

# Ethnic Minority Development Plan

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June 2016

People's Republic of China: Qinghai Haidong  
Urban Rural Eco Development Project

Prepared by the Haidong Municipal Government for the Asian Development Bank.



## CURRENCY EQUIVALENTS

(as of 10 May 2016)

Currency unit	–	yuan (CNY)
CNY1.00	=	\$0.1534
\$1.00	=	CNY6.5169

## ABBREVIATIONS

ACWF	–	All China Women's Federation
ADB	–	Asian Development Bank
CEST	–	Community Environment Supervision and Education teams
CNY	–	Chinese yuan
EMA	–	external monitoring agency
EMDP	–	ethnic minority development plan
EMP	–	environmental management plan
ERAB	–	ethnic and religious affairs bureau
FGD	–	focus group discussion
GDP	–	gross domestic product
GRM	–	Grievance redress mechanism
ha	–	hectare
HMG	–	Haidong Municipal Government
HPMO	–	Haidong project management office
HRSSB	–	Human Resources and Social Security Bureau
IA	–	Implementing agencies
IEE	–	initial environmental examination
IP	–	indigenous people
km	–	kilometer
LAR	–	land acquisition and resettlement
LIEC	–	loan implementation environment consultant
m	–	meter
m <sup>3</sup>	–	cubic meter
M&E	–	monitoring and evaluation
MIS	–	management information systems
MSW	–	municipal solid waste
NRW	–	nonrevenue water
PIC	–	project implementation consultants
PIO	–	project implementation office
PIU	–	project implementation unit
PMO	–	project management office
PPMS	–	project performance monitoring systems
PPTA	–	project preparatory technical assistance
PRC	–	People's Republic of China
PSA	–	Poverty and social analysis
RP	–	resettlement plan
SGAP	–	social and gender action plan
SPS	–	ADB Safeguard Policy Statement (2009)
SR	–	safeguard requirement
TOR	–	terms of reference

WTP	–	water treatment plant
WWTP	–	wastewater treatment plant

## **WEIGHTS AND MEASURES**

1 hectare = 15 mu

### **NOTE**

In this report, "\$" refers to US dollars.

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# **ETHNIC MINORITY DEVELOPMENT PLAN**

**People's Republic of China: Qinghai Haidong Urban-Rural Eco  
Development Project**

Project Number: 48102-001 / PPTA 8846 – PRC

**Haidong Municipal People's Government**

May 2016

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## ENDORSEMENT LETTER

To further increase the basic infrastructure level and improve the living standards of the local residents for Haidong Municipal Government (HMG) has decided to construct Qinghai Haidong Urban-Rural Eco Development Project. The various basic construction documents and project construction landing use will get approval from relevant department of Qinghai Province. It is planed that the project construction will start in 2016 and complete in 2019. Haidong Municipal Government will apply a proportion of ADB financing via Ministry of Finance to cover part of engineering costs. Accordingly, the Project will be implemented in compliance with ADB social safeguard policies. Haidong City Project Management Office (HPMO) has prepared this Resettlement Plan (RP) and Ethnic Minority Development Plan (EMDP) for project.

The RP/EMDP fully complies with requirements of the relevant laws, regulations and policies of People's Republic of China, Qinghai Province and Haidong Municipal Government as well as complies with ADB's Safeguard Policy Statement (2009), specifically the policy requirements on resettlement and indigenous peoples.

Haidong Municipal Government and Haidong Project Management Office (HPMO) hereby affirm the content of this RP/EMDP dated in May 2016 and ensures that the RP/EMDP will be implemented as stipulated according to the principles. HPMO under HMG was authorized as the responsible agency to coordinate related agencies to implement the resettlement activities and minority development activities.

Haidong Municipal Government  
Chair of Haidong Municipal Government ADB Loan Project Leading Group  
(Stamp)

May 2016



Department  
Haidong Municipal People's Government

Sign

*[Handwritten signature]*

Date

2016.5.31



## **EXECUTIVE SUMMARY**

### **A. Introduction**

1. This Ethnic Minority Development Plan (EMDP) has been prepared to ensure that ethnic minority people are able to benefit equally from the Qinghai Haidong Urban-Rural Eco Development project (the Project), and that any negative impacts that might affect them are either reduced or mitigated. Adequate provisions to enhance the project benefits for minority groups have been integrated into the project design. Government policies and programs for minorities further help protect and enhance project benefits. The EMDP is based on relevant People's Republic of China (PRC) laws and regulations, and in accordance with ADB's Safeguard Policy Statement of 2009.

### **B. Project Description**

2. The Project will promote the sustainable social and environmental development of urban and rural areas of Haidong City, and will contribute to poverty reduction by improving river flood control capacity, protecting the eco-environment of the Huangshui River watershed, and improving domestic water quality, water resources utilization, and urban and rural integrated environmental management. The Project has a gross investment of \$232.79 million, including an ADB loan of USD150 million. The project is located in Ping'an and Ledu Districts, Haidong City. The loan will finance 64.44% of the project cost, including civil works, equipment, engineering installation, and project management capacity strengthened. Haidong Municipal Government (HMG) will finance \$82.79 million, 35.56% of the project cost.

### **C. Socioeconomic Characteristics of Ethnic Minorities**

3. Haidong City is located in northeastern Qinghai and has 18 ethnic minorities. 4 out of the 6 counties in Haidong City are minority autonomous counties. At the end of 2014, Haidong City had a population of 1.4434 million, including a minority population of 618,500, accounting for 42.85%; a Tibetan population of 132,400, accounting for 9.17%; a Tu population of 115,000, accounting for 7.97%; and a Hui population of 273,700, accounting for 18.96%.

4. The project components focus on urban and rural areas of Haidong City, with ethnic minorities forming about 10% of the direct project area population (217,000). There are 10,054 Hui people or 4.63% and 4,192 Tibetans or 1.93% of total population who will benefit from better access to public services and enjoy the improved living and business environment. Only the Urban-Rural Water Supply component involves direct benefits to minority communities. These are three Tibetan villages in Shihuiyao Xiang (Shiguasi, Shihuiyao, and Yima) with a total minority population of 370 accounting for 85.41%, 34.40%, and 40.69% of the total population in these villages respectively. The remaining minority population involved in the project lives in a

scattered manner in Gaodian, Gaomiao, Hongshui, Nianbo, and Yurun Towns in Ledu District, and Ping'an, Sanhe, and Xiaoxia Towns in Ping'an District.

5. The poverty and social analysis (PSA) showed that those ethnic minority populations living in cities, towns and nearby rural areas have socioeconomic standards quite similar to Han, while maintaining their distinct customs, language and religion. For ethnic minority populations living in more remote and mountain rural areas, most maintain very distinctive customs, some are pastoral, most have lower socioeconomic standards and many are vulnerable. For three Tibetan villages, they are similar to the first group; there is little difference in socioeconomic standards and livelihoods between them and Han people. However, there are differences in dressing, diet, religion, and language, although these Tibetans can communicate with each other in Mandarin or Haidong local language.

#### **D. Project Impacts and Benefits**

6. Ethnic minority residents will enjoy the benefits created by the project similar to Han. The resettlement plan indicates no ethnic minority people will be affected by land acquisition and resettlement. Some ethnic minorities will experience environmental impacts which need to be mitigated, as stipulated in the Environmental management Plan; no special measures are deemed necessary for ethnic minorities.

7. The component benefits include (i) River Rehabilitation: Reducing water loss and soil loss arising from flood washing, and the total volume of sediments discharged downstream, and increasing local vegetation coverage will play a positive role in the ecological restoration and balance of the project area. (ii) Rural Water Supply and MSW Management Infrastructure Construction involves 3 Tibetan villages (Yima, Shiguasi and Shihuiyao) in Shihuiyao Xiang, Ping'an District, and will realize stable water supply and improve water quality, thereby ensuring the water hygiene and safety of local minority residents, reducing incidences of waterborne diseases, and meeting their water supply demand; (iii) Water and soil erosion protection in Haidong city and surrounding: This will help to protect the ecological environment, improve environmental quality, protect the physical and mental health of minority residents, promote water and soil conservation, rehabilitate riverside wetlands, and reduce natural disasters.

#### **E. Consultation and Disclosure**

8. Meaningful consultations were conducted with ethnic minorities and project stakeholders during EMDP preparation. Ethnic minorities' needs, concerns and suggestions have been taken into account during the EMDP preparation. The EMDP defines a detailed action plan and a grievance redress mechanism (GRM), which have been discussed and agreed upon with HPMO and IAs, and disclosed to ethnic minorities in project areas. At the implementation and operation stage, consultation with minority villagers will be conducted in a timely and culturally appropriate

manner, and a sound participatory monitoring and evaluation mechanism will be established; a public hearing on water supply will be held, including ethnic minority villagers. Subsequent project information will be disclosed via newspapers, websites, etc.

#### **F. EMDP Action Plan**

9. A detailed action plan, which is combined with local government funding, has been prepared for this EMDP. For the three Tibetan villages, a target of 15% for ethnic minorities and the poor, to participate in the employment and 50% to participate in environmental public awareness program and health safety education program of the project. The plan focuses on measures to facilitate the inclusion of ethnic minorities in all project activities, and ensure that their customs and beliefs are respected throughout project implementation, and that benefits are inclusive and culturally appropriate.

#### **G. Implementation and Institutional Arrangements**

10. HMG has endorsed the EMDP. The HPMO and implementing agencies are responsible for implementing the EMDP and coordinating with other relevant agencies for implementing the Action Plan. Other key agencies for implementation include the Haidong and Ledu district and Ping'an district Ethnic Minority and Religious Affairs Commission, All China Women Federation, Water Affair Bureaus, and Townships government. In addition, contractors and enterprises, and banks are also the organizations to be involved for the implementation of the EMDP. The Ethnic Minority and Religious Affairs Office of Haidong Municipal will provide advisory support and review the internal monitoring reports on implementation progress. Implementation arrangements for the EMDP Action Plan have been integrated into the overall Project management, and some enhancement measures are part of ongoing government programs.

#### **H. Budgeting and Financing Sources**

11. Some of the EMDP activities will be funded from the Project institutional capacity building and management line, which is USD 2.2 million yuan. In addition, the Haidong Ethnic Minority and Religious Affairs Commission has agreed to support the project ethnic minority women skills enhancement program, environmental public awareness and health safety education program, and 3 Tibetan villages agriculture characteristic crops development program from the their ethnic minority development funds.

#### **I. Monitoring and Evaluation**

12. Monitoring and evaluation (M&E) of the EMDP is required to ensure the plan is implemented properly. Objectives of the EMDP monitoring and evaluation are: (i) to identify project impacts and to ensure that appropriate participatory approaches have been adopted, and

the involvement of ethnic minority men and women in this planning and implementation has been achieved. The Project implementation consultant (PIC) social development specialist will work with HPMO and IAs to set up an appropriate internal monitoring system that is participatory, with key indicators to be reflected in the project performance monitoring system (PPMS). The HPMO will conduct a monitoring of the EMDP and report the findings in the project progress reports. The EMDP will be monitored also by the external resettlement and social monitor and reported to HPMO and ADB semi-annually.

## 1. OVERVIEW

### 1.1 Project Background and Context

1. Qinghai, located in western China. The resident ethnic minorities in Qinghai are Tibetan, Hui, Tu, Salar, and Mongolian. At the end of 2014, Qinghai Province had a resident population of 5.8342 million, including a minority population of 2.6432 million; accounting for 45.31%. Haidong City is located in northeastern Qinghai and has 18 ethnic minorities. At the end of 2014, Haidong City had a population of 1.4434million, including a minority population of 618,500, accounting for 42.85%.

2. In 2014, Qinghai Province's gross domestic product (GDP) was 230.112 billion yuan, up 9.2% year-on-year, in which the output value of primary industries was 21.593 billion yuan, up 5.2%. Per capita GDP was 39,633 yuan, up 8.2%. Haidong City is situated in the watershed of the Huangshui River, the largest tributary of the Yellow River, running through Ping'an and Ledu Districts, Haidong City. Currently, both districts are faced with such challenges as increasing flood risks, insufficient river flood control capacity, degrading ecological resources, shortage and low utilization rate of water resources, unsecured quality of urban and rural water supply, and poor urban and rural sanitation.

### 1.2 Description of the Project

3. The project will strengthen the protection of the Huangshui River and its watershed, relieve water shortage, and improve flood control capacity and environmental sustainability. The Project has a gross investment of \$234.3 million. It is planned that ADB will provide a loan of USD150 million and the remainder will be financed from haidong Municipal Government. The project components are located in Ping'an and Ledu Districts, Haidong City.

