

Ethnic Minorities Development Framework

Ethnic Minorities Development Framework
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PRC: Guiyang Integrated Water Resources Management Sector Project

Prepared by Black & Veatch (Asia) Ltd., in conjunction with the Guiyang Municipal Government for the Asian Development Bank (ADB).

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**GUIYANG INTEGRATED WATER RESOURCES
MANAGEMENT PROJECT
IN THE
PEOPLE'S REPUBLIC OF CHINA**

**Ethnic Minorities
Development Framework**

DRAFT

September 5, 2006

[FINAL DOCUMENT TO BE ISSUED BY]

GUIYANG MUNICIPAL GOVERNMENT

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ENDORSEMENT OF THE ETHNIC MINORITIES DEVELOPMENT FRAMEWORK

DRAFT

The Guiyang Municipal Government (GMG) has requested, via the Central Government of the Peoples Republic of China, a loan from the Asian Development Bank (ADB) to finance part of the Guiyang Integrated Water Resources Management Project. The Project will therefore be implemented in accordance with the social safeguards policies of the ADB. This Ethnic Minorities Development Framework (EMDF), including consideration of the Guiyang Integrated Water Resources Management Masterplan, represents a key requirement of the ADB. The EMDF presents the situation and actions to be taken to comply with social safeguards concerning ethnic minorities. It includes procedures for implementation and monitoring to ensure that the EMDF, and the Ethnic Minorities Development Plans (EMDPs) prepared for subprojects of the sector loan, will be effectively executed.

The GMG hereby endorses the attached EMDF and guarantees that funds will be made available as stipulated in the budget, and that the budgets will be made available for EMDPs implemented as part of the Project. The GMG has discussed the EMDF with the relevant local officials, including those of Quiannan Bouyeizu Miaozu Autonomous Prefecture, and Longli County, in Quiannan Bouyeizu Miaozu Autonomous Prefecture, and has obtained their concurrence. The GMG authorizes the Project Management Office for the Guiyang Integrated Water Resources Management Project as the responsible agency to implement the project and related EMDF activities.

Approved on 26 September 2006

_____, Guiyang Municipal Government
(original signed)

EXECUTIVE SUMMARY

1.0 Project Background

S.1.1 The Guiyang Integrated Water Resources Management Project is expected to have significant impacts on ethnic minority people, including those receiving improved supplies of water for domestic use and irrigation and those affected by land acquisition and resettlement. The Project should reduce poverty by providing reliable access to clean water for drinking, bathing and other domestic and industrial use, and water for irrigating crops for household consumption and for sale, including expansion in profitable cultivation of high-value crops. A significant number of ethnic minority people will be affected by land acquisition and resettlement, including in the Yudongxia Urban Water Supply Core Subproject, with measures undertaken to ensure that adverse impacts are mitigated and that they are beneficiaries of the project.

S.1.2 The Project will invest CNY 2.4 billion (\$ 300 million) for the construction of medium and small reservoirs, dams, agriculture irrigation systems, urban and rural water supply schemes, rainwater collection structures, soil conservation and source water protection, and capacity development for integrated water resources management. The Project will be implemented over 6 years, including the following segments:

- Establishment of one medium and two small reservoirs for urban water supply, including construction of dams, water conveyance tunnels, transmission pipelines, water treatment plants, and extension of the municipal water distribution networks;
- Construction of 43 small reservoirs for rural water supply and irrigation, water conveyance systems, small township treatment facilities, and irrigation systems;
- Rehabilitation and upgrading of irrigation schemes in 9 areas including installation or repair of intake structures, canals and aqueducts;
- Provision of 127,890 small water storage structures (ponds, tanks, and cisterns) in rural areas to store spring water for humans and livestock and rainfall run-off for irrigation; and
- Protection from water and soil losses in the upper catchments of the water sources (800 km²) with farm land restructuring, conversion of sloping farmland to terraces, tree or grass planting areas, and fruit tree planting.

S.1.3 About 540,300 persons in Guiyang Municipality (15.4% of total population) are ethnic minorities, primarily Miao (220,000 persons) and Buoyei (180,000 persons). Ethnic minorities in Guiyang have distinct cultural identities and languages. In the Project Area, their ways of earning a living and their aspirations regarding the project are generally similar to those of Han people. Table ES-1 below summarizes the number of affected and benefited ethnic minority people in the Project area based on the updated feasibility studies. As shown, affected and benefited minority population is estimated to be 18,030 and 169,843. Among these project segments, most of the affected ethnic minorities is the results of soil and water conservation subprojects about 39%. Whereas, only 70 ethnic minorities (0.3%) will be affected in the irrigation segment. On the ethnic minority beneficiaries, about 28% is from the irrigation rehabilitation segments and 0.2% from irrigation water supply segment.

Table ES-1: Ethnic Minorities in Project Area

Segment	Minority population	Minority percentage	Total population
1. Urban Water Supply			
a. Villages affected by resettlement	532	18.5%	2,882
b. Urban subproject benefited area	28,480	8.1%	352,000
2. Rural Water Supply			
a. Villages affected by resettlement	3,262	31.2%	10,458
b. Rural subproject benefited area	32,263	7.9%	408,630
3. Irrigation Water Supply			
a. Villages affected by resettlement	70	15.1%	464
b. Subproject benefited area	2,380	8.5%	27,876
4. Irrigation Rehabilitation			
a. Villages affected by resettlement	5,859	1.51%	388,531
b. Subproject benefited area	47,152	12.5%	377,857
5. Small Water Storage			
a. Villages affected by resettlement	1,271	37.2%	3,420
b. Subproject benefited area	30,058	9.15%	328,333
6. Soil and Water Conservation			
a. Villages affected by resettlement	7,036	96.7%	7,280
b. Subproject benefited area	29,510	13.0%	227,764
Total			
a. Villages affected by resettlement	18,030	4.4%	413,035
b. Subproject benefited area	169,843	9.9%	1,722,460

S.1.4 Among the six core subprojects, all of them prepared for the sector loan have ethnic minority people living in the subproject areas, with four of the six expected to each have more than 200 ethnic minority persons affected by the subproject as shown in Table ES-2. These four have been categorized as having Category A impacts on ethnic minority people and Ethnic Minorities Development Plans (EMDPs) have been prepared as part of project design. Additional EMDPs will be prepared for all subprojects having significant impacts on ethnic minority communities.

Table ES-2: Ethnic Minorities in Core Subproject Area Villages

Core Subproject	Minority population	Minority percentage	Total population	Male	Female
1. Yudongxia Urban Water Supply					
a. Villages affected by resettlement ^a	465	31.9%	1,484	744	740
b. Urban subproject benefited area	23,280	12.8%	182,000	91,245	90,755
2. Jinlong Rural Water Supply	533	4.24%	12,556	6,295	6,261
3. Liaojiuzhai Rural Water Supply	69	3%	1,988	1,069	919
4. Wudang Irrigation Rehabilitation	1,545	15.4%	10,016	5,258	4,758
5. Xifeng Small Water Storage	69	3%	1,988	1,069	919
6. Huaxi Soil and Water Conservation	1,840	30%	6,104	3,076	3,028
Total ^b	4,4,52	13.9%	32,148	16,442	15,706

^a Minority population of affected villages in the subproject areas, to be updated with the results of detailed measurement surveys.

^b Ethnic minorities in the Liaojiuzhai and Xifeng small water storage subprojects are located in the same village, and are counted only once in the total.

S.1.5 The ADB Policy on Indigenous Peoples and relevant policies of the People's Republic of China support project activities to ensure that indigenous ethnic minority people will benefit equally from project interventions. For the Project, this will include a pro-active approach to promoting the participation of indigenous people in the planning and implementation of the project and specific measures to assure the indigenous people fully benefit from the project, including mitigation of any negative impacts. This requires identifying whether ethnic minority people are present in the project area, consulting them about project planning and implementation, determining likely impacts of the project and planning ways to mitigate negative impacts and ensure full participation in benefits. An EMDP for each subproject with significant impacts on ethnic minority communities will present this information, and provide a basis for subsequent implementation, as well as monitoring and evaluation.

2.0 Objectives of the EMDF

S.2.1 This Ethnic Minorities Development Framework (EMDF) outlines the objectives, policy principles, and implementation arrangements for subprojects that may have impacts on ethnic minority peoples. The EMDF is based on relevant Chinese laws and regulations, and ADB's Policy on Indigenous Peoples (1998) and The ADB Operations manual Section F3/BP (2004). It will serve as the guidelines for implementing agencies (IAs) in developing and implementing required EMDPs consistent with Chinese and ADB policies. The basic objectives of the EMDF are to:

- Guide the executing agency (EA) and IAs in assuring full participation and equitable treatment for ethnic minority people,
- Serve as binding document to confirm project policies and procedures regarding ethnic minorities, and
- Provide direction in preparing, implementing and monitoring subproject EMDPs

3.0 Selection Criteria for Subprojects

S.3.1 Impacts on ethnic minorities will be considered in the selection and prioritization of subprojects. The criteria for future selection and prioritization of subprojects, particularly for inclusion in annual work programs, will seek to ensure that ethnic minorities are at least as well represented in each year's program as they are in the overall GMG population.

