



# Environmental and Social Management Plan (ESMP)

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June 2025

<b>Project title:</b> Viet Nam Climate Smart Coastal Communities (VN-CSCC)	
<b>Country:</b> Viet Nam	<b>Project partners:</b> Ministry of Agriculture and Environment (MAE), City and Provincial People's Committees of Hue, Binh Dinh, Soc Trang
<b>UNDP Social and Environmental Screening Category:</b>  MODERATE	<b>UNDP Gender Marker:</b>  GEN3

## Abbreviations and Acronyms

AP	Action Plan
CA	Conservation Areas
CIG	Climate Information Groups
CoP	Community of Practice
DAE	Department of Agriculture and Environment
EMs	Ethnic Minorities
ESIA	Environmental and Social Impact Assessment
EIA	Environmental Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
FPIC	Free, Prior and Informed Consent
FHH	Female-headed households
FIAP	Canada's Feminist International Assistance Policy
GAC	Global Affairs Canada
GEF	Global Environment Facility
GEWE	Gender Equality and Women's Empowerment
GRM	Grievance Redress Mechanism
HMEWS	Hydro-meteorological Monitoring and Early Warning System
IPP	Indigenous Peoples Plan
IWW	Informal Waste Worker
LEP	Law on Environmental Protection
MARD	Ministry of Agriculture and Rural Development
MONRE	Ministry of Natural Resources and Environment
MPA	Marine Protected Area
NBCS	Nature-based climate solutions
NDC	Nature-Dependent Communities
NR	Nature Reserve
NP	National Park
PA	Protected Area
PLR	Policy, Law and Regulation
PMES	Payment for Marine Ecosystem Services
POPP	Programme and Operations Policies and Procedures (UNDP)
PPG	Project Preparation Grant (UNDP)
PSEAH	Protection from Sexual Exploitation, Abuse and Harassment
PW	Particularly Women
SECU	Social and Environmental Compliance Review Unit (UNDP)
SES	Social and Environmental Standards (UNDP)
SESP	Social and Environmental Screening Procedure (UNDP)
SOP	Standard Operational Procedure
SRM	Stakeholder Response Mechanism (UNDP)
SUF	Special Use Forest
VCC	Vulnerable Coastal Communities
UNDP	United Nations Development Programme
WLO	Women-Led Organization
WFO	Women-Focused Organization

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## Executive Summary

This Environmental and Social Management Plan (ESMP) has been prepared to support the implementation of the project “*Viet Nam Climate Smart Coastal Communities*” (VN-CSCC), funded by Global Affairs Canada (GAC) through the United Nations Development Programme (UNDP). Its purpose is to assist in the assessment of potential environmental and social impacts and propose mitigation measures during the project implementation. This document helps to ensure full compliance with the requirements of UNDP’s Social and Environmental Standards (SES), Canada’s Feminist International Assistance Policy (FIAP) and GAC environmental requirements.

Preliminary analysis and screening conducted during the project development phase via UNDP’s Social and Environment Screening Procedure (SESP) identified potential social and environmental risks associated with project activities. The screening procedure led to the identification of 3 ‘Moderate risks’ and 2 ‘Low risks’ resulting in the project having an overall rating of ‘Moderate’. The identified social and environmental risks’ impacts are deemed manageable through identified mitigation measures detailed in the SESP. An Environmental and Social Management Framework (ESMF) has been developed to provide a management framework for social and environmental risk management. In addition, an Environmental Analysis has been conducted during the project formulation phase to identify environmental risks and inform mitigation measures for implementation phase. This ESMP builds on the ESMF, SESP, Environmental Analysis and other relevant safeguard documents and guidance as mentioned above. This ESMP should be read in conjunction with the project documents and its annexes.

It should be noted that ethnic minorities (Hoa and Khmer in Tran De district and Vinh Chau town of Soc Trang province) might rely on for their livelihoods and traditions. While consultations have been undertaken with ethnic minorities (EMs) during the Project preparation stage with efforts to ensure that these were conducted in line with the Free, Prior and Informed Consent (FPIC) principles, additional FPIC will be undertaken to confirm the consent of these communities regarding project investments and activities as part of a more detailed consultative process during project implementation. The Ethnic Minorities Plan (EMP) is developed and presented in Annex I.

This ESMP adopts a risk-based approach, identifying a comprehensive overall set of potential environmental and social risks and associated mitigations related to the interventions deemed as “Moderate risk” in SESP and involve “hard” interventions (installation, plantation and rehabilitation) including: i) Installation of automatic hydro-meteorological monitoring and early warning systems (HMEWS) – Activity 1111.1; ii) Operation of plastic waste collection points implemented by women-led Informal Waste Workers (IWW) cooperatives/groups – Activity 1212.4; iii) Establishment and management of Marine Protected Areas (MPA) – Activities 1311.1; 1311.2; 1311.4; 1311.6; and iii) mangrove forests plantation/rehabilitation and coral reefs restoration – Activities 1312.3; 1321.4; 1322.3; 1322.4. In addition, under output 1222, the project plans to have technical support and interventions on eco-tourism based on the request of provincial government. While scale and locations of activities under output 1222 is subject to further consultation with stakeholders, this ESMP will provide an overview of identified risks, mitigation measures and monitoring mechanism for these activities. Social and environmental risks of other activities comprising only capacity building, trainings, events and policy analysis will be covered under the scope of project’s ESMF. As VN-CSCC will conduct a series of assessments and develop plans prior to the implementation of interventions, risk identification and mitigation will be incorporated into these assessments and management plans to inform project implementation.

This ESMP is structured around the principle of continual improvement and will be monitored and updated as required.

# 1. Introduction

## 1.1. Project Description

The ultimate outcome of the project is “improved resilience to climate change of vulnerable coastal communities (VCC), particularly women (PW), and enriched marine and coastal biodiversity in Viet Nam”. This initiative falls within the nature-based solutions (NbS) pillar of Canada's climate finance commitment.

Evidence from coastal adaptation practices in Viet Nam and globally suggests that Nature-Based Climate Solutions (NBCS) - locally appropriate actions that effectively and adaptively address societal climate challenges by protecting, sustainably managing and restoring natural and modified ecosystems - can deliver many benefits both for people and nature, including climate change adaptation and mitigation, disaster risk reduction, reversing ecosystem degradation and biodiversity loss, improvement of human health and promoting sustainable socio-economic development, food and water security, aspects that determine the livelihoods of vulnerable coastal communities in Viet Nam.

To achieve its ultimate outcome, the project will enhance the performance and leadership of government and VCC, PW and Women-Led Organizations (WLO) from implementing activities under three inter-related and mutually reinforcing Intermediate Outcomes: (1) apply gender-responsive climate information services and risk-informed planning for climate change adaptation with environment co-benefits; (2) initiate NBCS for sustainable ocean economy and livelihoods, with co-benefits for adaptation and biodiversity conservation; and (3) improve the sustainable protection and co-management of biodiversity, ecosystem services and natural resources, demonstrated in 3 locations in Viet Nam, which are Hue (North Central Region), Binh Dinh (BD; South Central Region) and Soc Trang (ST; Mekong River Delta Region). In the upcoming months (QII and QIII of 2025), there will be mergers of provinces and communes. According to Resolution 60-NQ/TW 2025 by the Government of Vietnam, the consolidation of political and administrative centers was announced earlier this year.

Gia Lai province and Binh Dinh province will be merged to form a new Gia Lai province. Its capital will be located in the current Binh Dinh province, serving as the political and administrative center. Similarly, Can Tho city, along with Soc Trang province and Hau Giang province, will be merged to form a new entity named Can Tho city, with its capital and administrative center retained in the existing Can Tho city. Following the effective date of these provincial mergers (tentatively in QIII 2025), their impact on project progress and implementation will be further assessed.

The selected target coastal towns and provinces are vulnerable due to natural and socio-economic factors, including exposure to typhoons, floods, storm surges, sea level rise, coastal erosion, salt intrusion, and high tides. These provinces are also experiencing biodiversity loss caused by land transformation (habitat destruction), overexploitation of natural resources, climate change, and pollution. Despite these challenges, the regions are rich in natural ecosystems and biodiversity, including mangroves and coral reefs.

Furthermore, these provinces have high populations of poor and near-poor households and persistent gender disparities. Social discrimination against women manifests as lower employment rates, reduced access to education and training, and significant wage gaps.

The project will adopt an innovative and comprehensive approach, implementing a series of activities to enhance the capacity of the government, VCC, and PW in applying gender-responsive climate information and risk-informed planning for climate change adaptation, while also generating environmental co-benefits.