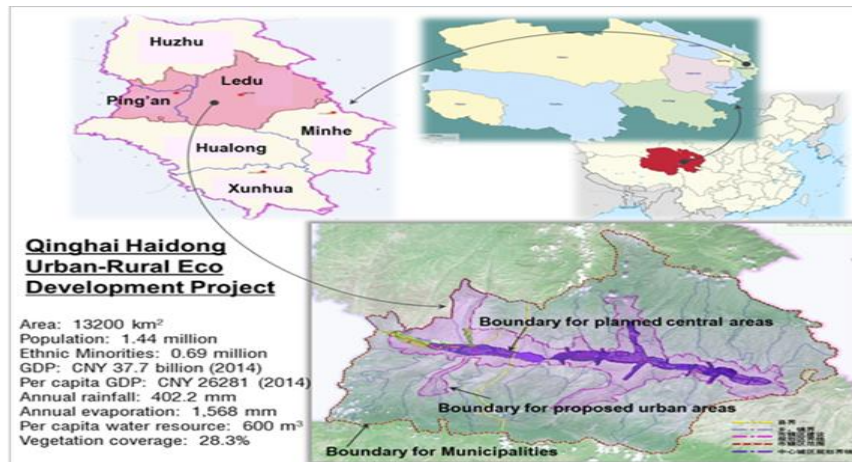


Figure 1-1 Location Map of the Project Area

4. The project consists of four components: River Rehabilitation, Eco-environment Protection and Restoration, Rural Water Supply and MSW Management Infrastructure Construction, and Project Management and Capacity Building. (1) River Rehabilitation consists of five parts: the Ping'an segment, Ledu urban segment, Ledu non-urban segment, river front shelter forest (Figure 1-2) and Yizhou wetland (Figure 1-3). (2) Eco-environment Protection and Restoration consist of mountain boundary shelter forest construction in Ping'an District, and the Ping'an WWTP Water Reclamation Work - Phase 2 (Figure 1-4). (3) Water Supply and MSW Management Infrastructure Construction consists of the urban-rural water supply (Figure 1-6), and Ledu landfill reconstruction and expansion (Figure 1-5). (4) Project Management and Capacity Building: designed to ensure the effective operation of the EA and IAs, e.g., flood management basin planning, water conservation, sponge city practice, water quality control, response to climate change, and wetland management. See Table 1-1.



**Figure 1- 2 Location Map of the River Rehabilitation Component**



**Figure 1- 3 Location Map of the Yizhou Wetland Reserve**



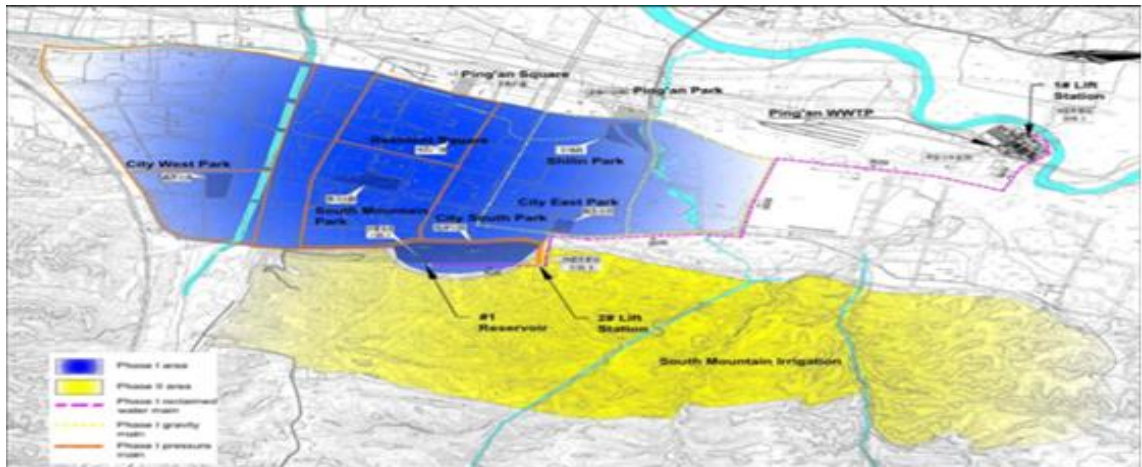


Figure 1- 4 Proposed Site of the Ping'an WWTW Water Reclamation Work (Phase 2)

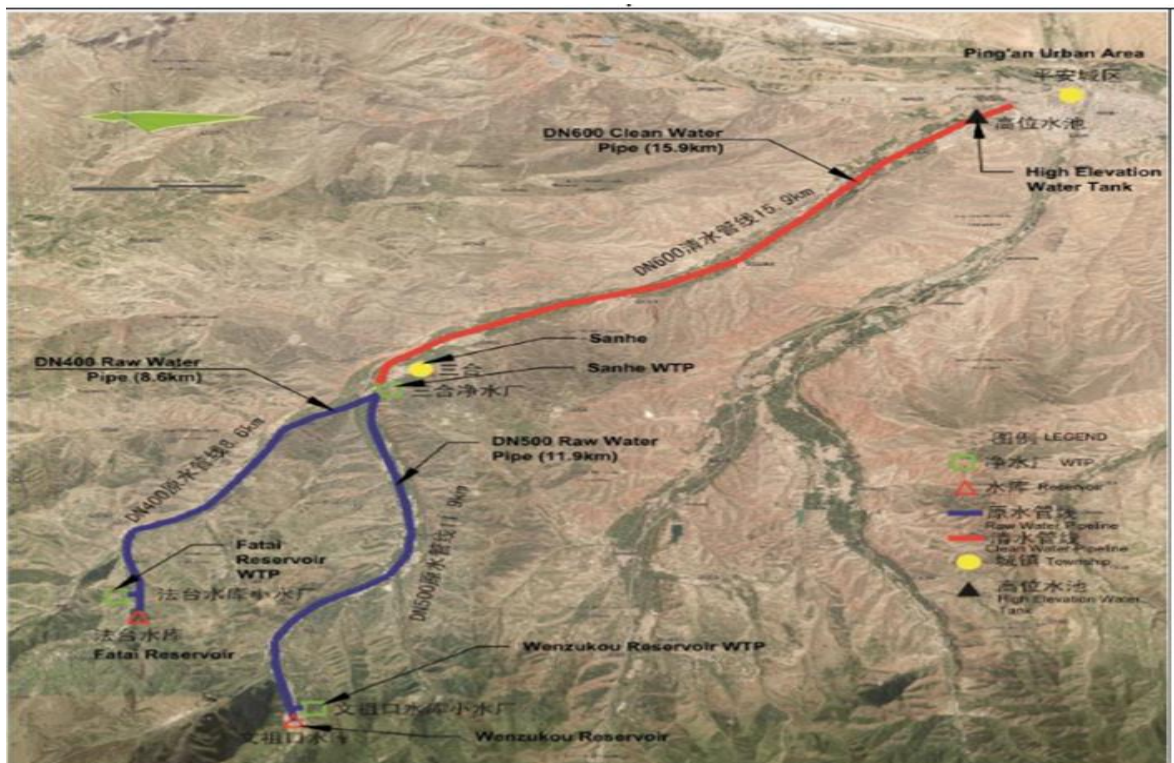
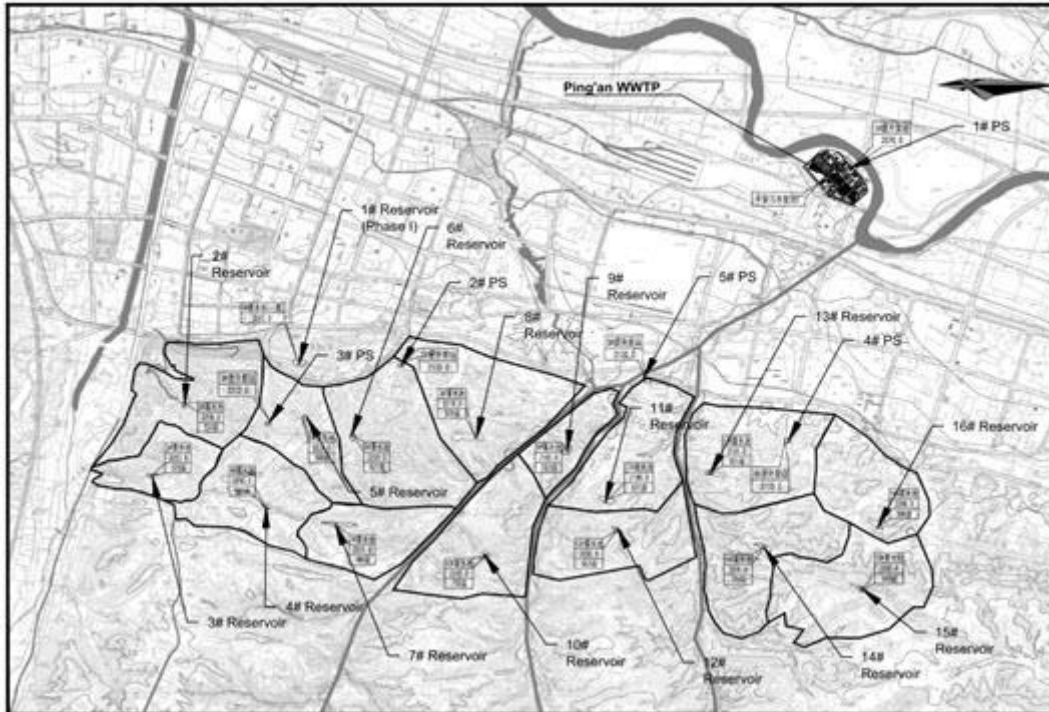
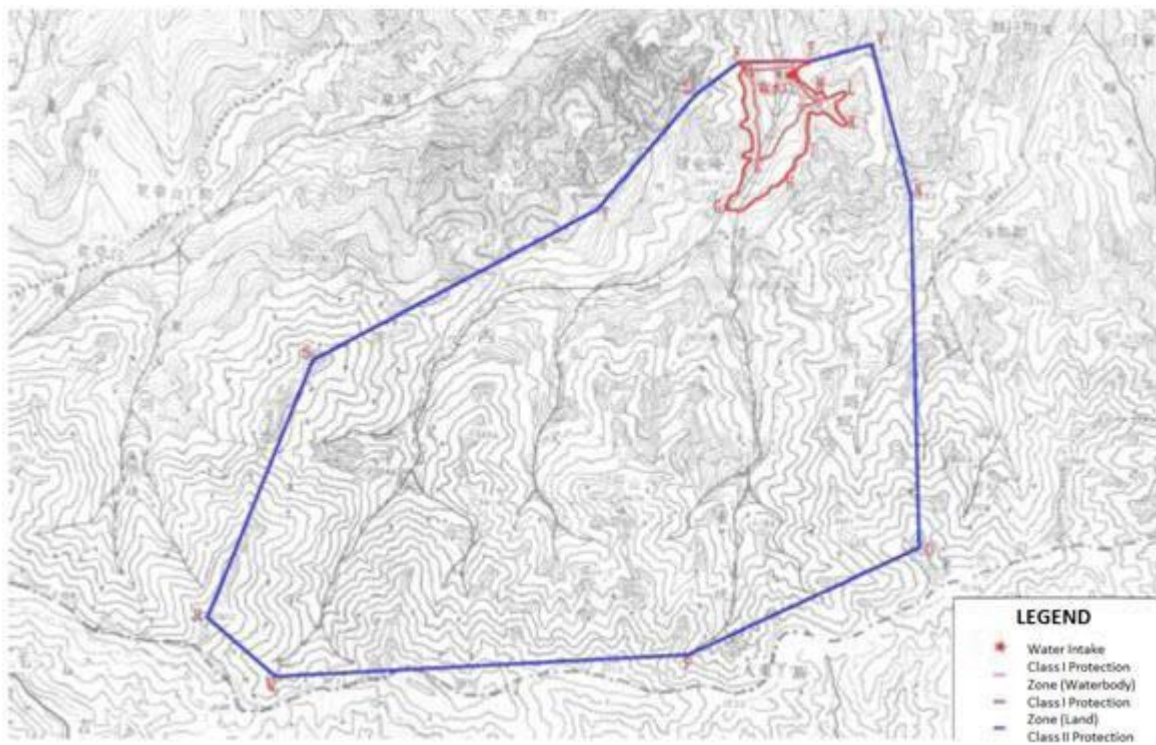