S.3.2 For each subproject, the presence of ethnic minority people who may be affected by the subproject must be identified, including the presence of concentrated communities such as autonomous ethnic minority towns and villages in the project area. It should be noted that under current ADB policy, an EMDP is required even if all expected impacts are positive.

S.3.3 Subprojects will be classified into one of three categories:

- Category A. Significant impacts, positive or negative, on ethnic minority communities, for which ethnic minorities development plans will be prepared;
- Category B. Limited impacts, for which ethnic minorities specific actions will be prepared; and
- Category C. No significant impacts on ethnic minority communities, i.e., no community-level impacts (e.g. no autonomous ethnic minority town or village or other concentrated population of ethnic minority people) and ethnic minority people are not a substantial portion of those affected.

S.3.4 The final decision on categorization is a matter for judgment, based on whether there will be significant impacts on ethnic minority communities. Table ES-3 outlines indicative criteria which should be considered as part of judging whether impacts are "significant" and thus which category the subproject should be put into.

Table ES-3: Impact Matrix for Assessing Significance

Type of Impact	Indicator	Threshold for EMDP	Notes
Ethnic minority community	Presence of autonomous ethnic minority town or village	Significant if one or more autonomous town or village present	
New domestic water supply	New connection to reliable supply	200 ethnic minority persons affected	
Improved domestic water supply	Improved supply \geq 30 days per year	200 persons ethnic minority affected	e.g. unreliable network required use of other supply
Irrigation	Mu of land irrigated	200 ethnic minority persons	Initial estimate may be based on average landholding
Livelihood	Loss of 20% or more of income, temporary or permanent	200 ethnic minority persons	e.g. impacts on tourist businesses
Land and assets	Loss of 20% or more of land or assets, or temporary loss of 20% or more of income	200 ethnic minority persons	Follow same criteria as in resettlement framework
Land use restrictions	Loss of 20% or more of production	200 ethnic minority persons	
Other impacts	20% or more change (positive or negative)	200 ethnic minority persons	
Cumulative impacts		200 or more persons affected by any of the above	

S.3.5 Based on the core subprojects and other available information, it appears that many, and perhaps most, subprojects will be Category A, due to the likelihood of significant positive impacts on ethnic minority communities or ethnic minorities making up a substantial portion of those positively affected. If the subproject is expected to impact an ethnic minority community or ethnic minorities are a substantial portion of the affected population (e.g., affect more than 200 persons or have a major impact on a smaller number of persons) then an EMDP will be prepared for the subproject.

4.0 Strategy for Indigenous Peoples Participation

S.4.1 The Project participation strategy will fully include ethnic minorities. Where concentrated ethnic minority communities are present, conveniently-located special meetings and other outreach activities will be conducted to ensure that ethnic minority people are fully informed and enabled to participate in decision-making and in benefiting from the Project. A range of participation mechanisms, as given below, will be used in the Project, with their application adapted to the particular characteristics of each subproject:

- Public consultation during subproject preparation;
- Stakeholder advisory panels for multi-purpose reservoir management;
- Water user associations for irrigation operation and maintenance;
- Consumer communications in domestic water supply;
- Community-managed construction;
- Participatory land-use management;
- Consultation in preparation and implementation of resettlement plans; and
- Stakeholder representation in river sub-basin councils

S.4.2 The Project will ensure that ethnic minority people are fully involved in implementation and receiving benefits from the Project. They will use domestic and agricultural water, take

part in irrigation operation and maintenance, participate in soil and water conservation, and have opportunities for employment (for women and men) during project implementation. For ethnic minorities affected by land acquisition and resettlement, specific attention will be given to vulnerable people, with special measures provided where necessary.

S.4.3 Any grievance or complaint from the persons affected by the project impacts will be solved in a timely and satisfactory manner. The Resettlement Plans (RPs) and EMDPs of the subprojects shall include the grievance redress mechanism. The EA and IAs will ensure the people are aware of the procedures. The detailed grievance and redress mechanism and appeals process should also be given in resettlement information brochures (RIBs) and other documents that will be disseminated during public consultations.

5.0 Institutional Arrangements for EMDPs

S.5.1 As the Executing Agency, the Guiyang Project Management Office (GPMO) will be responsible for ensuring the preparation, implementation and monitoring of EMDPs in line with this EMDF. The GPMO will coordinate the process for submission of draft EMDPs to ADB, any necessary revision in response to ADB comments, GMG endorsement of EMDPs, and ensuring that the EMDPs are disclosed to the affected ethnic minority communities.

S.5.2 For specific subprojects, Implementing Agencies (IAs), most of which are County Water Resource Bureaus, will lead preparation and implementation of EMDPs. Staff from the Bureau of Ethnic Minorities and Religious Affairs will be included in the GPMO and IA teams, as part of operational coordination. Where there are autonomous ethnic minority township or village governments present in the Project areas, then they will be fully involved in preparation and implementation of EMDPs. Specific tasks in EMDP design and implementation may be contracted to qualified institutions.

S.5.3 For sites where there is land acquisition or resettlement, the EMDP will report the relevant information, particularly measures taken to mitigate negative impacts on ethnic minority communities, consistently with the contents of the RPs. If, during the course of the Project there are significant changes in impacts on ethnic minority people and the types of impacts, then the plans (and if necessary, this framework) will be revised accordingly. In addition to the core subproject EMDPs prepared with support from the PPTA, all other subprojects will be prepared according the guidelines in Project documents including this Framework.

6.0 Budget and Financing

S.6.1 Adequate budgets will be provided for preparation of EMDPs. The IA together with the local government shall take necessary measures to estimate the ethnic minority group development budget based on the impact situation in the feasibility study report and the follow-up stages. The budget in the EMDP will identify all the relevant budget items and sources for activities in the EMDP. The EMDP budget will be reviewed and approved as part of the process for review and approval of the EMDP. During implementation, in accordance with the approach applied to ethnic minority development in the Project, the budget is expected to be primarily provided through the implementation budgets for subprojects and for related government activities. Where necessary, specific funds will be provided in the EMDP and included in the project budget to implement specific actions in the EMDP in addition to those related to routine implementation and resettlement activities.

7.0 Monitoring and Evaluation

S.7.1 The Project design includes:

- Collection of information on the project activities, outputs, outcomes and impacts, including specific information on ethnic minority people affected by the project;
- Preparation of semiannual reports on progress in implementing the ethnic minority development plan;
- An external evaluation of EMDP implementation; and
- An annual review of EMDF and EMDP implementation, including independent experts.

S.7.2 The Implementing Agency shall be the primary responsible organization and shall lead in working out the supervision and appraisal plan. It shall entrust a professional and independent organization to do monitoring and appraisal. The IA shall coordinate the implementation organization and the local government to assist the consultant firms and specialists group to carry out the monitoring and evaluation. The budget for monitoring and evaluation activities shall be listed in the project budget, including independent evaluations of EMPD implementation.

8.0 Procedural Arrangements

S.8.1 Resources have been allocated for preparation of EMDPs for the initial work program, which, as stipulated in the Loan Agreement, might include retroactive reimbursement for activities done before Loan Effectiveness. After Loan Approval, preparation of further EMDPs will be done as part of regular project implementation, in conjunction with activities for subproject design, and with similar funding arrangements as other aspects of subproject preparation such as engineering design, environmental assessment and resettlement planning, including possible contracting of qualified institutions to prepare EMDPs. The EMDPs will identify the resources needed for their implementation. Endorsement of the EMDP by GMG will confirm commitment to provide the necessary resources for implementation.

S.8.2 EMDPs for subprojects with significant impacts will require approval by ADB. Reimbursement from the loan will not be allowed for subprojects where EMDPs have not been approved. ADB will determine the specific person responsible for certifying that EMDPs are in compliance, which may include the use of consultants and may include authorizing review of EMDPs prepared in Chinese (but English versions will still be required for posting on the ADB website).

S.8.3 Once draft EMDPs have been prepared, they will be submitted to ADB for review. If comments indicate the need for further revision, the PMO will coordinate activities for revision until a satisfactory version of the EMDP has been approved by ADB. The EMDP will then be endorsed by GMG. The EMDP, in an English version, will be published on the ADB website. The EMDP will be disclosed to the affected people.

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Appendix A

ETHNIC MINORITIES DEVELOPMENT FRAMEWORK

1. Background and Context

1.1 The Project and Project Segments

1.1.1 The Guiyang Integrated Water Resources Management Project will support construction of new reservoirs and water supply infrastructure, irrigation system rehabilitation, and soil and water conservation, together with development of management institutions for assuring improved delivery of water services and integrated management of water for social, economic, and environmental objectives in rural and urban areas.