As outlined earlier, the project's social and environmental risks are addressed through two key safeguard documents: the **Environmental and Social Management Framework (ESMF)**, the **Environmental Analysis (Annex VI of PIP)**, developed during the project formulation phase, and the **Environmental and Social Management Plan (ESMP)**, prepared during the inception phase. Activities classified as **Moderate risk**—including early warning system installation, mangrove plantation/rehabilitation and coral reef restoration—fall under the scope of this ESMP, whereas all other activities are covered by the ESMF. The project is implemented in Hue City, Binh Dinh and Soc Trang provinces.

## 1.2. Purpose and scope

### 1.2.1. Project safeguard documents

This ESMP is part of a suite of interconnected documents that address safeguards on the project ensuring that the project is compliant with the UNDP SES. The project safeguard documents include:

- a) Social and Environmental Screening Procedure (SESP)
- b) Environmental and Social Management Framework (ESMF)
- c) Environmental and Social Management Plan (ESMP – this document)
- d) Stakeholder Engagement Plan (SEP)
- e) Ethnic Minorities Plan (EMP – Annex I attached to this document)
- f) Gender Equality and Women's Empowerment Strategy and Action Plan
- g) Environmental Analysis – Annex VI of Project Implementation Plan package.

The whole set of project safeguard documents, including this ESMP, will be revised and updated during project implementation (e.g., in case new risks are identified).

### 1.2.2. Legislation and Institutional Frameworks for environmental and social matters

#### 1.2.2.1. National Legislation, Policies and Regulations

Viet Nam has a legal framework based on a hierarchy of codified laws, resolutions, ordinances, decrees, decisions and circulars made at different levels starting with the National Assembly. There is a high degree of complexity in the system in that many legal decisions are made at different levels. A summary of the main policies, laws and regulations relevant to the SES implementation of the project is listed below.

The following are the key pieces of legislation relevant to the project:

#### A. Legal Frameworks

1. Law on Gender Equality (2006)
2. Law on Biodiversity (2008)
3. Land Law No. 45/2013/QH13 (2013)
4. Law on Natural Disaster Prevention and Control (2013)
5. Law on Natural Resources and Environment of Sea and Islands (2015)
6. Law of Tourism (2017)
7. Law on Hydrometeorology (2018)
8. Law on Environmental Protection (LEP) No. 21/VBHN-VPQH (2022)
9. The Law on Forestry (06/VBHN-VPQH) (2023)
10. Land Law No. 31/2024 (2024 update)
11. The Law on Fisheries (2024)
12. Law on Urban and Rural Planning (2024)

## B. Policies and Strategies

1. Ten-year Socio-Economic Development Strategy (SEDS) and Five-year SEDPs (*continuous, developed in cycles*)
2. National Strategy on Gender Equality 2021–2030
3. Decision No. 339/QĐ-TTg dated March 11, 2021: Strategy for Development of Vietnam's Fisheries by 2030 with vision to 2045
4. The National Green Growth Strategy (2021–2030, vision to 2050)
5. National Strategy on Biodiversity to 2030, vision to 2050 (Approved Jan 2022)
6. National Environmental Protection Strategy to 2030, Vision Until 2050 (2022)
7. National Strategy on Exploitation and Protection of the Marine and Island Environment to 2030, vision to 2050 (2023)
8. Vietnam's Forestry Development Strategy for the 2021–2030 period, vision to 2050
9. National Strategy on Climate Change until 2050
10. National Strategy for Natural Disaster Prevention and Control to 2030, vision to 2050
11. National Master Plan on Biodiversity Conservation
12. National Action Plan on the Implementation of the 2030 Agenda for Sustainable Development (2017)
13. National Strategy for the Development of the Meteorological and Hydrological Sector to 2030, vision to 2045
14. National Master Plan on Tourism System for 2021–2030, vision to 2045 (2024)
15. Decision No. 389/QĐ-TTg dated 9 May 2024: Master Plan for the Protection and Exploitation of Fishery Resources 2021–2030, vision to 2050

### 1.2.2.2. International Agreements and Treaties

Viet Nam is a signatory to several multilateral agreements and conventions that are relevant to the Project; including but not limited to the following:

- 1966, International Covenant on Civil and Political Rights (ICCPR)
- 1966, International Covenant on Economic, Social and Cultural Rights (ICESCR)
- 1969, Convention on the Elimination of all forms of Racial Discrimination (CERD)
- 1969, Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)
- 1971, Convention on Wetlands of International Importance (Ramsar)
- 1972, Convention Concerning the Protection of the World Cultural and Natural Heritage
- 1973, Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)
- 1989, Convention on the Rights of the Child
- 1992, Convention on Biological Diversity (CBD)
- 1992, United Nations Framework Convention on Climate Change (UNFCCC)
- 1994, United Nations Convention to Combat Desertification (UNCCD)
- 1997, Kyoto Protocol to the UNFCCC
- 2000, Cartagena Protocol on Biosafety of the CBD
- 2003, Convention for the Safeguarding of Intangible Cultural Heritage
- 2005, Convention on the Protection and Promotion of the Diversity of Cultural Expressions
- 2007, United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)
- 2015 Paris Agreement under the UNFCCC
- Vietnam's Net Zero commitments (COP26)
- Kunming-Montreal Global Biodiversity Framework (GBF) (30x30 target).

### 1.2.2.3. UNDP’s Social and Environmental Standards

The VN-CSCC Project covered by this ESMP will comply with UNDP’s Social and Environmental Standards (SES), which came into effect 1 January 2021. These Standards underpin UNDP’s commitment to mainstream social and environmental sustainability in its programs and projects to support sustainable development and are an integral component of UNDP’s quality assurance and risk management approach to programming. Further details on the UNDP SES are available on the UNDP website. The objectives of the SES are to:

- Strengthen the quality of programming by ensuring a principled approach
- Maximize social and environmental opportunities and benefits
- Avoid adverse impacts to people and the environment
- Minimize, mitigate, and manage adverse impacts where avoidance is not possible
- Strengthen UNDP and partner capacities for managing social and environmental risks
- Ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people
- Respect and promote the self-determination of Indigenous Peoples, including their right to Free, Prior and Informed Consent (FPIC) and their right to decide the future of their lands, resources.

The UNDP’s SES is also aligned with Global Affairs Canada’s Feminist International Assistance Policy (FIAP) and environmental requirements. Within the scope of this project, the UNDP’s SES – with no objection from the donor – shall be applicable to all project interventions and activities.

The Project will ensure compliance with all domestic regulations described in this section and will take advantage of the opportunities that specific laws provide for the success of the project’s objectives. In some aspects UNDP SES may establish higher standards and imply additional requirements compared to what is compulsory under national legislation. Where there is a discrepancy in the relative stringency of national regulations, international regulations, standards and requirements from the donor, and UNDP SES, the most stringent of the conflicting provisions shall be adhered to.

### 1.2.3. Scope

The project has been screened against the UNDP SES using the UNDP Social and Environmental Screening Procedure (SESP) template. The screening is based on a precautionary approach, looking at the broad category of activity/intervention types and assessing potential risks based on the types of activities that are expected to be implemented at site level in three target coastal city and provinces. The project was categorized as Moderate risk with three risks identified as Moderate level.

Risk Description	Risk Category
Risk 1: Due to the lack of access to information and training, particularly on human rights, gender, climate change, etc. capacity of government officers is quite limited in these areas, which hinders them from meeting their obligations in the Project	Moderate
Risk 2: The establishment of the Nature Reserve and Marine Protected Area (MPA) might limit the access of local communities to these sites, which will lead to the loss of income to the local communities	Moderate
Risk 5: Activities to promote women’s participation and leadership in project activities may increase the work burden on women; or domestic violence against women and girls; or other issues such as harassment and abuse of women and children in working place or collective groups.	Moderate
Risk 6: There is limited availability of land for the installation of automatic hydro-meteorological monitoring and early warning systems as well as new mangrove plantation/rehabilitation which might lead to significant change in the project design	Moderate

Table 1 Project’s social and environmental risks rated as ‘Moderate’

Treatments to Risk 1 are covered in the project’s ESMF (Table 4) and incorporated into the project’s annual work plans. This ESMP will focus on Risk 2 and Risk 5 related to the installation of HMEWS, establishment and management of the Nature Reserve and Marine Protected Area, and mangrove plantation/rehabilitation and coral reefs restoration. Risk 6 will be addressed separately through the project’s Gender Action Plan (GAP) and UNDP’s policies on Prevention and Response to Sexual Misconduct<sup>1</sup>. During the project inception phase, the project team has addressed the social and environmental risks of activities related to waste collection points implemented by IWW should be covered in this ESMP. The following table sets out the applicable activities under the coverage of this ESMP.

