

Ethnic Minority Development Plan

January 2011

People's Republic of China: Xinjiang Altay Urban Infrastructure and Environment Improvement Project

Prepared by the Xinjiang Altay Prefecture Government for the Asian Development Bank.

CURRENCY EQUIVALENTS

(as of 27 January 2011)

Currency unit	–	yuan (CNY)
CNY1.00	=	\$0.15
\$1.00	=	CNY6.6

ABBREVIATIONS

ACWF	–	All China Women's Federation
ADB	–	Asian Development Bank
CDC	–	Center for Disease Control
EMA	–	external monitoring agency
EMDP	–	ethnic minority development plan
EMP	–	environment management plan
ERAB	–	Ethnic and Religious Affairs Bureau
GAP	–	gender action plan
IA	–	implementing agency
MLSG	–	minimum living standard guarantee
PMO	–	project management office
PRC	–	People's Republic of China
RP	–	resettlement plan
SAP	–	social action plan
STIs	–	sexually transmitted infections
WTP	–	water treatment plant
WWTP	–	wastewater treatment plant
XUAR	–	Xinjiang Uygur Autonomous Region
XUARG	–	Xinjiang Uygur Autonomous Region Government

NOTE

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

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ETHNIC MINORITY DEVELOPMENT PLAN

**XINJIANG ALTAY URBAN INFRASTRUCTURE AND ENVIRONMENT
IMPROVEMENT PROJECT**

**JANUARY 2011
XINJIANG ALTAY PREFECTURE GOVERNMENT**

Joint Signed Letter of the Ethnic Minority Development Plan

Through the Ministry of Finance and National Development and Reform Commission, the Administrative Office of Altay Prefecture, Xinjiang has applied for an Asian Development Bank (ADB) loan project for infrastructure and eco-environmental improvement of bordering counties and ports of Altay Prefecture, Xinjiang. The project is planned to start in 2011, and finish in 2015. According to social safeguard requirements of ADB (Safeguard Policy Statement 2009), the ethnic minority development plan under the project was prepared by the Administrative Office of Altay Prefecture and the Xinjiang Ecological Geographical Institute of Chinese Academy of Sciences. As one of the important requirements of ADB, the ethnic minority development plan will be carried out based on relevant laws and regulations specified by guarantee declaration of ADB. Mitigation and enhancement measures will be implemented and monitoring reports will be submitted according to agreement to ensure that ethnic minorities will be benefit from the project.

The Administrative Office of Altay Prefecture confirms that all contents and actions enclosed will be implemented according to the plan. The Administrative Office of Altay Prefecture has discussed the ethnic minority development plan with officials of local governments and obtained their consent. The Administrative Office of Altay Prefecture has authorized the project management office of the ADB loan project of Altay Prefecture to be responsible for implementation of the project as well as ethnic minority development plan activities. A complete ethnic minority development plan including introduction, action schedule, and grievance procedures in both Chinese and Kazakh language versions will be made public at the end of February of 2011 in local community offices

Deputy-secretary general of The administrative office of Altay
prefecture: Li YuXin

Director of executive office of Asian Development Bank Loan project
of Altay prefecture

A handwritten signature in black ink, consisting of stylized Chinese characters, is written over a horizontal line.

2011 年 1 月 27 日

CONTENTS

	Page
EXECUTIVE SUMMARY	1
MAP	
I. DESCRIPTION OF THE PROJECT	6
A. The Project Area	6
B. The Project Components and Subcomponents	9
II. LEGAL FRAMEWORK	12
C. PRC Government Policy and Programs	12
D. National Laws and Regulations of the PRC relating to Ethnic Minorities	12
E. ADB's Safeguards Policy Statement and Indigenous People's Principles	14
F. Current Government Programs Targeting Ethnic Minority People in the Project Counties	14
III. SOCIAL ASSESSMENT	15
G. Ethnic Minority Groups in the Project Counties	15
H. Traditional Xinjiang Ethnic Minority Cultures	16
I. Changing Ethnic Minority Urban Lifestyles	18
J. Poverty among the Ethnic Minority in the County Seats	19
K. Languages in the County Seats	20
L. Socioeconomic Characteristics of Ethnic Minority Households in the Project County Seats	21
M. Project-Affected Ethnic Minority People Living Outside the County Seat	28
N. Ethnic Minority Peoples' Perceptions of and Hopes for the Project	28
IV. POTENTIAL PROJECT NEGATIVE AND POSITIVE IMPACTS ON ETHNIC MINORITIES	31
V. ENHANCEMENT AND MITIGATION AND MEASURES	34
O. Enhancement Measures for Direct and Indirect Impacts	34
P. Mitigation Measures for Direct and Indirect Impacts	35
Q. Summary Action Plan	37
VI. INSTITUTIONAL ARRANGEMENTS AND CAPACITY DEVELOPMENT	47
R. Measures to Enhance the Capacity of Local Agencies to Address Ethnic Minority Issues	47
VII. CONSULTATION AND PARTICIPATION AND INFORMATION DISCLOSURE	48
S. Consultation during Project Preparation	48
T. Consultation and Participation Mechanisms to be Used During Implementation	48
U. Disclosure of the EMDP	50
VIII. GRIEVANCE REDRESS MECHANISM	50
IX. MONITORING, REPORTING, AND EVALUATION	51
V. Internal Monitoring	51
W. External Monitoring and Evaluation	51
X. BUDGET AND FINANCING	52

EXECUTIVE SUMMARY

1. **The project.** The Xinjiang Uygur Autonomous Region Government (XUARG) is implementing the Xinjiang Altay Urban Infrastructure and Environment Improvement Project with support from the Asian Development Bank (ADB). The project will affect the county seats of five counties of the Altay Prefecture: Qinghe, Buerjin, Habahe, Fuhai, and Jimunai. project subcomponents will include (i) construction of new roads, and upgrading of existing roads; (ii) construction of new water supply pipeline networks and water treatment plants (WTPs); (iii) construction of new wastewater treatment plants (WWTP) and new wastewater pipeline networks; (iv) construction of new heating boiler houses, heat exchange stations and new heating pipelines; and (v) provision of new solid waste landfill sites, garbage collection stations and trash cans.

2. **Legal and policy framework.** The ethnic minority development plan (EMDP) specifies mitigation and enhancement measures to comply with ADB's Safeguard Policy Statement (2009), Safeguard Requirement No. 3 on indigenous peoples.¹ This project is Category B in terms of potential safeguard risks to ethnic minorities. As per ADB requirement, an EMDP has been prepared.

3. The EMDP is designed to ensure that project benefits are distributed equitably and that culturally appropriate measures are taken to (i) avoid or mitigate adverse impacts, and (ii) enhance benefits for ethnic minorities. The project will ensure that ethnic minorities are consulted in matters related to each subproject, and provided with opportunities to participate in decision making and/or implementation activities.

4. **Project benefits and risks.** The key immediate benefit of the project will be an improved quality of life, including improved physical well-being, for the town residents as a result of (i) improved environmental sanitation due to better solid and liquid waste disposal; (ii) improved access to a safe and reliable source of water for domestic use; (iii) improved road traffic flow and safety; and (iv) improved centralized town heating and reduced air pollution from town heating facilities. The construction activities are anticipated to create close to 1,500 temporary jobs in the construction areas, which, together with the impacts of local procurement and associated multiplier effects in the labor market, will help reduce the incidence of unemployment in the area. Awareness building activities in road safety and environment will help to ensure the social benefits of infrastructure improvements. The long-term benefits of the project will be increased economic development, opening up of new areas for urban expansion enabling the counties to service a growing population, and encouraging new sectors such as tourism.

5. The potentially negative impacts will be (i) temporary impacts associated with construction such as dust, noise, disruption to movement, etc; (ii) the need for resettlement and land acquisition; and (iii) and increased risk of HIV/AIDS/STIs transmission from migrant laborers into the local population, should construction require the importation of external labor.

6. **Ethnic minorities in the project area.** In the project-affected counties, ethnic minority people represent between 45% and 81% of the total county population. The majority of ethnic people in these counties are Kazakh, who, in 2008, represented over 80% of the ethnic minority population in the project counties. The other main ethnic minority groups present in these counties are the Hui, the Uygur, and the Mongols. A number of other minority groups are also present, but in very small numbers. In the county seats which are urban areas, the ethnic minority population make up between 37% and 52% of the total population. Kazakhs again are predominant among the ethnic minority population in all the county seats.

¹ For projects in the PRC, the term "ethnic minorities" is used hereinafter.

7. The poverty incidence rates ranged from 12% to 14% in the urban populations of four of the project counties, and were significantly higher in Qinghe (39.6%). No official figures are available on the ethnic composition of the poor urban population. The household surveys showed no evidence that ethnic minority households in the county seats, in general, had lower incomes than the other households.

8. **Benefits and impacts on ethnic minority people.** The social analysis concluded that ethnic minorities and the remainder of the population are integrated physically, socially and economically in the county seats and that ethnic minority people will benefit directly from all aspects of the improved urban infrastructure. The incentive the improved infrastructure will provide to local economic development will be beneficial to ethnic minority people promoting new job opportunities and new access to basic services. A key benefit of the project—employment during construction—will also be maximized for ethnic minority people through a series of targets that the project management office (PMO) has set for the employment of ethnic minority workers in the construction jobs created. These targets are specified in Table 22.

9. Resettlement will affect around 372 ethnic minority households (approximately 58% of total) across the five project counties. No ethnic minority communities will be split as a result of relocation and the project will not affect the customary rights of use or access to land and natural resources as a result of land acquisition. The project's resettlement plan (RP) includes specific provisions for ethnic minorities and the environmental management plan (EMP), gender action plan (GAP), and social action plan (SAP) will address other negative impacts that affect the community as a whole.

10. Other project risks specific to ethnic minority people include (i) that their customs and beliefs might be inadvertently disrespected in the course of project implementation, (ii) a moderate risk of HIV/AIDS, and (iii) possible risk of lack of access to inclusive benefits. Some of these risks stem from the expected induced impacts of increases in economic and tourism development. To avoid, reduce or address these risks a number of mitigation or enhancement measures have been designed under the project. Risks such as exposure to HIV/AIDS are mitigated through provision of HIV/AIDS awareness training to construction workers and local communities in collaboration with the Center for Disease Control.

11. **The EMDP.** To facilitate the involvement of ethnic minority people in planning, decision-making and participation throughout the entire project cycle, all information dissemination and consultative meetings outlined in the EMP, SAP, GAP, and RP, and any other meetings which may prove desirable in the course of project implementation, will be translated into Kazakh and disclosed to local communities.

12. Other key issues addressed in this EMDP include (i) ensuring that all measures taken to mitigate general risks, such as campaigns to increase awareness and prevention of HIV/AIDS/STIs and road safety, and all temporary and permanent road signage are bilingual; (ii) measures to ensure that the customs and beliefs of ethnic minority people are respected throughout the project implementation; and (iii) setting of targets and specific measures for the employment of ethnic minority people on construction sites.

13. **Capacity building.** Before the commencement of any project component, representatives of all government organizations, including community offices, will be briefed on (i) the ADB policy safeguards with respect to ethnic minority peoples; (ii) the content and purpose of the EMDP; and (iii) the contents of the briefing notes to be provided to contractors, and which contractors will be obliged to include in their induction of new employees. The PMO has also suggested that the provision of bilingual language training in departments which work with ethnic minority people and issues would improve communication skills and make it easier for non-Kazakh speaking staff members to directly address ethnic minority issues. Costs for

such training would be minimal and will be funded through the government; currently each department submits an application for training to the government and the government pays the costs.

14. **Grievance redress mechanism.** Any complaints or grievances of ethnic minority people during the project will be handled in accordance with the grievance redress procedure established in the RPs and/or EMPs. An appeal can progress through a number of stages if the appellant is not satisfied with the initial response. The RPs outline (i) details of these stages, (ii) the procedures for moving through the different stages, and (iii) the different agencies which will be responsible for handling an appeal at each stage. To ensure that any complaints on the EMDP, land acquisition, resettlement, compensation, or other issues are handled openly, fairly and quickly, specific contacts have been appointed within each of the agencies which will be responsible for accepting appeals at different stages in the appeal process.

15. **Institutional arrangements.** The Altay PMO will require that the county PMOs be responsible for implementing the EMDP; each county PMO will be asked to assign a staff member to be responsible for the project social safeguards; this will include implementation of the resettlement plans, this EMDP, the SAP, and the GAP. Where necessary, the safeguards staff will be responsible for assigning particular responsibilities for implementation of certain actions prescribed in the EMDP. The safeguards staff will also be responsible for coordination of socioeconomic monitoring, including that required by the EMDP. The community office staff will provide an important link between the ethnic minority and other residents, and the county PMO social safeguards staff. They will also assist with any project-related community meetings, facilitating, in particular, the participation of ethnic minority women.

16. The safeguards staff will also work closely with the implementing agencies (IAs) and the implementing units to ensure that contractors are aware of, and in compliance with, their responsibilities under the EMDP.

17. The Ethnic and Religious Affairs Bureaus in each of the counties will assist with those activities in the EMDP that require input regarding the local ethnic minority beliefs and customs. They will also provide support to coordinate, advice, and assist in monitoring the implementation progress.

18. The Center for Disease Control in each county will work with the PMO safeguard staff to conduct HIV/AIDS/STIs awareness and prevention campaigns, both in the community, and among contracted workforces.

19. **Monitoring, reporting, and evaluation.** The county PMO safeguard staff and the IAs will monitor the progress of the overall project including that of the EMDP, according to the monitoring indicators included in the EMDP.

20. The county PMO IAs will prepare and submit semiannual monitoring reports to Altay PMO who will consolidate the reports and submit them to the Altay Prefecture Government, as the executing agency, for forwarding to ADB. The reports, by subcomponent, will review progress, newly emerged issues, and corrective actions where required.

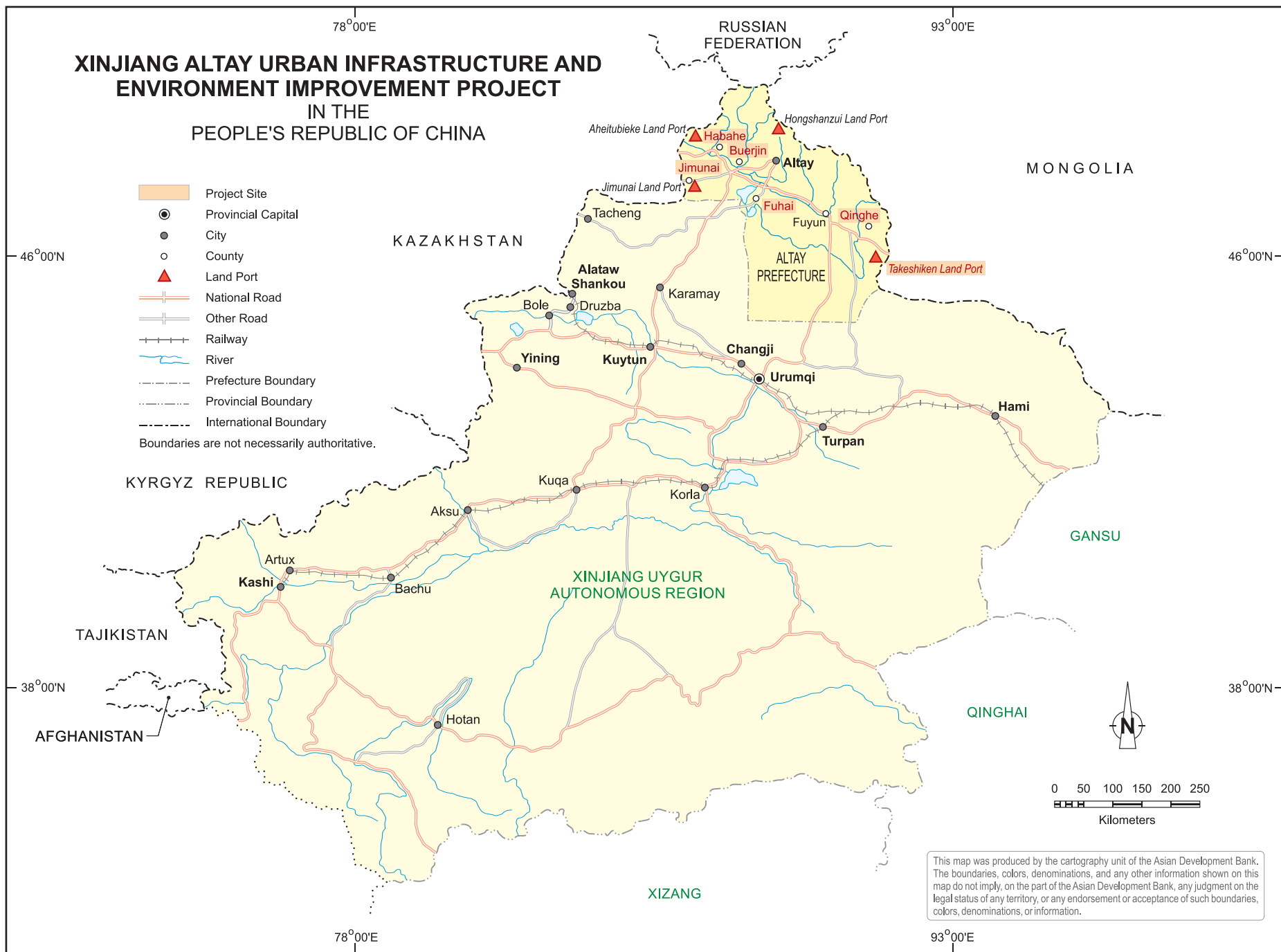
21. An external monitoring agency (EMA) to provide independent monitoring and auditing of the project has been included in the overall project budget. Before project implementation, the Altay PMO will contract an independent institute or nongovernment organization as the EMA. The EMA will develop a monitoring and evaluation plan. The external monitoring will be conducted twice a year. Objectives of the external monitoring 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 describe social and poverty changes on

ethnic minority people and their communities; (iii) ensuring that appropriate participatory approaches and quality communication have been adopted and that appropriate involvement of minority men and women in planning and implementation has undertaken, and; (iv) identifying complaints and/or ensuring that the grievance mechanism is effective.