1.1.2 The Project will invest CNY 2.4 billion (\$300 million) over 6 years. The Project is expected to have substantial positive impacts on ethnic minority people in providing improved supplies of water for domestic use and irrigation. Subprojects developed under the Project should reduce poverty by providing reliable access to clean water for drinking, bathing and other domestic use, and water for irrigating crops for household consumption and for sale, including expansion in profitable cultivation of high-value crops such as vegetables, flowers, herbs, fruits. A significant number of ethnic minority people will be affected by land acquisition and resettlement, including in the Yudongxia Urban Water Supply Core Subproject, with measures undertaken to ensure that adverse impacts are mitigated and they are beneficiaries of the project.

1.1.3 The Project includes the following segments:

- Establishment of one medium and two small reservoirs for urban water supply, including construction of dams, water conveyance tunnels, transmission pipelines, water treatment plants, and extension of the municipal water distribution networks;
- Construction of 43 small reservoirs for rural water supply and irrigation, water conveyance systems, small township treatment facilities, and irrigation systems;
- Rehabilitation and upgrading of irrigation schemes in 9 areas including installation or repair of intake structures, canals and aqueducts;
- Provision of 127,890 small water storage structures (ponds, tanks, and cisterns) in rural areas to store spring water for humans and livestock and rainfall run-off for irrigation; and
- Protection from water and soil losses in the upper catchments of the water sources (800 km²) with farm land restructuring, conversion of sloping farmland to terraces, tree or grass planting areas, and fruit tree planting.

1.1.4 During the PPTA stage, six core subprojects were selected for detailed preparation:

- Yudongxia Reservoir Urban Water Supply Subproject;
- Jinlong Reservoir County Water Supply Subproject;
- Liaojiuzhai Reservoir Water Supply and Irrigation Subproject;
- Wudang District Midsize Irrigation System Rehabilitation Subproject;
- Xifeng County Small-scale Water Storage Subproject; and
- Huaxi Reservoir Soil and Water Conservation Subproject.

1.1.5 On the basis of the review of six selected core subprojects by the PPTA consultant and Guiyang Project Management Office (GPMO), Ethnic Minority Development Plans (EMDPs) for Yudongxia and Jinlong Reservoirs, Wudang Irrigation Rehabilitation and Huaxi Water and Soil Conservation were prepared as part of the PPTA. Table 1-1 presents information on the six core subprojects prepared as part of the PPTA. Appendix A presents the list of potential subprojects based on the Project Proposal and information on affected and benefited ethnic minorities from the updated feasibility studies is presented in Table 1-2.

Table 1-1: Ethnic Minorities Identification for the Core Subprojects

No	Subproject	Scale	Total Capacity (million m ³)	Purpose	Ethnic Minorities Water Users	Ethnic Minority APs	EMDP Requirement	IAs	Remarks
I	Reservoir for Urban Water Supply Project								
1	Yudongxia reservoir in Wudang District of Guiyang	Medium	18.6	Urban water supply	23,280	465	EMDP	Zhushui Water Resources Company	Bouyei and Miao minority will be affected
II	Reservoirs for Township and Rural Water Supply Projects								
2	Jinlong reservoir in Xiuwen County	Small A*	4.18	County water supply and irrigation water	533	3	EMDP	Xiuwen County WRB	Few of minority will be affected.
3	Liaojiuzhai reservoir in Xifeng County	Small B*	0.18	Human and livestock water supply, and irrigation water	69	0	None	Xifeng County WRB	No minority persons affected by land acquisition or resettlement
III	Midsize Irrigation System Rehabilitation Project								
4	Canal network rehabilitation for 6,980 mu served by two reservoirs and one weir in Wudang District of Guiyang	Medium		Irrigation water and human and livestock supply	1,545	0	EMDP	Wudang District WRB	Many minority people will use irrigation water.
IV	Small-scale Water Storage Project								
5	250 small-scale water storage structures in Xifeng County			Human and livestock water supply and irrigation water	69	0	None	Xifeng County WRB	
V	Soil and Water Conservation Project								
6	15 km ² catchment area of Huaxi reservoir, upstream of Nanming River in Huaxi District			Water source protection	1,840	0	EMDP	Huaxi District WRB	

NOTE: *Two different scale reservoirs for Segment II - Category A with equal or more than one million m³ capacity, and Category B with less than one million m³ capacity.

Table 1-2: Ethnic Minorities in Project Area

	Minority population	Minority percentage	Total population
1. Urban Water Supply			
a. Villages affected by resettlement	532	18.5%	2,882
b. Urban subproject benefited area	28,480	8.1%	352,000
2. Rural Water Supply			
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4. Irrigation Rehabilitation			
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a. Villages affected by resettlement	1,271	37.2%	3,420
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a. Villages affected by resettlement	7,036	96.7%	7,280
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Total			
a. Villages affected by resettlement	18,030	4.4%	413,035
b. Subproject benefited area	169,843	9.9%	1,722,460

1.2 Brief Description of Ethnic Minorities in the Project Area

1.2.1 As of 2003, the total ethnic minority group population in Guiyang Municipality was 540,300 persons, composing 15.4% of the population. The *Miao* and *Bouyei* are the largest groups and they together composed 71.3% of the total ethnic minority group population. GM had a Miao population of about 220,000 and 180,000 Bouyei. Out of the 50 settlements classified as “towns” in GM, 18 are categorized as “ethnic minority towns.” Of those, 8 are poverty townships. Out of 449 poverty villages in Guiyang, 145 are ethnic minority villages. Most ethnic minority people, about 77%, live in rural areas.

1.2.2 There are 6 ethnic minority groups with more than 10,000 populations in Guiyang, they are *Miao*, *Bouyei*, *Tujia*, *Yi*, *Dong* and *Gelao*, totaling 93% of the total ethnic minority groups’ population. There are 7 other ethnic minority groups with more than 1,000 population, they are *Bai*, *Hui*, *Man*, *Zhuang*, *Shui*, *Mongolian* and *Li*, holding 6% of the total ethnic minority groups’ population. There are 37 ethnic minority groups with population below 1,000 persons. Table 1-3 shows the number of ethnic minority people by district, as a portion of total population and for the agricultural population. Ethnic minorities were present in all six core subproject and also in Project areas, as earlier shown in Table 1-1 and 1-2.

1.2.3 Identification of ethnic minorities is based on China’s official categories for defining ethnic minorities. In general, Miao, Bouyei and other ethnic minorities possess a distinct ethnic identity, their own languages (though most can also speak the Guiyang dialect of Chinese), and their own customs (particularly concerning festivals and dress). However, their livelihood activities and most other aspects of their lifestyles are very similar to their neighbors, including those of the national majority (Han) ethnicity. ADB’s Policy on Indigenous Peoples explicitly includes “Ethnic Minorities” as one of the categories of people covered by the policy.

Table 1-3: Distribution of ethnic minority group's population of Guiyang Municipality, as of the end of 2004

Region	Area (km ²)	Population (1,000 persons)			Ethnic minority group	
		Total Population	Non agricultural population	Agricultural population	Quantity (1,000 persons)	Percentage of total population
Nanming District	89.1	505.9	471.8	34.1	35	6.92
Yunyan District	67.5	552.3	523.7	28.6	73	13.22
Huaxi District	961.4	323.6	94.4	229.2	117	36.16
Wudang District	962.4	307.3	96	211.3	53.6	17.44
Baiyun District	259.6	173.8	112	61.8	32.3	18.58
Xiaohe District	63.1	119.3	98.8	20.5	23	19.28
Kaiyang County	2,026.2	438.4	64.9	373.5	47.2	10.77
Xifeng County	1,036.5	260.5	31.5	229	13.6	5.22
Xiuwen County	1,075.7	307.7	41.9	265.8	23.6	7.67
Qingzhen City	1,492.4	519.7	115.7	404	122	23.48
Municipality	8,034	3,508.5	1,697.5	1,811.1	540.3	15.40

1.3 Legal and Policy Framework

1.3.1 This Ethnic Minorities Development Plan is based on the relevant laws and regulations of the Peoples Republic of China (PRC) and on the Asian Development Bank (ADB) Policy on Indigenous Peoples, including applicable Policies and Procedures in the ADB Operations Manual.

1.3.2 The 1949 PRC Constitution established the legal equality of all ethnic groups in the Peoples Republic of China. Government policies and regulations include a variety of measures to address the needs of ethnic people, including autonomous governments at various levels, special consideration in education, and funding of programs for development of ethnic peoples. Table 1-4 summarizes the key laws and regulations relating to Ethnic Minorities.