Interventions	Activity codes	Description
Installation of automatic hydro-meteorological monitoring and early warning systems (HMEWS)	1111.1	Installation of automatic hydro-meteorological monitoring and early warning systems in selected communes linked to higher level information systems
	1212.4	Operationalize plastic waste collection points, implemented by women-led IWW cooperatives/ groups
Establishment and management of Marine Protected Areas (MPA)	1311.1	Prepare profiles of CAs, including needs for basic and optimal management
	1311.2	Develop CA Dossiers, including zoning, for formal establishment by the government
	1311.4	Develop 5-year CA management plans, including operational plans on patrolling, monitoring, awareness raising, revenue generation
	1311.6	Pilot PMES schemes, with payments by service users
Mangrove plantation/rehabilitation and coral reefs restoration	1312.3	Conduct coral planting, with women, WLO
	1321.4	Implement participatory site- based mangrove rehabilitation with engagement of women, WLO
	1322.3	Conduct scattered mangrove planting with engagement of women, WLO
	1322.4	Support scattered mangrove maintenance by communities, PW
Communities of Practice (CoPs) to promote Nature-based climate solutions (NBCS) and gender equality in eco-tourism	1222	Hue Province:2 The Project will support the implementation of the provincial coastal ecotourism plan, which promotes the integration of improved environmental standards in the design and operation of tourism-related infrastructure.  Binh Dinh Province: Support is planned for developing nature-based

<sup>1</sup> <https://www.undp.org/accountability/prevention-and-response-sexual-misconduct>

<sup>2</sup> Details of implementation, scale and updates on locations will be subjected to further consultations with stakeholders, local communities and authorities.

Interventions	Activity codes	Description
		<p>ecotourism models in Con Chim islet (Phuoc Son commune, Tuy Phuoc district) and potentially other sites in Nhon Lý, Nhon Hải, and Ghềnh Ráng.</p> <p>Soc Trang Province: The Project plans to support mangrove visits and artisanal fishing in Cu Lao Dung;</p>

Table 2 Interventions covered by this ESMP

### 1.2.4. Stakeholder engagement and information disclosure process

#### 1.2.4.1. Assessment activities supporting the development of the ESMP

Building on the assessments undertaken during the project formulation phase (as described in the ESMF), environmental and social risks and potential impacts have been further identified through a series of workshops and rounds of consultation undertaken by the UNDP and PMUs, as well as support from the project’s safeguard specialist.

The Table 3 summarizes field consultations and capacity building activities conducted in preparation of this ESMP:

Items	Venue	Time	Activities	Notes
VN-CSCC’s project management training	Green One UN House (GOUNH), 304 Kim Ma, Ha Noi	16-17 January 2025	<p>Provide training on project management to provincial PMU staff.</p> <p>A dedicated presentation and discussion session on SES were included.</p>	It is noted on the importance of the rigorous consultation process for mangrove rehabilitation and MPA activities
Project launching workshops	Hue and Soc Trang	<p>Hue: 25 March 2025</p> <p>Soc Trang: 27 March 2025</p>	<p>Provide information on project to stakeholders</p> <p>High-level consultations with representatives of beneficiaries on SES risks</p>	
Field visits by Component 1 lead, M&E expert and contractors	3 city and provinces	<p>July 2024 (1<sup>st</sup>) by UNDP (Hydromet experts)</p> <p>March-April 2025 (2<sup>nd</sup>) by Contractor (Reecotech)</p>	Consultation on locations for installation of hydro-meteorological monitoring and early warning systems	Signed meeting minutes on locations for installation were obtained with signature of PMUs and Commune’s Peoples Committee representatives

Items	Venue	Time	Activities	Notes
Field visit by project management team	3 city and provinces	23-24 Sep 2024: Visit Nhon Hai Commune, Con Chim Hamlet, Quy Nhon Bay area in Binh Dinh  25 Mar 2025: Visit Phong Hoa ward, Phong Dien Town, Hue City  26 Mar 2025: Visit Lang Co Town, Bac Hai Van MPA, Phu Loc district, Hue City  27 Mar 2025: Visit Tra Set hamlet, Vinh Hai commune, Vinh Chau Town, Soc Trang	Consultation with project beneficiaries on:  - Potential SES risks from interventions (any limits to access to natural resources)  - Environmental and social requirements  - Mitigation measures (e.g., safety protocols during mangrove rehabilitation, avoid noise, dust, and waste during the installation of HMEWS system)	
GEWE training course	Hue	24 March 2025	Provide GEWE and PSEAH <sup>3</sup> contents to PMU staff  Identify gender sensitive issues and solutions to address  Support PMU staff in developing and implementing GEWE AP	

Table 3 Consultations, information dissemination and capacity buildings in preparation of ESMP

#### 1.2.4.2 Disclosure

This ESMP will be disclosed via the UNDP Viet Nam website in accordance with UNDP SES policy. These requirements for stakeholder engagement and disclosure will be adhered to during the implementation of this ESMP.

## 2. An analysis of social and environmental risks to applicable activities

### 2.1. Locations of targeted interventions

The proposed locations of these interventions covered by this ESMP – after preliminary consultations with local communities and authorities – are presented in the following tables:

<sup>3</sup> Protection from Sexual Exploitation, Abuse and Harassment

Province/city	District/town	Commune/ward	Zoning	Geographical locations	Number of automatic HMEWS	Note
Hue City	Thuan Hoa Quarter	Thuan An Ward	Land for public works or public facilities ( <i>đất công trình công cộng</i> )	Near embankment close to Dien Truong bridge. The GPS location: 16.533545 N; 107.628785 E	1	Equipment for automatically measuring wind speed, wind direction, rainfall, air temperature, and air pressure; and IP camera
	Quang Dien District	Quang Cong Commune	Land for public works or public facilities ( <i>đất công trình công cộng</i> )	Con Gai Market. The GPS location: 16.607285 N, 107.5485275 E	3	
			Land for public works or public facilities ( <i>đất công trình công cộng</i> )	Nearby Quang Cong fish sauce cooperation in Tan Thanh village. The GPS location: 16.615367 N; 107.553004 E		
		Sia township (Thi Tran)	Land for public works or public facilities ( <i>đất công trình công cộng</i> )	Nearby Quang Dien Forest Ranger. The GPS location: 16.569816 N; 107.499884 E		
	Phong Dien Town (Thi Xa)	Phong Hoa Ward*	Land for public works or public facilities ( <i>đất công trình công cộng</i> )	Nearby QL49B, O Lau Riverside. The GPS location: 16.648006 N; 107.315491 E	1	
Phu Loc District	Lang Co Township (Thi Tran)*	Land for public works or public facilities ( <i>đất công trình công cộng</i> )	Nearby Minh Quy - Cafe with sea view, 50m to the North from Hai Van pass road, 120m to the West from Hai Van bridge. The GPS location: 16.222450 N; 108.092252 E	1		
Binh Dinh Province	Hoai Nhon Town (Thi Xa)	Tam Quan Bac Ward	Land for public works or public facilities ( <i>đất công trình công cộng</i> )	Tam Quan fishing port. The GPS location: 14.568580 N, 109.060910 E	1	Equipment for automatically measuring wind speed, wind direction, rainfall, air temperature, and air pressure; and IP camera
	Phu My District	My An Commune	Land designated for administrative	People's Committee of My An commune. The GPS location:	1	

Province/city	District/town	Commune/ward	Zoning	Geographical locations	Number of automatic HMEWS	Note
			or institutional purposes ( <i>đất trụ sở</i> )	14.2722347 N; 109.164327 E		
	Tuy Phuoc District	Phuoc Hoa Commune	Land for public works or public facilities ( <i>đất công trình công cộng</i> )	Ha Thanh Irrigation Station. The GPS location:  13.902484 N, 109.229060 E	1	
	Qui Nhon City	Nhon Hai commune	Land designated for administrative or institutional purposes ( <i>đất trụ sở</i> )	People's Committee of Nhon Hai commune. The GPS location: 13.7647173 N; 109.289762 E	1	
	Hoai Nhon Town (Thi Xa)	Hoai Huong Ward*	Land for public works or public facilities ( <i>đất công trình công cộng</i> )	In the middle of Lai Giang bridge across Lai Giang River. The GPS location: 14.4777377 N; 109.090643 E	1	
	Phu Cat District	Cat Thanh Commune	Land designated for administrative or institutional purposes ( <i>đất trụ sở</i> )	People's Committee of Cat Thanh commune. The GPS location: 14.0813738 N; 109.192511 E	1	Equipment for automatically measuring river water level and IP camera
	Phu Cat	Cat Khanh Township (Thi Tran) *	Land for public works or public facilities ( <i>đất công trình công cộng</i> )	In the middle of Ngoi bridge. The GPS location:  14.127282 N, 109.206918 E	1	
Soc Trang Province	Cu Lao Dung District	An Thanh Nam Commune	Land designated for administrative or institutional purposes ( <i>đất trụ sở</i> )	People's Committee of An Thanh Nam commune. The GPS location: 9.51347778 N; 106.228508 E	1	Equipment for automatically measuring wind speed, wind direction, rainfall, air temperature, and air pressure; and IP camera
		An Thanh 2 Commune	Land designated for administrative or institutional	People's Committee of An Thanh 2 commune. The GPS location: 9.61716667 N; 106.194283 E	1	