Figure 1- 5 Proposed Site of the Landfill





**Figure 1-7: Internal Layout of South Mountain Irrigation Area**



**Figure 1-8: Wenzukou Reservoir Water Resource Protection Zoning Map**



**Table 1-1 Project components**

<b>Project Outputs and Components</b>	<b>Description</b>	<b>Cost (CNY million)</b>
<b><i>Output 1: Integrated flood plain management infrastructure for Huangshui River provided</i></b>		
1.1 Huangshui River Channel Ping'an Segment	Embankment and blockage removal along the Huangshui River Channel: a) Xiaoxia Segment: (1) from Gaolong Hydropower Station Diversion Channel to the Haidong Industrial Park New Retaining Wall, on the south bank, total length 3980 m embankment; (2) 2 km of embankment at tributary mouth and construction of 3 water culverts. b) Shangtan Segment: (1) 2,300 m embankment on the north bank Shangtan Bridge to the Xidao; (2) 2,980 m embankment from downstream Shangtan bridge to Xidao on the south bank; (3) Blockage removal of 100,000 m <sup>3</sup> ; (4) 1 km of embankment at tributary mouth and construction of 3 water culverts. c) Zhangjiazhai Segment: (1) 2,070 m embankment on the north bank from the Dongtou Village to the Shuimogou Channel; (2) 2,350 m embankment on the south bank from the Dongzhuang Village to the Bazanggou Channel; (3) 3 km of embankment at tributary mouth and construction of 4 water culverts.	159.75
1.2 Huangshui River Channel Ledu Urban Area Segment	Embankments along the Huangshui River Channel: 15 km embankment on both sides of the Huangshui River Channel (7.5 km on each side) from Haidong Avenue Number One Bridge to the Shuimoying Bridge. Enhancement of riverside park areas comprising recreation areas, parklands and wetlands. 116 ha.	290.00
1.3 Huangshui River Channel Ledu Rural Area Segment	Embankment and blockage removal along the Huangshui River Channel: a) Hetanzhai to Haidong Avenue No.1 Bridge Segment: (1) 5,970 m embankment on the north bank from Shuimogou Channel to Haidong Avenue No.1 Bridge; (2) 5,300 m embankment on the south bank from the Bazanggou Channel to Haidong Avenue No.1 Bridge; (3) 5 km of embankment at tributary mouth and construction of 8 water culverts. b) Shuimoying Bridge to Lubanting Bridge Segment: (1) 11,780 m embankment on the north side; and (2) 16,300 m embankment on the south side; (3) 5 km of embankment at tributary mouth and construction of 20 water culverts; (4) total blockage removal volume of 30,000 m <sup>3</sup> .	372.88
1.4 Ping'an District Huangshui River Riverside Green Belt	Construction of Ping'an District Huangshui River Riverside Green Belt a) New Urban Area Segment: Starting from east of Pinganxin Park in the west and ending at Qijiachuan River, on the south side of Huangshui River Channel. Total area 13.5 ha of green belt. b) Main Urban Area Segment: Starting from Qijiachuan River in the west, and ending at Yizhou Wetland in the east, on the south side of Huangshui River Channel. Total area 8.5 ha of green belt. c) Eastern Segment: Starting from Zhangjiazhai Bridge in the west, and ending at Shuimogou Channel, on the north side of the Huangshui River Channel; and starting from Yizhou Wetland in the west and ending at Bazhanggou, on the south side of the Huangshui River Channel. Total area 49.2 ha of green belt.	106.15
1.5 Yizhou Wetland Area	A wetland park with a total area of 20 ha (constructed wetlands (10.88 ha), wetland recreational area (4.43 ha) and a science-education area (4.69 ha). West side from the intersection of Lan-Xi highway and Huangshui River opposite Baima temple, and east side to intersection of Lan-Xi highway and Huangshui River near Xidao.	115.84
<b><i>Output 2: Haidong urban catchment soil erosion control measures implemented</i></b>		
2.1 Ping'an District Mountain Edge Shelterbelt	Construction of Ping'an District Mountain Edge Shelterbelt. a) Haidong New Urban Area segment: starting from the Sanshilipu in the west, and ending at Sanhe Avenue in the east, total area of 62.2 ha of shelterbelt. b) Ping'an Urban Area and Eastern Area Segment: Starting from the Qixingtai Park in the west and ending at Bazanggou in the east, total area of 42.5 ha of shelterbelt.	154.49
2.2 Ping'an WWTP Water Reclamation	Expansion of pipeline network from Ping'an WWTP for South Mountain Landscaping Water Irrigation System with total reclamation capacity of 9,500 m <sup>3</sup> /d, including 3 pump stations, 76.4 km of pipes and 15 water storage tanks.	101.78
<b><i>Output 3: Rural Water Supply and urban solid waste infrastructure constructed</i></b>		

<b>Project Outputs and Components</b>	<b>Description</b>	<b>Cost (CNY million)</b>
3.1 Wenzukou Reservoir and Fatai Reservoir Water Supply	Construction of Fatai Reservoir WTP (1,500 m3/day); Wenzukou Reservoir WTP (1,500 m3/day), Sanhe Township WTP (20,000 m3/day), raw water conveyance pipelines, and distribution pipelines.	119.25
3.2 Ledu Sanitary Landfill Expansion	Construction of the Phase 3 and Phase 4 of the landfill, with capacity of 850,000 m3.	72.80
<b>Output 4: Project management capacity strengthened</b>		
4.1 Capacity building and institutional strengthening of EA/IAs	Consulting service, training and equipment upgrade aimed at strengthening EA and IA's capacity in project implementation and operational management to ensure smooth project implementation and sustainability in future operation.	22.24

MSW = municipal solid waste; WTP = water treatment plant; WWTP = wastewater treatment plant.

### 1.3 Ethnic Minorities in PRC and Qinghai

5. There are 55 minority nationalities or ethnic groups officially recognized in PRC, which collectively constitute about 9% of the total population. Since 1949, the Government of the PRC has defined ethnic nationalities on the base of shared language, territory, economic base, and traditions/culture. Under this definition, the Han constitute the major nationality in the PRC. Some minority nationalities have become assimilated to some degree with the Han culture, adopting the language and traditions of the latter, for example, Manchurians, but they are still recognized as a national minority group.

6. Qinghai Province is inhabited by multiple ethnic groups, and it is one of the cradles of minority population in northern China. Qinghai has 33 ethnic minorities. Among the ethnic minorities, Tibetan, Hui, Tu, Salar and Mongolian have a population of over 10,000 each. These ethnic groups are quite distinctive.

### 1.4 Ethnic Minorities in Haidong City and Project Areas

7. At the end of 2014, Qinghai Province had a resident population of 5.8342 million, including a minority population of 2.6432 million, accounting for 47%; a Tibetan population of 1.3751 million, accounting for 23.57%; a Hui population of 834,300, accounting for 14.30%; and a Tu population of 204,400, accounting for 3.50%. At the end of 2014, Haidong City had a population of 1.4434 million, including a minority population of 618,500, accounting for 42.85%; a Tibetan population of 132,400, accounting for 9.17%; a Tu population of 115,000, accounting for 7.97%; and a Hui population of 273,700, accounting for 18.96%.

8. The project involves 10 townships in Ledu and Ping'an Districts, which are Nianbo, Gaodian, Yurun, Hongshui and Gaomiao Towns in Ledu District, and Ping'an, Xiaoxia and Sanhe Towns, and Shihuiyao Xiangs in Ping'an District, and beneficiary population of 217,000, including 195,109 Han people, accounting for 89.91%; 10,054 Hui people, accounting for 4.63%; 4,192 Tibetans, accounting for 1.93%; and 3,378 Tu people, accounting for 1.56%. See Tables 1-2 and 5-1.

9. Only the Urban-Rural Water Supply component directly benefits ethnic minority communities. There are 370 Tibetans in 3 villages in Shihuiyao Xiang (Yima, Shiguasi and Shihuiyao). Mayi Village has 83 households with 231 persons, including 94 Tibetans, accounting

for 40.69%; Shihuiyao Village has 76 households with 343 persons, including 118 Tibetans, accounting for 34.40%; and Shiguasi Village has 40 households with 185 persons, including 158 Tibetans, accounting for 85.41%; 2) The remaining minority population involved in the Project lives in a scattered manner in Nianbo, Gaodian, Yurun, Hongshui and Gaomiao Towns in Ledu District, and Ping'an, Xiaoxia and Sanhe Towns in Ping'an District. For details on beneficiaries, see Section 5.1

**Table 1-2 Direct Beneficiary Areas and Populations of the Components**

District	Component	Directly affected areas	Directly affected population	Remarks
Ledu	River Rehabilitation	Nianbo, Gaodian, Yurun, Hongshui and Gaomiao Towns	140000	
	Urban-Rural Environment Rehabilitation	Main urban area of Ledu District	100000	
Ping'an	River Rehabilitation	Ping'an Town, Xiaoxia Town	65000	
	Eco-environment Protection and Restoration	Ping'an Town, Xiaoxia Town	65000	Overlapping with the population affected by River Rehabilitation
	Urban Water Reclamation	Ping'an Town	48000	
	Urban-Rural Water Supply	18 villages in Sanhe Town and Shihuiyao Xiang; Ping'an Town	12000	(Excluding overlap)
Total			217000	(Excluding overlap)

Source: Statistical Yearbook of Haidong City (2014), Statistical Yearbooks of Ledu and Ping'an Districts (2014)

10. In terms of potential adverse impacts, the poverty and social analysis and stakeholders' consultations have indicated that no land acquisition and resettlement impacts on ethnic minorities will occur. However, the water supply component will have some environmental impact on those three villages. A detailed water balance analysis has been conducted by the design institute, which confirmed that there would not be any adverse impacts on farmers except in dry years. However, the design ensures that the rural water use for irrigation (the original purpose of the Fatai Reservoir) is a priority. In addition, a detailed water use plan will be developed by the loan implementation consultant (requested in the IEE) to ensure the sufficient water for rural areas, including for three Tibetan villages. Thus, the potential adverse impact has been addressed in IEE, and no special measures are needed for the ethnic minorities.

## **2. OBJECTIVES AND LEGAL FRAMEWORK OF EMDP**

### **2.1 Objective of the EMDP**

11. This EMDP has been prepared to involve minority residents in project preparation and implementation, ensure that they benefit from the Project in a culturally appropriate manner, and reduce or mitigate negative impacts. This EMDP describes their demographic, social and cultural features, and needs, the Project's impacts on them, and measures to ensure that they benefit in an inclusive manner and that negative impacts are minimized and/or mitigated. This EMDP includes measures to improve living standard (especially for women and the poor) protect their cultures and traditions, support vulnerable groups, alleviate negative impacts, etc.

12. The EMDP actively strives to incorporate mechanisms into the project component

planning and design that will ensure the inclusive or enhanced enjoyment of project benefits by ethnic minority groups. Such an approach recognizes that even programs that are aimed at improving quality of life (i.e. modern sanitation) do not necessarily reach all sectors of the community.

## **2.2 Legal Framework**

### **2.2.1 Government Policy, Plans and Programs Concerning Ethnic Groups in the People's Republic of China**

13. After 1949, the Government of PRC adopted a policy of ethnic equality, in which all groups are treated as legally and constitutionally equal. However, given the poorer social and economic conditions of most minorities, the government has subsequently adopted a policy of supporting minority groups to help them 'catch up' with the mainstream population of the Han. To implement this policy, the government first clarified, enumerated and mapped the identity of ethnic groups. PRC post-1949 policy defines nationalities in very precise terms, based on, inter alia, shared language, territory, economic base, and traditions / culture. Under this definition, the Han constitute the dominant nationality in the PRC. The autonomous minority prefectures and counties that have been established are concentrated in three provinces (Guizhou, Yunnan, and Qinghai provinces) and the five minority autonomous regions. The 1954 Constitution specified mechanisms for exercising autonomy in minority areas. Minority autonomous areas have representation in government bodies at all levels, and government subsidies have been substantial in the following areas: special access to relief funds, loans, subsidies and tax relief. Since the early 1980s, governments of autonomous areas have also been able to decide on economic policy, including what to produce. They have some latitude in allocating government subsidies, and within set guidelines, education and budgeting based on the Law of Ethnic Regional Autonomy (1984).

14. In 2012, the State Council issued the Twelfth Five-Year Plan of Ethnic Minority Affairs (Plan). During the period of Twelfth Five-Year Plan, the country will focus on to deal with the problems of Ethnic Minority Affairs, to adopt special policy measures, to strength the efforts on Ethnic Minority Affairs. The main goals of the plan are: decrease the gap between per capita GDP with the national level; increase the living standard of ethnic groups; reduce the income gap between urban-rural residents with national level; improve the public service capability, education, cultural service, health care and social security; protect the ethnic minority culture; and improve the national policy system theory and national legal system and improve the service system of Ethnic Affairs. Minority people also benefit from points score system, which places them in a higher rank than the main stream Han for university admissions.

### **2.2.2 Government Policy Concerning Ethnic Groups in Qinghai Province**

15. This EMDP has been prepared in accordance with the applicable laws and regulations of the PRC on ethnic minorities, the applicable regulations of Qinghai Province, and ADB's policy on requirements for indigenous peoples<sup>1</sup> as stipulated in safeguard requirement (SR) 3 of the Safeguard Policy Statement (2009). The main policies include the applicable laws and regulations of the PRC, the applicable regulations of Qinghai Province, and the state supporting policy, the regional development plans of Qinghai Province and Haidong City, and the ADB policy. See Appendix 1 for details. The policies and regulations of the PRC on ethnic minorities address

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<sup>1</sup> ADB's policy requirements for indigenous peoples include ethnic minority groups which is applicable in the case of the PRC.

many of ADB's concerns about ethnic minorities, i.e., to pay attention to the equality and development of ethnic minorities, and pay special attention to the development of their economic, social and cultural programs in order to maintain their rights and interests, and improve their socioeconomic status and respect, dignity and empowerment. The policies of Qinghai Province on ethnic minorities aim to improve the economic level of the minority population and areas in the province, improve the living quality and well-being of the minority population, protect their lawful rights and interests, and strengthen equal, united and harmonious relations among ethnic groups. The policies of the PRC and ADB also focus on public participation, consultation and actions to ensure policy objectives and principles are realized. At the preparation, implementation and monitoring stages, minority residents' opinions, attitudes and expectations should be taken into account seriously. This requires that attention should be paid to public participation during the whole project lifecycle, especially women, the poor and other vulnerable groups, to ensure that they can benefit from the Project in a culturally appropriate manner.

### **2.2.3 Ongoing Ethnic Minority Projects in the Project Area**

16. After the completion of the Project, the realization and maximization of its social benefits will rely on ongoing and subsequent development projects in the project area. See Appendix 2 for details. Such projects fall into the following types: 1) science and technology extension projects; 2) poverty reduction projects; 3) drinking water safety and basic farmland irrigation projects; 4) crop cultivation training projects; and 5) other projects.

