession training ☐1
- Credits ☐2 If yes, the expected amount is: VND
- Job finding ☐3
- Others: ☐4

35. Three most expectations of your family:

1.
2.

Thank you.

Interviewee (Sign and write full name)	Interviewer (1) (Sign and write full name)	Interviewer (2) (sign and write full name)	Scruntiinier (sign and write full name)
--	--	--	---

Note of the Interviewer:
.....
.....



WE BUILD THE FUTURE

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