Province/city	District/town	Commune/ ward	Zoning	Geographical locations	Number of automatic HMEWS	Note
			purposes (đất trụ sở)			
	Tran De District	Trung Binh Commune	Land designated for administrative or institutional purposes (đất trụ sở)	People's Committee of Trung Binh commune. The GPS location: 9.49544722 N; 106.188900 E	1	
		Trung Binh Commune	Land for public works or public facilities (đất công trình công cộng)	Mo O fishing port. The GPS location: 9.42456111 N; 106.170450 E	1	
	Vinh Chau Town (Thi Xa)	Lai Hoa Commune	Land designated for administrative or institutional purposes (đất trụ sở)	People's Committee of Lai Hoa commune. The GPS location: 9.31666111 N; 105.832789 E	1	
		Ward 1	Land designated for administrative or institutional purposes (đất trụ sở)	Ward 1 Ranger Station. The GPS location: 9.30401667 N; 105.982906 E (is scheduled for relocation from Ward 1 Ranger Station to Vinh Phuoc Ward's campus)	1	
		Lac Hoa Commune	Land designated for administrative or institutional purposes (đất trụ sở)	People's Committee of Lac Hoa commune. The GPS location: 9.35410278 N; 106.058039 E	1	
<b>Total Hydrological stations</b>					<b>20</b>	

Table 4 Proposed locations for the installation of HMEWS 4. (\*) Hydrological station

<sup>4</sup> The locations can be updated due to technical reasons and consultations with communities

Activity codes	Activities	Location	Notes
1212.4	Waste collection points to reduce plastic pollution from fisheries	To be determined	The locations of waste collection points will be updated after consultations with local communities
1311	Support on the Establishment and Management of Marine NRs	Bac Hai Van, Phu Loc district, Hue City Quy Nhon Bay, Binh Dinh province Lang Co township, Phu Loc district, Hue City Nhon Ly, Nhon Hai, Nhon Chau, Ghenh Rang communes, Quy Nhon City, Binh Dinh province	The scope of MPAs and area of coral reef restoration
1312.3	Coral reefs restoration		
1321.4, 1322.3, 1322.4	Mangrove plantation/rehabilitation	Phu Dien, Vinh Ha, Vinh Xuan, Phu Gia, Phu Xuan, Phu Thuan, Phu Hai, Vinh An, Vinh Thanh, Phu Da communes, Phu Vang district, Hue City	Tentatively 67 hectares for new planting 40,000 trees for scattered planting
		Phuoc Son and Phuoc Thang communes of Tuy Phuoc district; My Cat, My Chanh and My Thanh communes of Phu My district; Cat Khanh and Cat Minh communes of Phu Cat district; Hoai My and Hoai Hai communes of Hoai Nhon district – Binh Dinh province	Estimated number of 50,000 trees for scattered planting
		An Thanh Nam and An Thanh 3 communes, Cu Lao Dung district, Vinh Hai, Vinh Phuoc, Ward 1, Ward 2, Lac Hoa, Vinh Tan, Lai Hoa communes, Vinh Chau town of Soc Trang province	Tentatively 327 hectares (50 ha of new planting; 277 ha of assisted natural regeneration) 160,000 trees for scattered planting
		Establishment of a garden with mangrove species and original ortets in Vinh Hai commune, Vinh Chau town, Soc Trang province	

Table 5 Proposed locations for waste collection points, MPA and mangrove rehabilitation

As mentioned above, as of the 1<sup>st</sup> of July 2025, the district-level administration will be removed, and a large number of provinces and communes will be merged across the country. In addition, the various contractors are conducting further consultations with local communities and authorities to confirm the locations of HMEWS, waste collection points, scope and boundaries of the MPAs and sites for mangrove rehabilitation in order to respond to local communities' needs. Any changes to the locations of these interventions will be updated in the next version of this ESMP.



*Demo version of HMEWS (meteorological station)*



*Demo version of HMEWS (hydrological station)*



*Site for MPA establishment and management*



*Recyclable waste collection point*



*Mangrove rehabilitation site*



*Mangrove garden*

*Table 6 Illustrations of interventions covered in this ESMP*

## **2.2. Environmental/social risks and mitigation measures for the targeted interventions**

Table 7 below lists the risks identified for the targeted interventions as mentioned above. This table can be used as a reference to assist project team members in identifying additional risks that may apply to specific sites.

Environmental / Social Aspect	Risk/Impact	Mitigation Strategy	Action timing	Risk Probability	Responsibility	Tools	Notes
<b>Installation of HMEWS (Activity code: 1111.1)</b>							
Equipment for installation	Damage to local environment (e.g., deforestation, soil erosion)	Conduct rapid assessments before installation and select low-impact sites  Minimize area required for installation in the design (around 1m <sup>2</sup> /HMEWS)	Pre-installation phase	Low	Project management team, Component 1's expert, Contractors	Site inspections, local consultations, rapid assessment reports. minutes  Using checklist in Annex III	The HMEWS will be installed on public land at a considerable distance to forests/nature reserves. The likelihood of this risk is low.
Limited availability of land for installation	The systems/stations aren't fully installed and failed to deliver benefits to beneficiaries	Organise meetings with local authorities and local communities to get commitments on land allocation in writing	Pre-installation phase	Medium	PMUs, contractors	Site inspections, meeting minutes, agreement from authorities  Checklist in Annex III	
Community engagement	System malfunction due to harsh weather or technical issues leads to distrust to users	Regular maintenance schedule, backup power solutions	Post-installation phase	Low	Contractor	Maintenance logs, performance reports	
Community engagement	Errors in data collection affecting early warning effectiveness, causing distrust of users	Regular system checks	Post-installation phase	Low	Contractor, PMUs	Verification reports	

Environmental / Social Aspect	Risk/Impact	Mitigation Strategy	Action timing	Risk Probability	Responsibility	Tools	Notes
Insufficient participation of women in operation of the system	Limited and inactive participants of women in receiving and sharing information/messages, which makes the project activities not gender-responsive and do not deliver benefits to women	Regular monitoring (on site and online communication)  Establish or form the commune's WLO (CIGs) with at least 60 percent of CIG's members being female.  Ensure at least 40% female participations in early warning system committees	Post-installation phase	Low-Medium	PMUs	Meeting minutes/notes	
Community engagement	Marginalized groups cannot access agro-climate data due to lack of necessary equipment (e.g., smartphones) and connection services or information is not delivered in proper cultural-appropriate language, reduce the effectiveness of HMEWS installation	Identify champions in these groups for usage of information and galvanize to other members  Consult with representatives of marginalized groups on the means to disseminate information and data  Create diversification of HMEWS information channels/delivery (e.g. Village's Zalo <sup>5</sup> groups, commune's Loudspeakers, Commune's Facebook page, regular meetings from commune and mass	Post-installation phase	Medium	PMUs	Public consultations	

<sup>5</sup> Instant messaging app popular in Viet Nam

Environmental / Social Aspect	Risk/Impact	Mitigation Strategy	Action timing	Risk Probability	Responsibility	Tools	Notes
		<p>organizations; Zalo groups of producer groups)</p> <p>Trainings on the usage of agro-climate data will be conducted in a gender-responsive manner emphasizing the unique knowledge and contributions of women</p>					
Security	There is a risk that the HMEWS may be damaged or that certain technical components may be stolen due to inadequate security measures.	<p>Conduct widespread awareness campaigns within local communities to emphasize the importance of the HMEWS installation and encourage active community-based monitoring.</p> <p>Require contractors to incorporate anti-theft and security features into the system design and installation.</p> <p>Develop and implement a formal handover plan to the local community, including a documented commitment from the Commune People's Committee to ensure the security and protection of the HMEWS.</p>	Post-installation phase	Medium	Communes' people's committees, local communities, contractors	Public consultation Hand-over note	

Environmental / Social Aspect	Risk/Impact	Mitigation Strategy	Action timing	Risk Probability	Responsibility	Tools	Notes
Natural disaster	The HMEWS may be damaged due to the risk of both flash and seasonal flooding, given the historical frequency of such events at project sites.	<p>Conduct comprehensive site selection surveys, including historical flood analysis and risk assessments.</p> <p>Engage in consultations with local communities and relevant authorities to ensure selected HMEWS locations are strategically positioned to minimize exposure to flash and seasonal flooding.</p>	Post-installation phase	Medium	Experts, contractors, PMUs	Site selection survey	
<b>Operation of plastic waste collection points from the fisheries sector implemented by women-led Informal Waste Workers (IWW) cooperatives/groups (Activity 1212.4) implemented by women-led Informal Waste Workers (IWW) cooperatives/groups (Activity 1212.4)</b>							
Occupational Health & Safety	Exposure to hazardous waste, sharp objects, and contaminated plastics may lead to health issues and injuries	Provide personal protective equipment (PPE), conduct safety training, and establish proper waste handling procedures	Before and during operations	Medium	Project team, Component 2's manager, IWW group leaders	PPE distribution, training materials, waste handling guidelines	
Environmental Pollution	Improper waste sorting and disposal may lead to secondary pollution (e.g., microplastics, leakage)	<p>Establish partnerships with recycling facilities</p> <p>Community monitoring on waste disposal</p>	During operations	Medium	PMUs, IWW groups, local authorities	Waste management guidelines, partnerships with recyclers	