22. **Budget and financing.** Ensuring the participation of ethnic minorities in different project activities will not require a separate budget. The actions to be implemented under the EMDP will either (i) be included as part of the project budget in the RP and EMP; (ii) represent expenses contractors incur as line items in their budgets; or (iii) be implemented by staff of government agencies such as the Ethnic and Religious Affairs Bureau, and hence covered by local government staffing and related costs. Apart from that budgeted for in the RPs, the only additional cost anticipated to be incurred by the project in ensuring the inclusion of ethnic minority people in project activities is that of producing HIV/AIDS/STI information, education, and communication materials in the Kazakh language—estimated to cost in the vicinity of CNY10,000 (\$1,500) per county and this has been agreed to.

XINJIANG ALTAY URBAN INFRASTRUCTURE AND ENVIRONMENT IMPROVEMENT PROJECT IN THE PEOPLE'S REPUBLIC OF CHINA

- Project Site
 - Provincial Capital
 - City
 - County
 - Land Port
 - National Road
 - Other Road
 - Railway
 - River
 - Prefecture Boundary
 - Provincial Boundary
 - International Boundary
- Boundaries are not necessarily authoritative.



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I. DESCRIPTION OF THE PROJECT

A. The Project Area

1. The Xinjiang Altay Urban Infrastructure and Environment Improvement Project has five county components, all located in Altay Prefecture in the Xinjiang Uygur Autonomous Region (XUAR).

1. The Xinjiang Uygur Autonomous Region

2. XUAR is a remote autonomous region in the northwest of the People's Republic of China (PRC). A major transport corridor on the historic Silk Road, the XUAR shares borders with eight neighboring countries: Russia, Kazakhstan, Kyrgyzstan, Tajikistan, Mongolia, Afghanistan, and Pakistan. It is the largest of the PRC's administrative divisions, with an area of approximately 1.66 million square kilometers and an estimated population of 21 to 22 million people.

3. Xinjiang is an autonomous minority area. There are 55 ethnic minority nationalities or groups officially recognized in the PRC. To facilitate equitable development, the government began creating ethnic autonomous areas in 1947. By the year 2000, 44 of these ethnic minority groups in the PRC had their own autonomous areas. XUAR is one such area. In addition to the common rights that are shared equally by all local governments, the local autonomous governments have the right to (i) make laws autonomously; (ii) self-administer the local political affairs, economy, finance, and science, education and culture; and (iii) use and develop ethnic minority language.

Table 1: Population of Major Ethnic Groups in Xinjiang (2006)

Ethnic Group	Number	Percentage
Uygur	9,413,796	45.92
Han	8,121,588	39.61
Kazak	1,434,969	6.99
Hui	909,626	4.43
Kyrgyz	175,868	0.85
Mongolian	174,641	0.85
Tajik	44,680	0.21
Xibo	41,934	0.20
Manchu	25,156	0.12
Uzbek	15,976	0.07
Russian	11,395	0.05
Daur	6,568	0.03
Tartar	4,693	0.02
Others	119,110	0.58
Total	20,500,000	100.00

Source: Table 4.7, Xinjiang Statistical Yearbook 2007.

4. XUAR has an ethnic minority population of 12.7 million, representing 61% of the total population. More than 30 different ethnic groups live in the Region. Uygur comprise 46% of the total population, Kazakh 7%, Hui 4.5%, Kyrgyz 0.9%, and Mongolian 0.8%. The other ethnic groups present, together, form less than 1.3% (Table 1). These major ethnic groups have been involved in constant migration over the centuries. The population movements have caused religious and cultural intermingling, producing the region's present unique cultures, reflected in diet, costume, wedding and funeral ceremonies, as well as religious beliefs, values, taboos and art. The culture and lifestyle of the different groups are discussed in Section III below.

5. Xinjiang is one of the poorest of the Western provinces. Over the last few decades, the PRC has made remarkable progress in reducing poverty. Measured in terms of the World Bank poverty standard², between 1981 and 2004 the fraction of the population consuming below this poverty line fell from 65% to 10.3%. By 2007, the percentage of the PRC's population below this poverty line was estimated to have fallen still further to 4.0%. However, as poverty has fallen, it has become increasingly difficult to eliminate the poverty of the remaining poor households, found mostly in remote, mountainous and minority areas. Poverty has now become concentrated in the Western Region of the PRC. Since the mid-1990s, poverty rates in these Western provinces, including Xinjiang, have fallen, but they fell by less than rates elsewhere. As a consequence, there has been a pronounced increase in the share of the PRC's poor who live in these provinces. The Western provinces now account for about half of the PRC's poor, well above their 29% share of the country's population.³ If poverty is assessed by a measure that is sensitive to how poor the poor are, then the Western provinces account for about two-thirds of the PRC's poverty.

6. In Xinjiang, in 2007, about 8% of the urban population, and 10% of the rural population were living below the official poverty line, compared with the national average poverty incidence of 4% and 4.7%, respectively.⁴ The 2008 annual per capita disposable income of XUAR urban households at CNY11,432 (\$1,681), was 28% lower than the national average (CNY15,781 [\$2,321]).⁵ Of the 101 cities and counties in XUAR, 27 counties are categorized as national poverty counties.

7. At the same time, the Region has one of the highest population growth rates in the PRC. As a consequence, serious challenges that are arising from unemployment and urbanization, and land degradation in rural areas compound the impact of its overall poverty on the local standard of living.

2. The Project Area: An Overview

8. The project's activities are all located in the Altay Prefecture in the north of XUAR. It comprises of one county level city and six counties, Buerjin, Fuhai, Fuyun, Habahe, Jimunai, and Qinghe. The project will affect each of these counties, with the exception of Fuyun.

9. The environment of this area is harsh. Its territory is made up of grasslands and deserts surrounded by mountain ranges. In summer, there are strong winds and a high evaporation rate. In winter, there is heavy snow and subzero temperatures.

10. All the project counties share borders with Russia, Mongolia, and/or Kazakhstan. This means that they are in a strong position to benefit from the growing cross-border cooperation between the Central Asian Republics. Jimunai, Fuhai, and Qinghe now have land ports to neighboring countries. The economic development strategies of the Xinjiang Uygur Autonomous Region Government (XUARG) for these counties focus on enhancement of cross-border trade. A number of the counties also have physical features that have enabled them to develop a tourist industry that attracts people from around the PRC. Together, trade and tourism are anticipated to bring increasing flows of people and cargo to the counties. This is expected to accelerate the development of service industries and to promote processing and manufacturing industries, and thus generate new employment opportunities. In addition, the counties also have mineral and energy resources which are now being exploited.

² Of CNY888 (\$131) per person per year at 2003 rural prices.

³ Toops, S. (2004) Demographics and Development in Xinjiang after 1949.
<http://www.eastwestcenter.org/fileadmin/stored/pdfs/>

⁴ Ibid.

⁵ The State Statistics Bureau, XUAR Statistics Bureau.

11. In the rural grassland areas, there are farmers and herdsmen. However, in the overall economy, primary industry is gradually decreasing, while secondary and tertiary industries are slowly becoming more important.

12. Like the rest of XUAR, the project counties have a large ethnic minority population. In all counties but Fuhai, ethnic minority people represent more than 50% of the county population (Table 2). More than 20 different ethnic minority groups reside in the area. However, unlike XUAR, in the project counties, Kazakhs are the most numerous of the ethnic minority groups. There are also small percentages of Hui, Mongols, and Uygurs in each county. The remaining groups, together, make up less than a few percent of the population in any one county.

Table 2: County Ethnic Minority Population

Ethnic Minority Population	County				
	Buerjin	Fuhai	Habahe	Qinghe	Jimunai
Total county population, 2010	69,700	73,500	84,500	61,500	39,100
Total urban population in 2008	19,400	22,700	23,200	14,400	10,500
Total ethnic minority population	48,448	32,984	58,261	49,941	25,567
Total ethnic minority population as % of total county population	69%	45%	69%	81%	65%
Total ethnic minority population as % of total county seat (urban) population	36.9%	38.5%	41.5%	45.8%	51.5%
Kazakh population as % of total county population	57.5%	39.6%	60.4%	76.3%	62.6%
Kazakh population as % of total ethnic minority population in county	82.7%	88.2%	87.6%	93.9%	95.7%

Source: Total population figures supplied by County Statistical Bureaus; ethnic minority figures compiled from Xinjiang Statistical Yearbook 2009.

13. Despite the economic potential of the project counties, they all have relatively high poverty incidence rates, compared to the PRC's overall poverty incidence rate of 4% (Table 3). These rates range from 10.3% in Fuhai to 33.2% in Jimunai—in each case higher than the average poverty rate for the XUAR as a whole (10% in rural areas, and 8% in urban areas). Qinghe and Jimunai are both national poverty counties. The poverty is said to be concentrated in rural areas, near the borders, where the majority of the population are from ethnic minority groups. However there are still significant numbers of poor people in the county urban population (Table 3). Official figures were not available on the ethnic composition of poor households in the county seats.⁶

Table 3: Indicators of Poverty in Project Counties

Poverty Indicator	County				
	Buerjin	Fuhai	Habahe	Qinghe	Jimunai
Poverty incidence rate for county, 2008*	14.35%	15.15%	10.91%	22.29%	33.24%
Poverty incidence rate in urban population	13.6%	11.9%	12.4%	39.6%	14.0%

Source: Poverty incidence figures supplied by Altay and County project management offices.

* Poverty line = CNY1,292 (\$190).

⁶ The proportion of ethnic minority households among the Minimum Living Standard Guarantee recipients in the socioeconomic household survey ranged from 60% to 70%—more than the proportion of ethnic minority people in the overall county seat population but this was a very small sample and is not representative because the survey targeted vulnerable households.

B. The Project Components and Subcomponents

14. Given the current focus on the Region's potential role in the Central Asia Regional Economic Cooperation Program, the XUARG has given priority to improving border port facilities, strengthening economic cooperation and trade with neighboring countries, improving infrastructure development, protecting the environment, and encouraging non-state-owned investment—while at the same time protecting the natural environment.⁷ This strategy is seen to be the key to further poverty reduction.

15. However, a key feature of all the project towns is a lack of urban infrastructure. This infrastructure cannot keep pace with growing demands as the population expands. This is very much to the detriment of the physical environment of the towns, and as a consequence to the quality of life of the residents (Table 4).

Table 4: Urban Infrastructure Coverage, County Seats, 2010

% of County Seat Households Connected to Different Urban Systems, 2010	County Seat				
	Buerjin	Fuhai	Habahe	Qinghe	Jimunai
% of households with piped water connection	65%	74%	54%	67%	86%
% of households with waste water connection	60%	38%	54%	47%	86%
% in county seat with access to central heating	57%	55%	62%	55%	64%
% of households with connection to town heating system	not available	54%	71%	56%	44%

Source: Figures supplied by the project management office.

16. Further, the current infrastructure facilities and basic services provision in the project county seats cannot adequately support industrial activity, expansion of the local economy, or job creation. However, the county governments do not have sufficient revenue to make the necessary improvements without external support, especially in Jimunai and Qinghe.

17. Project components focus on the county seats in the five counties. Improved infrastructure in the Takeshiken Land Port will also form part of the Qinghe Component. The project subcomponents will involve the construction and/or upgrading of roads, water supply, wastewater treatment and disposal, solid waste management, and/or central heating supply in these county seats.⁸ Table 5 provides an outline of the subcomponents that will be implemented in each county.

Table 5: Project Components and Subcomponents

County Seat	Roads	Water Supply	Wastewater	Solid Waste	Heating
Buerjin	Upgrading and construction of roads, with associated lighting, greening and traffic facilities	Construction of new WTP and new water supply pipeline network	Construction of new WWTP and new wastewater pipeline network	Construction of new landfill and garbage collection stations	
Fuhai	Upgrading of roads with associated lighting,		Construction of new WWTP and new wastewater pipeline network	Construction of new landfill	Upgrading of pipeline network

⁷ ADB. 2005. *Technical Assistance to the People's Republic of China for Provincial Development Strategy of Selected Provinces in Northwestern Region*. Manila (TA 4727-PRC).

⁸ In addition, there is a capacity building component, which encompasses all counties.

County Seat	Roads	Water Supply	Wastewater	Solid Waste	Heating
Habahe	greening and traffic facilities Construction of new roads with associated lighting, greening and traffic facilities	Construction of new water supply pipeline network	Construction of new WWTP and associated new wastewater pipeline network	Construction of new landfill; garbage collection stations; trash cans	Construction of new boiler house; heating exchange stations, and heating pipeline
White Birch Area (Habahe)	Construction of new infrastructure, including roads, parking lots, water supply pipeline, information signs, trash cans, garbage collection station				
Jimunai	Upgrading of roads with associated lighting, greening and traffic facilities	Construction of new water supply pipeline network	Construction of new WWTP and associated wastewater pipeline network	Construction of new landfill; garbage collection stations; trash cans	Construction of new boiler house, heating exchange stations, and heating pipeline network
Qinghe		Upgrade WTP and upgrade and construct water supply pipeline network	Construction of new WWTP and associated wastewater pipeline network	Construction of new landfill; garbage collection stations; trash cans	Upgrading of boiler house, new heating exchange stations, and new heating pipeline network

WTP = water treatment plant, WWTP = wastewater treatment plant.

3. Water Supply Subcomponents

18. In most of the county seats, the water treatment plant (WTP) equipment and facilities are inadequate. In times of peak water usage, the water quantity to connected homes is noticeably inadequate. In a number of counties, residents talked of the need to let tap water stand for at least 24 hours before use, in order to allow sediment to settle. Leakage in the pipe network is often serious—and can create a serious risk of recontamination of treated water. Pipes can become frozen in winter.

19. Many of the brick houses in the older parts of the county seats are not connected to the pipeline network. In these areas, drinking water is from pressure wells, and at times is of poor quality, especially when it snows or rains. Wells located in households' courtyards are often too close to pit latrines to avoid the risk of contamination.

20. As Table 5 shows, construction of a new water supply pipeline network will be carried out in four of the project counties, and the WTP upgraded in two of these counties.