### **2.2.4 ADB's Policy Requirements on Indigenous Peoples**

17. Indigenous peoples (IP) in ADB's Safeguard Policy Statement (SPS) (2009)/SR-3 is defined as groups with social or cultural identities distinct from that of the dominant or mainstream society (for this project the mainstream society is the Han). It is a generic concept that includes cultural minorities, ethnic minorities<sup>2</sup>, indigenous cultural communities, tribal people, natives, and aboriginals. The ADB's SPS recognizes the potential vulnerability of indigenous peoples in development processes. The policy works to ensure that indigenous peoples have opportunities to participate in and benefit equally from development. Accordingly, project activities must ensure that development initiatives affecting indigenous peoples are effective, sustainable, and culturally appropriate. Initiatives should be compatible in substance and structure with the affected peoples' culture and social and economic institutions, and commensurate with the needs, aspirations, and demands of affected peoples. Initiatives should be conceived, planned, and implemented, to the maximum extent possible, which including consultation with affected communities to ensure respect for indigenous peoples' dignity, human rights and cultural uniqueness. Projects must avoid negatively affecting indigenous peoples, and provide culturally adequate and appropriate mitigation when a negative impact is unavoidable. Project strategies and approaches to development that affect indigenous peoples must include clear mechanisms for accurate, objective analysis of their circumstances. Development processes must incorporate transparency and accountability, and encourage the participation of ethnic minorities in project design and implementation.

## **3. ETHNIC MINORITIES IN THE PROJECT AREA**

### **3.1 Overview of the Ethnic Minorities**

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<sup>2</sup> The PRC does not recognize people as "indigenous" but they do recognize ethnic groups, which can trigger ADB's IP policy requirements. We agree to use the term "ethnic minorities" rather than IPs.

### **3.1.1 Overview of the Ethnic Minority Population in Qinghai and Haidong**

18. Qinghai Province has 55 ethnic minorities, and ranks third in terms of minority population proportion among all provinces and autonomous regions of China. Haidong City is located in northeastern Qinghai and has 18 ethnic minorities. Four out of the six counties in Haidong City are minority autonomous counties. Ping'an District governs three towns and five minority towns/townships (xiangs), which are Ping'an, Xiaoxia, and Sanhe Towns, and Hongshuiquan, Shihuiyao, Gucheng, Shagou, and Bazanggou Hui Xiangs. Ledu District governs one subdistrict, seven towns, and 12 xiangs. At the end of 2014, Qinghai Province had a resident population of 5.8342 million, including a minority population of 2.6432 million, accounting for 47%; this includes: a Tibetan population of 1.3751 million, accounting for 23.57%; a Hui population of 834,300, accounting for 14.30%; and a Tu population of 204,400, accounting for 3.50%.

### **3.1.2 Overview of the Ethnic Minority Population in the Direct Project Area**

19. The project involves 10 towns/townships in Ledu and Ping'an Districts, which are Nianbo, Gaodian, Yurun, Hongshui and Gaomiao Towns in Ledu District, and Ping'an, Xiaoxia and Sanhe Towns, and Shihuiyao Xiangs in Ping'an District, and beneficial population of 217,000, including around 10% of ethnic minority population, 10,054 Hui people, accounting for 4.63%; 4,192 Tibetans, accounting for 1.93%; and 3,378 Tu people, accounting for 1.56%.

20. Only the Urban-Rural Water Supply component direct benefits minority communities. There are 370 Tibetans living in 3 Tibetan villages in Shihuiyao Xiang (Yima, Shiguasi and Shihuiyao) a Mayi Village has 83 households with 231 persons, including 94 Tibetans, accounting for 40.69%; Shihuiyao Village has 76 households with 343 persons, including 118 Tibetans, accounting for 34.40%; and Shiguasi Village has 40 households with 185 persons, including 158 Tibetans, accounting for 85.41%; 2) The remaining minority population involved in the Project lives in a scattered manner in Nianbo, Gaodian, Yurun, Hongshui and Gaomiao Towns in Ledu District, and Ping'an, Xiaoxia and Sanhe Towns in Ping'an District.

21. In terms of potential adverse impacts, the poverty and social analysis and stakeholders' consultations have indicated that no land acquisition and resettlement impacts on ethnic minorities will occur. However, the water supply component will have some environmental impact on these three villages. A detailed water balance analysis has been conducted by the design institute, which confirmed that there would not be any adverse impacts because the water use plans will prioritize supply to existing users.

## **3.2 Ethnic Minority Groups in the Project Areas**

### **3.2.1 Hui People**

22. The Hui people are good at doing business, and boast the characteristic "hand-drawn noodle economy". Many Hui people in the project area run hand-drawn noodle restaurants in coastal regions. The Hui people believe in Islam, and speak and write in Chinese. For them, a mosque is not only a religious place, it's also a political, economic and cultural center. According to the questionnaire survey, 90.2% of family decisions on buying daily necessities are made by women, 53.7%, 63.4% and 75.6% of those on buying household electric appliances, where to travel, and buying houses and cars are made by men. Only 4.9% of the female Hui respondents are responsible for earning money, while this percentage is 70.7% among the males.



### **3.2.2 Tibetans**

23. The local Tibetans are influenced deeply by the surrounding Han and Hui people in livelihood, diet, clothing and language. Compared to Tibetans in pastoral areas, the Tibetans in Ping'an and Ledu Districts deal with crop agriculture mainly, similar to the local Han and Hui people. They believe in Tibetan Buddhism. According to the questionnaire survey, 66.7% of family decisions on buying daily necessities, gifts, crops, fertilizers, etc. are made by women, and 66.7% of those on buying household electric appliances, and buying houses and cars are made by men. 66.7% of the male Tibetan respondents are responsible for earning money, while this percentage is 33.3% among the females.

### **3.2.3 Tu People**

24. The Tu people live mainly north of the Huangshui River, on both sides of the Yellow River, and in neighboring areas in eastern Qinghai, mostly in Huzhu Tu Autonomous County, and Minhe, Datong, Ledu and Tongren Counties in Qinghai. The daily diet of the Tu people in Qinghai consists mainly of barley, pickled cabbage, meat, milk tea and butter noodles, supplemented by vegetables. Most of Tu people brew barley wine at home. The Tu people pay attention to dietary health. At a meal, everyone has his/her own dishware. Most Tu people believe in Tibetan Buddhism.

## **4. POVERTY IN THE PROJECT AREA**

### **4.1 Poverty of Ethnic Minority People in project areas**

25. Based on the rural poverty line of 2,300 yuan per capita per annum, China had a rural poor population of 70.17 million at the end of 2014, and poverty incidence was 11.37%. In Qinghai Province, a precise poverty reduction mechanism has been established at the household level. At the end of 2014, Qinghai had a poor population of 735,603, and 15 state-level key counties for development-oriented poverty reduction.

26. In Haidong City, development-oriented poverty reduction patterns are shifting gradually to poverty reduction based on industry development and infrastructure construction. In 2014, the city had a poor population of 293,601, accounting for 39% of provincial poor population.

27. Project areas includes Ping'an and Ledu Districts , have 44 and 141 poor villages; and a rural poor population of 16900 and 440000 respectively in 2014. The rural poverty incidence of project area is 14.7%. Rural poverty incidence is 13.7% in Ping'an District and 14.9% in Ledu District.

### **4.2 Efforts of Poverty Reduction**

28. The causes of poverty in Haidong City include poor natural conditions, backward public and social infrastructure, and lack of employment skills. The Haidong Municipal Government has established six major systems for poverty reduction: a precise fundamental working system, an orderly capital guarantee system, a rigorous and effective project and fund management system, a poverty reduction evaluation system with clearly defined responsibilities, a powerful social

assistance system, and an effective technological service system. In poverty reduction efforts in Haidong City, a characteristic industry development plan has been prepared for poor areas to include poor households in the modern agriculture and stockbreeding system. A poverty reduction industrial park will be built in each of the six counties/districts to promote the development of poor areas and the income growth of poor households. Financial poverty reduction measures are also offered, with focus on small-amount credit support for poor households in their development. In addition, poverty reduction training programs like the Sunshine and Rain/Dew Programs offer vocational education to children of poor households to promote their permanent employment and poverty reduction. In addition, lending support and discounted subsidies are offered to leading enterprises to promote poverty reduction

## **5. SOCIOECONOMIC PROFILE OF THE ETHNIC MINORITIES IN DPA**

### **5.1 Direct Beneficiary Population**

29. Ledu and Ping'an Districts are direct beneficiary areas of the project. The project has a direct beneficiary population of 217,000 in 18 villages of nine townships and two districts, including an urban population of 152,000, or 70%, and a rural population of 65,000 or 30%. The project has an indirect beneficiary population of 205,600, including an urban population of 26,900 or 13.1%, and a rural population of 178,700 or 86.9%. In the direct beneficiary area, around 10% is ethnic minority population, 10,054 are Hui people or 4.6%; and 4,192 are Tibetans or 1.9%.

30. Only the Urban-Rural Water Supply component involves a minority population of 370 living in 3 Tibetan villages in Shihuiyao Xiang (Yima, Shiguasi and Shihuiyao), account for 40.69%, 85.41% and 34.40% of the resident populations of these 3 villages respectively. The remaining minority population involved in the Project lives in a scattered manner in Nianbo, Gaodian, Yurun, Hongshui and Gaomiao Towns in Ledu District, and Ping'an, Xiaoxia and Sanhe Towns in Ping'an District. See Table 5-1.

### **5.2 Education**

31. According to data of the sixth national census (2010) in Ping'an District, 3.32% of Hui population has received junior college or above education, 4.76% has received senior high school education, 18.42% has received junior high school education, 51.91% has received primary school education, and 21.58% is illiterate; 8.73% of Tibetan population has received junior college or above education, 10.14% has received senior high school education, 26.22% has received junior high school education, 35.54% has received primary school education, and 19.38% is illiterate; and 25.98% of Tu population has received junior college or above education, 16.87% has received senior high school education, 22.49% has received junior high school education, 27.91% has received primary school education, and 6.75% is illiterate. Ping'an District governs five Hui minority townships and only one is in the project area; all five townships are far from the urban center, so education levels are quite low. The Tu people live near to the urban center, so they pay more and more attention to education. See Table 5-2.

32. According to data of the sixth national census (2010) in Ledu District, 6.84% of Hui population has received junior college or above education, 12.55% has received senior high school education, 34.91% has received junior high school education, 35.53% has received primary school education, and 10.59% is illiterate; 3.20% of Tibetan population has received junior college or above education, 7.80% has received senior high school education, 29.12% has received junior high school education, 43.96% has received primary school education, and 15.91% is illiterate; and 8.33% of Tu population has received junior college or above education,

12.13% has received senior high school education, 31.81% has received junior high school education, 39.33% has received primary school education, and 8.82% is illiterate. The education levels for ethnic minorities in Ledu District are more similar to Han because ethnic minorities live near the urban center. See Table 5-3.

**Table 5-1: Minority Population in the Direct Beneficiary Area (Unit: %)**

District	Townships	Minority Township or Not	Total Beneficiary Population	Tu		Hui		Tibetan		Han		Component Involved
				Population	Per-cent	Population	Per-cent	Population	Per-cent	Population	Per-cent	
Ledu	Nianbo	No	69,522	1188	1.71	3369	4.85	1252	1.80	61,843	88.95	Urban-rural environment rehabilitation, river rehabilitation
	Gaodian	No	8,918	215	2.41	73	0.82	64	0.72	8,496	95.27	River rehabilitation
	Yurun	No	17,056	354	2.08	199	1.17	257	1.51	15,076	88.39	River rehabilitation
	Hongshui	No	19,251	108	0.56	91	0.47	91	0.47	18,889	98.12	River rehabilitation
	Gaomiao	No	25,063	248	0.99	1480	5.91	104	0.41	228,952	91.35	River rehabilitation
Ping'an	Ping'an	No	51,770	1022	1.97	2644	5.11	1414	2.73	46,033	88.92	River rehabilitation, eco-environment protection and restoration, urban water reclamation
	Xiaoxia	No	13,230	156	1.18	1033	7.81	63	0.48	11,886	89.84	River rehabilitation, eco-environment protection and restoration
	SanheTown: Sanhe, Xinzhuang, Binglingshan, Dongcun, Xicun, Luotuobao, Zhangqizhai, Zhuangke, Sitai, Wanzi, Xin'an, Zhongjia, and Tiaoling Villages	No	9,978	76	0.76	73	0.73	577	5.78	9,252	92.72	Urban-rural water supply
	Shihuiyao Xiang: Liming, Yima, Shihuiyao, Yaozhuang, and Shiguasi Villages	Yes	2,212	11	0.44	1092	49.31	370	16.73	739	33.41	Urban-rural water supply
Total		/	217,000	3378	1.56	10054	4.63	4192	1.93	195,109	89.91	/

Source: Data of the sixth national census in 2010, and statistics of ethnic and religious affairs bureaus.

**Table5-2: Educational Levels of Some Minority Residents  
(>14 years old) in Ping'an District (Unit: %)**

<b>Ethnic Group</b>	<b>Total</b>	<b>Illiterate</b>	<b>Primary school</b>	<b>Junior High School</b>	<b>Senior High School</b>	<b>Junior College</b>	<b>Under-graduate</b>	<b>Post-graduate</b>
Han	100	9.30	30.17	34.27	15.10	7.10	4.00	0.07
Hui	100	21.58	51.91	18.42	4.76	1.68	1.61	0.03
Tibetan	100	19.38	35.54	26.22	10.14	5.01	3.65	0.07
Tu	100	6.75	27.91	22.49	16.87	11.76	13.91	0.31

Source: data of the sixth national census of Ping'an District

**Table 5-3: Educational Levels of Some Minority Residents  
(>14 years old) in Ledu District (Unit: %)**

<b>Ethnic Group</b>	<b>Total</b>	<b>Illiterate</b>	<b>Primary School</b>	<b>Junior High School</b>	<b>Senior High School</b>	<b>Junior College</b>	<b>Under-graduate</b>	<b>Post-graduate</b>
Han	100	9.39	33.0	37.42	13.19	5.16	1.81	0.03
Hui	100	10.59	35.53	34.91	12.55	3.97	2.39	0.48
Tibetan	100	15.91	43.96	29.12	7.80	2.13	1.06	0.01
Tu	100	8.82	39.33	31.81	12.13	5.07	2.80	0.46

Source: Data of the sixth national census of Ledu District.