Environmental / Social Aspect	Risk/Impact	Mitigation Strategy	Action timing	Risk Probability	Responsibility	Tools	Notes
		Apply international standards (ISO 24161) and nation standards (Decision 1746) on waste management  Ensure recycling facilities are licensed					
Community Acceptance	Potential resistance from local communities due to waste collection activities in their areas	Community awareness campaigns and engagement meetings to explain benefits and conducted in a gender-responsive manner	Before and during operations	Low	Project team, local government	Consultation, grievance mechanism	
Land use conflict	There might be conflict on the land designated for the locations of plastic waste collection points.	Conduct consultation with local communities, authorities and members of fisheries association  Get written consent of all stakeholders and confirmation of authorities on the locations designated for plastic waste collection points	Before operations	Medium	Project team, local government	Consultation, grievance mechanism	
<b>Support on the Establishment and Management of MPA (Activity codes: 1311.1; 1311.2; 1311.4; 1311.6)</b>							
Economic displacement	Displacement of local communities	Conduct consultation following FPIC principles  Social assessment of the impacts of MPA establishment	Planning phase	Medium	UNDP, PMUs, local government, social experts	Consultations following Free, Prior and Informed Consent (FPIC) principle,	It is confirmed that there will be no physical displacement from the project's

Environmental / Social Aspect	Risk/Impact	Mitigation Strategy	Action timing	Risk Probability	Responsibility	Tools	Notes
		to the access to resources of communities  Develop alternative livelihood programs, involve local communities in co-management				community feedback	interventions. The economic displacement, if any, will be rigorously assessed and consulted following FPIC. Alternative livelihoods will be proposed and consulted with communities.
Enforcement challenges	Illegal fishing, deforestation, or encroachment	Strengthen patrolling and enforcement mechanisms	Implementation phase	Medium	Forest Protection Groups  Forest owners  Commune authorities	Monitoring report	
Community conflicts	Local communities have limited access to the newly established marine nature reserves, which will lead to the loss of income to the local communities	Apply participatory and inclusive processes based on the FPIC approach to ensure that the rights and well-being of local communities, especially of ethnic minorities, women and other vulnerable groups, are properly accounted for before the establishment Design and implement benefit-sharing models	Planning and implementation phase	Medium	UNDP, 4 PMUs, DAEs, contractors	Stakeholder meetings  Grievance records	

Environmental / Social Aspect	Risk/Impact	Mitigation Strategy	Action timing	Risk Probability	Responsibility	Tools	Notes
		Promote the usage of Grievance Redress Mechanism					
Women Empowerment	Limited and inactive participants of women in receiving and sharing information/messages	Regular monitoring Implement GEWE plan Ensure the number of women in consultation and implementation of interventions and highlight the unique knowledge and contributions of women in rural area Ensuring the messages/information are in local (ethnic minorities) languages and in diverse use of visual, audio and format (dedicated Zalo's groups, commune's loudspeaker, project's leaflets) such as Khmer where appropriate	Implementation phase	Low	PMUs	Records of GRM	
<b>Mangrove forest plantation and rehabilitation and coral reefs restoration (Activity codes 1312.3; 1321.4; 1322.3; 1322.4)</b>							
Survival rate of planted seedlings/restored coral reefs	Low survival due to water salinity, erosion, quality of seedlings, technical application or pests causing reputation risks  Over-exploitation/encroachment to regenerated/planted area	Site selection survey involving ecological assessments, baseline surveys, and consultations with marine experts and local stakeholders to ensure that only degraded yet ecologically viable sites are chosen for intervention  Develop selection criteria following technical guidelines	Planting and maintenance phase	Medium	PMUs, DAEs, forest owners, contractors, local communities	Growth monitoring, survival rate assessments	

Environmental / Social Aspect	Risk/Impact	Mitigation Strategy	Action timing	Risk Probability	Responsibility	Tools	Notes
	Adopt malpractices to coral reefs plantation	<p>Use native, salt-tolerant species, implement erosion control measures</p> <p>Implement community-based mangrove forest conservation plans</p> <p>Comply to Standard Operating Procedures (SOP) on mangrove and coral planting and maintenance</p>					
Land use conflicts	Resistance from landowners, competing land uses	<p>Get commitments from local government and communities on the designed land for plantation and rehabilitation in written form</p> <p>Verification with local government on areas designated for mangrove and coral reefs restoration</p>	Planning phase	Medium	PMUs, local authorities, communities	Grievance records	
Land use change	<p>Limited availability of land for mangrove plantation and rehabilitation</p> <p>Changes in designated areas for coral reefs restoration</p>	<p>Organise meetings with local authorities and local communities to get commitments on land for mangrove plantation in writing</p> <p>Confirmation from local government on designated areas for coral reefs restoration</p>	Planning and implementation phases	Medium	PMUs	<p>Meeting minutes/notes</p> <p>Decision from provincial authorities</p>	

Environmental / Social Aspect	Risk/Impact	Mitigation Strategy	Action timing	Risk Probability	Responsibility	Tools	Notes
Impacts to livelihoods	Temporary loss or restricted access to fishing activities due to mangrove and coral restoration activities	Conduct Livelihood Assessment Identify affected users and provide transitional livelihood support as per recommendations of Livelihood Assessment Promote alternative livelihoods (e.g., aquaculture) Establish women's livelihood groups	Planning and implementation phases	Medium	PMUs, contractors	Livelihood Assessment	
Climate change	Mangrove planted/rehabilitated under the project will be damaged from the impacts of extreme weather conditions and slow-onset events	Follow site-specific implementation SOPs and best practices	Planting and maintenance phase	Medium	PMUs, contractors, forest owners including communities, women-led organizations	Spot checks, monitoring reports	
Community engagement	Lack of community, in particular, women involvement in plantation and maintenance	Organize capacity-building and awareness programs that suitable to women and target women and ethnic groups  Offering childcare support, organizing separate sessions for women when appropriate during consultation/dissemination sessions  Interpretation is ensured where appropriate	Planning and implementation phases	Medium	PMUs, contractors	Attendance records, participation feedback	

Environmental / Social Aspect	Risk/Impact	Mitigation Strategy	Action timing	Risk Probability	Responsibility	Tools	Notes
Natural disaster and slow-onset events	There is a risk that project-planted or rehabilitated mangroves may be damaged due to extreme weather events and slow-onset climate impacts, potentially reducing their long-term survival and the effectiveness of coastal protection efforts.	<p>Implement a 5-year tending plan for planted mangroves, including repositioning support sticks and seedlings, removing waste and duckweed, and replanting dead trees.</p> <p>Apply natural assisted rehabilitation techniques with supplementary planting, in line with national guidelines.</p> <p>Ensure all activities comply with technical standards and guidelines outlined in Circulars No. 17/2022/TT-BNNPTNT, 21/2023/TT-BNNPTNT, and 24/2024/TT-BNNPTNT, with requirements integrated into bidding documents approved by DAE/PPC.</p> <p>Require verification and acceptance of plantation work by the three PMUs in accordance with TCVN 12509-3:2018 before official handover to DAE.</p>	Implementation and maintenance phase	Medium	PMUs, contractors	Field visit reports	
Gender equality	Lack of women's participation and leadership may increase the work burden on	GEWE guiding principles on gender transforming, do no harm, and accountabilities,	Implementation phase	Medium	PMUs, communities	Monitoring reports on implementation	

Environmental / Social Aspect	Risk/Impact	Mitigation Strategy	Action timing	Risk Probability	Responsibility	Tools	Notes
	women; or domestic violence against women and girls; or harassment and abuse of women and children in working place or collective groups	solutions to address potential risks GEWE focal point will support early detection of emerging risks Ensure at least 40% female participation in forest and mangrove co-management boards				of GEWE Action Plan  Meeting minutes/notes	
Pollution	Mangrove new planting in mudflats may release sediments and acid sulfates that could free iron, aluminum, and other heavy metals (particularly arsenic).	Site screening – community consultations to identify locations for mangrove rehabilitation with reference to land-use planning, historical land classification and proximity to sensitive area  Field assessments/hydrological assessments: sediment testing to detect acid sulfate soils and existing contamination and cover risk assessments of changes to wetland characteristics, water level and hydrological metrics, and potential changes in sediment, nutrient and/or contaminant concentrations  Technical designs of mangrove rehabilitation plots taken into	Planning phase	Low	Contractors, forestry experts, PMUs	Field assessment Laboratory analysis Report	