4. Wastewater Disposal Subcomponents

21. The wastewater pipe network in most of the county seats currently services only around 50% or less of the households. For those households not connected, there is no effective means of disposal of wastewater; most households simply throw their domestic waste water into their courtyard, at the back of their house, or onto the green strips. Some dump liquid waste into garbage bins making them difficult to move in winter. Wastewater is currently believed to be polluting underground water, contaminating wells, and making living conditions unpleasant for many households in the towns.

22. The proposed works include the new construction of a wastewater treatment plant (WWTP) with access roads and construction of a new wastewater pipeline network.

5. Solid Waste Disposal Subcomponent

23. There are not enough trash cans, refuse collection bins, refuse collection points (refuse collection stations) or garbage collection vehicles in any of the county seats. Garbage overflows from existing bins and piles up in the streets. Enclosed vehicles are not always used for the collection and transfer of garbage, with the result that garbage removal operations often further pollute the environment. Scattered garbage adds to the poor environmental conditions that affect quality of life in the towns, especially when there is a lot of wastewater lying around.

24. In all of the county seats, the landfills have either been filled or are below standard. They lack anti-seepage measures, fencing, and/or garbage filling and compaction equipment. As a consequence, they cause odor and air pollution, garbage to be blown around, pollution of underground water and soil, the spread of disease, and risk of contamination to drinking water downstream.

25. The proposed works include the establishment of a solid waste sanitary landfill with access roads in each county, and except in Fuhai, the provision of additional trash cans and garbage collection stations.

6. Heating Subcomponents

26. Winters are bitterly cold, and heating of homes is essential. For the most part, only apartments in the county seats are connected to the central town heating systems. For those households connected, temperatures are often too low for comfort. Households who are not connected to the town heating system depend on coal fires for heating. While these do keep the homes warm, they are expensive, and a source of air pollution.

27. Additionally, in some of the county seats, the dust removal facilities of the present heating boilers are inadequate, and emissions of atmospheric pollutants do not meet national standards.

28. In four of the counties, a new heating pipeline network will be constructed, and the three of these four counties, new boiler houses and associated facilities will be constructed.

7. Takeshiken Land Port Subcomponents

29. Project works in Qinghe County also include the construction of a WTP and water supply pipeline network in Takeshiken Land Port, together with a new WWTP and associated wastewater pipeline network.

8. The Buerjin Special Economic Development Area

30. A special feature of the Buerjin Subcomponent is the provision of urban infrastructure to enable the opening up of a new area on the outskirts of the town. It is intended that this area will become an economic development zone that will serve as a base primarily for the processing of agricultural by-products and for handicraft industries. This will create new employment opportunities for the local community. Local government will implement preferential policies such as targeting local employment for construction, providing training for the local population and particularly women in processing and industries, and special pricing and expediting of permits will attract poor people to the area, not only in search of employment, but also to start small businesses. These initiatives seek to attract and support ethnic minority people to start small workshops and other businesses that utilize traditional ethnic skills, such as felt making, tanned leather, harness manufacture, jewelry making, etc. The area has the potential to become an important site of economic development and training for the population at large and ethnic minorities and women in particular.

II. LEGAL FRAMEWORK

C. PRC Government Policy and Programs

31. After 1949, the Government of the PRC adopted a policy of ethnic equality, in which all groups are regarded as legally and constitutionally equal. However, given the poorer social and economic conditions of most minorities, the government has subsequently adopted preferential policies towards minority groups to help them “catch up”. Policies and regulations now incorporate a variety of measures to address the specific needs of ethnic people, including autonomous institutions of legislation, administration and law enforcement at various levels, special consideration in education, and funding of programs for the development of ethnic peoples.

D. National Laws and Regulations of the PRC relating to Ethnic Minorities

32. The system of national laws and regulations of the PRC generally consists of three parts: (i) the Constitution, (ii) basic laws, and (iii) related laws and regulations.

33. The 1954 Constitution guarantees the equality of people in the PRC and specifies mechanisms for the exercise of autonomy in minority areas. Its preface states that the PRC is a unitary multinational state created jointly by the people of all its nationalities. The state protects the equal rights of all its nationalities and makes its best endeavor to promote common prosperity of all its nationalities. Articles in the Constitution state that:

- (i) The State protects the lawful rights and interests of the minority nationalities and upholds and develops the relationship of equality, unity and mutual assistance among all of the PRC’s nationalities. They emphasize that the State helps the areas inhabited by minority nationalities speed up their economic and cultural development in accordance with the distinctive characteristics and needs of the different minority nationalities.
- (ii) Regional autonomy is practiced in areas where people of minority nationalities; in these areas, institutions of self-government are established for the exercise of the right of autonomy.
- (iii) The people of all nationalities have the freedom to use and develop their own spoken and written languages, and to preserve or reform their own ways and customs.
- (iv) Citizens of the PRC enjoy freedom of religious belief.

- (v) The organs of self-government of the minority autonomous areas have the right to independently administer educational, scientific, cultural, public health and physical culture affairs in their respective areas, sort out and protect the cultural legacy of the nationalities and work for the development and prosperity of their cultures.

34. Subsequent laws and regulations have expanded the government's policy with respect to ethnic minorities.

- (i) The Notice of State Council on the Establishment of Ethnic Minority Villages (1983) stipulates as the condition for the establishment of ethnic minority townships or villages that they are areas in which ethnic minority people are concentrated and, except under special circumstances, comprise at least 30% of the population.
- (ii) In 1984, the Law of Regional National Autonomy and Related Regulations (amended 2001) reiterated, detailed and expanded on the various rights of ethnic minority and regions inhabited by ethnic minority. It gave governments of autonomous areas the right to decide on economic policy, and some latitude in allocating government subsidies.
- (iii) In 2005, the State Council promulgated the Several Provisions of the State Council on the Implementation of the Law of the People's Republic of China on Regional National Autonomy. These required that in the formulation of long-term economic and social development plans, people's government at higher level and its functional departments consult with the minority autonomous areas and nationality departments, in accordance with local characteristics and needs, to support and assist minority autonomous areas to enhance infrastructure construction, develop human resources, optimize the economic structure, make rational use of natural resources, strengthen ecological construction and environmental protection, speed up the development of economy, education, technology, culture, health, sports, etc., and all kinds of social programs, realizing the comprehensive, balanced and sustainable development.

35. Other relevant laws and regulations include:

- (i) Ethnic Minority Autonomous Religion Law of PRC
- (ii) Village Committee Composition Law of PRC
- (iii) Regulation of PRC for the Administration of Ethnic Minority Autonomous Township
- (iv) Tenth Five-year Scheme for Ethnic Minority Enterprise Development
- (v) Regulation of Xinjiang Uygur Autonomous Region for Language Work
- (vi) Regulation of Xinjiang Uygur Autonomous Region for the People's Congress of Autonomous Township, Ethnic Township and Town

36. As a result of these laws and regulations, minority autonomous areas now enjoy preferential treatment from the central government. To assist with economic development, they have special access to relief funds, loans, subsidies and tax relief. Educational and medical organizations in the minority autonomous areas may apply to the local Ethnic and Religious Affairs Bureau (ERAB) for assistance and funding. Children of minority residents receive a small increment in their higher education scores. If local residents meet special difficulties in education or medical fields, they can apply for a subsidy from the local ERAB. District and county governments, through the ERAB, can undertake projects and programs aimed at improving infrastructure and wellbeing of ethnic minority communities.

E. ADB's Safeguards Policy Statement and Indigenous People's Principles

37. Indigenous peoples (IP) in ADB's Safeguard Policy Statement (SPS) (2009)/ SR-3⁹ 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, indigenous cultural communities, tribal people, natives, and aboriginals.

38. Two significant characteristics of indigenous peoples are (i) descent from population groups present in a given area before modern states or territories were created, and (ii) maintenance of cultural and social identities separate from mainstream or dominant societies or cultures. Additional characteristics include (i) self-identification and identification by others as being part of a distinct indigenous cultural group, and the display of the desire to preserve their cultural identity; (ii) a linguistic identity different from that of the mainstream or dominant society; (iii) social, economic, and political traditions and institutions distinct from the mainstream society; (iv) an economic system oriented more toward a traditional system of production than toward the mainstream production system; and/or (v) a unique tie with and attachment to traditional habitat and ancestral territory and its natural resources.

39. 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, 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.

F. Current Government Programs Targeting Ethnic Minority People in the Project Counties

40. In response to the need for economic and social development in ethnic minority regions, the central government has implemented a national "Program to Revitalize Border Areas and Enrich Residents' Lives." Each of the project counties is currently implementing this program through a number of projects funded through their Ethnic Minority Development Fund. The foci of these projects are diverse—they include, for example, improving rural medical and health conditions, construction of power lines, labor skills training and encouraging the adoption of scientific cultivation ideas. The budget for these projects ranges from around CNY2 million (\$290,000) to CNY3 million (\$440,000) in Qinghe, Buerjin, and Jimunai to CNY8.25 million (\$1.21 million) in Habahe and CNY12.5 million (\$1.84 million) in Fuhai. However, all these projects focus on rural areas. Thus, there is no opportunity for linkages between them and the Xinjiang Altay Urban Infrastructure and Environment Improvement Project.

⁹ Indigenous people's requirements are detailed in Safeguard Requirements (SR-3) which is Annex 3 of the SPS. As the main distinction in this project is for ethnic minority peoples, the remainder of the EMDP refers to ethnic minorities rather than IPs.

41. The Commission of Ethnic Minority and Religion Affairs has granted funds to several other antipoverty projects to enable anti-poverty programs to be organized, but, again, mainly in the rural areas of the different counties. While some urban women have been involved in programs training ethnic minority women in traditional embroidery skills, no poverty alleviation programs specifically targeting urban ethnic minority people have been identified.

42. In some of the counties, a project with the goal of collecting and protecting intangible culture is currently underway. This is mainly focusing on Kazakh intangible culture. There are possible links between this project and the proposed project campaign to encourage environmentally friendly behavior.

43. In Xinjiang, every year in May there is a day in which education for nationality unity is carried out. For the Han staff of government departments and local Han residents, respect for ethnic minority customs is an important part of the content of this education. As a result, local people are very familiar with ethnic minority customs and beliefs and how they should be respected.

III. SOCIAL ASSESSMENT

G. Ethnic Minority Groups in the Project Counties

44. At the end of 2008, a total of over 90,000 people live in the project county seats (Table 6).

Table 6: Total Population, Project County Seats

County Seat	Population, 2008 (10,000)	Number of Households, 2010 (10,000)
Buerjin	1.94	0.62
Fuhai	2.27	0.73
Habahe	2.32	0.63
Qinghe	1.44	0.43
Jimunai	1.05	0.37
Total	9.02	2.78

Source: Xinjiang Statistical Yearbook, 2009

45. Table 7 shows a breakdown of the ethnic minority population in the project counties, and in those county seats. In Fuhai, ethnic minority people represent only 45% of the total county population. However, in Habahe, Jimunai, and Buerjin they represent about two-thirds of the county population, while in Qinghe County, they form about 80% of the County population. The most numerous ethnic minority people in all the project counties are the Kazakhs, who make up over 80% of the ethnic minority population. There are also small percentages of Hui, Uygur and Mongols in the counties. Members of more than 20 other ethnic minority nationalities are also present; however, these groups represent less than 2.5% of the total population of any one county.

Table 7: Ethnic Minority Groups in Project Counties and County Seats

Ethnic Minority Group	County			County Seat (urban)		
	Population	% of the total county population	% of ethnic minority population in county	Population	% of the total county seat population	% population of ethnic minority groups in county seat
Qinghe						
Kazak	46,872	76.3%	93.9%	5,166	37.3%	81.3%
Hui	1,174	1.9%	2.4%	441	3.2%	6.9%
Uygur	575	0.9%	1.2%	356	2.6%	5.6%
Mongolian	831	1.4%	1.7%	209	1.5%	3.3%
Other	489	0.8%	1.0%	183	1.3%	2.9%
All minorities	49,941	81.3%	100%	6,355	45.8%	100%
Buerjin						
Kazak	40,066	57.5%	82.7%	5,083	27.0%	73.3%
Hui	4,202	5.0%	8.7%	694	3.7%	10.0%
Uygur	1,027	1.5%	2.1%	699	3.7%	10.1%
Mongolian	1,561	2.2%	3.2%	107	0.6%	0.2%
Other	1,587	2.3%	3.3%	462	2.5%	6.7%
All minorities	48,443	69.5%	100%	7,093	37.2%	100%
Habahe						
Kazak	51,064	60.4%	87.6%	6,627	34.5%	83.2%
Hui	5,490	6.5%	9.4%	993	5.2%	11.7%
Uygur	345	0.4%	0.6%	230	1.2%	2.9%
Mongolian	430	0.5%	0.7%	17	0.1%	0.2%
Other	932	1.1%	1.6%	103	0.5%	1.3%
All minorities	58,261	68.9%	100%	7,970	41.5%	100%
Fuhai						
Kazak	29,105	39.6%	88.0%	4386	29.9%	72.0%
Hui	2,466	3.4%	7.5%	504	0.8%	8.3%
Uygur	667	0.9%	2.0%	250	0.4%	4.1%
Mongolian	190	0.3%	0.4%	15	0.02%	0.2%
Other	556	0.8%	1.7%	1076	7.3%	17.7%
All minorities	32,984	44.9%	100%	6,091	38.5 %	100%
Jimunai						
Kazak	24,469	62.6%	95.7%	5,020	48.2%	93.6%
Hui	686	1.8%	2.7%	144	1.4%	2.7%
Uygur	227	0.6%	0.9%	125	1.2%	2.3%
Mongolian	25	0.1%	0.1%	8	0.1%	0.2%
Other	160	0.4%	0.6%	73	0.7%	1.4%
All minorities	25,567	65.4%	100%	5,362	51.5%	100%

Source: Xinjiang Statistical Yearbook, 2010.

46. In the county seats, ethnic minority people represented a smaller proportion of the total population of the county seat than they did of the total county population. Nonetheless, they still made up over a quarter of the each county seat population. Once again, most of the ethnic minority people in these two towns were Kazakhs, with small percentages of Hui and Uygurs, and, in Qinghe, Mongols.

H. Traditional Xinjiang Ethnic Minority Cultures

47. **Language.** Most of the ethnic groups in Xinjiang have their own spoken and written

language, although some languages are commonly used by several ethnic groups. The linguistic origins of the Mongolian, Uygur, and Kazakh languages are Turkic. The Hui do not have a particular non-Chinese language, but primarily speak Mandarin Chinese. Most of the ethnic minority people in the county seats speak either Kazakh or Chinese.

48. **Religion.** Xinjiang is a region of many religions. However, the Uygur, Kazakh, Hui, Kyrgyz, Tajik, and Uzbek are primarily Muslims, although the Uygur and Hui often maintain their own mosques. Mongolians are mainly Tibetan Buddhist.

49. **Livelihood.** Traditionally, the Uygurs live by farming, with some engaging in commercial businesses, animal husbandry and handicraft. The Hui similarly mainly practice food crop farming, although some are also crafts or business people. In contrast, the Mongolians and Kazakhs in Xinjiang have traditionally practiced semi-nomadic herding—although some have also moved into farming.

50. **Gender Roles.** Monogamy is the norm among the main ethnic minority groups in Xinjiang. Kazakh, Hui and Uygur societies are all traditionally patrilineal. The status of ethnic minority women in the XUAR is still influenced by traditional cultural and religious values, according to which women's place is in the home and women should not be outspoken in public. Traditional Kazakh gender roles, for example, define as women's work: cooking and dressmaking; producing interior decorations for the *yurt* (embroidering, weaving, felt-making, bedding-making, etc.); education of children; preparing for weddings, funerals, and other life rituals; milking cows and assisting with deliver of new animals, and receiving and entertaining visitors; traditionally men never do tasks which are considered to be "women's work".

51. Young unmarried ethnic minority women traditionally live with their families until they marry, unless they choose to work away from their home town or village. Newlywed women typically leave their parental home and reside in their spouse's household where they are subject to the authority of their spouse and other male relatives of their spouse. Older Kazakh women, however, are much respected both inside and outside the home.