### 5.3 Employment

33. In 2014, Ping'an District had an urban employed population of 9,799, and a registered urban unemployed population of 1,068, with an employment participation rate of 66.82% and an unemployment rate of 9.8%. by the end of 2014, 800 unemployed urban residents were reemployed, so unemployment rate fell to 3.5%. For rural workers, 2,250 person-times of rural residents received employment and business startup training, small-amount secured loans of 7 million yuan were extended, and 35,000 laborers had jobs arranged, in which 7,000 were to other provinces, with a labor service earnings of 300 million yuan.

34. In 2014, Ledu District had an urban employed population of 26,779, a registered urban unemployed population of 1,860 (6.5%), and a rural labor force of 140,307. By the end of 2014, 962 urban unemployed residents were reemployed so the unemployment rate fell to 3.1%. In 2014, 104,900 rural laborers had jobs arranged, in which 30,900 were to other provinces, with labor service earnings of 859 million yuan.

### 5.4 Income and Expenditure

35. In 2014, the per capita net income of rural residents of Haidong City was 7,379 yuan, in which wage income grew by 21.92%, household operating income by 3.34%, property income by 101.38%, and transfer income by 8.4%. According to the PSA, the average annual income of local households was 42,171 yuan, average annual expenditure 24,305 yuan, and average annual savings was 17,866 yuan, or 3970 yuan per capita. The average annual income of minority households was 40,766 yuan, average annual expenditure 23,170 yuan, and average annual savings was 17,596 yuan, or 3910 yuan per capita.

**Table 5-4 Annual income of minority families in the project affected area (Unit: CNY)**

<b>Economic indicator</b>	<b>Project household</b>	<b>Ethnic minority household</b>
Average household income (year)	42171	40766
Average household expenditure (year)	24305	23170
Household net income (year)	17866	17596
per-capita net income	3970	3910

Source: PSA

## 5.5 Health

36. According to the PSA, 71.1% of the males and 75.5% of the females say that they are in good health, and less than 5% of the males and 5.5% of the females say that they are in poor health. It is also learned from interviews that local drinking water quality affects local residents' health to some extent. There are over 40 hospitals and clinics in the project area, but mostly in the urban areas. Local rural and suburban residents would go to nearby clinics or health centers for minor diseases, and go to major urban hospitals for major diseases.

## 6. LOCAL NEEDS IN THE PROJECT AREAS

### 6.1 Needs of Ethnic Minority in Project area

37. Project will address the following needs, which benefit all people, including ethnic minorities. The project components will address the needs and concerns of local minority residents. The River Rehabilitation component will: (i) improve the surrounding environment, provide leisure places, and improve residents' living quality; (ii) strengthen publicity and training on environmental protection; and (iii) minimize construction impacts on their production and livelihoods. The Eco-environment Protection and Restoration component will: (i) build shelter forests to improve the environment and prevent natural disasters; (ii) respect local minority customs, and maintaining environment-friendly and civilized construction; and (iii) improve construction safety, especially for children and old people. The Rural Water Supply and MSW Management Infrastructure Construction will: (i) protect the environment and conserving water resources; (ii) ensure water supply, improving water quality, reducing waterborne diseases, and maintaining an affordable water rate; (iii) establish a sound MSW transfer and disposal system to ensure local environmental sanitation; and (iv) develop preferential policies for poor households.

### 6.2 Needs of Tibetan villages for water supply project

38. Rural Water Supply includes Yima, Shihuiyao and Shiguasi Villages, Shihuiyao Xiang, all being Tibetan villages, with a total population of 370. Their needs for this component include: (i) Ensuring water supply: In the 3 villages, domestic water supply is from nearby mountains or reservoirs and is often unstable, resulting in outage periods of up to 6 months, and affecting stockbreeding and cultivation income. (ii) Subsidy to poor: The 3 villages are economically undeveloped, the subsidy should be considered to poor villagers. (iii) Improving water quality: In the 3 villages, domestic water is turbid and alkaline, and prolonged drinking would give rise to such diseases as gallstone. In addition, minority households expect the waterworks to reduce their burden of water collection and protect their health. Employment and skills training: The (iv) project area is close to the downtown area of Ping'an District, so local minority women expect to increase household income by selling farm products and dealing with rural tourism. On the other hand, local women expect training on handicrafts (carpet, embroidery, etc.) to increase income. (v) Environmental and water conservation awareness: Local residents are in great need

of training on environmental and water conservation awareness.

## **7. PROJECT BENEFICIARIES AND BENEFITS**

### **7.1 Summary of Project Benefits**

39. (i) **River rehabilitation.** Flood embankment construction will protect nearby infrastructure, industrial and agricultural facilities, and local residents, thereby protecting economic and social development. Reducing water loss and soil loss arising from flood washing, and the total volume of sediments discharged downstream, and increasing local vegetation coverage through this component will play a positive role in the ecological restoration and balance of the project area. This component will further maintain ecological balance in the Huangshui River watershed, and help define responsibilities for river management. (ii) **Rural Water Supply:** It involves 3 Tibetan villages (Yima, Shiguasi and Shihuiyao) in Shihuiyao Xiang, Ping'an District, and will realize stable water supply and improve water quality, thereby ensuring the water hygiene and safety of local minority residents, reducing incidences of waterborne diseases, and meeting their water supply demand. (iii) **Project of Water and soil erosion protection in Haidong city and surrounding:** This will help protect the ecological environment, improve environmental quality, protect the physical and mental health of minority residents, promote water and soil conservation, rehabilitate riverside wetlands, and reduce natural disasters.

### **7.2 Benefits for the Support of Gender Inclusion**

#### **7.2.1 Women's Needs in Project Area**

40. The task force has learned that 100% of the female respondents support the Project, and have made some suggestions: (i) receiving project information; (ii) receiving jobs and skills training under the Project; (iii) receiving training on environmental and water conservation awareness; (iv) reducing construction impacts and pollution, and having access to more leisure facilities; (v) improving traffic safety; (vi) expecting the waterworks to reduce their burden of water consumption while fixing a rational water rate; (vii) expecting the Project to be completed and put into operation as soon as possible; (viii) expecting a sound MSW disposal system be established; and (ix) expecting trash bins be arranged in consideration of old women.

41. According to the survey, local women have the following needs mainly: (i) Ensuring water supply and improving water quality: In the 3 villages, domestic water supply is from nearby mountains or reservoirs and is often unstable, and water quality is not reliable; (ii) Receiving jobs: Local women cannot be employed permanently outside, but mostly do farm work at home because they have to take care of family members. They expect to receive jobs at the construction stage to increase income while taking care of family members. (iii) Changing cultivation structure: Villagers in the three Tibetan villages mostly deal with traditional crop cultivation, such as wheat, rape and potato, so agricultural income is limited. Local women expect financial and technical support in vegetable cultivation to increase income. (iv) Offering handicraft training: Local women expect handicraft training, and support in carrying out large-scale operations and collecting market information.

#### **7.2.2 Impact of Project on Women**

##### **1. Positive Impacts**

42. The project will reduce waterborne diseases among women, and ensure timely water

supply. Most existing water supply facilities are outdated or damaged, resulting in water shortage and pollution. There is concern about water quality, which threatens the physical and mental health of local residents to some extent. According to the survey, no persons in their villages had gotten seriously ill through the contaminated drinking water. However, due to the simple reservoir facilities, the water had not been disinfected, so if it rains, the water will be turbid. According to Ping'an County CDC quality testing, some water samples had microorganisms exceeding safe standards in some villages, which could harm the health of local people. It is an urgent need for local residents, especially housewives, to use healthy water.

43. It is estimated that the project will generate 1,032 jobs in total, including About 135 skilled and 404 unskilled jobs will be generated in the project construction phase and 162 skilled jobs and 331 unskilled jobs (cleaners, landscaping, maintenance workers, etc.) will be created during the operation phase. In which 30% are suitable for women and should be first made available to women, such as catering, retail, maintenance, cleaning and landscaping. In addition, the local women's federations would offer training on maternity care, housekeeping, cooking, etc. every year. Such training will improve local women's skills, and help women in employment or business startup.

## **2. Potential Risks**

44. Although the project will benefit local women, if social gender sensitivity is insufficient in project design, implementation and management, and women's needs for and suggestions on the project are neglected, the project benefits would be reduced and risks generated, including: (i) Women's needs are neglected and their participation level is low. Due to traditional culture, Hui and Tibetan women get married when they are very young, and little attention is paid to women's education. People (including women themselves) think that women are poorly educated, and not good at participating in public affairs. Due to such understanding, women's needs and suggestions are often neglected, and their rights and interests are not protected in project design, implementation and management. (ii) Weak water conservation awareness may affect project benefits. It is learned through interviews and focus group discussions (FGD) that local women have weak water conservation and environmental awareness. In some villages, water charges are borne by village collectives, and have never been paid by villagers. This has reduced their water conservation awareness, because they do not have any financial concern. Since women are the main force of housework and also direct beneficiaries of the Project, their weak environmental awareness will affect the sustainability of the Project to some extent. (iii) Increased water rates will increase the risk of poverty. Compared to Ping'an Town, Shihuiyao Xiang and Sanhe Town have more minority residents and are slightly underdeveloped, and their residents have different attitudes toward water rate rise. Over 80% of the respondents in Ping'an Town can accept a higher water rate, and only 16.7% cannot; nearly 50% of the respondents in Shihuiyao Xiang and Sanhe Town cannot accept a higher water rate. See Table 7-1, Table 7-2 and Table 7-3.



**Table 7-1: Acceptable Water Standards (%)**

Gender	CNY4 /ton			CNY6 /ton		CNY8 ton		CNY10 /ton		CNY20 /ton		CNY50 /ton		Total
	Definitely Yes	Maybe	Definitely No	Maybe	Definitely No	Maybe	Definitely No	Maybe	Definitely No	Maybe	Definitely No	Maybe	Definitely No	
Male	49.0	49.0	2.0	39.2	60.8	7.8	92.2	7.8	92.2	5.9	94.1	5.9	94.1	100.0
Female	34.7	65.3	0.0	36.7	63.3	8.2	91.8	8.2	91.8	4.1	95.9	4.1	95.9	100.0
Total	42.0	57.0	1.0	38.0	62.0	8.0	92.0	8.0	92.0	5.0	95.0	5.0	95.0	100.0

**Table 7-2: Main Reason for Willingness-to-Pay this Amount**

Reasons	Responses	
	No.	Percent
A reasonable price for the service	92	92.0
Not significant compared to other costs	57	57.0
Badly need improved services	59	59.0
Total	208	208.0

**Table 7-3: Reason for Unwillingness of Water Standard (%)**

Gender	This is the government's responsibility, I shouldn't need to pay			Don't need this service			The project won't be effective			Don't trust the government to use the money properly			Can't even afford the water fee			The current fee is already too high		
	Agree	Dis-Agree	Not Sure	Agree	Dis-agree	Not Sure	Agree	Dis-agree	Not Sure	Agree	Dis-agree	Not Sure	Agree	Dis-agree	Not Sure	Agree	Dis-agree	Not Sure
Male	37.3	49.0	13.7	9.8	66.7	23.5	13.7	49.0	37.3	11.8	39.2	49.0	29.4	43.1	27.5	51.0	25.5	23.5
Female	24.5	63.3	12.2	22.4	57.1	20.4	10.2	51.0	38.8	14.3	32.7	53.1	28.6	46.9	24.5	51.0	34.7	14.3
Total	31.0	56.0	13.0	16.0	62.0	22.0	12.0	50.0	38.0	13.0	36.0	51.0	29.0	45.0	26.0	51.0	30.0	19.0

## **7.2. Enhancement Measures for the three ethnic minority villages**

45. In order to improve local production and living conditions of ethnic minorities, promote women's participation and development, and ensure that they benefit from the Project, the Haidong PMO, municipal and district ethnic and religious affairs bureaus, women's federations, education bureaus, and water bureaus, Shihuiyao Xiang Government, schools, etc. have developed skills and income support programs for women of the three minority villages. In addition, an environmental awareness and public health education program will be implemented during the project, which will be funded from the local government ethnic minority development fund.

### **A. Program Scope**

46. The scope of these programs includes: (i) offering handicraft training to minority residents; (ii) supporting characteristic agriculture development, such as plateau sea buckthorn, tea and vegetable cultivation; (iii) conducting school-based publicity and education on environmental, water conservation and public health awareness.

### **B. Modes and Objectives**

47. **Skills enhancement/Handicraft training.** The Ping'an District Women's Federation will offer handicraft training (embroidery, bead string, etc.) in Yima, Shiguasi and Shihuiyao Villages in the forms of intensive on-site training, expert lecture and practice for 5 sessions to train 250 men-times. In addition, ethnic minority women will get market information.

48. **Plateau sea buckthorn cultivation.** The 16,000 mu cultivation area of sea buckthorn in Shihuiyao Xiang will be utilized to establish a 1,000 mu cultivation demonstration base for joint cultivation and picking with Qinghai Innovator Biotech Co., Ltd. It is expected that per capita income will be increased by over 3,000 yuan during the picking period.