Environmental / Social Aspect	Risk/Impact	Mitigation Strategy	Action timing	Risk Probability	Responsibility	Tools	Notes
		account the findings from site screening/field assessments  Engage mangrove experts throughout the cycle					
<b>Communities of Practice (CoPs) to promote Nature-based climate solutions (NBCS) and gender equality in eco-tourism (1222)</b>							
Gender inclusion	Women's voices may be underrepresented in CoPs' planning and decision-making	Ensure women's participation quotas and provide training on gender equality for all CoP members	During CoP formation	Low	PMUs, gender experts	Meeting minutes	
Community engagement	Low community interest or participation in NBCS-focused CoPs	Conduct awareness-raising campaigns and show local benefits of NBCS and eco-tourism  Interpretation is ensured where appropriate  Ensure participation of women in COPs	Project cycle	Medium	PMUs, local authorities	Community consultation minutes	
Environmental degradation	Eco-tourism activities led by CoPs may cause harm to sensitive ecosystems	Develop and enforce environmental guidelines for tourism, train CoP members as eco-guides, and monitor tourist behavior	Project cycle	Medium	PMUs, local authorities	Monitoring checklist	

Table 7 Risk identification and mitigation measures

### 3. Implementation and operation

#### 3.1. Responsibilities of stakeholders

PMUs will be responsible for monitoring the overall subproject implementation, including environmental compliance of the subproject. PMUs have the final responsibility for ESMP implementation and environmental performance of these targeted interventions. Specifically, as below:

- a) Closely coordinate with local authorities in the participation of the community during preparation and implementation.
- b) Implement, monitor and supervise ESMP implementation
- c) Ensure that an environmental management system is set up and functions properly.
- h) In charge of reporting on social and environmental issues to relevant authorities (e.g., Commune Peoples Committees, Department of Agriculture and Environment)
- d) Obtain environmental permission if required in accordance with national laws and regulations.

**Contractors and consultants/experts** will be responsible for providing oversight of local communities in co-implementation activities as follows:

##### *Installation of Hydro-Meteorological and Early Warning Systems (HMEWS)*

- a) Compliance with environmental regulations: Ensure that installation activities do not cause environmental damage (e.g., avoid deforestation, soil erosion).
- b) Proper equipment handling and installation: Follow technical guidelines to avoid system malfunctions.
- c) Health and safety measures: Ensure worker safety and follow occupational health protocols.
- d) Waste management: Properly dispose of construction waste, including electronic components.
- e) Coordination with local authorities: Obtain necessary permits before installation.

##### *Support on the Establishment and Management of Marine Protected Area*

- a) Adherence to conservation guidelines: Avoid disturbing natural habitats and marine ecosystems.
- b) Follow all requirements as set out in Law on Fisheries 2017 on establishing and managing MPAs
- c) Minimizing community disruptions: Coordinate with local communities to avoid conflicts.
- d) Identify the need to conduct an Environmental Impact Assessment (EIA) (if required)
- e) Conduct necessary assessments on the potential impact of MPAs to traditional livelihoods and access to resources of local communities

##### *Mangrove Forest Plantation and Rehabilitation*

- i) Proper site preparation: Avoid excessive clearing, follow the technical requirements and refer to the best practices for land preparation.
- j) Solutions if evidence on ASS appearance
- k) Planting: Follow the technical requirements for species selection, planting techniques and methods.
- l) Maintenance and monitoring: Conduct regular inspections to ensure survival rates and tree growth.
- m) Avoidance of pollution: Prevent plastic waste, or harmful chemicals from affecting the sites.
- n) Engagement with local communities: Support local employment opportunities, capacity-building initiatives, labor working conditions etc.

**Local communities:** According to Vietnamese practices, the community has the rights and responsibility to routinely monitor environmental performance during construction to ensure that their rights and safety are adequately protected and that the mitigation measures are effectively implemented by contractors and the PMUs. If unexpected problems occur, they will report to the PMUs and make use of the existing Grievance Redress Mechanism (GRM).

## 3.2. Monitoring, evaluation and reporting

### 3.2.1. Monitoring and reporting

The following monitoring regarding this ESMP is presented as below:

No.	Actions	Frequency	Reporting tools - Responsible
1	Field visits and spot checks to monitor the compliance to SES standards	Per mission	Back to office reports (BTORs) – PMUs
2	Number of cases recorded through Grievance Redress Mechanism (GRM) and status	Bi-weekly	Bi-weekly reports - PMUs
3	Oversight monitoring mission	Quarterly	BTORs – environmental expert of UNDP
4	Summary of SES compliance status	Quarterly/annually	Incorporated in quarterly reports submitted by PMUs to UNDP Annual reports prepared by UNDP submitted to GAC
5	Monitor the degree of female participation and women's leadership	Quarterly	Monitoring reports (ensuring 60% of women in CIGs, 40% of female participants in decision-making bodies and consultations)

Table 8 ESMP's monitoring and reporting schedule

### 3.2.2. Environmental incident reporting

Any incidents, including non-conformances to the procedures of the ESMP are to be recorded using an Incident Record and the details entered into a register. Any incidents that cause or have the potential to cause material or serious environmental harm, should be notified to the Project Manager as soon as possible. The contractor must cease work until the remediation measures have been completed as per the approval of the PMUs. Corrective actions should be taken immediately.

### 3.2.3. Cost estimates

The estimated cost for implementing this ESMP is presented in the following table:

Activities	Funding sources	Estimated costs
Mitigation measures by the contractor during installation	Part of contract	Included in the financial proposal of the contractor
Recruit an environmental expert or use in-house experts	Per assigned budget item	USD 60,000
Environmental monitoring for the entire project implementation	Part of the project management cost of the projects	USD 30,000
Contingency budget for investigating / resolving issues	Per assigned budget item	USD 10,000
<b>Total</b>		USD 100,000 allocated (and other budget incorporated into contracts, agreements and activities)

Table 9 Cost estimates for ESMP implementation

## 4. Grievance Redress Mechanism

UNDP's SES recognizes that even with strong planning and stakeholder engagement, unanticipated issues can still arise. Therefore, the SES are underpinned by an Accountability Mechanism with two key components:

- A Social and Environmental Compliance Review Unit (SECU) to respond to claims that UNDP is not in compliance with applicable environmental and social policies; with information here <http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm/>
- A Stakeholder Response Mechanism (SRM) that ensures individuals, people, and communities affected by projects have access to appropriate grievance resolution procedures for hearing and addressing project-related complaints and disputes. Information on SRM of UNDP in Viet Nam can be found here <https://www.undp.org/vietnam/stakeholder-response-mechanism>

The project management team will set up a project-level Grievance Redress Mechanism (GRM) and disclose it to stakeholders and local communities. The Terms of Reference (TOR) of VN-CSCC's project-level GRM is included in Annex VI.

The members of Project Management Units (PMUs) will support and be responsible for the implementation of GRM at the field level. VN-CSCC project contacts at PMUs are provided in the following table<sup>6</sup>:

No.	Name	Position	Tel	Email
<b>I</b>	<b>PMU Hue</b>			
1	Nguyen Phuoc Tho	Deputy Director	0905665735	nptho151172@gmail.com
2	Hoang Thai Long	Member	0945083352	hoangthailong2002@gmail.com
<b>II</b>	<b>PMU Binh Dinh</b>			
1	Ho Quoc Tuan	Technical consultant	0973036189	tuan.hoquoc@gmail.com
2	Tran Van Vinh	Deputy Director	0913440647	vanvinhbvnl@gmail.com
<b>III</b>	<b>PMU Soc Trang</b>			
1	Nguyen Duc Hoang	Technical consultant	0919371495	duchoangvl@gmail.com
2	Nguyen Thi Hong Diep	Deputy Director	0945557985	hongdieplovely@gmail.com
<b>IV</b>	<b>PMU Department of Fisheries and Surveillance (DFiS)</b>			
1	Hoang Duong	Technical consultant	0389984580	hoangduong6688@gmail.com

## 5. Ethnic minorities

For this ESMP and in all related safeguards documents of the project, the term 'ethnic minority' (EM) is used and can be interpreted to mean 'indigenous people' in reference to project-related items and the Vietnamese context. A separated Ethnic Minority Plan (EMP) was prepared and attached in Annex I of this document.

<sup>6</sup> Will be updated if relevant.

## ANNEXES

### ANNEX I – ETHNIC MINORITIES PLAN (EMP)

#### I. Background

In this Ethnic Minorities Plan (EMP) and in all related safeguards documents of the project, the term ‘ethnic minority’ (EM) is used and can be understood as ‘indigenous people’.