52. **Dress.** In Xinjiang, Uygur, Hui and Kazak women are not obligated to be veiled although many Muslim women wear a headscarf. Each of the ethnic minority groups have their own traditional patterns of colorful dress, although the wearing of traditional costumes is becoming less common.

53. **Culture and Festivals.** All the main ethnic minority groups in Xinjiang have a rich cultural heritage. Traditionally, Kazakh people use songs to express their blessings and feelings, and song could, perhaps, be utilized as one medium for promoting environmentally-friendly behavior. In consultative meetings, Kazakhs also talked of the importance that has traditionally been placed on protecting the environment, and expressed dismay at the way some Kazakhs living in the town behaved with respect to disposal of solid and liquid waste. The environmental awareness program will try to build on these traditional ethnic minority values as one means of motivating behavioral change with respect to the urban environment.

54. The traditional festivals for Muslims are mainly of "Rozi heyti" and "Corban". "Rozi heyti" is also called as Lasser Bairam festival. Kazakh festivals include Noruz (the festival for welcoming a new year), the Corban Festival, and Eid-ul-Fitr (fast-breaking festival). Public holidays are associated with these festivals.

I. Changing Ethnic Minority Urban Lifestyles

55. Urban housing in the project-affected county seats can be divided into three basic types: apartments; houses fronting into main roads and streets, and housing in what is known as the “flatted” areas. The ‘flatted’ areas consist of old single-storey brick houses with courtyards, linked to the main roads or streets by alleys. People in the flatted area are mostly dependent on pressure wells for their domestic water, and the areas tend to be very poorly serviced with respect to solid and liquid waste disposal. For most part, houses in the alleys have pit latrines. These are often too close to wells which can lead to a serious threat of contamination of water being drawn from wells for human consumption. While some people living in the flatted areas aspire to moving to an apartment, others prefer to remain there, where they are able to grow a few vegetables and perhaps keep one or two animals.

56. With little exception,¹⁰ in all the county seats, ethnic minority and Han households live intermingled physically and socially, both in the apartment blocks and in brick house areas. There are no ethnic tensions and there are no barriers to intermarriage between Kazakhs and other ethnic groups—although, once married, the couple is expected to adhere to the Kazakh lifestyle.

57. While some aspects of the traditional ethnic minorities’ lifestyles in Xinjiang have been retained in the county seats, other aspects are changing. Social changes that have taken place in Xinjiang Kazakh society since the 1950s, and especially since the 1980s, have resulted in a rising “urban Kazakh community”. The development of the urban Kazakh community started in 1950s when many young Kazakhs were graduated from universities and colleges and became “cadres” or professionals at all levels of government departments and other institutions. They settled in the towns and cities. Today, across the counties as a whole, the average admission rates of ethnic minority people to more senior schooling levels is significantly lower than the average admission rates in the counties as a whole. However, within the towns, there are more and more well-educated Kazakh men and women occupying positions in the government and other institutions, such as schools, hospitals, technology units, etc.

58. Gender relations among the more urbanized Kazakh, Hui, and Uygurs are also changing. Younger Uygur women and, to a lesser extent, Kazak and Hui women are now exercising greater choice in who they marry. Educated ethnic minority women are encouraged to find paid employment and educational outcomes appear to be at least equal to or better for them as they are for men. In consultative meetings, none of the ethnic minority men disapproved of the idea of their wives working on project construction sites—although one man added the rider that this was provided his wife was home in time to cook his evening meal, a comment which none of the other men present disagreed with.

59. With increasing numbers of ethnic minority women earning incomes, they are gaining greater control of household finances and decision-making for important issues, such as children’s education. In “urban” Kazakh society, men’s roles now include being the wage earner; being the external (outside the home) “manager” responsibility for communication with town relatives, colleagues, and other people; the house owner; the buyer of some things (except food, clothing, etc.); the co-decision-maker of the home; and the “coordinator” for the relatives in the rural area. However, more and more ethnic minority men, the young ones in particular, are “going to kitchen and washing machine”. Kazakh women’s roles in the town now include: being wage earners (not all of them); cooking and cleaning; “internal manager” (inside the home), responsible for house-decorating, facility-keeping and repairing, etc.; housekeeper of the family home; buyer of some of the domestic necessities (food, clothing, and other things for the home);

¹⁰ One exception is the ‘Kazakh Village in Habahe. Although not strictly a village, nor officially a Kazakh area, some 90% of the population of this ‘flatted’ area is Kazakh.

member of urban Kazakh women community (often participating in preparing weddings, funerals, and other life rite activities); co-education of children (with the husband); co-decision-maker of the home; and entertaining rural and town relatives, friends, and colleagues. In urban areas, ethnic minority women have more rights in decision-making at home as they are also wage-earners.

60. While ethnic minority lifestyles are changing, particularly in the towns, their lifestyles are still distinctive. There are customs and beliefs that it will be important for the project to respect. These customs and beliefs that it will be important for construction workers to respect are discussed in more detail below.

J. Poverty among the Ethnic Minority in the County Seats

61. The poverty rate was universally said by key informants to be disproportionately higher among ethnic minority households than in the general population in the project-affected towns. The project activities are only in county seats but the poverty of ethnic minority people in the rural areas is indisputable. The overall poverty incidence rate in the urban populations of four of the project counties ranged from 12% to 14%, and was significantly higher in Qinghe (39.6%) (See Table 3 above).

62. No official figures are available on the ethnic composition of the poor urban population. The household surveys did not provide any evidence to the effect that the ethnic minority households in the county seats, in general, had lower incomes than other households. However, the proportion of ethnic minority households among the Minimum Living Standard Guarantee (MLSG) recipients in the socioeconomic household survey ranged from 60% to 70%—a figure higher than the proportion of ethnic minority people in the overall county seat population. These survey findings were confirmed by the Poverty Alleviation Office in both Fuhai and Qinghe, who agreed that a disproportionately large number of those receiving the MLSG in those county seats were ethnic minority people. Thus there may be a disproportionate number of ethnic minority people among the most vulnerable of the poor households in the county seats.

63. Key informants and participants in consultative meetings gave lack of employment opportunities as the key reason for the poverty that exists among ethnic minority people in the county seats. Unemployment was consistently seen as the main problem facing ethnic minority people. Moreover, a significant number of those who are employed, are employed in casual work. Because of the harsh climates, much of the casual work is seasonal—building, butchering, etc. For those dependent on casual work, life can be very difficult during the winter seasons. Those in the most desperate situation can obtain MLSG for part of the year, but the amount of money from subsidies is limited and this may be a reason for the high numbers reported in the survey.

64. The two categories of ethnic minority people who were said to experience the most problems with respect to employment were women over the age of 35, and young graduates. Older ethnic minority women were said to have difficulty finding work because of employers' discrimination against older women, regardless of ethnicity.

65. Young ethnic minority graduates were said to be disproportionately experiencing employment problems for a number of reasons including the fact that:

- (i) ethnic minority college graduates who are employed are comparatively fewer because the subjects they studies in college are mostly of humanities and social sciences—not many study engineering, and

- (ii) many of them are not sufficiently proficient in Chinese to meet the needs of the employers in the industrial sector.

66. Lack of local employment opportunities creates a particular problem for ethnic minority youths, especially girls, as custom and language make it more difficult for them to move to other parts of the PRC in search of work.¹¹ In Fuhai, for example, it was estimated by government officials that every year, about 300-400 graduates come back to Fuhai, but every year only 15%-18% of them find jobs. Young graduates also experience gender discrimination: female graduates have more difficulty finding jobs than male graduates.

K. Languages in the County Seats

67. All official documents in the county seats are bilingual, printed in both Chinese and Kazakh. The ability of middle-aged and elderly Kazakhs to read signs in Chinese is said to be limited. Although many Kazakhs speak some Chinese, translation was always necessary in the consultative meetings at which either Kazakh men or women were present. Even among educated young Kazakhs, their fluency in Chinese is not always sufficient for some employers to be willing to take them on.

Table 8: Languages Spoken at Home and Work, and Learnt in School, by County Seat

Language	Language most spoken at home		Number of Households		Language spoken at main income earner's work	
			Language Children Learn at School			
Buerjin						
Chinese only	103	51%	79	63%	106	53%
Kazakh only	90	45%	10	8%	13	7%
Chinese and Kazakh	9	5%	31	25%	78	39%
Chinese and other	-	-	5	4%	3	2%
Other only	-	-	1	1%	0	0
Total	202	100%	126	100%	200	100%
Habahe						
Chinese only	81	51%	68	59%	80	51%
Kazakh only	79	49%	15	13%	25	16%
Chinese and Kazakh	-	-	18	16%	53	34%
Chinese and other	-	-	14	12%	0	0
Total	160	100%	115	100%	158	100%
Fuhai						
Chinese only	142	67%	84	64%	136	70%
Kazakh only	66	31%	10	8%	10	5%
Chinese and Kazakh	-	-	24	18%	48	25%
Chinese and other	-	-	14	11%	0	0
Other only	4	2%	0	0	0	0
Total	202	100%	132	100%	194	100%
Qinghe						
Chinese only	86	55%	89	74%	96	64%
Kazakh only	57	37%	7	6%	7	5%
Chinese and other	8	5%	24*	20%	46*	31%
Other only, no Chinese	5	3%	0	0	0	0
Total	156	100%	120	100%	149	100%

¹¹There are however programs in Xinjiang to assist people to transfer to places of employment elsewhere in the PRC, and a number of ethnic minority people are among those who have taken advantage of these programs.

Language	Number of Households					
	Language most spoken at home		Language Children Learn at School		Language spoken at main income earner's work	
	Jimunai					
Chinese only	67	41%	59	69%	67	41%
Kazakh only	94	58%	12	14%	29	18%
Chinese and Kazakh	0	0 (-)	14	16%	55	34%
Chinese and other	0	0 (-)	1	1%	2	1%
Other only, no Chinese	1	1%	0	0 (-)	0	0
Total	162	100%	86	100%	153	100%

Source: Household Socioeconomic Survey.

* Usually Kazakh.

68. Table 8 shows data from the household socioeconomic survey (see Section L below) regarding main languages spoken at home and at the main household income earner's place of work, and those learnt at school. Except in Jimunai, Chinese was the language most spoken at home in over half the households interviewed in each county seat; nearly all of the others mainly spoke Kazakh. Kazakh was the only language spoken at the place of work of less than 20% of main income earners, although in about one-third of the workplaces, both Chinese and Kazakh were spoken. Children from two-thirds of those households with children still at school learnt Chinese at school. In a minority of cases, Kazakh was also learnt at school.

69. Some ethnic minority people in consultative meeting want Chinese language to become the language in which education is provided, with Han people who know both the Chinese language and the local language, as the teachers. Ethnic minority people feel that they will be disadvantaged when they try to enter the labor market if their Chinese language is not good enough. Many of the government representatives interviewed had found that language classes they offer for improving employees' job skills are very popular.

L. Socioeconomic Characteristics of Ethnic Minority Households in the Project County Seats

70. Few socioeconomic statistics disaggregated by ethnicity are available for the project county seats. However, a socioeconomic profile of ethnic minority people in the towns can be drawn from data collected in the poverty and social assessment household survey. This household survey was carried out in each of the project county seats between April and May 2010. The questionnaire covered:

- (i) household characteristics, including housing situation;
- (ii) livelihood and income;
- (iii) property and assets;
- (iv) access to urban infrastructural services;
- (v) health status and awareness;
- (vi) current health; and
- (vii) willingness to pay and affordability of expanded services.

71. The technical assistance Consultant's national social specialist, and a team of four graduates and staff members from universities in Urumqi, managed the survey. The latter were all experienced interviewers, and, before leaving Urumqi, were fully briefed with respect to the project, the survey and its purpose, and the questionnaire itself. In each county seat, a team of local interviewers was recruited from people recommended by the county project management office (PMO). The team from Urumqi trained, worked with and supervised these local

interviewers.

72. The interviewers were instructed to try and interview approximately equal numbers of men and women—either the head of the household and/or his/her spouse. Interviewing was carried out in both the evening and the day. If no appropriate person was home at the time of the first call to the household, a repeat visit was made at a different time of day. Less than 4% of the households in the sample selected could not be contacted for interview, and there was only one refusal.

73. A general sample of 150 or 200 households was drawn for each county seat, depending on the total number of households in the town. The survey sample, due to cost and time constraints, was small compared with the total number of households in the project-affected towns. Thus, the confidence intervals are relatively large, and this needs to be borne in mind when making generalizations. A random sample of all households was drawn from each county seat, stratified in proportion to the number of households in each of the towns' communities. Table 9 shows the number of households interviewed in the overall sample, and the number of ethnic minority households in the sample. Only natural villages on the outskirts of the town that were not to be affected by the project infrastructure were excluded from the sample. In each community, the sample was drawn from household registers held at the community offices by selecting every n^{th} household in the registers, "n" being determined by the number of households required for a proportional sample of households in that community. The survey data was complemented by information garnered in focus group discussions with ethnic minorities held in each of the project areas. Focus group discussions with general residents and women were conducted for the poverty and social assessment.

Table 9: Socioeconomic Household Survey Sample

County Seat	Number of Households	Total Number of Households Interviewed	Total Number of Ethnic Minority Households Interviewed
Buerjin	6,200	202	108
Fuhai	6,300	212	84
Habahe	4,400	150	84
Qinghe	4,300	157	81
Jimunai	3,600	162	102

74. **Housing Situation.** In Habahe, over two-thirds of those interviewed lived in apartments. In the other towns, around 40% of the sample did so. The remainder lived in separate houses. Nearly all the apartments were located along main roads or streets. Varying proportions of the brick houses from which people were interviewed were located in alleys or fronted onto main roads or streets. (Table 10). Virtually all those interviewed owned their own dwelling. Thus, ethnic minorities' housing situation will not prove a barrier to their connecting to utilities once their area is serviced.

Table 10: Accommodation Type by County Seat

Type of Accommodation	Number of Households				
	Buerjin*	Habahe	Fuhai**	Qinghe**	Jimunai
Apartment	43 (40%)	58 (69%)	35 (43%)	29 (37%)	39 (38%)
House on main road or street	27 (25%)	16 (19%)	24 (29%)	25 (32%)	38 (37%)
House in alley	34 (32%)	10 (12%)	23 (28%)	25 (32%)	24 (24%)
Rooms	3 (3%)	0 (-)	0 (-)	0 (-)	1 (1%)
Total	107 (100%)	84 (100%)	82 (100%)	79 (100%) **	102 (100%)

Source: Household Socioeconomic Survey.

* Missing cases: 1; ** Missing cases: 2.

75. Examination of the number of people per room in the different household dwellings showed that those living in houses tended to have a slightly higher ratio of people per room than did those living in apartments. However, there was no evidence of overcrowding: the majority of the ethnic minority households interviewed had a ratio of less than one person per room in their dwelling; most of the remainder had no more than two.

76. **Household Composition.** Most ethnic minority households had between three and four members—usually a couple and their children (Table 11). Only in a minority of cases did the household include another relative—usually a parent or sibling of the husband or wife.

Table 11: Number in Household by County Seat

Number of People in Household	Number of Ethnic Minority Households				
	Buerjin	Habahe	Fuhai	Qinghe	Jimunai
1	2 (2%)	2 (2%)	1 (1%)	0 (-)	0 (-)
2	10 (9%)	23 (27%)	12 (14%)	7 (9%)	7 (7%)
3	41 (38%)	26 (31%)	28 (33%)	31 (38%)	37 (36%)
4	41 (38%)	26 (31%)	38 (45%)	30 (37%)	40 (39%)
5	11 (19%)	7 (8%)	4 (5%)	6 (7%)	10 (10%)
6	2 (2%)	0 (-)	1 (1%)	6 (7%)	7 (7%)
7- 8	1 (2%)	0 (-)	0 (-)	1 (1%)	1 (1%)
Total	108 (100%)	84 (100%)	84 (100%)	81 (100%)	102 (%)

Source: Household Socioeconomic Survey.