49. **Plateau tea cultivation.** Ping'an Runwu Agriculture, Forestry, Stockbreeding & Fishery Development Co., Ltd. will establish a 1,500 mu characteristic modern garden base will be established in Shihuiyao Village, Shihuiyao Xiang, and run it in the "company + household" pattern. Income per mu will be 1,500 yuan.

50. **Greenhouse vegetable cultivation.** The vegetable cultivation area of Yima Village is increasing year by year, but overall scale is small due to climatic restrictions. It is planned to build 20 greenhouses in Yima Village, Shihuiyao Xiang, with an investment of 30,000 yuan and incremental annual income of over 5,000 yuan each.

51. **Conducting publicity and education on environmental, water conservation and public health awareness.** Experts will be invited to schools to give lectures on environmental protection and water conservation to parents and children, and parent-child and family education will be strengthened as an aid to school and social education, thereby creating a favorable family and social environment for the healthy growth of children. Second, local women's federations will organize various initiatives, such as "Environment-friendly Family", to advocate a scientific, civilized and healthy lifestyle, and give publicity on environmental protection and water conservation.

## **8. ETHNIC MINORITY DEVELOPMENT ACTION PLAN**

52. Ethnic minority residents will enjoy the benefits created by the project similar to Han. The resettlement plan indicates no ethnic minority people will be affected by land acquisition and resettlement. Some ethnic minorities (3 Tibetan villages) will experience environmental impacts which need to be mitigated, as stipulated in the Environmental Management Plan; no special measures are deemed necessary for ethnic minorities

### **8.1 MITIGATION MEASURES**

#### **8.1.1 Construction Disturbance and Safe Construction Practices**

(1) Low-noise techniques should be applied and noise standards complied with to reduce noise impacts; (2) Strengthen construction site management, such as erecting barriers of access registration and parking control; (3) Construction should be conducted in stages to avoid minority religious activities or festival (No construction allowed within 500 meters of any mosques during Friday prayer times, or during Muslim Corban, Kaizhai festivals); (4) Erect “No-horning” signs in nearby villages; and (5) Construction safety management should be included in the construction contract according to PRC’s State Administration of Worker Safety Laws and Regulations.

#### **8.1.2 HIV/AIDS and other Communicable Diseases**

(1) Include HIV/AIDS/STI and other communicable disease clauses into contract bidding documents; (2) Public health and HIV/AIDS prevention education program conducted for the civil works contractors, all construction workers and service providers and Development Zone employees; (3) Health measures for construction workers (e.g., adequate protective gear such as condoms will be provided to workers) are established; (4) Conduct publicity activities on HIV/AIDS for both workers and local communities, e.g., brochures, posters and picture album.

#### **8.1.3 Employment Generation and Labor Issues**

(1) About 135 skilled and 404 unskilled jobs generated in the Project construction phase; (2) 162 skilled jobs and 331 unskilled jobs (maintenance, cleaners, landscaping workers, etc.) created during the operation phase; (3) Timely disclose job information generated by the Project; Multiple medias will be used for disclose the information (e.g., TV, Bulletin); and (3) Adhere to the State Labor Law.

#### **8.1.4 Inclusive Participation in Project Implementation**

(1) Ensure local people’s participation in Environment and water saving awareness program and 3-R Programs; (2) Public awareness and education program on Environment, water saving and public health awareness for communities and schools; (3) Ensure Environment and water saving awareness promotion materials are prepared and distributed to local communities; and (4) Conduct public hearing on water supply and wastewater tariffs, ensure local people’s participation in hearing.

#### **8.1.5 Establishing Community Environment Supervision and Education team (CEST)**

Establishment of six Community Environment Supervision and Education teams (CEST)

(2 in urban, and 4 in rural areas) as pilot for three years to (a) develop and implement public awareness and education programs on environment management, forest protection and maintenance, SW recycling and water saving to promote changes of public behavior. See details in Appendix 3.

## 8.2 Enhancement Measures

### 8.2.1 Skills Enhancement for Ethnic Minority Women

(1) Handicraft training with local characteristics is offered to minority women in Shihuiyao, Yima and Shiguasi Villages; (2) Final product acquisition and employment services are offered to create a sound cyclic income-generating pattern.

### 8.2.2 Supporting Characteristic Crops

(1) A sea buckthorn cultivation demonstration base is established in Shiguasi Village. (2) A characteristic modern garden base is established in Shihuiyao Village (e.g., plateau tea cultivation); and (3) Vegetable greenhouses will be built for minority farmers in Yima Village.

## 8.3 Project Management

(1) PMO and implementing agencies' staff are trained to ensure effective implementation of the project, particularly EMDP and SGAP; (2) Recruitment of international and national social development/gender consultants as part of the loan implementation consultancy; (3) The PMO and IAs assign persons to be responsible specifically for the implementation and reporting of the EMDP, SGAP, EMP and RP; and (4) Sex and ethnicity-disaggregated data will be collected by the PPMS to ensure the monitoring, evaluation and reporting of the EMDP and SGAP.

**Table 8-1 ETHNIC MINORITY DEVELOPMENT ACTION PLAN**

Activity	Indicators and Target	Responsible Agencies	Timing	Budget and Cost
<b>1. MITIGATION MEASURES</b>				
<b>1.1 Construction Disturbance and Safe Construction Practices</b>				
<ul style="list-style-type: none"> <li>● Low-noise techniques should be applied and noise standards complied with to reduce noise impacts;</li> <li>● Strengthen construction site management, such as erecting barriers of access registration and parking control</li> <li>● Construction should be conducted in stages to avoid minority religious activities or festival (No construction allowed within 500 meters of any mosques during Friday prayer times,</li> </ul>	<ul style="list-style-type: none"> <li>● All people living or working in and near construction sites</li> <li>● Type of measures adopted for noise control;</li> <li>● Measures of prohibiting residents to access construction site;</li> <li>● No. and resolution of complaints (disaggregated by sex of complainant and ethnicity);</li> <li>● No. of fines and records;</li> <li>● Provisions in contract on safety management and No. of cases violating it.</li> </ul>	HPOM, POAs, HRSSL, AEMRAO, ACWF, PSB, EPB, SAOs/TO	August 2016-December 2018	Contractors' budget

Activity	Indicators and Target	Responsible Agencies	Timing	Budget and Cost
<ul style="list-style-type: none"> <li>or during Muslim Corban, Kaizhai festivals).</li> <li>● Erect “No-horning” signs in nearby villages;</li> <li>● Construction safety management should be included in the construction contract according to PRC’s State Administration of Worker Safety Laws and Regulations</li> </ul>				
<b>1.2 HIV/AIDS and Other Communicable Diseases</b>				
<ul style="list-style-type: none"> <li>● Include HIV/AIDS and other communicable disease clauses into contract bidding documents</li> <li>● Public health and HIV/AIDS prevention education program conducted to the civil works contract and Development Zone employee are conducted</li> <li>● Health measures for construction workers (e.g., adequate protective gear such as condoms will be provided to workers,) are established</li> <li>● Conduct publicity activities on HIV/AIDS and sexual harassment, , e.g., brochures, posters and picture albums</li> </ul>	<ul style="list-style-type: none"> <li>● 217,000 beneficiary population in project area, incl.18,000 (8.29%) minority residents.</li> <li>● Terms of construction contracts and implementation</li> <li>● No. and % construction staff and workers get HIV/AIDS counseling and training (disaggregated by sex and ethnicity)</li> <li>● No. and types of health measures of publicity on HIV/AIDS at the construction stage, e.g., no. of brochures, posters and picture albums distributed</li> </ul>	HPOM, POAs, Contractors, Health Bureau, CDC, EPB, and ACWF	August 2016-December 2018	Contractors budget and administrative cost of CDC
<b>1.3 Employment generation and Labor Issues</b> ——Environment and water saving Awareness Programs and 3-R Programs				
<ul style="list-style-type: none"> <li>● About 135 skilled and 404 unskilled jobs generated in the Project construction phase;162 skilled jobs and 331 unskilled jobs (maintenance, cleaners, landscaping workers etc.) created during the operation phase.</li> <li>● Timely disclose jobs generated by the Project; Multiple</li> </ul>	<ul style="list-style-type: none"> <li>● 15% of which is first made available to ethnic minority and the poor</li> <li>● Types and No. of advertising;</li> <li>● No. and % of complaints and measures (disaggregated by sex and ethnicity);</li> </ul>	HPOM, POAs, contractors, ACWF, AEMRAO, and HRSSB	August 2016-December 2018	Contractors’ budget POAs’ operating budget Administrative cost of SAOs/TO and HRSSB

Activity	Indicators and Target	Responsible Agencies	Timing	Budget and Cost
medias will be used for disclose the jobs (e.g., TV, Bulletin) ● Adhere to the State Labor Law;				
<b>1.4 Inclusive Participation in Project Implementation</b>				
● Ensure local people's participation in Environment and water saving awareness program and 3-R Programs ● Public awareness and education program on Environment and water saving Awareness for communities and schools. ● Ensure Environment and water saving Awareness promotion materials are prepared and distributed to local communities ● Hold on Public hearing on waste disposal tariff and water tariff if necessary, ensure local people's participation in hearing	● 50% of people are ethnic minorities and women included in the environment and water saving awareness ● No. and type of schools and % of participants, including teachers and students (50% female) ● Types and No. of publicity ● No. and % of local people attending in the public hearing (disaggregated by sex and ethnicity)	HPMO, POA, EPB, WRB and ACWF	August 2016-December 2018	Project Budget of EMP(CNY 132,000) Administrative costs of EPB and ACWF
<b>1.5 Establishing Community Environment Supervision and Education team (CEST)</b>				
● Establishment of Six Community Environment Supervision and Education team (CEST) (2 in Urban, and 4 in rural ) as pilot for three years to (a) develop and implement public awareness and education programs on environment management, Forest protection and maintenance , SW recycle and water saving to promote changes of public behavior	● Two of three Tibetan villages chosen as pilot community. ● 60% of CEST members are female and ethnic minorities. ● No., type, and frequency of training provided to the CEST. (participants disaggregated by sex and ethnicity)	HPMOs , IAs , selected town/township ,village / community committees ACWF, Contractor, PAO; Civil Affairs Bureau ,	August 2016-December 2019	CNY216,000/year * 3 years = CNY648000 (usd100,000) Project Management Consultancy budget Project Budgets for Subsidy for team members
<b>2. ENHANCEMENT MEASURES BY LOCAL GOVERNMENT</b>				
<b>2.1 Skill Training and Knowledge Improvement</b>				

Activity	Indicators and Target	Responsible Agencies	Timing	Budget and Cost
<ul style="list-style-type: none"> <li>● Handicraft training with local characteristics is offered to minority women in Shihuiyao, Yima and Shiguasi Villages;</li> <li>● Finished product acquisition and employment services are offered to create a sound cyclic income-generating pattern</li> </ul>	<p>370 in 3 Tibetan villages of (Yima, Shiguasi, and Shihuiyao)</p> <ul style="list-style-type: none"> <li>● 5 training sessions will be offered to involve at least 250 men-times, in which at least 40% will be minority women.</li> <li>● Type, number and % of training participants provided by ERAB and ACWF (disaggregated by sex and ethnicity)</li> </ul>	HPMO, POA, ERAB, LB and ACWF	August 2016-December 2019	CNY150,000 Ethnic Minority developing budgets; Administrative costs of EPB and ACWF
<b>2.2 Support ethnic minority income generating in three Tibetan villages</b>				
<ul style="list-style-type: none"> <li>● Supporting characteristic crops.</li> <li>● A sea buckthorn cultivation demonstration base is established in Shiguasi Village</li> <li>● A characteristic modern garden base is established in Shihuiyao Village (e.g., plateau tea cultivation)</li> <li>● Vegetable greenhouses will be built for minority farmers in Yima Village</li> </ul>	<ul style="list-style-type: none"> <li>● Minority development funds of 500,000 yuan (2-3 years) will be applied for to establish a 1,000 mu sea buckthorn cultivation base; minority residents will be organized to pick sea buckthorn leaves and fruit from June to November, and per capita income will be increased by over 3,000 yuan during the picking period;</li> <li>● Minority development funds of 1 million yuan (2-3 years) will be applied to establish a 1,500 mu modern garden base, where 50 households will deal with plateau tea cultivation, and increase income by 700 yuan/mu per annum 5 years later.</li> <li>● Minority development funds of 600,000 yuan (2-3 years) will be applied to build 20 vegetable greenhouses, with incremental income of over 5,000 yuan per annum each.</li> </ul>	HPMO, POA, ERAB, LB and ACWF	2017-2020	CNY 2,100,000 Ethnic Minority Developing Budget

Activity	Indicators and Target	Responsible Agencies	Timing	Budget and Cost
<b>3. PROJECT MANAGEMENT</b>				
<ul style="list-style-type: none"> <li>● PMO and implementing agencies' staff are trained to ensure effective implementation of the project, particularly EMDP and SGAP.</li> <li>● Recruitment of international and national social development/gender consultants as part of the loan implementation consultancy</li> <li>● The PMO and IAs assign persons to be responsible specifically for the implementation and reporting of the EMDP, SGAP and resettlement plan;</li> <li>● Sex and ethnic -disaggregated data will be collected by the PPMS to ensure the monitoring, evaluation and reporting of the EMDP, SGAP.</li> </ul>	<ul style="list-style-type: none"> <li>● 100% staff of PMO and implementing agencies receives training on EMDP and SGAP (at least 40% women and ethnic representatives in all trainings) – baseline is 20 %.</li> <li>● 2 person-months international and 12 person-months national social development consultants.</li> <li>● No. and % of staff members of the PMO and IAs implementing agencies responsible for EMDP reporting.</li> <li>● Social development and gender indicators included in the PPMS</li> </ul>	HPMO, implementing agencies, project implementation consultant	2016-2020	Budget of the capacity building component CNY60,000/year * 5 years = CNY300,000 (USD50,000)

## **9. PUBLIC PARTICIPATION, INFORMATION DISCLOSURE, AND GRIEVANCE REDRESS MECHANISM**

### **9.1 Public Participation and Consultation Conducted**

53. At the preparation stage, through the poverty and social analysis and consultations the task force collected information on needs and concerns of minority residents. In addition, discussions on the Project and minority issues were held at ethnic and religious affairs bureaus, etc. to learn the social and cultural features of the minority population, and the Project's positive and negative impacts on them. Afterwards, all stakeholders were consulted on project impacts and risks at a city-level meeting, involving local residents, village committees, local PMOs, ethnic and religious affairs bureaus, women's federations, etc. See Table 9-1.