Table 1-4: Laws and Regulations concerning Ethnic Minority policies

The Revised Resolution on the Constitution of the People's Republic of China" approved by the 2 nd session of the 10 th National People's Congress on March 14, 2004	stipulates that all of the ethnic groups in the People's Republic of China are all equal. The state guarantees legal rights and interests of all of the ethnic minority groups, to maintain and develop equality, united and mutual relationship of all of the ethnic minority groups, forbid any discrimination and pressure on any ethnic minority group, forbid any action of destroying ethnic comity and making ethnic division. Each ethnic minority group region living in compact communities could implement regional autonomy, establish autonomous departments and exert autonomous rights. Each ethnic minority autonomous region is an undivided part of the People's Republic of China. Each ethnic minority group has freedom to utilize and develop its own language and letters, and has freedom to keep or
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	modify its own custom and habits.
Civil Action Law of the People’s Republic of China, approved by the 4 th session congress of the 7 th National People’s Congress on March 9, 1991	stipulates that citizens of each ethnic minority group have rights to utilize their own language and letters to carry out civil action. In the region of the ethnic minority group living in a compact community or multi-ethnic groups together residing in a community, the People’s court shall utilize local ethnic group language and letters to carry out judgments and issue legal documents.
Ethnic Group Regional Autonomy Law of the People’s Republic of China. This was approved by the 2 nd session of the 6 th National People’s Congress on May 31, 1984. The revision of ‘The Decision Regarding Modification of the Ethnic Group Regional Autonomous Law of the People’s Republic of China’ was approved by the 20 th session of the 9 th National People’s Congress on February 28, 2001	help each autonomous region to speed up development. priority to arrange resources development projects and foundational facilities construction projects in the ethnic group autonomous regions, financial support, and poverty alleviation
“Regulations on Implementation of The Ethnic Group Regional Autonomy Law of the People’s Republic of China in Guizhou Province” (approved by the 17 th session of the 10 th Guizhou Provincial People’s Congress on September 23, 2005)	Stipulates responsibilities for considering interests of ethnic minorities and acceleration of economic and social development of ethnic minority autonomous regions
Economic and Social Development Program (2002-2020) for the Ethnic minority Groups and the Ethnic minority Group Regions of Guiyang Municipality	guidance thinking, targets and projects on economic and social development for the ethnic minority groups and the ethnic minority group regions of Guiyang Municipality

1.3.3 ADB policy is that “poverty reduction and improvement in the quality of life realized from development must be extended equitably and reach each segment of society, including indigenous peoples.” The current version of the Asian Development Bank policy on indigenous peoples was issued in 1998. Bank Policies and Operating Procedures in the Operations Manual were last updated in May 2004. Key elements of the policy include the following:

5. Reducing poverty and improving the quality of life of all people in Asia is ADB's overarching objective.³ Poverty is defined by ADB as "a deprivation of essential assets and opportunities to which every human is entitled" (footnote 3). The poor may be denied access to assets because they belong to an ethnic minority or a community considered socially inferior. Therefore, poverty reduction and improvement in the quality of life realized from development must be extended equitably and reach each segment of society, including indigenous peoples.
6. As ADB recognizes the potential vulnerability of indigenous peoples in the development process, development interventions that affect indigenous peoples should ensure that they have opportunities to participate in and benefit equitably from the interventions.
7. As appropriate, concern for indigenous peoples should be reflected in and integrated into each step of the policy development cycle, country programming, project design, project processing, project implementation, and project monitoring and evaluation processes.
8. ADB's interventions affecting indigenous peoples should (i) be consistent with the needs and aspirations of affected indigenous peoples; (ii) be compatible in substance and structure with affected indigenous peoples' cultures and social and economic institutions; (iii) be conceived, planned, and implemented with the informed participation of affected communities; (iv) be

equitable in terms of development efforts and impacts; and (v) not impose the negative effects of development on indigenous peoples, but, if such effects are unavoidable, appropriate and acceptable compensation must be ensured.¹

1.3.4 The ADB Policy on Indigenous Peoples and relevant policies of the People's Republic of China thus support project activities to ensure that indigenous ethnic minority people will benefit equally from project interventions. For the Project, this will include a pro-active approach to promoting the participation of indigenous people in the planning and implementation of the project and specific measures to assure the indigenous people fully benefit from the project, including mitigation of any negative impacts. Therefore, the policy requires identifying whether ethnic minority people are present in the project area, consulting them about project planning and implementation, determining likely impacts of the project and planning ways to mitigate negative impacts and ensure full participation in benefits. An ethnic minority development plan for each subproject with significant impacts on ethnic minority communities will present this information, and provide a basis for subsequent implementation, as well as monitoring and evaluation.

1.4 Potential Subproject Effects on Ethnic Minority Peoples

1.4.1 The Guiyang Integrated Water Resources Management Project includes drinking water supply and farmland irrigation in 30 ethnic minority towns and 49 ethnic minority villages. Thus, the project shall affect all of the ethnic minority group towns and most of the ethnic minority group villages in Guiyang Municipality, as well as those living in compact communities. The project construction operation, especially the small water storage works, could benefit the ethnic minority groups who are dispersed in the countryside, i.e. also benefit those who are not clustered in ethnic minority towns or villages. According to the composition and distribution of the ethnic minority groups of Guiyang Municipality, the main population affected will be *Bouyei* and *Miao*.

1.4.2 Table 1-5 outlines a range of impacts that should be considered in determining whether ethnic minority people are significantly affected and in preparing ethnic minority development plans. The main approaches to be taken shall include: 1) avoiding and reducing negative impacts, 2) enhancing positive impacts, and 3) ensuring the ethnic minority groups could obtain priority benefits or equal benefits from the project. The scale and the scope of the approaches to be taken shall be finally determined by the project design and other relevant factors. The subprojects will be assessed for the full range of impacts, including the items discussed above, and appropriate measures included mitigating negative impacts and assuring full participation of ethnic minority communities in project benefits.

Table 1-5: Types of Subproject Impacts and Strategies

Type of impact	Examples of Impacts	Strategy
Upstream watershed management	Land use restrictions around Yundongxia reservoir and in its watershed	Any negative impacts should be mitigated, e.g. through assistance in shifting to more profitable and sustainable cropping or agroforestry
Resettlement	Homes flooded	Compensation and livelihood restoration covered in resettlement action plan
Land acquisition	Land flooded by Yudongxia reservoir, taken for canals in Jinlong Subproject	Compensation and livelihood restoration covered in resettlement action plan; for minor land use with voluntary consent, e.g. for tertiary canals, agreement to be documented

¹ ADB OM Section F3/BP pp. 1-2.

Type of impact	Examples of Impacts	Strategy
		1% of resettlement funds set aside for vulnerable people, including ethnic minorities
Urban water supply	New and improved water supply in Guiyang Municipality	Promote effective service delivery for households and businesses.
Rural water supply	Improved water supply in Jinlong	Full inclusion of ethnic minorities
Irrigation	Expanded and improved irrigation services	Full inclusion of ethnic minorities
Tourism	Disruption of existing businesses; prohibitions to protect reservoir water quality; new opportunities	Mitigate negative impacts and promote ethnic tourism where appropriate and feasible
Fisheries	Fish populations affected by changes in water flows downstream; fisheries in reservoir	Environmental study suggests no significant population of fish whose migration would be blocked by dam
Downstream environment and ecological habitats	Impacts on wetlands, reduction in flooding, changes in dry season minimum flows	Water allocation plans and reservoir operating rules will include environmental and ecological flows for downstream areas
Navigation	Changes instream flows affect timing and size of boats able to travel on the stream	Should be addressed in RP for tourist businesses downstream, e.g. below Yudongxia damsite
Terracing	On slopes under 25° for soil and water conservation	Full inclusion of ethnic minorities, including support for construction and land development
Agroforestry	Establishment of economically productive trees on slopes over 25° for soil and water conservation	Full inclusion of ethnic minorities, including relevant land use rights and participation in land-use planning
Small water storage tanks	For domestic and agricultural use in upland areas	Full inclusion of ethnic minorities, including special assistance for very poor and vulnerable people
Construction Work	Temporary employment, and opportunities for selling food, supplies and materials Construction noise Communicable disease affecting construction workers and neighboring communities	Preference for local labor, ensure consideration of local suppliers where competitive, e.g. for materials Forbid nighttime construction Health education and availability of testing and health services, for workers and communities

Note: This is a partial list provided to illustrate examples, All anticipated impacts that might be significant should be assessed, including any impacts that are not listed here.