77. **Age Structure.** The majority of the members in the interviewed ethnic minority households was in the 26–55 age bracket (Table 12), and hence of an age to be able potentially to benefit immediately from any enhanced employment opportunities that the project might bring to their town.

Table 12: Age Distribution by County Seat for Ethnic Minorities
(All household members)

County	Age Group						Total
	0–5	6–15	16–25	26–35	36–55	Over 55	
Buerjin	26 (7%)	49 (13%)	67 (18%)	55 (14%)	156 (41%)	28 (7%)	381 (100%)
Habahe	11 (4%)	40 (15%)	42 (16%)	43 (16%)	91 (34%)	38 (14%)	265 (100%)
Fuhai		69 (24%)	41 (14%)	47 (16%)	107 (37%)	26 (9%)	290 (100%)
Qinghe		69 (23%)	41 (14%)	70 (24%)	87 (29%)	28 (9%)	295 (100%)
Jimunai	29 (8%)	54 (14%)	65 (17%)	77 (20%)	116 (30%)	42 (11%)	382 (100%)

Source: Household Socioeconomic Survey.

78. **Educational Levels.** Only four of the surveyed ethnic minority household heads and their spouses were illiterate (Table 13). This is consistent with the fact that in the project counties, the enrolment rate of minority children during the 9-year compulsory education stage is approximately 100%. At the top end of the educational levels, the percentage of ethnic minority men who were university graduates ranged from 25% to 46%. Except in Jimunai, the proportion of ethnic minority men who were university graduates tended to be a bit higher than the proportion of women. Nonetheless, the proportion of female university graduates among respondents and their spouses was still between 23% and 40%. In Jimunai, Fuhai and Habahe, the proportion of the ethnic minority interviewees and their spouses who were university graduates were rather higher than the proportion in the general population Buerjin and Qinghe showed a similar trend, although in these towns the differences were marginal.

Table 13: Education Level of Ethnic Minorities by Sex by County Seat
(Respondent and Respondent's Spouse only)

County	Sex	Educational Level Reached						Total
		Illiterate	Primary School Less	or Junior High	Senior High	Junior/ Technical College	University Graduate	
Buerjin	Male	0 (-)	7 (7%)	30 (30%)	23 (23%)	12 (12%)	28 (28%)	100 (100%)
	Female	0 (-)	10 (9%)	38 (33%)	28 (25%)	12 (11%)	26 (23%)	114 (100%)
Habahe	Male	1 (1%)	2 (3%)	13 (17%)	12 (16%)	15 (20%)	33 (43%)	76 (100%)
	Female	1 (1%)	3 (3%)	20 (25%)	14 (17%)	15 (19%)	28 (33%)	81 (100%)
Fuhai	Male	1 (1%)	3 (4%)	11 (15%)	16 (23%)	7 (10%)	33 (46%)	71 (100%)
	Female	0	6 (7%)	18 (22%)	21 (26%)	4 (5%)	33 (40%)	82 (100%)
Qinghe	Male	0 (-)	7 (10%)	11 (15%)	11 (15%)	14 (19%)	29 (40%)	72 (100%)
	Female	0 (-)	6 (8%)	18 (23%)	15 (19%)	11 (14%)	29 (29%)	79 (100%)
Jimunai	Male	0 (-)	3 (3%)	27 (28%)	21 (22%)	20 (21%)	24 (25%)	95 (100%)
	Female	1 (1%)	1 (1%)	35 (32%)	23 (21%)	12 (11%)	36 (33%)	106 (100%)

Source: Household Socioeconomic Survey.

79. The language and cultural difficulties that qualified ethnic minority youth experience with respect to migrating to other parts of the PRC in search of suitable employment may partly explain the high levels of education among the ethnic minority people. The expectation in more traditional ethnic minority families that the girl lives at home until marriage can make searching for jobs in other parts of the PRC even more difficult for young women graduates.

80. The high educational levels that have been achieved by many of the residents of the project county seats bodes well for the capacity of local people, especially ethnic minority people, to benefit from all levels of employment likely to be generated through the economic growth promoted by the project. However, it also suggests that projects intended to assist poor ethnic minority households, including women, to benefit from local economic development should not just focus on utilizing traditional skills in income generating activities, but also endeavor to tap the skills that have come from college or university training. According to the All China Women's Federation (ACWF), some of the young ethnic minority women do not see piece work using traditional skills as "proper work".

81. **Livelihood.** Except in Buerjin, the most frequent source of employment for all adult members of ethnic minority households was the government—depending on the county seat, in the ethnic minority households interviewed, between 27% and 45% of the men in the workforce were in government employment (Table 14). Similar percentages of ethnic minority women were also employed in government positions. In general, the proportion of ethnic minority people in government positions was a little higher than the proportion of the general population in such positions. State-owned or private enterprises generally employed less than 10% of ethnic minority people. Across all the counties, private enterprises associated with tourism only employed a few individuals.

Table 14: Occupation of Ethnic Minority Household Members by Sex and County Seat
(Members of Interviewed Households in Workforce)

Source of Employment	Sex	Number of Households				
		Buerjin	Habahe	Fuhai	Qinghe	Jimunai
State-owned or private enterprise	Male	21 (17%)	7 (8%)	4 (5%)	7 (9%)	3 (3%)
	Female	9 (8%)	3 (3%)	2 (3%)	8 (12%)	2 (2%)
Own home-based business	Male	1 (1%)	0 (-)	1 (1%)	2 (3%)	0 (-)
	Female	2 (2%)	1 (1%)	1 (2%)	0 (-)	1 (1%)
Own business (not home-based)	Male	3 (2%)	4 (5%)	5 (6%)	3 (4%)	9 (9%)
	Female	4 (3%)	4 (4%)	5 (8%)	0 (-)	5 (6%)
Government	Male	31 (27%)	38 (43%)	35 (45%)	34 (43%)	30 (31%)
	Female	32 (27%)	36 (39%)	36 (56%)	28 (42%)	40 (45%)
Casual labor	Male	32 (26%)	16 (18%)	13 (17%)	10 (13%)	22 (23%)
	Female	40 (34%)	10 (11%)	6 (9%)	10 (15%)	25 (28%)
Street vending	Male	2 (2%)	0 (-)	0 (-)	4 (5%)	0 (-)
	Female	2 (2%)	0 (-)	0 (-)	2 (3%)	0 (-)
Farmer/herdsman	Male	4 (3%)	1 (1%)	1 (1%)	2 (3%)	11 (11%)
	Female	6 (5%)	0 (-)	1 (2%)	0 (-)	4 (4%)
Other	Male	2 (2%)	1 (1%)	6 (8%)	4 (5%)	7 (7%)
	Female	0 (-)	0 (0%)	1 (2%)	2 (3%)	1 (1%)
Unemployed	Male	14 (12%)	2 (2%)	11 (14%)	14 (18%)	15 (15%)
	Female	22 (19%)	8 (9%)	12 (19%)	16 (24%)	11 (12%)
Total	Male	121 (100%)	88 (100%)	78 (100%)	80 (100%)	97 (100%)
	Female	117 (100%)	92 (100%)	64 (100%)	66 (100%)	89 (100%)
Housewife		14 (11%)	30 (33%)	26 (41%)	23 (35%)	26 (29%)

Source: Household Socioeconomic Survey.

82. As there are few other forms of regular salary/wages employment in the county seats, government employment is very important. The next most common form of employment for both men and women was casual labor. As discussed above, apart from the general insecurity of casual labor, it is often only available during the spring and summer months. In Qinghe, for example, a number of families whose income was derived from casual work were MLSG recipients in winter. The proportion of ethnic minority men and women dependent on casual labor was lower than the proportion of the general population in all of the county seats towns, but only marginally so in Jimunai, Buerjin, and Qinghe.

83. Only a small percentage of ethnic minority people, either men or women, were self-employed with their own business run from home or away from home (including street vending). Respondents were asked whether either the men or the women in the household had considered starting an enterprise of their own. Except in Habahe, where only 10% of either men or women had thought about doing so, between 20% and 32% of men, and 16% and 30% of women had. The overwhelming reason for not having done so was lack of capital. However, some ethnic minority women also talked of their 'lack of understanding of the outside world' as a contributory factor in not starting their own business. Very few of those in the workforce who were interviewed had a secondary occupation. The Buerjin Special Economic Development Area and the preferential policies it will employ will help to address some of these barriers to employment and creation of local businesses, especially for ethnic minorities.

84. Unemployment among men in the different county seats was less than 12-15%, and usually slightly higher (12-19%) among ethnic minority women (Table 14). However, the unemployment figures need to be considered in the context of the numbers of women who regarded themselves as housewives, and were consequently without any source of income of their own. If these women were counted as unemployed, this would inflate the female

unemployment rates. A rather higher percentage of ethnic minority, compared to the general population, were unemployed in Qinghe, but otherwise, there was little difference in the unemployment rates of ethnic minority people and everyone else in the other towns.

85. Thirteen percent of the ethnic minority households had at least one family member working away from home as seasonal migrant labor.

Table 15: Ethnic Minority Income Distribution by County Seat

Income Range (CNY per year)	Number of Households				
	Buerjin	Habahe	Fuhai	Qinghe	Jimunai
Under 2,000	7 (7%)	2 (2%)	0 (-)	2 (2%)	5 (5%)
2,001 to 6,000	13 (12%)	7 (8%)	6 (5%)	5 (6%)	15 (15%)
6,001 to 12,000	28 (26%)	4 (5%)	16 (13%)	8 (10%)	11 (11%)
12,001 to 18,000	16 (26%)	5 (6%)	20 (16%)	5 (6%)	15 (15%)
18,001 to 24,000	10 (9%)	16 (19%)	27 (21%)	10 (12%)	11 (11%)
24,001 to 30,000	18 (17%)	17 (20%)	18 (14%)	15 (19%)	13 (13%)
30,001 to 45,000	11 (10%)	18 (21%)	20 (16%)	11 (14%)	11 (11%)
45,001 to 60,000	4 (4%)	10 (12%)	16 (13%)	18 (22%)	15 (15%)
60,001 to 75,000	0 (-)	4 (5%)	2 (2%)	4 (5%)	4 (4%)
More than 75,000	1 (1%)	1 (1%)	1 (1%)	3 (3%)	1 (1%)
Do not know	0 (-)	0 (-)	2 (2%)	0	101 (100%)
Total	108 (100%)	84 (100%)	84 (100%)	81 (100%)	5 (5%)

Source: Household Socioeconomic Survey.

86. **Income and assets.** Table 15 shows the income distribution of the ethnic minority households surveyed in the different towns. There was quite a lot of fluctuation in the median annual household income across the different county seats: in Buerjin, was between CNY12,001 and CNY18,000; in Fuhai and Jimunai, between CNY18,001 and CNY24,000 and in Habahe and Qinghe, between CNY24,001 and CNY30,000 per year. In Jimunai and Fuhai, there was a slightly higher proportion of ethnic minority households in the lower income brackets, and a slightly lower proportion in the middle income brackets. In Habahe, this pattern was reversed. In Qinghe, ethnic minority households tended to have slightly higher incomes than other households, while in Jimunai there were slightly higher proportions of ethnic minority households in the lower income brackets, but also slightly higher proportions in the higher income brackets. However, the fact that ethnic minority households tended to have, on average, a slightly higher average number of persons per household needs to be taken into account in comparing ethnic minority household incomes with those of the rest of the population.

87. Table 16 shows some of the key possessions owned by the households surveyed. Of particular note is the high percentage of all households with a television set—a significant factor, given that consultative meeting participants expressed interest in being informed by television of jobs arising from the project. A large majority of the households surveyed also had either a car or motorbike, or, more commonly, at least one bicycle. These households can all be considered to be potential beneficiaries of improved road systems in those towns in which this takes place.

Table 16: Ethnic Minority Household Assets by County Seat

Household Possessions	Number of Households				
	Buerjin	Habahe	Fuhai	Qinghe	Jimunai
Flush toilet in house	43 (40%)	57 (69%)	49 (58%)	30 (37%)	5 (5%)
Outdoor household latrine	50 (46%)	23 (27%)	49 (58%)	38 (47%)	15 (15%)
Shower or bath tub	40 (37%)	61 (73%)	43 (51%)	36 (44%)	11 (11%)
Refrigerator	102 (94%)	77 (92%)	76 (91%)	75 (93%)	15 (15%)
Electric cooker	105 (97%)	76 (91%)	73 (87%)	71 (88%)	11 (11%)
Color TV set	106 (98%)	84 (100%)	82 (98%)	80 (99%)	13 (13%)
Telephone, cell phone	79 (73%)	59 (70%)	50 (60%)	55 (68%)	11 (11%)
Computer	32 (30%)	36 (43%)	31 (37%)	29 (36%)	15 (15%)
Car	10 (9%)	6 (7%)	13 (16%)	10 (12%)	4 (4%)
Motor cycle, scooter	27 (25%)	20 (24%)	34 (40%)	22 (27%)	1 (1%)
At least one bicycle	86 (80%)	52 (%)	77 (92%)	66 (81%)	101 (100%)

Source: Household Socioeconomic Survey.

88. **Health Status.** Table 17 shows the ethnic minority households in which one or more members had, in the previous 12 months, experienced an illness for which environmental conditions can be a risk factor. The most frequently experienced of these illnesses were respiratory complaints and diarrhea. The next most commonly experienced health problems with a possible environmental link were eye and skin problems. The household incidence rate for both respiratory problems and diarrhea varied across the difference county seats. The household incidence rate of diarrhea ranging from 3% in Habahe to 23% in Qinghe, and while that of respiratory complaints ranged from 9% in Habahe to 35% in Qinghe. All of the environmentally-related health problems were most prevalent in Qinghe or Jimunai, and least so in Habahe.

Table 17: Incidence of Environmentally-related Illnesses for Ethnic Minorities by County Seat

Illness	Number of Households				
	Buerjin	Habahe	Fuhai	Qinghe	Jimunai
Asthma, bronchitis, pneumonia	21 (19%)	7 (9%)	14 (17%)	22 (35%)	20 (20%)
Skin rash, skin infections	7 (6%)	1 (1%)	4 (5%)	9 (15%)	8 (8%)
Eye infections	9 (8%)	2 (3%)	9 (11%)	8 (13%)	16 (16%)
Hepatitis	3 (3%)	1 (1%)	3 (4%)	2 (3%)	3 (3%)
Diarrhea	8 (7%)	2 (3%)	14 (17%)	14 (23%)	11 (11%)
Vomiting	5 (5%)	1 (1%)	7 (8%)	5 (8%)	11 (11%)
Worms, other parasitic diseases	0 (-)	0 (-)	3 (4%)	2 (3%)	2 (2%)

Source: Household Socioeconomic Survey.

89. Survey numbers were very small for purposes of comparison, but generally there was no evidence of either men or women suffering a higher incidence of any the health problems often associated with poor environmental sanitation. Compared to the rest of the population, there is little evidence that ethnic minority families tended to have suffered more from respiratory or other complaints.

90. Despite the poorer environmental conditions in the alleys, there was no evidence to suggest that families living in alleys suffered a higher incidence of water-borne diseases than did families living in apartments with tap water. This can perhaps be attributed to the Chinese practice of always boiling water before drinking.

91. Notwithstanding the fact that not many members of surveyed ethnic minority households had lost time from income-earning activities in the previous year, almost all families had spent some money on medical treatment (Table 18).

Table 18: Total Amount Spent on Medical Expenses over Previous 12 months by Ethnic Minority Households

Amount spent (CNY)	Number of Ethnic Minority Households				
	Buerjin*	Habahe	Fuhai	Qinghe	Jimunai
0	0 (-)	1 (1%)	1 (1%)	0 (-)	1 (1%)
1–100	0	2 (2%)	3 (4%)	3 (4%)	0 (-)
101–200	2 (2%)	3 (4%)	1 (1%)	5 (6%)	5 (5%)
201–500	27 (25%)	22 (26%)	2 (2%)	9 (11%)	8 (8%)
501–1,000	29 (27%)	13 (16%)	25 (30%)	21 (26%)	22 (22%)
1,001–2,000	24 (22%)	13 (16%)	15 (18%)	10 (13%)	15 (15%)
2,001–5,000	15 (14%)	10 (12%)	18 (21%)	10 (13%)	23 (23%)
5,001–10,000	7 (7%)	10 (12%)	11 (13%)	12 (15%)	16 (16%)
10,001–25,000	1 (1%)	3 (4%)	5 (6%)	6 (8%)	10 (10%)
25,001–50,000	1 (1%)	4 (5%)	0 (-)	3 (4%)	2 (2%)
Over 50,000	1 (1%)	3 (4%)	1 (1%)	1 (1%)	0 (-)
Total	107* (100%)	84 (100%)	82** (100%)	80* (100%)	102 (100%)
Median	1,000	1300	2,000	2,000	2,250
Mean	3,855	7,401	4,761	5,595	4,998
Standard deviation	15,071	17,024	11,397	10,279	7055

Source: Household Socioeconomic Survey.