### **9.2 Participation Plan during Implementation and Operation**

54. The participation plan will be implemented in three stages: 1) at the preparation stage, the agencies concerned disclosed relevant information, collected comments on the project design, and held consultation meetings with direct beneficiaries, including ethnic minorities and affected people; 2) at the implementation stage, needs and suggestions from the affected persons will be handled timely based on project progress, and further consultation will be conducted; local minority villagers' comments on project layout and construction impacts will be considered; a



public hearing on water and MSW disposal rates will be held with minority villagers; employment and training information will be provided; a grievance redress mechanism will be established; 3) at the operation stage, consultation with minority villagers will be conducted timely and in a culturally appropriate manner. The specific procedure and scope of participation are as follows:

**Table 9-1 Summary of Early-stage Public Consultation Activities**

No.	Type	Time	Venue	Participants	Remarks
1	Information disclosure	Oct. 15-31, 2015	Project villages/ communities	SA team, PMO, direct beneficiaries, including affected persons	Introducing the scope of construction, compensation policies and restoration measures of the Project, and including consultation results in the RAP and the RIB. conducting interviews and consultations in the affected villages, introducing ADB policies, collecting their background information and comments, and discussing restoration programs
		Oct. 15-31, 2015	Project villages/ communities	SA team, PMO, direct beneficiaries, including affected persons	Disclosing basic project information, and learning local residents' production and living conditions, and their comments and suggestions on the Project
		Aug. – Nov. 2015	Newspaper, Web, TV, etc.	All local residents	Disclosing project information
2	Questionnaire survey	Oct. 15-31, 2015	18 project village/ community committees	SA team, PMO, direct beneficiaries, including affected persons	Learning project awareness, and basic information, and collecting suggestions 256 copies of the questionnaire were distributed in the 18 project villages/communities, with 250 (97%) recovered, including 36 copies with minority respondents (14%), 150 copies for Urban-rural Water Supply, and 100 copies for Ledu landfill reconstruction and expansion
3	FGD	Oct. 15-31, 2015	18 project village/ community committees	SA team, PMO, direct beneficiaries, including affected persons	Learning basic information of the project villages, and local residents' attitudes to, needs for and comments on the Project 30 FGDs were held in total, including 12 with women, with 199 participants in total, including 26 minority participants, accounting for 13.1%
4	In-depth interview	Oct. 15-31, 2015	18 project village/ community committees	SA team, PMO, direct beneficiaries, including affected persons	In-depth interviews were conducted with 73 persons in the 18 villages/communities, including 15 minority respondents, accounting for 21%.
5	Key informant interview	Oct. 15-31, 2015	18 project village/ community committees	Officials of local departments concerned, community and village officials	Learning their comments and suggestions on the Project, with focus on how to implement the Social and Gender Action Plan effectively
6	Stakeholder discussion	Oct. 2015	District water resources bureaus	Direct and indirect beneficiaries ; IAs, PMO, design agency; depts. Concerned	Learning local minority residents' development, prevailing policies, ongoing projects, and suggestions

**Table 9-2 Participation Procedures for Minority Residents**

Stage	Step	Key activity	Outcome
Preparation	Information disclosure	Disclosing project information timely by posting in locally acceptable languages	Minority residents fully involved in project design and aware of the project
	Collection	Collecting comments and suggestions on the project from local minority residents, such as environmental management, land filling, construction safety, and protection of minority rights and interests	
	Feedback	Reporting comments and suggestions of minority residents to the PMO, feasibility study agency, etc.	
Implementation	Feedback	Collecting comments from affected minority residents from village committees	Comments of minority residents valued, and minority residents involved at all stages of the project
		Holding a public hearing on water and MSW disposal rates to collect comments and suggestions from minority residents	
	Recruitment	Recruiting minority workers on the same terms as those for other works, and respecting their dietary habits	Rights and interests of minority residents protected
	Supervision	Supervising the payment of land compensation	Compensation paid to minority residents, and their rights and interests protected
	Training and publicity	Giving publicity on water conservation and environmental protection awareness to minority residents through existing community organizations	Improved water conservation and environmental protection awareness of minority residents
Operation	Monitoring and feedback	Establishing an effective participatory M&E mechanism (including internal monitoring and external M&E), and a feedback mechanism	Long-term project operation

### 9.3 Information Disclosure

55. Project information has been communicated through public consultation, information disclosure mechanism in ADB's and government's website, meetings, interviews, focus group discussions, and community consultation meetings, in accordance with ADB's requirements of information disclosure policy. Before the ADB's management review meeting for the Project, the EMDP will be posted on the ADB website and distributed to the affected communities and villages. Prior to implementation, a wide range of representatives of ethnic minorities and stakeholders will be summoned to discuss the implementation details of the EMDP. Consultations with communities will continue at different points in the preparation and implementation of EMDP. The implementation of EMDP will be monitored and reported semiannually and verified by an external social safeguard monitor. Disclosure of external EMDP monitoring and evaluation reports will be undertaken during project implementation. Participation and information disclosure will use notifications and meetings for all the measures and feedback of the EMDP. Public hearings will be held for any proposed adjustments in water supply, wastewater and solid waste tariff, attended with adequate representative of the ethnic minorities, the poor and women. In order to address those unforeseen things and ensure the smooth progress of the construction and implementation, a clear and effective complaint and appeal mechanisms has been established. Monitoring indicators on participation and feedback have been incorporated into the plan.

### 9.5 Grievance Redress Mechanism

56. A grievance redress mechanism has been established to ensure the successful

implementation of resettlement, EMDP and SGAP.

Stage 1: If any affected person/ethnic minority is dissatisfied with the EMDP and resettlement plan, he/she can file an oral or written appeal to the village committee or town/township government orally or in writing. In case of an oral appeal, the village committee or subdistrict office shall handle such appeal and keep written records. Such appeal should be solved within 2 weeks.

Stage 2: If the affected person / ethnic minority is dissatisfied with the disposition of Stage 1, he/she may file an appeal to the IAs within one month after receiving such disposition, which shall make a disposition within two weeks.

Stage 3: If the affected person / ethnic minority is still dissatisfied with the disposition of Stage 2, he/she may file an appeal to the HPMO within one month after receiving such disposition, which shall make a disposition within 2 weeks.

Stage 4: If the affected person / ethnic minority is still dissatisfied with the disposition of Stage 3, he/she may file a suit in a civil court in accordance with the Civil Procedure Law of the PRC after receiving such disposition.

At any stage, an affected person / ethnic minority may bring a suit in a civil court directly in accordance with the Administrative Procedure Law of the PRC. If any affected person / ethnic minority may also file an appeal with the Office of the Special Facilitator or Compliance Review Panel of ADB in accordance with ADB's accountability mechanism.<sup>3</sup>

All agencies will accept grievances and appeals from the affected person / ethnic minority free, and costs so reasonably incurred will be disbursed from contingencies. During the whole construction period of the Subproject, these appeal procedures will remain effective to ensure that the affected person / ethnic minority can use them to address relevant issues. The above grievance redress system will be communicated to the affected person / ethnic minority at a meeting or through the RIB, so that the affected person / ethnic minority know their right of appeal. In addition, the appeal process will be published to affected population on mass media.

## **10. INSTITUTIONAL ARRANGEMENTS AND BUDGETING**

57. HMG has endorsed the EMDP. The HPMO and PIUs are responsible for implementing the EMDP and coordinating with other relevant agencies for implementing the Action Plan. Other key agencies for implementation include the Haidong and Ledu district and Ping'an district Ethnic Minority and Religious Affairs Commission, Water Resource Bureau, Construction Bureau, Civil Affairs Bureau, Health Bureau, All China Women's Federation (ACWF), Poverty Alleviation Offices, Forest Bureau, Education Bureau, Human Resources and Social Security Bureaus, and Townships. In addition, contractors and enterprises, and banks are also the organizations to be involved for the implementation of the EMDP. The Haidong Ethnic Minority and Religious Affairs Commission will provide advisory support and review the internal monitoring reports on implementation progress. Implementation arrangements for the EMDP Action Plan have been integrated into the overall Project management, and some actions (i.e., enhancement measures) are part of ongoing government programs.

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<sup>3</sup> See <http://www.adb.org/site/accountability-mechanism/main>

58. An officer will be appointed in HPMO, and township government office to be responsible for EMDP implementation and coordination with local government agencies and private sectors with guidance of PIC social development specialist, to be responsible for (i) implementation of the EMDP Action Plan, (ii) coordination of socioeconomic monitoring, which is closely related to the EMDP, and HPMO will also recruit a domestic social safeguard specialist under advanced contracting to assist the HPMO and prepare internal monitoring reports quarterly before the PIC team is in place. HPMO and EMRAB will review the external monitoring and evaluation reports prepared by external EMDP monitoring agency and provide recommendations.

59. The actions to be implemented are either included as (i) part of the Project budget (i.e., design features, project management, EMP, resettlement plan, or contractors budget); (ii) part of local government budgets. Local government agencies will also collaborate with actions taken by HMG and HPMO; local government staffing and related costs are covered by the local government administrative budgets (see the detailed of organizations involved, budget and financing sources in Table 8-1.

**Table 10-1 Institutional Arrangements for Components**

	<b>Component</b>	<b>Implementing Agency</b>
<b>1</b>	<b><i>Output 1: Integrated flood plain management infrastructure for Huangshui River provided</i></b>	
1.1	Huangshui River Channel Ping'an Segment	Ping'an Water Course Management Station
1.2	Huangshui River Channel Ledu Urban Area Segment	Ledu River Course Management Center
1.3	Huangshui River Channel Ledu Rural Area Segment	Ledu River Course Management Center
1.4	Ping'an District Huangshui River Riverside Green belt	Ping'an Forestry Bureau
1.5	Yizhou Wetland Ecological Conservation Area	Conservation Station set up by the Ping'an Housing Construction & Environmental Protection Bureau
<b>2</b>	<b><i>Output 2: Haidong Urban Catchment Soil Erosion Control Measures Implemented</i></b>	
2.1	Ping'an District Mountain Edge Green belt	Ping'an Forestry Bureau
2.2	Ping'an WWTP Water Reclamation Phase II	Ping'an Housing Construction & Environmental Protection Bureau
<b>3</b>	<b><i>Output 3: Rural Water Supply and urban solid waste infrastructure constructed</i></b>	
3.1	Wenzhukou Reservoir and Fatai Reservoir Water Supply	Fatai Reservoir Management Office
3.2	Ledu Sanitary Landfill Expansion	Ledu City Management Bureau
<b>4</b>	<b><i>Output 4: Project Management</i></b>	
4.1	Project Management Office (PMO)	Haidong Municipal Government (housed in Water Resources Bureau)

## 11.

### 11. MONITORING AND EVALUATION

60. Monitoring and evaluation (M&E) of the EMDP is required by ADB to ensure the plan is implemented properly and meets the objectives specified. The final M&E plan will be formulated by external monitoring agency shortly before project implementation. Objectives of the M&E plan with respect to the ethnic minorities will be:

- (i) To collect data and information to identify project impacts based on the target group(s) and monitoring indicators in EMDP Action Plan (see Table 8-1);
- (ii) To ensure that appropriate participatory approaches have been adopted in relation to proposed implementation of the EMDP Action Plan, and that the involvement of ethnic minority men and women in EMDP Action Plan implementation has been proportionate to the numbers in the beneficiary and affected villages/communities; and,

- (iii) To assess and verify whether the EMDP Action Plan has been implemented effectively and results have been achieved in accordance with the EMDP and ADB's SPS.

## **11.1 Internal Monitoring**

61. The internal monitoring of the EMDP implementation belongs to the internal monitoring of the Project as a whole and part of day-to-day project management activities. Therefore, the HPMO is the primary responsible organization for the internal monitoring, which will be accountable to the Project Leading Group. The HPMO and PIUs safeguard staff with the assistance of PIC social safeguard specialist will monitor the progress of the overall project including that of the EMDP Action Plan, according to the monitoring indicators specified in Table 8-1. One domestic social safeguard staff from HPMO will be responsible for the monitoring of the EMDP implementation.

62. The internal monitoring will monitor the activities included in the EMDP Action Plan. According to the plan, it will check whether the activities are undertaken, and whether they are adequate and effective, and if not, what is the reason and how to resolve it, what are the potential risks, and what measures need to be taken.

63. The HPMO will conduct an internal monitoring of the EMDP and report the findings to ADB through the project progress reports. The EMDP will be monitored also by the external resettlement and social monitor and reported to HPMO and ADB semi-annually.