2. Objectives and Principles of the EMDF

2.1 This Ethnic Minorities Development Framework (EMDF) has been prepared for the Guiyang Integrated Water Resource Management Project (GIWRMP, or the Project) as required under ADB policy for sector loans. The EMDF outlines the objectives, policy principles, and implementation arrangements for subprojects that may have impacts on ethnic minority's peoples. The EMDF is based on relevant Chinese laws and regulations, and ADB's *Policy on Indigenous Peoples* (1998) and The ADB Operations manual Section F3/BP (2004) as well. It will serve as the guidelines for implementing agencies (IAs) in developing

and implementing required ethnic minorities development plans (EMDPs) consistent with Chinese and ADB policies. The basic objectives of the EMDF are to:

- Guide the executing agency (EA) and IAs in assuring full participation and equitable treatment for ethnic minority people,
- Serve as binding document to confirm project policies and procedures regarding ethnic minorities, and
- Provide direction in preparing, implementing and monitoring subproject EMDPs.

2.2 The EMDF shows compliance to one of ADB's requirements in approving the loan for the Project. As the EA, the Guiyang Project Management Office (GPMO) under the leadership of the Project Leading Group (PLG) will be responsible for ensuring the preparation and implementation of EMDPs in line with this EMDF.

3. Selection Criteria for Subprojects

3.1 Selection Criteria

3.1.1 Impacts on ethnic minorities will be considered in the selection and prioritization of subprojects. Appendix A is the list of potential subprojects, showing the number of ethnic minority people in the subproject area villages. At a minimum, the Project will attempt to ensure that the proportion of ethnic minority people included in the subprojects is equal to or higher than the proportion of ethnic minority people in the Municipality.

3.1.2 The criteria for future selection and prioritization of subprojects will seek to ensure that ethnic minorities are at least as well represented in each year's program as they are in the overall GMG population. Subproject have already been identified and prepared to the feasibility study level. EMDPs have been prepared for four subprojects. These were selected to include the largest subproject (Yudongxia Reservoir) and to cover the range of other types of activities to be included in the project.

3.2 Appraisal Procedures for Determining the Impact of Subprojects

3.2.1 For each subproject, the presence of ethnic minority people who may be affected by the subproject must be identified. Initial identification of ethnic minorities may be based on village level information about numbers of ethnic minority people per village, and also on the presence of autonomous ethnic minority towns and villages where ethnic minority people are concentrated. Information from further studies then provides a basis to more precisely identify the number of ethnic minority people likely to be impacted, positively or negatively, by the subproject.

3.2.2 Table 3-1 provides an initial general checklist of items to be considered in assessing subproject impacts. The items will be assessed for each subproject where there might be impacts on ethnic minorities.

Table 3-1: Categorization Screening Questions

Impact on Indigenous Peoples (IPs)/ ethnic minorities(EM)	Not known	Yes	No	Remarks or identified problems, if any
Are there IPs or EM groups present in project locations?				
Do they maintain distinctive customs or economic activities that may make them vulnerable to hardship?				
Will the project restrict their economic and social activity and make them particularly vulnerable in the context of project?				
Will the project change their socioeconomic and cultural integrity? ²				
Will the project disrupt their community life?				
Will the project positively affect their health, education, livelihood or social security status?				
Will the project negatively affect their health, education, livelihood or social security status?				
Will the project alter or undermine the recognition of their knowledge, preclude customary behaviors or undermine customary institutions?				
In case there is no disruption of indigenous community life as a whole, will there be loss of housing, loss of land, crops, trees and other fixed assets owned or controlled by individual indigenous households?				

Categorization of Subprojects

3.2.3 Subprojects will be classified into one of three categories:

- Category A. Significant impacts, positive or negative, on ethnic minority communities, for which ethnic minorities development plans will be prepared;
- Category B. Limited impacts, for which specific actions will be prepared; and
- Category C. No significant impacts on ethnic minority communities, i.e., no community-level impacts (e.g. no autonomous ethnic minority town or village or other concentrated population of ethnic minority people) and ethnic minority people are not a substantial portion of those affected.

3.2.4 As indicated in Table 3-1, impacts on ethnic minorities are considered significant if they positively or negatively

- (i) affect their customary rights of use and access to land and natural resources;
- (ii) change their socioeconomic status;
- (iii) affect their cultural and communal integrity;
- (iv) affect their health, education, livelihood, and social security status; or
- (v) alter or undermine the recognition of indigenous knowledge.³

3.2.5 It should be stressed that under current ADB policy, an EMDP is required even if all expected impacts are positive. One further point of reference, particularly for negative impacts, can be seen in ADB's policies on Involuntary Resettlement. Impacts are considered significant if more than 200 people experience "major" impacts, defined as being displaced

² That is, undermine their production systems and the maintenance and transmission of their cultural patterns?

³ ADB Operations Manual Operational Procedures OM Section F3/OP Issued on 13 May 2004 Paragraph 5.

from housing or losing more than 10% or more of their productive assets. Where there are impacts but these do not reach the level of being considered “significant,” but there are limited impacts on ethnic minority communities, it would be necessary to produce an Ethnic Minorities Specific Action (EMSA), in fulfillment of ADB requirements for an Indigenous Peoples Special Action.

3.2.6 The final decision on categorization is a matter for judgment, based on whether there will be significant impacts on ethnic minority communities. Table 3-2 outlines indicative criteria which should be considered as part of judging whether impacts are “significant” and thus the subproject should be put into Category A.

Table 3-2: Impact Matrix for Assessing Significance

Type of Impact	Indicator	Threshold for EMDP	Notes
Ethnic Minority Community	Presence of autonomous ethnic minority town or village government	Significant if one or more autonomous town or village present in project area	
New domestic water supply	New connection to reliable supply	200 ethnic minority persons affected	
Improved domestic water supply	Improved supply ≥ 30 days per year	200 persons ethnic minority affected	e.g. unreliable network has required use of other supply
Irrigation	Mu of land irrigated	200 ethnic minority persons	Initial estimate may be based on average landholding
Livelihood	Loss of 20% or more of income, temporary or permanent	200 ethnic minority persons	e.g. impacts on tourist businesses
Land and assets	Loss of 20% or more of land or assets, or temporary loss of 20% or more of income	200 ethnic minority persons	Follow same criteria as in resettlement framework
Land use restrictions	Loss of 20% or more of production	200 ethnic minority persons	
Other impacts	20% or more change (positive or negative)	200 ethnic minority persons	
Cumulative impacts		Total of 200 or more persons affected by any of the above	

3.2.7 Based on the core subprojects and other available information, it appears that many, and perhaps most, subprojects will be Category A, due to the likelihood of significant positive impacts on ethnic minority communities or ethnic minorities making up a substantial portion of those positively affected. This has been found to be the case for the Jinlong, Wudang, and Huaxi core subprojects. Other subprojects will be in Category A because of significant negative impacts due to land acquisition and resettlement that will need to be mitigated, as in the Yudongxia core subproject.

3.2.8 Where there are some impacts on an ethnic minority community, or ethnic minority people are a substantial portion of those affected, but these impacts do not reach the threshold for “significance” the subproject should be put into Category B, and an Ethnic Minorities Specific Action prepared, particularly if there is a need for particular measures to ensure that negative impacts on ethnic minority people are mitigated or to ensure that ethnic minority people fully benefit from the project.

3.2.9 Where there is no concentrated ethnic minority community and ethnic minorities do not make up a substantial portion of those affected, then the subproject may be category C. Thus in the Liaojiuzhai Reservoir core subproject and the Small Tanks core subproject (which are located in the same village), the ethnic minority population is not in a separate village or town, is not a substantial portion of those affected, and they are not affected by land acquisition for the reservoir. Figure 3-1 is a flow chart outlining the key criteria for subproject categorization. As a general guideline, given the prevalence of ethnic minorities in Guiyang, the most prudent and practical approach may be to assume that subprojects will be Category A, unless and until it is confirmed that there are no significant impacts on ethnic minority communities.