* Missing cases: 1; **Missing cases: 2.

92. Of those ethnic minority households experiencing an illness in the family in the previous twelve months, the large majority had consulted someone for treatment—in most cases, a doctor or professional health worker. It was only in Fuhai and, to a lesser extent, Habahe, that a few had consulted a traditional healer. In Habahe, 16% (n=12) of families who had had an ill member in the household had consulted a traditional healer in the previous 12 months; in Fuhai, 25%. Among those who had treated themselves, most gave a preference for self-treatment as their reason for doing so. Only a small number had treated themselves because of lack of money.

M. Project-Affected Ethnic Minority People Living Outside the County Seat

93. In addition to ethnic minority people living in the county seats, the construction of landfills, water treatment plants and wastewater treatment plants in locations some kilometers from the county seats themselves will affect a few villages. These villages are either farming or animal husbandry villages. Their population ranges from several hundred to a couple of thousand. The populations of four of the five most affected villages are predominantly ethnic minority. However, the project effect on these villages will be limited to the impact of resettlement and/or land acquisition. The key impact will be limited grassland acquisition. Because the per capita land holding is relatively high, this impact will be minor. Please refer to the resettlement plans for a full overview of impacts and mitigation measures.

N. Ethnic Minority Peoples' Perceptions of and Hopes for the Project

94. In both the general consultative meetings, and those meetings concerned with resettlement, ethnic minority people supported the project, believing that it will significantly improve their quality of life. Those favoring the project included most of the ethnic minority people in areas affected by land acquisition and/or resettlement. Project-affected people indicated that they would actively cooperate with their relocation and in the acquisition of their

land.

95. In the consultative meetings in the urban areas, participants were most enthusiastic about the prospects of improvements to solid and liquid waste disposal and to an improved water supply. The hopes were expressed in particular that these improvements would be made in the “flatted” areas, the areas worst affected in the town by lack of such services. Although some of these areas are gradually being redeveloped and will eventually include apartment housing, it is intended that most of the households in these areas in 2015 will have access to wastewater disposal and piped water supply by the completion of the project.

96. Ethnic minority participants in consultative meetings (see Table 19) indicated that improvements in the urban infrastructure in these areas would be particularly beneficial to women, especially ethnic minority women, many of whom have the responsibility for cooking and cleaning with water from the well, and keeping the house, clothing and children clean in a situation where dirty wastewater abounds at certain times of the year, and garbage is piled in heaps and blown around the community. The project is anticipated to have significant impacts on health and sanitation conditions for all and especially children.

Table 19: Poverty and Social Assessment Consultative Meeting Participants

Location	Targeted Participants	Male Participants	Female Participants	Number of Ethnic Minority Participants
Qinghe County Seat *				
Village on outskirts of town	Residents in General	7	5	11
	Residents in General	8	7	
North Minzhu Community	Women	2 (Just turned up)	11	13
North Minzhu Community	Residents in General	5	1	
Tuan Jie	Kazakh	8	2	10
	Ethnic Minority Women	0	5	5
Takeshiken Land Port	Residents in General	4	7	4
Takeshiken Land Port (Village)	Kazakh	8-10	2	10-12
Fuhai County Seat				
Huancheng Xilu Community	Residents in General	4	7	6
Jian Xi Community	Women	0	9	7
Minzhu Community/Jiankang Community	Ethnic Minority	12	4	16
Jihai Community	Residents in General	8	5	7
Linye Village (Road Project Site)	Residents in General	12	5	3
Yong An Lu Community	Ethnic Minority	7	4	11
Buerjin County Seat				
Baishanbai Community	Residents in General	12	6	7
Jin He Community	Residents in General	8	6	5
E'he Community	Women	9	2	6
Meili Feng Community/Kazakh Village	Ethnic Minority	9	8	17

Location	Targeted Participants	Male Participants	Female Participants	Number of Ethnic Minority Participants
Habahe County Seat				
Jiefang Dong Community	Residents in General	7	4	7
Minzhu Zhong Lu Community/ Jiefang Zhong Lu Community	Women		18	15
Wenhua Dong Lu Community	Ethnic Minority	13	7	20
Wenhua Zhong Lu Community	Residents in General (poor households)	9	4	7
Wenhua Xilu Community	Residents in general	4	5	4
Jie Fang Xilu Community	Ethnic Minority	4	5	9
Jimunai County Seat				
Women's Federation Office	Women		19	15
Number 3¼ Community	Residents in general	7	5	6
Number ½ Community	Residents in general	8	6	9
Jiansheju Meeting Room	Ethnic Minority	11	7	18
Northern Shanpo Community	Residents in general (poor households)	4	7	9

*At the time these meetings were held, the snow was melting in the surrounding mountains, where in winter there had been the heaviest snow falls for 60 years. While the survey was being carried out, villages and the towns were experiencing some flooding, and many of the residents were involved in assisting with flood control measures designed to cope with the floods when they were expected to peak in early May 2010. This may have affected the attendance of the focus group discussions, and to some extent influenced some of the views expressed.

97. Many of the ethnic minority men and women consulted also had particular hopes that the project would bring them job opportunities during project implementation. Middle-aged ethnic minority women were particularly anxious for such employment opportunities.

98. However, some ethnic minority people expressed concerns:

- (i) that religious activities of ethnic minority people should not be disturbed during project construction;
- (ii) that other ethnic minority values and customs should be respected throughout project implementation, and
- (iii) that a special Muslim canteen be provided on construction site.

99. Ethnic minority men also expressed fears in one meeting that because of language difficulties, contractual problems could arise for ethnic minority people as a result of a lack of mutual understanding of what was initially agreed between contractor and employee.

100. The issue of the proposed Special Economic Development Zone was also raised in consultative meetings in Buerjin. However, people had little knowledge of the proposed plan, and few suggestions to make. One elderly Kazakh man said of the proposed area: "I heard of it from a relative working in the government. We need this kind of platform to help Kazakh residents here and from the countryside. But what it will be I do not know. If the infrastructure is improved and there are some preferential policies, I think many Kazakhs will like the idea. But we know very little what the government has planned. I hope they will call meetings and listen to us and then we may say whether it is a good one or something needs to change." A Han woman commented: "There are no conditions for Buerjin to develop (heavy) industry so there are few chances of employment for us. The idea [of the Special Economic Development Zone] is good and I support it. But I also want to know how we can use this zone? Do small business? There

are not many local residents there. For tourists? Only in five months do we have tourists and what can we do in the rest of the time of a year? So we need more information about it. What I am concerned about it is how much we have to pay if we want to open small business there.” The preferential policies currently under design by local government are sensitive to these issues and, as described earlier in this text, have at the forefront the objectives of increasing local employment opportunities in general and providing opportunities for ethnic minority enterprises in particular.

101. The key hopes specific to ethnic minorities that were expressed by key informants that were specific to ethnic minority people were that:

- (i) the project would take some special measures to help the poor women, especially older ethnic minority women, with respect to employment opportunities—there were some concerns about how targets might be realized, and
- (II) that the PMO will use Kazakh language for the signs and notices and other public matters, since many of the Kazaks in the towns, especially those who are old or middle-aged, are not able to read Chinese well.

IV. POTENTIAL PROJECT NEGATIVE AND POSITIVE IMPACTS ON ETHNIC MINORITIES

102. For the most part, ethnic minority and other households are intermixed throughout the county seats. Consequently, improvement of the urban infrastructure will have similar direct positive impacts on all residents, regardless of ethnicity. The immediate impacts of these improvements will be the improvement in living standards that will come from a better physical environment. Improvement in the urban sanitation is also likely to enhance the health of residents.

103. In the longer term, improved physical infrastructure in the towns will facilitate local economic development. Apart from creating jobs in general, growth in tourism is likely to increase the opportunities open to ethnic minority people, especially women, to generate income from traditional craft skills and the sale of traditional ethnic meals. Other project impacts, such as the creation of temporary construction jobs and the empowerment of ethnic minority women, are discussed below.

104. The key impacts requiring mitigation include (i) construction disturbances, (ii) possible offence to local customs, (iii) possible increased HIV/AIDS awareness risks from cross border travel and construction workers, and (iv) resettlement. These risks are addressed under the mitigation measures in the plan.

105. The main negative impact on ethnic minority families will come from land acquisition and resettlement, which will impact 383 ethnic minority people. Measures are outlined in the RP to mitigate this negative impact. The project will not directly or indirectly affect the dignity, human rights or culture of any ethnic minority group, nor, as a result of resettlement or land acquisition, affect the territories or natural or cultural resources that ethnic minority people own, occupy, or claim as an asset. Similarly, the project will not contribute to any commercial development of the cultural resources or knowledge of ethnic minority people, or the commercial development of natural resources within lands occupied by ethnic minority.

106. Table 20 outlines the main positive and negative project impacts that are likely to affect the county seat population residents as a whole, including ethnic minority people.

Table 20: Project Impacts on Overall Population, and their Implications for Ethnic Minorities

Positive Impacts	Implications for Ethnic Minority
Long-term Impacts	
Improved urban infrastructure will facilitate the development of tourism in the county	In addition to the general economic benefits to the community as a whole that will benefit from the growth in tourism, this will offer ethnic minorities some unique income-generating opportunities based on their traditional crafts, cooking skills etc. Ethnic minority folk-cultural activities will help attract tourists who are likely to provide an appropriate market for economic activities based on traditional skills. The Buerjin Economic Development Zone, if it implements well the preferential policies outlined by local government, will help to ensure that positive benefits from economic expansion and increased tourism accrue to ethnic minority business and crafts people.
Improved physical well-being arising from improved environmental sanitation	This should be equally beneficial for ethnic minority and other members of the county seats.
More environmentally-friendly behavior	Local ethnic minority values and cultural means of expression will be incorporated into the environmental awareness program ensuring their appeal to ethnic minority as well as other county seat residents. The emphasis on participation in these activities in the EMDP and GAP will help to ensure ethnic minority and women's participation.
Empowerment of community members	The project will ensure the on-going participation of community members, including ethnic minority members in decision-making. Involvement in the making of decisions that affect the community is a step along the public engagement continuum that leads to empowerment. Such involvement will be a new experience for some ethnic minority women, whose role is traditionally not to be outspoken in public. Both the EMDP and GAP outline mechanisms and targets for participation and consultation throughout the project implementation.
Immediate direct impacts	
Creation of temporary jobs during construction and permanent jobs to manage expanded systems and through multiplier effect	Both ethnic minority and rest of community in labor market will benefit. As part of EMDP, targets have been set for the employment of certain percentages of ethnic minorities and these will be a part of the contractor agreements and monitored during implementation. The responsible staff in the project management office, implementing agencies, and Ethnic and Religious Affairs Bureau will coordinate efforts to ensure that appropriate outreach and awareness raising on employment opportunities is undertaken (these are laid out in Table 22).

Positive Impacts	Implications for Ethnic Minority
Expanded piped water supply coverage area, reducing some households' dependence on potentially contaminated well water, improving water quality and creating a more reliable supply of domestic water	This should be equally beneficial for ethnic minority and other county seat households. However, it will be particularly beneficial to ethnic minority women, who are primarily responsible for cooking and the care of the home, and are often dependent on well water or inadequate or poor quality piped water.
Improved wastewater disposal systems will result in reduced problems for pedestrians caused by the wastewater lying around; cleaner and healthier living environment for town residents; elimination of occasional backflow of wastewater into buildings in some county seats, and reduced contamination of the underground water supply and/or of rivers	This should be equally beneficial for ethnic minority and other county seat households. However again, it will be particularly beneficial to ethnic minority women, who are primarily responsible for keeping children, the home and clothing clean.
Improved road networks will reduce traffic congestion; improve road safety conditions; facilitate the movement of residents, and, in some county seats, open up new areas for urban expansion.	This should be equally beneficial for ethnic minority and other county seat households.
Improvements in solid waste disposal will result in a reduction of garbage piled in open areas and attracting vermin; creation of a cleaner and healthier living environment; reduction in plastic bags being blown around to the detriment of animals, grasslands, and some farming activities; reduction in leachate contamination of underground water supply	This should be equally beneficial for ethnic minority and other county seat households. However, as above, it will be particularly beneficial to ethnic minority women, who are primarily responsible for keeping clean the children, the home and the clothing. It will also be beneficial for ethnic minority herders, who can lose animals as a result of ingesting plastic bags blown into the grasslands.
Improved and expanded heating systems will result in energy savings; reduced air pollution, improved health and reduced heating costs for those currently dependent on coal fires	This should be equally beneficial for ethnic minority and other county seat households.
Buerjin Special Economic Development Area	The County Government preferential policy plans for this Zone will provide new income-generating opportunities for the local population in general and ethnic minority people in particular.
Negative Impacts - Direct	
Land acquisition and resettlement	Resettlement will affect both ethnic minority and other residents, but ethnic minority people disproportionately so—see Table 21. Resettlement plans have been developed to ensure adequate compensation and include measures to restore people's standard of living to at least that which they had prior to the project.
Disruptions to everyday life as a result of construction activities	This will affect both ethnic minority and other residents, but especially ethnic minority residents in villages near the construction of landfills, wastewater treatment plants, etc. The environmental management plan and the social action plan include measures to minimize the impacts of such disruptions.
Social Risks – Direct and Indirect	
Increased risk of HIV/AIDS transmission as a consequence of the employment of non-local labor	Risk to both ethnic minority and other residents. Infection rate among Kazakhs is very low, a fact attributed to strong cultural sanctions on high risk behavior. However, this is not true for some of the other ethnic minority groups and young people.
Increased risk of road accidents	Affect ethnic minority and general population

Positive Impacts	Implications for Ethnic Minority
Inability to afford utility fees or connection costs	There is a risk of excluding poor households who cannot afford the cost of connecting to the water supply system. If poor families, many of whom are ethnic minorities, cannot pay various urban service fees they can apply for a reduction and exemption certificate.
Offence caused by failure to observe and respect local ethnic minority customs and beliefs during construction activities	Specific to ethnic minority peoples and is a concern that will be addressed in the EMDP which has measures for contractor and worker sensitization.
Exclusion from employment opportunities	There is a risk that local employment will not be prioritized and ethnic minorities will not benefit. The EMDP will require prioritization of local labor and has measures to ensure appropriate outreach and awareness-raising on this issue.
Adverse impacts of tourism and economic development	There is a risk that ethnic minorities will not be the direct beneficiaries of new economic opportunities. The EMDP efforts in outreach and participation will help to address the barrier of lack of information input. Skills building from employment opportunities will provide the basis for long term employment opportunities in the new economy.

EMDP = ethnic minority development plan, GAP = gender action plan.

V. ENHANCEMENT AND MITIGATION AND MEASURES

O. Enhancement Measures for Direct and Indirect Impacts

107. The social action plan (SAP) and the gender action plan (GAP) include a number of measures intended to enhance the project benefits, for the county seat residents in general, and women in particular. Enhancement measures targeted for ethnic minorities are as follows:

108. **Responsible project staff.** The PMO and each implementing agency (IA) will assign a staff member to be responsible for the implementation of the project social safeguards (RP and EMDPs) and the GAP and to coordinate the socioeconomic monitoring. These people will be assisted by a social/gender specialist who will be a part of the project implementation consultancy. This person's role will be to help train, supervise and establish monitoring mechanisms for the social safeguards and associated activities in the EMDP, GAP, and SAP. Each community office in the country seats will nominate a bilingual staff member to act as a liaison person between residents, and the PMO, Labor Management Committee, ERAB, and other agencies as and when necessary.