As a result of initial screening and consultations, the Hoa and the Khmer are the two ethnic minorities – in addition to the Kinh, the majority group – with presence in project areas in Soc Trang province (Tran De and Cu Lao Dung districts). To date, no ethnic minorities groups are recorded in the project sites in Hue City and Binh Dinh province.

The Hoa people, also known as ethnic Chinese in Vietnam, are a significant minority group with a history of immigration to the country. They have a rich cultural heritage, including distinct customs, traditions, and languages. The Hoa people are the fourth largest ethnic minority in Vietnam. Many Hoa people have been involved in commercial and business activities and account for 5.22% of the population in Soc Trang. The Hoa people speak various Chinese dialects, including Mandarin, Cantonese, Teochow, Hakka, apart from Vietnamese.

The Khmer people are an indigenous ethnic minority group in Vietnam, primarily residing in the Mekong Delta region. They are one of the 54 ethnic groups recognized in Vietnam. The Khmer Krom, or "Khmer from Below," are the specific designation for the Khmer people within the Mekong Delta. Their language is Khmer, a Mon-Khmer language. They are often organized into hamlets (“phum”) and villages (“soc”). In the project areas, the Khmer often relies on farming and fishing for livelihoods and account for 30.19% of the local population.

In terms of language, initial screening shows that both Hoa and Khmer in the project areas are fluent in verbal Vietnamese. However, consultations with a Khmer group on 28 March 2025 indicate that approximately 40% of them, especially older women, are not fluent in written Vietnamese, while most of them can read and understand Vietnamese, with the exception of illiterate people. The potential of engaging Khmer people in project implementation is higher than Hoa people as the Hoa group – in the project area – mostly engage in small commercial and business activities.

#### II. Summary of substantive rights and legal framework

##### *National legislation, policies and regulations*

The rights of all ethnic groups are recognized in the Constitution of Viet Nam (2013).

The Civil Code (2014) provides basic protection of rights of different ethnic groups, including the right of each person to identification and re-identification of their ethnicity. Following the Article 7 of the Civil code, the law ensures the preservation of national identities, respect and promoting good customs, practices and traditions, solidarity, mutual support and cooperation, the principle of every individual for the community and the community for every individual, and the noble ethical values of ethnicities living together on Vietnamese soil.

Viet Nam is a signatory to the UN Declaration on the Rights of Indigenous Peoples (UNDRIP, 2007). Viet Nam is also Party to the Conference of the Parties (COP) to the United Nations Framework Convention on Climate Change (UNFCCC). The preamble section of the Paris Agreement upholds the respect of human rights, including Indigenous People’s rights, gender rights and intergenerational equity that must be considered in climate and development justice discussions. The Paris Agreement also

highlights the need for integration of Indigenous People's knowledge systems in all adaptation plans and actions.

Vietnam's overall policy and legal framework of pays special attention to ethnic minorities and local communities to promote access to basic human rights and services to support economic development and poverty reduction, including:

- (i) Resolution No.88/2019/QH14 dated November 18, 2019, of the 14th Session of the National Assembly approving the national Master Plan on Socio-Economic Development of Ethnic Minorities and Mountainous Areas, 2021-2030, which unifies Government policies with a focus on poverty reduction, socio-economic development, gender equality and narrowing the gap in living standards between ethnic groups.
- (ii) Resolution No. 12/NQ-CP dated February 15, 2020, of the Government on the implementation of the National Assembly's Resolution No. 88/2019/QH14 dated November 18, 2019, approving the Master Plan on socio-economic development of ethnic minority and mountainous areas for the 2021-2030 period.
- (iii) Decision No. 1719/QĐ-TTg dated October 14, 2021, of the Prime Minister on approving the national target program for socio-economic development in ethnic minority and mountainous areas for the period 2021-2030. Phase I from 2021-2025.
- (iv) Decision No. 1557/QĐ-TTg dated September 10, 2015 of the Prime Minister approving indicators for implementation of accelerating the Millennium Development Goals for ethnic minorities and linked to Sustainable Development Goals after 2015, which integrates and combines ethnic minority development indicators with the MDGs and and the SDGs after 2015; integrates ethnic minority development indicators into mid-term socio-economic development plans and the workplans of each line ministry, sector and locality; and combines different resources for ethnic minority development and participation in socio-economic development process.
- (v) Decision No. 2356/QĐ-TTg of 12 April 2013 on action program to implement the Master Plan for the ethnic minority development in mountainous areas by 2020.
- (vi) Decision No. 187/QĐ-UBND dated on 1 April 2024 from Committee for Ethnic Minority Affairs on legal assistance system to ethnic minorities

The Government's Committee for Ethnic Minority Affairs (CEMA) is a ministerial-level agency responsible for nationwide state management of ethnic minority affairs, working with MARD and other ministries on their respective sectors. Government Decree No. 13/ND-CP dated February 10, 2017 defines the functions, tasks, powers and organizational structure of CEMA.

The Ethnic Minority Working Group co-chaired by UNDP and Australian Embassy provides a platform for Development Partners to work with CEMA and other ministries, social organizations and other stakeholders to enhance effectiveness of interventions supporting ethnic minority communities.

As specified in Circular No. 01/TT-UBND dated 01 November 2021 of CEMA, the Provincial-level Ethnic Minority Committees are responsible to prepare ethnic minority development plans, programmes and measures on ethnic affairs within the locality for approval by the Provincial/City People's Committee, and to organize the implementation of policies, programs, projects, schemes and pilot models of investment in socio-economic development, and support to stabilize the lives of ethnic minorities.

Provincial-level Ethnic Minority Committees are responsible for delegating state management tasks on ethnic minority affairs and providing guidance to the district-level Ethnic Minority Affairs Office and the Commune People's Committee.

Provincial-level Ethnic Minority Committees are also responsible for organizing the reception, visit and settlement of aspirations of the ethnic minorities according to the regimes, policies and provisions of law; periodically advise on organizing the district congress of representatives of ethnic minorities under the guidance of the provincial People's Committee; commending and proposing competent authorities to reward outstanding typical collectives and individuals: in ethnic work, implementing ethnic minority-related policies (e.g. workforce generation, hunger eradication and poverty alleviation); preserving and promoting national cultural identity; maintaining security and contributing to socio-economic development.

### ***UNDP Social and Environmental Standards***

UNDP's SES, and Project Level Standard 6: Indigenous Peoples provides guidance to ensure the full, effective and meaningful participation of indigenous peoples in a manner which aligns with their distinct vision and development priorities, building sustainable partnerships with indigenous peoples as companions in development and conservation efforts.

Through the implementation of Standard 6, UNDP aims to avoid adverse impacts on indigenous peoples, their rights, lands, territories, and resources; mitigate and remedy impacts that cannot be avoided; support countries to implement human rights obligations; and ensure equitable and culturally appropriate benefit sharing with indigenous peoples. This EMP is prepared in line with the Guidance Note on UNDP's SES Standard 6 and UNDP SES.

### **III. Potential impacts on EMs and mitigation measures**

<b>Intervention areas</b>	<b>Potential positive impacts</b>	<b>Potential negative impacts</b>
Installation of HMEWS	<ul style="list-style-type: none"> <li>- Improved access to early warnings for natural disasters, reducing vulnerability and loss of life among ethnic communities, risks of cultivation of agriculture-fishery</li> <li>- Strengthened disaster preparedness at the community level.</li> <li>- According to results of local stakeholders' consultations in Project's provinces from 9-18 April, 2025, hydrological and meteorological information from Project 's HMEWS is easy to reach for daily living, cultivators (beneficiaries) of agriculture, fishery, and agroforestry (cultivation of shrimp and fish) under the canopy of mangrove forests) through bundles of channels (e.g. Zalo groups and commune loudspeakers, CPC, mass organizations' regular meetings, etc. In one village, about 70-80 percent of households are using Zalo and remaining of 20-30 percent of households in the commune will access Hydrometer information via other means, such as loudspeakers, meetings, Facebook, etc.</li> </ul>	<ul style="list-style-type: none"> <li>- If not culturally and linguistically inclusive, warnings may not be understood or trusted by ethnic minorities.</li> <li>- Risk of exclusion if communities are in remote areas not covered.</li> </ul>
Set up waste collection points	<ul style="list-style-type: none"> <li>- Cleaner living environment, improved health outcomes.</li> <li>- Opportunity for community engagement or employment in waste management services.</li> </ul>	<ul style="list-style-type: none"> <li>- Waste sites located too close to ethnic minority villages may raise environmental or cultural concerns.</li> </ul>

Intervention areas	Potential positive impacts	Potential negative impacts
		- Risk of land use conflict if not properly consulted.
Set- up and operation of Marine Protected Area	- Protection of marine biodiversity supports long-term fishing sustainability. - Potential for eco-tourism or community-based conservation employment.	- Restricted access to traditional fishing or harvesting grounds may negatively affect livelihoods of ethnic minorities who rely on marine resources. - Temporary loss or restricted access to fishing
Mangrove planting and rehabilitation	- Improved coastal protection from storms and erosion. - Long-term benefits for fisheries and biodiversity relied upon by ethnic groups.	- Short-term restriction of land or water access during planting may impact traditional uses. - Involuntary relocation risk if not participatory.
Coral reefs restoration	- Healthier reef ecosystems support sustainable fishing and eco-tourism. - Opportunity for training and income in restoration activities.	- Access to fishing grounds may be restricted. - Potential exclusion from participation in restoration activities if no culturally sensitive outreach is done.
Ecotourism	- Diversified and sustainable livelihoods for local communities, especially women and ethnic minorities. - Strengthened cultural identity and preservation through community-led tourism showcasing local heritage, crafts, and traditions.	Unequal access to economic opportunities if women or ethnic minority groups are not adequately supported or consulted.