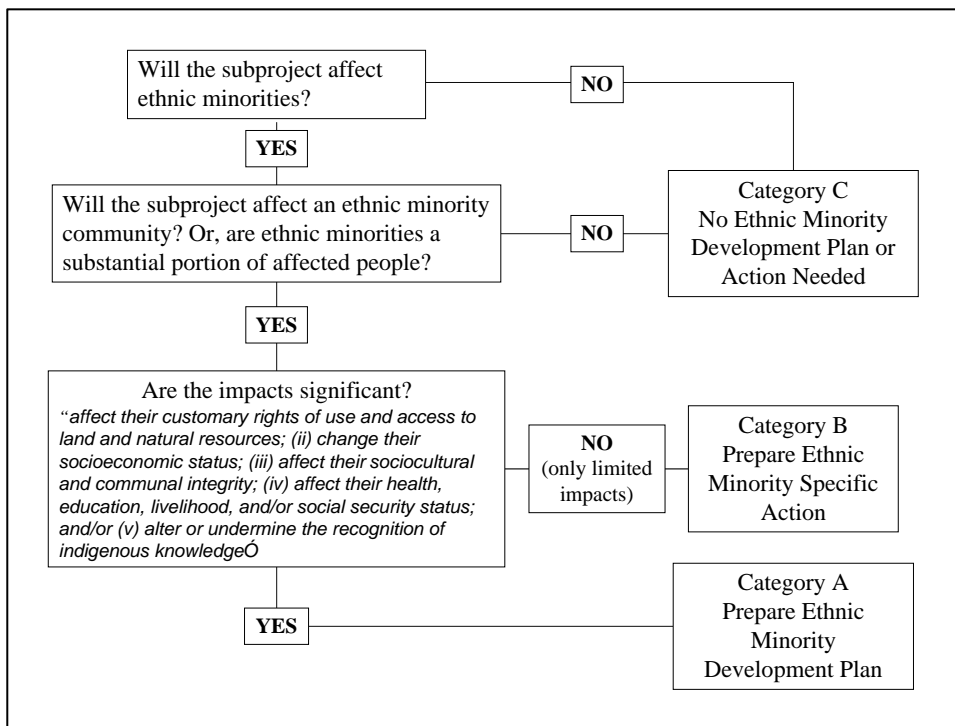


Figure 3-1: Flow Chart for Subproject Categorization

4. Strategy for Indigenous Peoples Participation

4.1 Participation Mechanisms

4.1.1 The project participation strategy seeks to involve affected people appropriately in all stages of planning, implementation, operation and maintenance and monitoring and evaluation. This must fully include ethnic minority people, and so should be specified in the EMDPs for particular subprojects. Participation activities will be included in EMDPs according to the types of water resources management activities involved with the particular subproject, including reservoir management, irrigation operations and maintenance, domestic water supply, and community-managed construction work on canals and water storage tanks.

4.1.2 Public consultation during subproject preparation. During subproject preparation, the strategy is to have at least two public consultation meetings, one as early as possible to gather suggestions and one when feasibility study concepts are well developed enough to allow detailed comments and adjustments in plans. For non-core subprojects where feasibility studies have been prepared without such consultation, these meetings will be held during the preliminary design and detailed design phase. These meetings will provide a key mechanism for ethnic minority communities to participate in the preparation of EMDPs. It is

important that the number and/or proportion of ethnic minorities participating in the public consultation adequately reflect the proportion of ethnic minorities in the subproject area, particularly in the soil and water conservation segment as significant percentage (96.7%) of affected population is ethnic minorities.

4.1.3 Stakeholder advisory panels for multi-purpose reservoir management. Reservoirs usually must be operated to serve multiple purposes including domestic water supply, irrigation, and regulation of instream flows, Stakeholder advisory panels will be established which include representatives of different stakeholders. The panels will provide a forum for communication, consultation, and deliberation concerning management plans, particularly in balancing water allocation among multiple needs. Where ethnic minority communities are present, they should be represented on the panels.

4.1.4 Water user associations for irrigation operation and maintenance. In sites where new or improved irrigation is built, water user associations will be established which will take primary responsibility for operation and maintenance of irrigation canals. This may include soil and water conservation sites, if shared irrigation systems supplied by pumps are constructed. As part of the irrigation design process, the design engineers will conduct joint field walk-throughs together with farmers, which would include ethnic minority farmers. In establishing WUA, all stakeholders should be involved, including ethnic minorities. Where clustered ethnic minority communities are present, these should be represented in the leadership of the WUA as well as in other WUA activities.

4.1.5 Consumer communications in domestic water supply. The organizations managing rural and urban water supplies will develop improved mechanisms for obtaining feedback from water users about the quality of service, problems, and suggestions for improving service. Particularly for town and city systems, this may include formal mechanisms such as sample surveys concerning service satisfaction, and improved mechanisms for receiving and handling complaints. This may include postal and e-mail addresses for reporting problems, clarification of procedures for responding to complaints, and strengthening of performance accountability indicators (metrics) such as time required to resolve a complaint. The development of such arrangements will consider where language or other ethnic-related factors might affect the systems, and ensure that suitable measures are included to provide effective communications, e.g. through use of personnel with suitable language skills where this is necessary.

4.1.6 Community-managed construction. Some construction related to smaller irrigation canals and structures may be implemented through contracts with water user associations or villages. Some construction of water storage tanks and soil and water conservation measures may also be done cooperatively, coordinated through village or village group institutions. As with other activities, these should fully include ethnic minorities, and where ethnic minority autonomous governments are present, these should be involved in the implementation process.

4.1.7 Participatory land-use management. In reservoir catchment areas, including those for the new reservoirs and for the soil and water conservation activities, regulation of land use may be strengthened in order to protect water quality and prevent soil erosion. Communities, including ethnic minority communities, should be consulted in the planning and implementation of any land use restrictions, particularly concerning mitigation arrangements to ensure that no one is made worse off by the imposition of such restrictions.

4.1.8 Resettlement action plans. In the case of projects with resettlement, preparation of resettlement action plans, will include informal consultation, group discussions, household surveys of affected persons, and disclosure of information through pamphlets provided to all affected households.

4.1.9 River basin councils. For river sub-basins, the project will encourage development of appropriate institutions for stakeholder participation, which may include sub-basin councils.

4.1.10 Anywhere there are clustered ethnic minority communities, additional measures will be taken to ensure their involvement. This should include additional public consultation meetings conveniently located for attendance by those living in ethnic minority communities, and outreach to gather information and provide any necessary additional assistance. This will be done by the Implementing Agency, including involvement of the Bureau of Ethnic Minority and Religious Affairs. Where there are ethnic minority autonomous governments at the township or village level, these must be involved in all relevant activities.

4.2 Grievance Procedures

4.2.1 Any grievance or complaint from the persons affected by the project impacts will be solved in a timely and satisfactory manner. The RPs and EMDPs of the subprojects shall provide the grievance redress mechanism. The EA and IAs will ensure the people are aware of the procedures. The detailed grievance and redress mechanism and appeals process should be given in resettlement information brochures (RIBs) and other documents that will be disseminated during public consultations.

4.2.2 People can submit their grievance/complaint about any aspects of project implementation. Grievances can be submitted verbally or in written form, but in case of the verbal form, the related agencies will write it down in the first instance during the meeting without charge to the person making the complaint.

4.2.3 The grievance procedures presented in Table 4-1 will be followed in the resolution of any grievances or complaints during the implementation of the project. Those affected by project impacts also have all the rights to petition, to initiate litigation under the Administrative Liability Law, and all other rights based on relevant laws and regulations of the People's Republic of China.

4.2.4 The Bureau of Ethnic Minority and Religious Affairs will help to make sure that ethnic minority communities are aware of the grievance procedures, through providing information at subproject meetings. It will assist in ensuring that any complaints receive attention and are responded to, and also assist in monitoring implementation of measures agreed on to resolve problems. The grievance procedures and the role of the Bureau will be included in the EMDPs prepared for individual subprojects.

Table 4-1: Grievance and Redress Mechanism

Step 1	If people are aggrieved by any aspect of project implementation, they can lodge an oral or written grievance with implementing agencies. A written record should be made if the grievance is stated orally. Those agencies shall resolve the issues within two weeks.
Step 2	If aggrieved person is not satisfied with the decision on Step1, they can bring the complaint to PMO of each subproject who shall make a decision on the complaints within two weeks.
Step 3	If the aggrieved person is not satisfied with the decision of subproject PMO, they can appeal to EA (GMPO), and EA should make a decision on the complaint with two weeks.
Step 4	If the APs are still dissatisfied with the above decisions, they can appeal to the People's Court in accordance with Civil Procedure Act after receiving the decision.

5. Institutional Arrangements

5.1.1 As the Executing Agency, the Guiyang Project Management Office (GPMO) will be responsible for ensuring the preparation, implementation and monitoring of EMDPs in line with this EMDF. For specific subprojects, Implementing Agencies (IAs), most of which are County Water Resource Bureaus, will lead preparation of EMDPs. Specific tasks may be contracted to design institutes or other qualified institutions. If, during the course of the project there are significant changes in impacts on ethnic minority people and the types of impacts, then the plans (and if necessary, this framework) will be revised accordingly.

5.1.2 Subprojects are first prepared through the feasibility study stage, followed by subsequent stages of preliminary design, detailed design, construction and other implementation, followed by operation and maintenance. EMDPs will be prepared and approved by ADB prior to implementation. The GPMO will coordinate the process for submission of draft EMDPs to ADB, any necessary revision in response to ADB comments, GMG endorsement of EMDPs, and ensuring that the EMDPs are disclosed to the affected ethnic minority communities.

5.1.3 Implementing agencies, most of which are County Water Resources Bureaus, will have responsibility for carrying out activities in accordance with the project documents (PPTA Final Report, ADB Report and Recommendations to the President, Loan Agreement, and Project Administration Memorandum). This will include implementing the Ethnic Minority Development Plans. Where there are autonomous ethnic minority township or village governments present in the project areas, then they will be fully involved in implementation.