109. **Road safety during construction and operation.** The PMO has also agreed that all road signage will be in both Kazakh and Chinese. Contractors will also be required to produce all temporary diversionary and safety signs associated with construction activities in both Chinese and Kazakh. Information/consultation sessions with communities will be held about construction activities and planned roadway diversions. Also, a road safety awareness program for communities and schools will be implemented in collaboration with the Traffic Police Department. Accident prevention sessions will similarly be conducted in both Kazakh and Chinese.

110. **Environmental awareness and consultation program.** Successful implementation and maintenance of the sanitation infrastructure improvements will also require behavior change. Consultation sessions will be held with communities to help decide the location of garbage bins

and pickup sites. In collaboration with the Environment Bureau, environmental awareness sessions on health and sanitation will be held with communities. It is planned that these sessions will build on traditional ethnic minority values of environmental stewardship and conservation through consultation with communities on issues such as traditional practices regarding water conservation, composting, sanitation, etc.

111. Employment in construction. In addition to the general measures taken to enhance the positive impacts of the project, several measures are included in the EMDP to ensure that ethnic minority people will benefit from the positive impacts of the project. A key enhancement measure will be employment for ethnic minority people. The PMO has discussed this issue in detail, and come up with specific targets for the employment of ethnic minority people for different types of work on different subcomponents. The targets are documented in Table 22. There was some discussion in meetings with key informants as to how contractors might be assisted to meet these targets. The PMO will work with the Labor Bureau and community offices to identify of suitable ethnic minority applicants for contractors to select from, based on their knowledge of people in their communities, and of who was interested in applying for work on the construction sites. The targets are included in the project assurances and in the end of this document.

112. Language. A number of ethnic minority people are not conversant in Chinese, and especially lack written skills. This is particularly true of middle-aged ethnic minority women, many of whom are interested in the possibility of employment on construction activities. To ensure that language difficulties do not give rise to misunderstandings about contracts, contractual advice and advice on labor rights, and help with translation of contract contents, will be available in Kazakh through the community offices and/or the Labor Market Management Committee, to any ethnic minority people employed on project construction. While legally all contracts must be in Chinese, contractors will be required to attach a note in Kazakh to their employees' contracts indicating that a Kazakh explanation of the contract contents should be obtained by visiting the Labor Market Management Committee. Contractors will also be encouraged to use bilingual work team leaders and local Kazakh contractors who are able to easily communicate with workers.

P. Mitigation Measures for Direct and Indirect Impacts

113. Construction disturbances. All temporary safety/diversionary signs, etc., during construction will be in both Kazakh and Chinese. During cultural and religious festivals such as the Muslim Eid-ul-Adha and Eid-ul-Fitr, contractors involved in construction which affects pedestrian or vehicle traffic flow will be required to take whatever extra site safety precautions that the traffic police advise. No construction will take place within 500 meters of any mosques during Friday or religious festivals.

114. Respect for local customs. Where provision of canteens on site is necessary, contractors will provide a separate Muslim canteen for workers. The ERAB will prepare a short briefing note on ethnic minority customs and beliefs that contractors and their workers should respect. All project contractors will use this to brief all supervisors and employees in the course of their induction. The briefing note will include such items as workers wearing shirts while working, and respect of customs and habits of ethnic minorities, etc. All contractors' supervisors will be required to attend a briefing by the ERAB on local customs and beliefs, and their responsibility for ensuring that these customs and beliefs are respected. Adherence to this will be monitored in the EMDP reporting and in regular supervision by the IA safeguard staff.

115. HIV/AIDS awareness. In collaboration with the Altay Prefecture Center for Disease Control (CDC) HIV/AIDS/STI awareness and prevention sessions in both Chinese and Kazakh

will be held for the construction workers (as a part of the construction contracts) and local communities. Any HIV/AIDS/STI awareness and prevention activities will involve separate sessions for men and women to avoid any embarrassment to ethnic minority women. However, based on their prior experience, the Altay Prefecture CDC has suggested that no sessions should specifically target ethnic minority women, as this would be likely to cause a sense of discrimination. Rather, awareness and prevention activities for women should target all the county seat women and bilingual health workers should be used. Resource materials used in such sessions, therefore, will need to be carefully checked in advance to ensure that it is culturally sensitive to all the ethnic groups that might be present in such sessions. The Regional Prevention of HIV/AIDS will also check all HIV/AIDS/STIs resource materials prior to use. These sessions will be held at the commencement of work on a project site (as part of their induction training), and again every 3 months for employees recruited since the previous session.

116. **Resettlement and livelihood restoration.** Resettlement will affect a number of ethnic minority people (Table 21); in total, 668 persons will be affected of which 383 persons (57%) are ethnic minorities, mainly Kazakhs. Mitigating measures are outlined in the RPs and in the environmental management plan (EMP). Livelihood restoration options that will help ethnic minorities who are herders include training in livestock breeding for those affected by land acquisition to be implemented by the Animal Husbandry Bureau and Labor Bureau.

Table 21: Number of Households, including Ethnic Minority, who will be Affected by Land Acquisition and/or Relocation

County	Subcomponent	Affected Residents	Land Acquisition	Demolition Only	Land Acquisition and Demolition
Buerjin	Water	Total	6	0	0
		Ethnic minority	6	0	0
	Roads	Total	49	70	0
		Ethnic minority	49	17	0
	Wastewater	Total	3	0	0
		Ethnic minority	3	0	0
	Solid waste	Total	76	0	0
		Ethnic minority	76	0	0
Fuhai	Roads	Total	50	100	9
		Ethnic minority	5	32	0
Habahe	Roads	Total	45	34	3
		Ethnic minority	3	4	0
Jimunai	Roads	Total	14	45	0
		Ethnic minority	14	21	0
	Solid Waste	Total	0	0	4
		Ethnic minority	0	0	4
	Heating	Total	0	48	0
		Ethnic minority	0	39	0
Qinghe	Water Supply	Total	10	0	6
		Ethnic minority	10	0	6
	Wastewater	Total	0	0	6
		Ethnic minority	0	0	6
	Solid Waste	Total	37	0	6
		Ethnic minority	37	0	6
	Heating	Total	0	4	0
		Ethnic minority	0	4	0
	Takeshiken Land Port – roads	Total	20	0	6
		Ethnic minority	20	0	6

County	Subcomponent	Affected Residents	Land Acquisition	Demolition Only	Land Acquisition and Demolition
	Takeshiken Land Port – water supply	Total	2	0	6
		Ethnic minority	0	0	6
	Takeshiken Land Port – wastewater	Total	3	0	6
		Ethnic minority	3	0	6
	TOTAL	Total	315	301	52
		Ethnic Minority	226	117	40

117. Risk minimization in general began in the design phase, with, for example, alignment of infrastructure to minimize resettlement and land acquisition, taking safety factors into consideration in road design, etc.

Q. Summary Action Plan

118. A summary of the action plan is shown in Table 22. This shows the target groups, responsible agencies, timing and monitoring indicators for each activity.

Table 22: Summary Ethnic Minority Development Plan

Action	Beneficiaries	Responsible Party and Timing	Budget/Costs	Monitoring and Indicators
1. Enhancement Measures				
1.1 Permanent and temporary road signs to be produced in both Chinese and Kazakh	All ethnic minority communities	PMO and Department of Roads	Project cost and regular administrative expenses of authorities	All road signage is bilingual, in Chinese and Kazakh.
1.2 Road safety sessions conducted at community offices by the traffic control police for residents living along newly constructed roads, or roads being significantly upgraded will be: (i) translated into Kazakh; and (ii) held at a time appropriate for the attendance of ethnic minority people, especially ethnic minority women	All residents, including ethnic minority people	Traffic Control Police, in conjunction with the community office staff, to be carried out at commencement of road works.	Routine administrative expenses of authorities involved	(i) Number of sessions held (ii) Number of beneficiaries disaggregated by sex and ethnicity
1.3 Community sessions on environmental and sanitation awareness. This program will incorporate traditional ethnic minority values on the environment.	All residents, including ethnic minority people	IA safeguard staff, Department of Environment Protection	Routine administrative expenses of authorities involved	(i) Number of awareness sessions (ii) Number of beneficiaries disaggregated by sex and ethnicity
1.4 Community consultations on location of garbage bins, pickup sites, and other sanitation improvements prior to placement	Residents of areas in vicinity of location of bins, including ethnic minority	IA with assistance from community office staff, coordinated by PMO safeguard staff	Routine administrative expenses of respective authorities	(i) Number of meetings held (ii) Number of participants (disaggregated by sex and ethnicity)
1.5 Employment of ethnic minority people on construction sites and post construction These will be monitored in supervision consultant reports and the external EMDP monitoring reports. (i) Coordination for outreach will be done with the Labor Bureau and Community Offices (ii) On-the-job training will be provided by contractors	All ethnic minority people interested in obtaining work on project construction sites and post construction jobs. Total jobs anticipated are: 1,465 temporary	Apart from advertising jobs in Chinese and Kazakh : (i) Contractors will provide information to the Labor Bureaus and community offices on jobs available and requirements for job candidates. (ii) Labor Bureaus and community offices will	Requirement to be specified as part of contractors' contract Labor Bureau budget Contractor costs	Number of workers employed disaggregated by sex, ethnicity, age, and job type

Action	Beneficiaries	Responsible Party and Timing	Budget/Costs	Monitoring and Indicators
	construction and 353 permanent post-construction. Targets for each component for ethnic minorities and women in each county have been agreed to (see Table 23).	identify and select suitable people (iii) PMO and IA safeguard staff with monitor during implementation		
1.6 Training in Kazakh language for those members of county seat bureaus who work with ethnic minority people and issues but cannot speak Kazakh	County bureaus of: ERAB, Civil Affairs, Labor Bureau, Grassland Monitoring and Supervision Station, County Land and Resources; Forestry	Bilingual staff members in each respective department to carry out training in-house	According to PMO, costs will be minimal and will be funded through the government: currently each bureau submits an application for training to the government and the government pays the costs.	Number of staff trained disaggregated by sex and position
2. Mitigating Measures				
2.1 Construction Disturbances. (i) Contractors will erect all temporary safety/diversionary signs etc during construction will be in both Kazakh and Chinese (ii) During the Muslim Eid-ul-Adha and Eid-ul-Fitr festivities, contractors involved in construction which affects pedestrian or vehicular traffic flow will be required to take whatever extra site safety precautions that the traffic control police advise (iii) No construction will take place	All ethnic minority people living or working in the near construction activities	Responsibility of contractor, with PMO and IA safeguard staff and construction supervision consultants ensuring compliance. Ongoing throughout all construction activities Contractors, with Traffic Control Police ensuring compliance	Contractors costs	Random checks by supervision consultants and PMO/IA safeguard staff and community focal points Number of accidents attributable to disruptions Number of grievances received from residents on these issues

Action	Beneficiaries	Responsible Party and Timing	Budget/Costs	Monitoring and Indicators
within 500 meters of any mosques during Friday prayer times, or during Muslim Eid-ul-Adha and Eid-ul-Fitr festivities.				
2.2 Respect for Local Customs (i) If contractors need to provide a canteen on site, they will provide a separate Muslim canteen (ii) ERAB briefing notes on ethnic minority customs (iii) ERAB briefing sessions for contractors	Ethnic minority residents and workers employed by contractors	- Contractors. Throughout all relevant construction activities - County ERAB to prepare briefing notes - Contractors to be responsible for briefing of employees and supervisors - Contractors' supervisors will be responsible for ensuring workers respect ethnic minority customs and beliefs - Prior to commencement of any new construction activities	Contractors costs ERAB budgets	(i) Number of Muslim canteens (ii) Number of briefing notes disseminated and briefing sessions held (iii) Number of grievances received Random checks by supervision consultants and PMO/IA safeguard staff and community focal points
2.3 HIV/AIDS Awareness and Prevention - Contractors will be required to ensure that all employees attend briefing sessions on the causes and prevention of HIV/AIDS and STIs. Briefings should be in both Kazakh and Chinese. - Promotion of community awareness of HIV/AIDS and STIs in communities near any construction camps as part of CDC ongoing awareness raising activities	All communities, including ethnic minority men and women	Sessions to be organized by contractor, conducted by CDC and monitored by PMO and IA safeguard staff Prior to commencement of any new construction activities Community sessions to be organized by PMO and IA safeguard staff and conducted by county CDC	Costs to be part of contractors' costs of induction of new employees County Treasury will provide, CNY10,000 (\$1,500) per county to cover costs of producing information, education, and communication materials in Kazakh	(i) Number of awareness sessions and number of beneficiaries (disaggregated by sex and ethnicity) (ii) Number and kind of training materials in each language (iii) IAs and implementing units and their supervision engineers are responsible for monitoring and collecting reports from contractors
2.4 Livelihood Restoration Measures in RPs	All ethnic minority affected persons	Animal Husbandry Bureau, Labor and social security bureau will be the	Included in the RP budget	(i) Proportion of ethnic minority AP participating in training (ii) Participants' satisfaction with

Action	Beneficiaries	Responsible Party and Timing	Budget/Costs	Monitoring and Indicators
Training in livestock breeding for ethnic minority people affected by land acquisition		implementation agency. Timing: 2011–2014		training (iii) % increase over previous years from improved animal breeding

AP = affected person; CDC = center for disease control; EMDP = ethnic minority development plan; ERAB = Ethnic and Religious Affairs Bureau; GAP = gender action plan; IA = implementing agency; PMO = project management office; RP = resettlement plan; STI = sexually transmitted infection.

Table 23: New Jobs Created by Project, and Percentage of Ethnic Minority People to be Targeted for these Jobs

Buerjin							
Subcomponent jobs			Road	Water Supply	Wastewater	Solid Waste	Total
Management personnel	Number		6	8	8	6	28
Technical personnel	Number		10	6	6	4	26
Temporary work (unskilled)	Heavy manual labor	Number	40	40	40	20	140
		Ethnic minorities %	45%	45%	45%	30%	
		Women %	20%	25%	25%	15%	
	Light manual labor	Number	20	20	20	10	70
		Ethnic minorities %	50%	55%	40%	40%	
		Women %	40%	40%	20%	20%	
Post construction permanent jobs	Skilled	Number	4	2	2	2	10
		Ethnic minorities %	25%	0%	0%	25%	
		Women %	50%	0%	0	0	
	Unskilled	Number	13	14	5	14	46
		Ethnic minorities %	54%	50%	60%	50%	
		Women %	30%	30%	20%	30%	
Total			17	16	7	16	56

Table 24: New Jobs Created by Project, and Percentage of Ethnic Minority People to be Targeted for these Jobs

Habahe								White Birch Forest			
Subcomponent jobs			Road	Water Supply	Wastewater	Solid waste	Heating	Road	Water Supply	Wastewater	Total
Management personnel	Number		6	8	8	6	8	2	2	3	43
Technical personnel	Number		8	6	7	5	6	5	4	4	45
Temporary work (unskilled)	Heavy manual labor	Number	40	30	40	40	30	25	20	20	245
		Ethnic minorities	45%	40%	45%	45%	45%	25%	20%	20%	
		Women	30%	25%	30%	20%	20%	15%	15%	15%	
	Light manual labor	Number	20	20	20	20	10	15	10	10	125
		Ethnic minorities	50%	55%	55%	55%	30%	40%	30%	30%	
		Women	40%	40%	30%	20%	30%	30%	20%	20%	
Post construction permanent jobs	Skilled	Number	2	5	3	2	12	2	2	2	30
		Ethnic minorities	33%	40%	0	0	50%	0	0	0	
		Women	0	20%	0	0	25%	0	0	0	
	Unskilled	Number	13	0	4	18	14	6	2	2	49
		Ethnic minorities	45%	0	50%	45%	45%	50%	50%	0	
		Women	55%	0	25%	25%	30%	50%	0	0	
Total		15	5	7	20	26	8	4	4	89	

Table 25: New Jobs Created by Project, and Percentage of Ethnic Minority People to be Targeted for these Jobs