Given the aforementioned potential impacts, the following recommendations are made to ensure the negative impacts can be avoided and mitigated and the positive impacts can be amplified:

- Conducting inclusive and participatory consultations with EM communities prior to the commencement of activities; applying the Free, Prior, and Informed Consent (FPIC) process where applicable.
- Consultations must be culturally appropriate, gender-sensitive, and facilitated in local languages or dialects to ensure informed participation.
- Collecting and documenting relevant information on EM communities' cultural values, practices, resource use patterns, and traditional knowledge through baseline assessments or social mapping.
- Integrating EM traditions and knowledge systems into the design and implementation of project interventions, particularly in areas like resource management, conservation, and community-based disaster risk management.
- Ensuring that project staff, design firms, contractors, service providers, and training institutions receive orientation and training on EM traditions, social norms, and cultural sensitivities.
- Requiring service providers to develop and implement EM-sensitive plans or guidelines to respect and accommodate these cultural dimensions.
- Disseminating project information and decisions in languages and formats appropriate to the EM communities (e.g., visual materials, community radio, local facilitators).
- Using traditional communication channels or community elders/leaders where appropriate to enhance understanding and trust.
- Designing project interventions to ensure equitable access and participation of EM communities, especially in livelihood support, training, employment, and ecosystem services with special attention to language, customs and gender dynamics.
- Tailoring benefit-sharing schemes to cultural and livelihood needs of EM communities.
- Supporting leadership roles for EM, including women, to enhance ownership and sustainability of interventions.
- Ensuring that EM are explicitly identified and targeted as beneficiaries in project planning and reporting.

#### IV. Appropriate benefits

Areas	Benefits
Livelihood enhancement and alternative Incomes	<p><b>Employment opportunities</b> during project implementation (e.g., in mangrove planting, coral reef restoration).</p> <p>Support for <b>sustainable livelihoods</b> such as eco-tourism, community-based fisheries, or organic aquaculture.</p> <p>Capacity building and providing inputs to diversify <b>income sources</b></p>
Capacity building tailored to EM needs	Capacity building for <b>EM women</b> , helping them participate in local governance or project committees.
Access to services	<p><b>Equitable access to early warning systems (HMEWS)</b>– with culturally adapted alerts.</p> <p><b>Improved environmental services</b> in EM areas – such as waste collection, sanitation, or clean water systems.</p>
Land and resource rights safeguarded	<p>Clear assurances that the project <b>respects EM traditional resource use</b>, access to sacred sites, and customary lands.</p> <p><b>Co-management of protected areas</b>, where EM communities are involved in managing and monitoring, and benefiting from natural resources.</p>
Cultural preservation and respect	Activities designed to <b>respect and preserve cultural practices</b> , rituals, and knowledge (e.g., traditional fishing methods or sacred ecosystems).

#### V. Capacity support

Timing	Activities	Responsible	Tools
June 2025	Develop messages on project information in Khmer language/project's leaflets in Khmer language	Soc Trang PMU, UNDP	<p>Messages in Khmer to be disseminated on loudspeaker and via existing community structures e.g. local chapters of Women's Unions, Youth Unions</p> <p>Leaflets available in both Kinh and Khmer</p> <p>Develop critical project messages in local languages</p>
December 2025	Guide the formulation of interest groups with EM cultural-sensitive approach	Soc Trang PMU, UNDP	<p>Indigenous Peoples Plan (IPP)</p> <p>Rapid assessments on cultural-sensitive topics before intervention's design</p>
During project cycle	Monitor the operation of EM culturally sensitive GRM	Soc Trang PMU, UNDP	GRM

#### VI. Grievance Redress

The GRM established by the project, as mentioned in Section 4 of the ESMP, will be employed. The GRM will be set up to address the needs of different EM groups.

## VII. Institutional Arrangements

Key project stakeholders are listed as follows:

- Project Steering Committee: provide overall supervision.
- PMUs (under provincial DAE): provide overall project management in project locations. The implementation of this IPP is given to the SES focal point of PMUs.
- Commune People’s Committee: this IPP will be implemented accordingly by a Vice Chairman/Chairwoman of CPC, agriculture extension officer, cadastral officer.
- Community level: the village heads and community leaders/representatives will act as focal point to represent EM communities to implement this IPP and reflect the needs of EM communities.
- UNDP: oversight through VN-CSCC team.

## VIII. Monitoring and reporting

Activities	Responsible	Means of verification
GRM operation EM groups aware of the existence, operation and access to GRM (informed via poster in community halls, loudspeakers)	PMUs, Social expert (Individual contractor), UNDP	Dissemination activities and public consultation
Stakeholder’s Engagement Local authorities, village heads and community leaders actively participate in identifying and addressing issues and concerns of the EM communities.	PMU, Social expert, UNDP	Debriefing meeting
Public consultation In prior to implement activities on mangrove planting and rehabilitation, HMEWS and waste collection	PMU, Social expert, UNDP	Consultation, signed meeting minutes

## IX. Budget and Financing

An estimated cost of 50,000 USD will be allocated to implement this IPP via mobilizing experts, conducting consultations and dissemination of information to EM groups. Further breakdown of the budget will be done at a later stage.

## ANNEX II: VN-CSCC SESP

## ANNEX III: ENVIRONMENTAL MONITORING CHECKLIST FOR INSTALLATION OF HMEWS

Item	Yes / No	Notes / Measures Taken
<b>Dust Control</b>		
Water is sprayed to reduce dust during excavation/drilling?		
Construction materials are covered to prevent dust dispersion?		

<b>Waste Management</b>		
A plan is in place for collecting and disposing of construction waste?		
Hazardous waste (batteries, electronic devices) is collected separately?		
An agreement exists with an authorized waste collection service?		
<b>Noise Control</b>		
Construction takes place only during permitted hours (no disturbance to residents)?		
Machinery and equipment have noise reduction features (soundproofing)?		
<b>Installation Time Management</b>		
Construction schedule ensures no unnecessary delays?		
Workers are briefed on environmental measures before starting work?		
<b>Monitoring and Adjustments</b>		
A designated person is responsible for environmental monitoring during construction?		
Complaints from the community about dust, noise, or waste are received and addressed?		

**Notes:**

- If any item is marked No, corrective actions should be taken immediately.
- This checklist should be reviewed regularly and signed off by the construction team or environmental supervisor.

**ANNEX IV – SES ACTION PLAN 2025**

No.	Activities	Timing	Responsible	Notes
1	Consult with PMUs for the area and relevant procedures for installation of HMEWS	September 2025	Contractor, Component 1's lead	
2	Conduct consultations with local authorities on locations for waste collection points	June 2025	Contractor, Component 2's lead	
3	Communities' consultation on mangrove plantation and rehabilitation	June 2025	Contractor, Component 3's lead	
4	Assessment of locations for MPA's establishment	September 2025	Contractor, Component 3's lead	SES issues should be incorporated in the scope of work

## **ANNEX V – PROJECT LEVEL GRM – TERMS OF REFERENCE**

### **ANNEX VI - TEMPLATE OF GRIEVANCE REGISTRATION FORM**

Grievance Number: _____	
LOCATION: District: _____ Village: _____	
CDC Name: _____	
NAME OF COMPLAINANT: _____	
ADDRESS: _____ Telephone #: _____	
DATE RECEIVED: _____	
Classification of the grievance (Check boxes)	
<input type="checkbox"/> Eligibility to participate in project	<input type="checkbox"/> Dispute with contractors/firms
<input type="checkbox"/> Environment impact (noise, disruptive farming etc.)	<input type="checkbox"/> Inter-community dispute
<input type="checkbox"/> Lack of consultation	<input type="checkbox"/> Delays
<input type="checkbox"/> Financial	<input type="checkbox"/> Noise
<input type="checkbox"/> Water quality	<input type="checkbox"/> Sanitation
<input type="checkbox"/> Other (specify)	
Brief description of the grievance:	
What is the perceived cause?	
Suggested action (by complainant) to address grievance:	