5.1.4 In addition to the core subprojects prepared with support from the PPTA, additional subprojects will be prepared according the guidelines in project documents including this Framework. As discussed above, Ethnic Minority Development Plans must be prepared for subprojects expected to have significant impacts on ethnic minority communities. In each stage, plans will be based on the project characteristics and the requirements of the state related departments and the ADB.

5.1.5 The ethnic minority development plan shall be composed of a series of activities, including mitigation of potential negative impacts, project design modification, and development assistance. In the ethnic minority group areas, if land acquisition occurs, the project shall ensure their rights are not infringed. It is necessary to consult their opinions and give them compensation in an acceptable manner. The content of the plan will depend on the extent of impacts and the measures needed to mitigate impacts and ensure the ethnic minorities fully benefit from the project. Table 5-1 shows the main items to be included in Ethnic Minorities Development Plans. If Ethnic Minority Actions are prepared, these will follow the same general format, but with content focused on the limited impacts to be addressed by the Action.

5.1.6 For sites where there is land acquisition or resettlement, the EMDP will report the relevant information, particularly measures taken to mitigate negative impacts on ethnic minority communities, consistently with the contents of the Resettlement Plans (RPs). The EMDP and RP will both consistently identify the relevant procedures for grievance redress and for monitoring.

5.1.7 The Ethnic Minorities Institute at Guizhou University provided useful suggestions during project preparation. Where relevant, they should be further consulted in preparation and implementation of EMDPs.

5.1.8 The EMDPs will include information on related government programs, making clear how these will complement or coordinate with the Project activities in the EMDPs. This will include operational coordination through inclusion of staff from the Bureau of Ethnic Minorities and Religious Affairs in implementation activities. Where subproject sites have

received priority or been allocated additional funds to support activities that support or complement GIWRMP, this will be identified in the EMDP.

Table 5-1: Contents for Ethnic Minorities Development Plan

Topic	Contents
Executive Summary	<ul style="list-style-type: none"> • Summary of the plan
Introduction	<ul style="list-style-type: none"> • Description of the Project • Description of the Subproject • Legal and Policy Framework • Objectives of the EMDP
Socioeconomic information	<ul style="list-style-type: none"> • Ethnic minority population in the subproject area • Livelihoods, income and poverty • Social organization • Existing government programs for ethnic minorities in the subproject area
Participation process and results	<ul style="list-style-type: none"> • Activities carried out to learn about the views of ethnic minorities about the subproject • Findings concerning aspirations and needs
Action plan	<ul style="list-style-type: none"> • Measures to avoid, mitigate, or compensate for the adverse project effects • Measures to ensure project benefits will accrue to indigenous peoples • Measures to strengthen social, legal, and technical capabilities of government institutions to address indigenous peoples issues • Involvement of local organizations and non-governmental organizations with expertise in indigenous peoples issues
Budget Allocation	<ul style="list-style-type: none"> • Activities and sources of funding
Monitoring and evaluation	<ul style="list-style-type: none"> • Indicators and procedures for monitoring of participation, benefits, and mitigation

5.1.9 As noted above, the implementing agencies (IAs) will have primary responsibility for ensuring the EMDPs are carried out, with oversight and support from the PMO. This will include Resettlement Plans, and assuring full participation in decision-making and in receiving project benefits, as well as any specific additional measures that may be specified in the EMDPs.

5.1.10 The county, district and city governments shall lead implementation support for on-going activities, such as technical training, agricultural structure adjustment, farmland improvement and small loans. All of these approaches shall be conducted as routine work of the local government, unquestionably, regardless there is a project or not, the local government should carry out these activities. Some related departments, such as civil and religion bureau, state land resources administration bureau, poverty alleviation office, forest bureau, agricultural bureau, women union (non-government organization under the government) and town government shall take part in implementing these activities.

6. Budget and Financing

6.1.1 Adequate budgets will be provided for preparation of EMDPs. Table 6-1 shows the core subprojects planned for the first round of implementation, their tentative classification in terms of impacts on ethnic minority communities, funding source for EMDP preparation and expected dates for completion of draft EMDPs to be submitted for ADB approval. Candidates list of core and non core subprojects are listed in Appendix A, EMDP classification of non core subprojects will be made and necessary budget will be allocated during the implementation of the Project.

Table 6-1 Initial Core Subproject EMDP Program

Subproject	District/County	Tentative EMDP Category	Funding source for EMDP preparation	Date for draft EMDP
Yudongxia Reservoir	Wudang	A	PPTA/PMO	July 2006
Jinlong Reservoir	Xiuwen	A	PPTA/PMO	July 2006
Liaojiuzhai Reservoir	Xifeng	C	PPTA/PMO	July 2006
Qiankanqing Irrigation Rehabilitation	Wudang	A	PPTA/PMO	July 2006
Small Scale Water Storage	Xifeng	C	PPTA/PMO	July 2006
Huaxi Soil and Water Conservation	Huaxi	A	PPTA/PMO	July 2006

6.1.2 The budget in the EMDP will identify all the relevant budget items and sources for activities in the EMDP. The EMDP budget will be reviewed and approved as part of the process for review and approval of the EMDP. During implementation, in accordance with the approach applied to ethnic minority development in the project, the budget is expected to be primarily provided through the regular implementation budgets for subprojects and for related government activities.

6.1.3 The IA together with the local government shall take necessary measures to estimate the ethnic minority group development budget based on the impact situation in the feasibility study report and the follow-up stages. In the practical implementation, budgeting could be adjusted according to the practical situation. Where necessary, specific funds will be provided in the EMDP and included in the project budget to implement specific actions in the EMDP in addition to those related to routine implementation and resettlement activities.

7. Monitoring and Evaluation

7.1.1 The project design includes monitoring and evaluation that will provide information on impacts on ethnic minority people, including external evaluation for resettlement activities. It is necessary to carry out monitoring and evaluation of the implementation on the ethnic minority development plan to ensure the plan could be implemented according to the determined target. The supervision and appraisal plan shall include:

- Collection of information on the project activities, outputs, outcomes and impacts, particularly those affecting ethnic minority people;
- Preparation of semiannual reports on progress in implementing the ethnic minority development plan;
- An external evaluation should also be conducted for the implementation of EMDP; and
- An annual review of EMDF and EMDP implementation, including independent experts.

7.1.2 The main data shall be the important indicators of project performance. The data collected shall be divided by gender and different ethnic minority groups as far as possible. Indicators will be determined in accordance with the specific conditions of each subproject. Some relevant indicators may include the following:

- Targeted village production value;
- Average income/person;

- Poverty rate;
- Asset possession situation of the selected village;
- Market price of agricultural products in the selected town and village;
- New business activities in the project constructed areas;
- Water supply and health quality improvement, and factors leading to improvements, for the selected town and village;
- Improvement and construction of new houses in the selected town and village;
- Technical and social economic services received (consultation frequency) for the selected village in the project construction areas; and
- Student numbers and those not attending school, classified by grade, gender, and ethnicity in the selected town.

7.1.3 Not all of the above mentioned indicators are suitable for every case. Some items are only relevant to the affected villages, while other items are suitable where the subprojects are constructed. A Baseline survey shall be carried out. This will include studying implementing mechanisms and other development examples as a priority for forecasting effects. The investigation shall be carried out in the areas which are in the vicinity of the project area.

7.1.4 The Implementing Agency shall be the primary responsible organization and shall lead in working out the supervision and appraisal plan. It shall entrust a professional and independent organization to do monitoring and appraisal. The IA shall coordinate the implementation organization and the local government to assist the consultant firms and specialists group to carry out the monitoring and evaluation.

7.1.5 The budget for monitoring and evaluation activities shall be listed in the project budget, including independent evaluations of EMPD implementation.

7.1.6 The Project will carry out a by-annual review of ethnic minority development, with support from the Bureau of Ethnic Minorities and Religious Affairs, and with support from independent experts. This will include compilation and analysis of relevant data concerning the impact of the project on ethnic minority people and preparation of recommendations regarding problems and solutions; and a workshop with the EA and IAs and other relevant agencies to discuss findings from the assessment and future action for ethnic minority development in the Project.

8. Procedural Arrangements

8.1.1 As mentioned above, resources have been allocated for preparation of EMDPs for the initial work program. After Loan Approval, preparation of further EMDPs will be done as part of regular project implementation, in conjunction with activities for subproject design, and with similar funding arrangements, including possible contracting of qualified institutions to prepare EMDPs. The EMDPs will identify the resources needed for their implementation. Endorsement of the EMDP by GMG will confirm commitment to provide the necessary resources for implementation.

8.1.2 EMDPs for subprojects with significant impacts will require approval by ADB. Reimbursement from the loan will not be allowed for subprojects where EMDPs have not been approved. ADB will determine the specific person responsible for certifying that EMDPs are in compliance, which may include the use of consultants and may include authorizing review of EMDPs prepared in Chinese (but English versions will still be required for posting on the ADB website).