## **11.2 External Monitoring and Evaluation**

### **11.2.1 Objectives**

64. The objectives of the external monitoring and evaluation of the EMDP will include:
- (i) ensuring that the EMDP is being properly implemented and the overall objectives of the EMDP are being met;
  - (ii) collecting data and information to identify progress;
  - (iii) qualitative data to describe impacts of EMDP measures;
  - (iv) ensuring that appropriate participatory approaches have been adopted and that appropriate involvement of minority men and women in planning and implementation has undertaken;
  - (v) identifying issues or complaints and ensuring that the grievance mechanism is effective;
  - (vi) updating the monitoring indicators specified in Table 8-1 of Linked Document 12.

### **11.2.2 Indicators**

65. Indicators proposed in **Table 8-1 of Linked Document 12** will be monitored and evaluated. For mitigation measures in the EMDP Action Plan, special attention should be paid to monitoring efforts on the actions of construction disturbance and safe construction practice, HIV/AIDS and other communicable diseases, inclusive participation in project implementation, establishing community environment supervision and education team, inclusive participation in project implementation and to evaluate the effectiveness of actions undertaken. Particular emphasis should be placed on the collection of data:

- (i) Measures of prohibiting residents to access construction site;
- (ii) No. and resolution of complaints (disaggregated by sex of complainant and ethnicity);
- (iii) No. and % construction staff and workers get HIV/AIDS counseling and training (disaggregated by sex and ethnicity);
- (iv) 50% of people are ethnic minorities and women included in the environment and water saving awareness;
- (v) No. and % of local people attending the public hearing (disaggregated by sex and ethnicity);
- (vi) Two of three Tibetan villages chosen as pilot community. 60% of member is female and ethnic minority;
- (vii) No., type, and frequency of training provided to the CEST. (disaggregated sex and ethnicity).

66. For enhancement measures in the EMDP Action Plan, special attentions should be paid to monitoring effort on the actions for the ethnic minorities' development in the aspects of employment generation and labor issues, skill training and knowledge improvement, support ethnic minority women income generating in three Tibetan villages .Emphasis will be given to collect data on:

- (i) 15% of which is first made available to ethnic minority people and the poor.
- (ii) No. and % of complaints and measures (disaggregated by sex and ethnicity)
- (iii) Types and No. and % of training provided by ERAB and ACWF(disaggregated by sex and ethnicity);
- (iv) In addition, special attention should also be paid to the monitoring efforts on the actions of management, monitoring and evaluation, including engagement of staff and organizations to ensure the smooth implementation of the EMDP. Particular emphasis will be on the data collection as follows:
- (v) Number of PMs of social safeguards specialist of PIC team worked in the team each year; staff of PMO and implementing agencies receive training on EMDP and SGAP
- (vi) No. of person-months of HPMO safeguards staff spent EMDP implementation and

M&E each year;

- (vii) No. of domestic social safeguard staff from HPMO and each PIU for monitoring the EMDP implementation; and,
- (viii) Engagement and effectiveness of external monitoring agency for EMDP implementation.
- (ix) Social development and gender indicators included in the PPMS

### **11.3 Engagement of External Monitoring Agency and Tasks**

67. A qualified external monitoring agency (EMA) to provide independent monitoring and auditing of the EMDP implementation will be engaged by HPMO, and the cost has been included in the overall project budget to be financed by HMG. Prior to project implementation, the HPMO will mobilize the EMA. The EMA should have 10 years of ADB and WB experiences for IP issues and EDMP monitoring and evaluation. The EMA will develop a detailed monitoring and evaluation plan. The external monitoring will be conducted semi-annually. Field investigations will be conducted twice a year which will include collection of secondary data, household survey, focus group discussions and key informant meetings with relevant agencies focusing on target groups and the issues set out in the EMDP (**Table 8-1**). Reports will assess the effectiveness of the EMDP activities and identify recommendations for follow up by the HPMO.

68. The reports will be reviewed by the HPMO and ADB to determine the appropriate response to any issues identified and suggested follow up actions. If any serious issues arise, a corrective action plan will be formulated and agreed upon with ADB. The reports and corrective action plan, if any, will be made public in local community offices and distributed to the EMDP implementing agencies for taking actions. ADB will upload these reports and any corrective action plan to their website.

## APPENDIX 1: COMPARISON OF ETHNIC MINORITY DEVELOPMENT POLICIES OF THE PRC AND QINGHAI PROVINCE WITH ADB POLICY

Type	Policy/Regulation	Contents and Key Points
State laws and regulations, and regulations of Qinghai Province	State laws and regulations: Constitution of the PRC, Law of the PRC on Regional Ethnic Autonomy, Law of Organization of Villager Committee of the PRC, Regulations on the Administrative Work of Ethnic Minority Xiangs the PRC, Thirteenth Five-Year Plan for Ethnic Minority Programs Regulations of Qinghai: Working Regulations on Written and Spoken Languages of Qinghai Province, Working Regulations on People's Congresses of Qinghai Province, Ethnic Minority Xiangs and Towns	<ul style="list-style-type: none"> <li>In addition to the same powers as local governments, the authorities of the localities of ethnic autonomy also have the following rights: autonomous legislative power; autonomy in the administration of local political, economic, financial, scientific, educational and cultural affairs, the right to organize local public security forces, and the right to use and develop ethnic minority languages, etc.</li> <li>Citizens of the People's Republic of China shall have freedom in religious belief, and the state and the authorities of the localities of ethnic autonomy shall guarantee such freedom for citizens of all ethnic groups.</li> <li>Administrative regulations for ethnic minorities shall be formulated to promote the development economic and cultural programs of ethnic minority Xiangs, protect the lawful rights and interests of ethnic minorities, and enhance the unity among different ethnic groups.</li> <li>Except those deprived of political rights, villagers attaining 18 years of age, regardless of ethnic group, race, sex, occupation, family background, religious belief, education, property condition or term of residence, shall have the right to vote and the right to be elected.</li> <li>The state shall support all ethnic minorities financially, materially and technically to accelerate their economic development, cultural and other social programs.</li> <li>The protection of ethnic folk cultures shall be subject to the principles of protection mainly, rational development, government dominance and social participation.</li> </ul>
State supporting policy	Some Opinions of the State Council on Supporting the Economic and Social Development of Tibetan Areas in Qinghai Province	<ul style="list-style-type: none"> <li>The economic and social development of the Tibetan areas in Qinghai Province shall be supported, with focus on ecological protection and construction, and livelihood improvement based on the practical situation of these areas, and ecological construction, livelihood improvement, economic development and stability maintenance should be combined more closely.</li> <li>Objectives: By 2020, the ecological environment shall be improved in general, the income of urban and rural residents close to the average of the whole country, the infrastructure sophisticated, the characteristic and advantageous industries large in scale, and the goals of a well-being society realized in all aspects.</li> <li>Priorities: Strengthen ecological protection and construction; strengthen poverty relief and development, improve the production and living conditions of farming and pastoral areas, increase the income of farmers and herdsmen; develop social programs greatly, improve public service capabilities; strengthen infrastructure building, improve the capability to support regional development; promote the development of the characteristic and advantageous industries, and develop new points of economic growth.</li> </ul>
Regional development plans	Outline of the Thirteenth Five-Year Plan for National Economic and Social Development of Qinghai Province, Outline of the Thirteenth Five-year Plan for National Economic and Social Development of Haidong City, Outline of the Thirteenth Five-Year Plan for National Economic and Social Development of Ping'an County, Outline of the Thirteenth Five-Year Plan for National Economic and Social Development of Ledu County, Thirteenth Five-Year Plan for Development-oriented Poverty Reduction of Qinghai Province	
ADB	ADB policy for ethnic minorities	<p>The main purpose of the ADB policy for ethnic minorities is to ensure that ethnic minorities can participate in and benefit from development projects. The main points are:</p> <ul style="list-style-type: none"> <li>The socioeconomic profile and quality of life of ethnic minorities are usually lower than the mainstream population. While</li> </ul>



Type	Policy/Regulation	Contents and Key Points
		<p>acknowledging the sovereignty of the borrower, ADB thinks there is responsibility to ensure that: (a) the ethnic minorities share equal opportunities, and (b) its assistance to developing member countries will not have any negative impact on the culture, lifestyle and interests of the ethnic minorities. ADB assistance projects will possibly have potential adverse impacts on the ethnic minorities where such projects are located, so ADB asks the borrower to develop an ethnic minority development plan (EMDP) to ensure that projects are implemented in accordance with the ADB policy for ethnic minorities.</p> <ul style="list-style-type: none"> <li>• The EMDP shall describe the socioeconomic features of the ethnic minorities affected by the project, identify the major impacts of the project on them, including positive and negative ones, and consider revising the project design to minimize the negative impacts, and/or taking measures to avoid or reduce such negative impacts and strengthen the benefits of the project to the ethnic minorities. The EMDP shall include implementation, monitoring and evaluation procedures.</li> </ul>

## APPENDIX 2: ONGOING ETHNIC MINORITY PROJECTS IN THE PROJECT AREA

Project	Agency responsible	Time	Funding source	Remarks
Rural human/livestock drinking works	Ledu District Water Bureau	2008 to date	central finance	33 drinking works have been implemented from 2013, with a cumulated investment of CNY102 million
Whole village advancement	Ping'an District Poverty Reduction Office	2004 to date	State poverty reduction funds, provincial finance	With an investment of CNY12.22 million, benefiting over 9,770 poor residents in 2,195 households in nine villages
Rain and dew project				Practical skills training on crop cultivation and stockbreeding, and labor skills training
Sunshine project	Ledu District Agriculture Bureau	2004 to date	Central finance, local finance	900 trainees in 18 courses trained
Rural dilapidated house reconstruction	Ledu District Civil Affairs Bureau	2007 to date	Provincial and county civil affairs bureaus	CNY30,000 per household for households with special difficulty, CNY20,000 per household for poor households, and not less than CNY15,000 per household for ordinary households
Major disease assistance		2004 to date	Ministry of Civil Affairs, provincial civil affairs bureau, individual contributions (5%)	
Poverty reduction relocation	Ledu District Poverty Reduction Office	2007 to date	Central finance	Cumulated investment 239.85 million yuan
Village road hardening	Ping'an District Transport Bureau	2007 to date	Provincial finance, local counterpart funds	
Full coverage rural environmental management pilot project	Ping'an District Housing Construction and Environmental Protection Bureau	2015 to date	Provincial finance, local counterpart funds	Estimated gross investment CNY4.6668 million, including province-level special funds of CNY3.14 million, and local counterpart funds of CNY1.5268 million

### APPENDIX 3: COMMUNITY ENVIRONMENT EDUCATION AND SUPERVISION TEAM

Community Environment Education and Supervision Team (CEST) will be established to help the project beneficiaries, especially minority residents, to improve their environmental protection and public health awareness.

(1) Objectives

CEST aims to work with local residents/villagers to :

- (i) Educate and promote changes of public behavior toward the environment protection and water saving;
- (ii) Supervise and evaluate the community environment conditions;

(2) Scope of work and roles of the groups

The CEST will also be the lead for development of the Community Participation Manual under the guidance of the community participation specialist. Written in Chinese<sup>4</sup>/Tibetan language, it is intended to provide guidelines for community residents/villagers to meet together to discuss solid waste collection, water tariff affordability and forest management issues facing their communities.

Main task of the team:

- (iii) develop its community participation manual;
- (iv) conduct training on the manual and SGAP, EMDP, resettlement plan;
- (v) conduct public awareness education program within communities/villages monitor;
- (vi) set up incentive measures implementation of the manual and SGAP, EMDP, resettlement plan; and
- (vii) establish an information feedback mechanism.

(3) Organization

Six pilot CESTs will be established based on the existing organization within communities, such as elder association, women cooperation groups. They will be supported as a trial for three years in two typical urban communities and four rural communities, two of six will be selected from three beneficiary Tibetan villages. In addition, the pilot teams are designed three in Ping'an and three in Ledu respectively. Each CEST consists of at least five residents/ villagers who are selected by community representatives, including at least 30% female.

Each team member would be supported subsidy by local government Chinese Yuan (CNY) 600 per month (about \$95 at 2016 exchange rate) and each team would be granted a public welfare activity fund of CNY 5,000 per year. Team members are selected for terms of two to three years and can serve no more than two terms. In addition, two of six communities will be selected as pilot in Package CS5– Landfill O&M and solid waste management Support (Ledu district) and Package CS6– Wetland O&M and Forest Management Support ( Ping'an district ).

Social Development and Community participation specialist (6 person-months):

The specialist shall have basic qualifications in sociology, social or community development studies, or related fields; and have extensive experience of community development, particularly for community participation and self-management in the field of solid waste management, forest management, and water saving etc. in similar projects. The specialist

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<sup>4</sup> Will be translated in Tibetan language, if necessary.

will:

- (i) assist PMO or implementing agencies to select pilot communities;
- (ii) assist to establish community environment supervision and education team (CEST) in each pilot community;
- (iii) assist community to develop its Community Participation Manual;
- (iv) design and assist in delivering the training programs on community development and participation;
- (v) assist in developing a PPMS relating to social ,gender and ethnic minority development;
- (vi) assist in preparing sound guidelines in the community and social development aspects for the implementation of PIM;
- (vii) monitor established SGAP and EMDP;
- (viii) monitor compliance of loan covenants relating to social ,gender and ethnic minority development;
- (ix) prepared related reports.

#### APPENDIX 4. FIELDWORK PHOTOS



Figure 1 Public Trash Bin



Figure 2 MSW Burning by Villagers



Figure 3 In-depth Interviews





FGDs



Key Informant Interviews