8.1.3 Once draft EMDPs have been prepared, they will be submitted to ADB for review. If comments indicate the need for further revision, the PMO will coordinate activities for revision until a satisfactory version of the EMDP has been approved by ADB. The EMDP will

then be endorsed by GMG. The EMDP, in an English version, will be published on the ADB website. The EMDP will be disclosed to the affected people.

Appendix A Candidates List of Core and Non-Core Subprojects

Table 1: Reservoir Subprojects

No	Segment/Project Name	District/ County/ City	Storage Capacity (Mm ³)	Water Supply (1,000m ³ /y)	LA (ha)	AP	Cost ^a (CNY million)
A	Urban Water Supply		20.85	40,083	167.4	813	408.9
1	Yudongxia Reservoir *	Wudang	18.60	32,900	126.7	813	340.9
2	Wenggang Reservoir	Huaxi	1.44	4,420	18.3		38.4
3	Xiaolongtan Reservoir	Huaxi	0.81	2,763	22.4		29.6
B	Rural Water Supply & Irrigation		69.07	95,930.3	756.2	1539	1223.3
I	County Water Supply		14.20	12,234	83.3	6	148.4
1	Jinlong Reservoir *	Xiuwen	4.18	3,350	25.1		60.7
2	Jianchaogou Reservoir	Xifeng	1.34	2,577	9.3	6	43.1
3	Bai'an River Reservoir	Kaiyang	8.68	6,307	48.9		44.6
II	Township Water Supply		43.31	82,601	516.4	1520	849.6
1	Limu Reservoir	Huaxi	4.50	3,833	42.1		59.3
2	Jinjiaqin Reservoir	Wudang	1.09	250	14.3		18.9
3	Baizhitian Reservoir	Wudang	0.83	672	9.5		18.6
4	Chuandong Reservoir	Wudang	0.34	767	8.3		15.9
5	Beilongzhai Reservoir	Qingzhen	0.93	1,100	15.5		19.0
6	Hexi Reservoir	Qingzhen	1.26	820	20.3	36	29.6
7	Gejiazhai Reservoir	Qingzhen	8.25	24,480	103.1	45	129.0
8	Xiguan Reservoir	Qingzhen	4.83	10,111	103.2	1253	140.0
9	Machanghe Reservoir	Qingzhen	2.45	800	25.9		30.8
10	Zhongqilin Reservoir	Qingzhen	1.21	1,002	11.1		44.0
11	Shili Industrial Corridor	Xiuwen	0.40	5,210	18.2		59.5
12	Liangchahe Reservoir	Xifeng	9.50	25,800	59.7	60	125.5
13	Zhongba Reservoir	Xifeng	2.42	2,750	30.5	85	23.1
14	Majiaqing Reservoir	Xifeng	0.65	475	8.7		14.0
15	Gaodong Reservoir	Xifeng	0.74	1,325	10.1		62.0
16	Maozhulin Reservoir	Kaiyang	1.09	260	6.0		18.8
17	Shamulin Reservoir	Kaiyang	1.54	1,612	12.3		13.6
18	Jianshang Reservoir	Kaiyang	0.22	730	8.3	41	6.2
19	Zhanjiawan Reservoir	Kaiyang	0.72	434	8.1		13.0
20	Yunwan Reservoir	Kaiyang	0.35	170	1.2		9.0
III	Irrigation, Human & Livestock Water Supply		11.56	1,095.3	165.5	13	225.3
1	Yunguan Reservoir	Nanming	0.21		4.4		13.1
2	Pingshan Reservoir	Baiyun	0.37	26.1	6.7		5.7
3	Guanyingshan Reservoir	Huaxi	0.14	15.7	3.2		12.7
4	Daping Reservoir	Huaxi	0.45	46.7	0.9		11.3
5	Longqin Reservoir	Wudang	0.29		3.3		10.1
6	Daqin Reservoir	Wudang	0.52		5.4		8.8
7	Xintao Reservoir	Wudang	0.27	98.6	5.1		12.2
8	Damaixi Reservoir	Qingzhen	4.30	162.9	32.0		36.0
9	Ciguchong Reservoir	Qingzhen	0.27	154.0	15.1		18.9
10	Baixi Reservoir	Xiuwen	1.03		35.2		20.7
11	Huishui Reservoir	Xiuwen	0.24		4.1		10.1
12	Heying Reservoir	Xiuwen	0.70	93.5	7.0		7.0
13	Hualang Reservoir	Xiuwen	0.96		13.7		13.6
14	Chagou Reservoir	Xiuwen	0.57	62.6	8.3		6.5
15	Dayan Reservoir	Xiuwen	0.23	12.4	6.4		5.9
16	Linjiawan Reservoir	Xiuwen	0.29		3.5	13	9.7
17	Xinmin Reservoir	Xiuwen	0.10		2.7		2.7
18	Qingou Reservoir	Xiuwen	0.17	100.5	2.5		4.6
19	Liaojiuzhai Reservoir *	Xifeng	0.30		3.6		9.0
20	Xiaoshanhou Reservoir	Kaiyang	0.15	322.3	2.3		6.6

Table 2: Irrigation Rehabilitation Subprojects

No	Segment/Project Name	District/County/City	New Irrigation Area (ha)	Rehabilitation Area (ha)	No. of Project	LA (ha)	Cost ^a (CYN million)
	Irrigation System Rehabilitation		2,829.3	10,362.5	312	120.5	270.4
1	Shatian Irrigation System	Baiyun	130.0	342.0	1		11.8
2	Yanshan-Maijia Irrigation System	Baiyun		212.9	6		6.9
3	Huaxi Irrigation System	Huaxi		900.0	9		14.8
4	Wudang Midsize Irrigation System *	Wudang	464.1	1,834.1	36		53.5
5	Qingzhen Midsize Irrigation System	Qingzhen		3,078.5	15		65.3
6	Xiuwen Midsize Irrigation System	Xiuwen	1,901.8	1,154.0	209	112.0	71.6
7	Xifeng Midsize Irrigation System	Xifeng		700.0	14	3.7	14.8
8	Wengjing	Kaiyang	333.3	1,758.1	18	3.7	21.0
9	Yangchang	Kaiyang		382.8	4	1.1	10.9

Table 3: Soil Conservation and Water Resources Protection Subprojects^b

No	Segment/Project Name	Soil Erosion Control Area (km ²)	Cost ^a (CNY million)	District/County/City	Soil Erosion Control Area (km ²)	Cost ^a (CNY million)	Remark
	Soil and Water Conservation	800	240		800	240	
1	Upstream and Midstream of Nanming River Catchment	470	141	Huaxi *	230	69	Focus on Songbaishan Huaxi, Aha, Chenliang River, Yuliang River, and Yudongxia Reservoirs.
Xiaohe				20	6		
Nanming				6	2		
Wudang				214	64		
2	Maotiao River Catchment	150	45	Qingzhen	120	36	Primary for Hongfeng Lake and Baihua Lake Reservoirs
Wudang				30	9		
3	Water Resource Areas of Three Northern Counties	180	54	Xiuwen	60	18	Water resources for major townships
Kaiyang				60	18		
Xifeng				60	18		

Table 4: Small Water Storage Structures Subprojects ^c

No	District/ County/ City	Segment/ Project Name	Storage Capacity (1,000m ³)	New Irrigation Area (ha)	Benefited Populatio n	Benefited Livestock	No. of Tank	Cost ^a (CNY million)
	Small Water Storage		4,110	9,029.8	140,090	196,644	127,890	338.5
1	Huaxi	Irrigation	146	485.0			4,850	12.1
		Potable	150		19,000	24,340	5,000	15.0
2	Wudang	Irrigation	282	940.0			9,400	23.5
		Potable	83		10,450	11,840	2,750	8.3
3	Qingzhen	Irrigation	732	2,442.1			24,400	61.0
		Potable	114		14,070	16,900	3,800	11.4
4	Xiuwen	Irrigation	405	1,346.7			13,500	33.8
		Potable	273		32,240	48,546	9,100	27.3
5	Xifeng *	Irrigation	53	176.0			1,760	4.4
		Potable	66		8,360	8,828	2,200	6.6
6	Kaiyang	Irrigation	1,365	3,640.0			36,400	91.0
		Potable	438		55,480	85,600	14,600	43.8
7	Baiyun	Potable	4		490	590	130	0.4

AP = affected person, CNY = Chinese Yuan, ha = hectare, km² = square kilometers,
LA = land acquisition, m³ = cubic meters, Mm³ = million cubic meters.

* Core subprojects

^a Based on Project Proposal, except soil and water conservation subprojects as costs were updated from the Project Proposal during the LFF Mission.

^b Eight (8) subprojects were proposed.

^c Actual subproject scope will be based on the number of tanks needed by the village or a group of villages.