Fuhai									
Subcomponent jobs				Road	Water Supply	Wastewater	Solid Waste	Heating	Total
Management personnel		Number		9		8	8	6	31
Technical personnel		Number		10		6	6	4	26
Temporary work (unskilled)	Heavy manual labor	Number		40		40	40	30	150
		Ethnic minorities		40%		40%	40%	30%	
		Women		30%		20%	20%	30%	
	Light manual labor	Number		20		20	20	15	75
		Ethnic minorities		55%		55%	55%	40%	
		Women		40%		40%	40%	40%	
		Jobs added after work completion		Number		15	9	7	10
Post construction permanent jobs	Skilled	Number		5		2	2	0	9
		Ethnic minorities		40%		50%	50%	0	
		Women		20%		0	0	0	
	Unskilled	Number		15		6	17	0	38
		Ethnic minorities		46%		50%	45%	0	
		Women		60%		35%	45%	0	
	Total					20	8	19	0

Table 26: New Jobs Created by Project, and Percentage of Ethnic Minority People to be Targeted for these Jobs

Jimunai								
Subcomponent jobs			Road	Water Supply	Wastewater	Solid Waste	Heating	Total
Management personnel	Number		9	7	6	8	7	37
Technical personnel	Number		12	5	7	6	5	35
Temporary (Unskilled) work	Heavy manual labor	Number	45	40	40	40	45	210
		Ethnic minorities %	40%	40%	40%	40%	40%	
		Women %	25%	25%	20%	20%	25%	
	Light manual labor	Number	20	20	20	20	20	100
		Ethnic minorities %	55%	55%	40%	40%	55%	
		Women %	40%	40%	30%	30%	40%	
Post construction permanent jobs	Skilled	Number	2	0	2	2	10	16
		Ethnic minorities %	0	0	0	0	40%	
		Women %	0	0	0	0	20%	
	Unskilled	Number	13	0	5	14	40	72
		Ethnic minorities %	60%	0	40%	50%	50%	
		Women %	55%	0	20%	35%	35%	
Total			15	0	7	16	50	88

Table 27: New Jobs Created by Project, and Percentage of Ethnic Minority People to be Targeted for these Jobs

Qinghe							Takeshiken Land Port				
Subcomponent jobs			Road	Water supply	Wastewater	Solid waste	Heating	Road	Water Supply	Wastewater	Total
Management personnel	Number		Not applicable	6	8	8	6	5	4	4	41
Technical personnel	Number			6	5	6	5	8	4	4	38
Temporary work (Unskilled)	Heavy manual labor	Number		30	30	35	30	30	20	20	195
		Ethnic minorities %		40%	30%	30%	40%	40%	40%	40%	
		Women %		25%	20%	20%	25%	30%	20%	25%	
	Light manual labor	Number		25	25	25	20	20	20	20	155
		Ethnic minorities %		50%	40%	40%	50%	50%	40%	40%	
		Women %		25%	20%	20%	25%	30%	30%	20%	
Post construction permanent jobs	Skilled	Number		4	2	2	4	2	2	2	18
		Ethnic minorities %		50%	0	0	25%	0	0	0	
		Women %		25%	0	0	25%	0	0	0	
	Unskilled	Number		11	5	14	10	8	4	3	55
		Ethnic minorities %		55%	40%	55%	50%	50%	50%	35%	
		Women %		45%	40%	35%	40%	55%	25%	0	
	Total				15	7	16	14	10	6	5

VI. INSTITUTIONAL ARRANGEMENTS AND CAPACITY DEVELOPMENT

119. As the project executing agency, the Altay Prefecture Government will be responsible for endorsing the EMDP.

120. Section III of the project administration manual outlines the overall project management arrangements. The Altay PMO will require that the county PMOs be responsible for implementing the EMDP; each county PMO will assign a staff member to be responsible for the project social safeguards; this will include implementation of the resettlement plans, the EMDP, the SAP, and the GAP. Where necessary, the safeguards staff will be responsible for assigning particular responsibilities for implementation of the actions described in this EMDP. The safeguards staff will also be responsible for coordination of socioeconomic monitoring, including that required by the EMDP.

121. The safeguards staff will also work closely with the implementing agencies (IAs) to ensure that contractors are aware of, and comply with, their responsibilities under the EMDP.

122. The community office staff will provide an important link between the ethnic minority and other residents, and the county PMO social safeguards staff. They will also assist with any project-related community meetings, facilitating, in particular, the participation of ethnic minority women. Additionally, they will provide a link between the community and the contractors with respect to helping the latter meet targets set for the employment of ethnic minority people.

123. The ERABs in each of the counties will assist with those activities in the EMDP that require input regarding the local ethnic minority beliefs and customs. They will also provide coordination support, advice, and assist in monitoring the implementation progress.

124. The CDC in each county will work with the PMO and IA safeguard staff to conduct HIV/AIDS/STIs awareness and prevention campaigns, both in the community, and among contracted workforces. The community offices will assist with the organizing and implementation of the environmental awareness campaign, under the oversight of the Altay Department of Environment Protection.

R. Measures to Enhance the Capacity of Local Agencies to Address Ethnic Minority Issues

125. Some of the ethnic minority communities in the county seats have cultural societies. There are no formal ethnic minority community leaders or nongovernment ethnic minority organizations in the counties but there are informal community leaders that could represent the general interests of affected ethnic minority people in the project area.

126. Before the commencement of any project component, representatives of all government organizations, including community offices, will be briefed on (i) the ADB policy safeguards with respect to ethnic minority peoples; (ii) the content and purpose of the EMDP; and (iii) the contents of the briefing notes with which the ERAB will provide to contractors, and which contractors will be obliged to include in their induction of new employees.

127. Findings from the EMDP consultation confirmed the need for further bilingual language training in departments which work with ethnic minority people and issues. For the departments involved in ethnic minority work, it is estimated that 80% of all cadres (including Kazakh, and some Han, and some other ethnic minorities) are bilingual. However, the PMO has suggested that the remaining 20% of cadres, who come from Han and other ethnic groups and who do not speak Kazakh, receive training in that language. Staff fluent in the Kazakh language could serve as teachers. It is felt that improved language communication skills could make it easier for non-Kazakh speaking staff members to directly address ethnic minority issues. Costs for such training will be minimal and will be funded through the

government; currently each department submits an application for training to the government and the government pays the costs.

VII. CONSULTATION AND PARTICIPATION AND INFORMATION DISCLOSURE

S. Consultation during Project Preparation

128. As part of the poverty and social assessment, a number of consultative meetings were held in the county seats, both with community members in general, and with women on their own. Ethnic minority people were involved in all these meetings. To ensure that any issues specific to ethnic minority groups were also identified additional meetings involving only ethnic minority participants were held in each county seat. The level of ethnic minority participation in these meetings was shown in Table 19. Interviews with key informants, including representatives from the ACWF and the ERAB, also included a discussion of ethnic minority issues in all of the project counties.

129. In addition, as described in the resettlement plans, care was taken to include ethnic minority peoples in all meetings relating to resettlement. Ethnic minority households were also among the households visited as part of the socioeconomic survey undertaken in the course of consultation with households that will be affected by relocation, and/or acquisition of land or other assets. During consultations, specific ethnic minority focus group discussions were also held to discuss the relevant issues in depth and to collect relevant data.

130. Most of the comments of both key informant interviews and consultative meeting participants focused on concerns about the water supply and environmental sanitation in the towns, and about unemployment in the ethnic minority communities. Few project relevant issues specific to ethnic minority peoples, as opposed to the general population, were raised in any of these meetings. The enhancement and mitigation measures explained above respond directly the concerns raised on encouraging employment, ensuring consultation and providing awareness programs on environmental sanitation and traffic safety.

T. Consultation and Participation Mechanisms to be Used During Implementation

131. Ethnic minority people's participation in preparation and implementation of resettlement plans has been and will continue leading up to and during implementation. Resettlement information brochures setting out entitlements and compensation mechanisms have been provided in both Chinese and Kazakh, with appropriate graphic illustration. The RPs also provide a process for the ongoing involvement of all project-affected people, including ethnic minority people, throughout the project implementation.

132. A number of measures will be taken to ensure the inclusion of both men and women from ethnic minority households in this public participation process. These include (i) the timing of meetings to ensure that this will not be a barrier to the attendance of ethnic minority residents, particularly ethnic minority women; (ii) the provision of translation of both verbal and written communications in the community engagement process; (iii) cultural sensitivity in the way information is presented; (iv) regular consultation with ethnic minority people, to identify and difficulties, needs, and/or priorities they may be having with project implementation, and taking these into account wherever possible; (v) consulting ethnic minority people (male and female) in the course of both internal and external monitoring and evaluation; and (vi) establishing a system of focal points within IAs and community offices to facilitate liaising with communities.

133. Table 28 shows the consultation and participation activities that will be taken during project implementation. These will be coordinated by the PMO and IAs.

Table 28: Consultation and Participation Activities during Implementation

Action	Responsible Parties	When	Participants/ Beneficiaries
Publicize the project over the TV before implementation of each component starts, and inform public of the role of the community offices as intermediaries between the PMO and the community, should community members need further information or have concerns	IAs at time project component about to commence in county seat	At beginning of implementation	All public including ethnic minorities
Conduct public meeting for all residents of areas where tap water is to become newly available, to inform residents (i) about the water quality; (ii) tariffs—what they will be, how they are calculated, and why tariffs are charged, what assistance is available; (iii) how to organize a connection to the new pipeline; (iv) how to protect home and communal pipes; (v) water conservation practices; and (vi) what to do if residents have concerns	Water Supply Company with participation of contractor, coordinated by County IA Safeguard staff	During construction and prior to service delivery	All beneficiary residents
Conduct public meeting wherever major construction activities are to take place, before construction commences, to inform residents of (i) when construction is expected to start and finish; (ii) anticipated temporary and permanent impacts of construction on service provision; (iii) how to keep children safe around the construction site; and (iv) what residents should do if they have complaints or concerns, etc.	PMO, relevant contractor, coordinated by County IA Safeguard staff	Prior to construction activities	All beneficiary residents, particularly affected residents
Briefing of representatives of all agencies involved in the project, including community offices staff, in the purpose and content of the EMDP, and in local customs and beliefs that the contractors have been asked to observe the course of project implementation	PMO and IA's with assistance from ERAB and project implementation consultant social/gender specialist, prior to commencement of each component	At inception of project	Project staff and ethnic minorities
Ensure the active participation of ethnic minority people in all information/consultation meetings relating to the project by: (i) including in all community consultative/information meetings, someone from a local community office willing to translate what is being said into Kazakh; (ii) informing the public that an interpreter will be present at the time of publicizing community meetings, so that non-Chinese speaking ethnic minority will be aware of this; (iii) holding all	PMO and IAs with assistance from ERAB and the project implementation consultant social/gender specialist	Throughout implementation	Ethnic minorities

Action	Responsible Parties	When	Participants/ Beneficiaries
community meetings at a time suitable for the attendance of both employed and unemployed ethnic minority people, including ethnic minority women; and (iv) encouraging, in a culturally sensitive manner the active participation of ethnic minority women in all meetings			
People consulted about project impacts during monitoring and evaluation will include both men and women from different ethnic minority groups. Some measures (e.g., respect for local customs) will also include community-based monitoring by the focal points.	External monitor and IA responsible staff	In accordance with monitoring schedule	All affected persons, particularly ethnic minorities
All TV and/or other advertisements regarding employment opportunities on construction sites should be presented in both Chinese and Kazakh language.	PMO, Labor Bureau, contractors	In advance of any labor recruitment	All beneficiaries and ethnic minorities

EMDP = ethnic minority development plan, ERAB = Ethnic and Religious Affairs Bureau, IA = implementing agency, PMO = project management office.

U. Disclosure of the EMDP

134. The draft EMDP approved by ADB was distributed to each affected town, neighborhood community, and village in February 2011. If there are any comments and feedback from affected communities, those will be incorporated into a final version.

135. The draft EMDP was uploaded to the ADB website on 4 February 2011. If there are any revisions to the EMDP, the final version will be uploaded to the ADB website and distributed to the IAs, county seat governments, implementing units, and affected ethnic minority neighborhood communities and villages. This will also be announced in the local media and the project implementation consultant.

VIII. GRIEVANCE REDRESS MECHANISM

136. Any complaints or grievances of ethnic minority people during the project will be handled in accordance with the same grievance redress procedure established in the RPs and EMP. A grievance or an appeal can progress through a number of stages if the appellant is not satisfied with the initial response. The RPs outline (i) details of these stages, (ii) the procedures for moving through the different stages, and (iii) the different agencies which will be responsible for handling an appeal at each stage. The stages are as follows:

137. Stage 1: If any ethnic minority person is dissatisfied with the implementation of the EMDP, he/she can report this to village/community committee orally or in writing. In case of an oral appeal, the village/community committee shall make a disposition and keep written records. Such appeal should be solved within 2 weeks; or

138. The ethnic minority person can submit a verbal or written petition and/or complaint to the county PMO safeguard specialist. For a verbal complaint the PMO must make written records properly and record them in a complaint register. The county PMO must give a clear reply within 2 weeks. If the complaint is successfully solved, the county PMO informs the Altay PMO which records the grievance redress process in its central register.

139. Stage 3: If the ethnic minority person is dissatisfied with the disposition of Stage 1, he/she may file an appeal to the township government/urban district office after receiving such disposition, which shall make a disposition within 2 weeks.

140. Stage 4: If the ethnic minority person is still dissatisfied with the disposition of Stage 2, he/she may apply for administrative reconsideration with the county PMO or file an administrative action in the county people's court in accordance with the Civil Procedure Law of the PRC after receiving such disposition.

141. The above means of appeal, and the names, locations, persons responsible, and telephone numbers of the appeal accepting agencies will be communicated to the ethnic minority residents at a meeting and be available in the county PMO with the safeguard staff so that the ethnic minority persons know their right of appeal.

142. All agencies will accept grievances and appeals for free, and any costs so reasonably incurred will be disbursed from the contingency costs. These appeal procedures will remain effective until the approval of ADB's project completion report to ensure that the people can use them to address relevant issues.

143. The aggrieved person may also express grievance to the external monitor, who would then report it to the PMO. If there is more than one household with similar grievances that stemmed from a violation of ADB's safeguard policy, as stipulated in this EMDP, they may appeal directly to ADB in accordance with ADB's Accountability Mechanism (2003).¹²

IX. MONITORING, REPORTING, AND EVALUATION

144. Monitoring and evaluation of the EMDP implementation is required to ensure the action plan (see Table 22) is implemented properly and effectively, and to ensure that the objectives of the EMDP are being met.

V. Internal Monitoring

145. The county PMO and IA safeguard staff will monitor the progress of the overall project including that of the EMDP, according to the monitoring indicators included in the EMDP and Table 22.

146. The county PMO IAs will prepare and submit semiannual monitoring reports to Altay PMO, who will consolidate the reports and submit them to the executing agency for forwarding to ADB attached to every other Quarterly Progress Report. The reports, by subcomponent, will review progress, newly emerged issues, and corrective actions if and where required.

W. External Monitoring and Evaluation

147. An external monitoring agency (EMA) to provide independent monitoring and auditing of the EMDP implementation has been included in the overall project budget. Prior to project implementation, the Altay PMO will contract an independent institute or nongovernment organization as the EMA. The EMA will develop a monitoring and evaluation plan. The external monitoring will be conducted bi-annually in conjunction with the monitoring of the RP. Field investigation will be conducted twice a year which will include collection of secondary data, focus group discussions and key informant meetings with relevant agencies focusing on target groups and the issues set out in the EMDP action plan (Table 22). The terms of reference for the external monitor is provided in Annex 1. Reports will assess the effectiveness of the EMDP activities and identify recommendations for follow up by the PMO. The reports will be reviewed by the PMO and ADB to determine the appropriate response to

¹² http://adb.org/Documents/Policies/ADB_Accountability_Mechanism/ADB_accountability_mechanism.pdf

any issues identified and suggested follow up actions. If any serious issues arise, a correction 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 implementing agencies for the EMDP for taking actions. ADB will upload these reports and any corrective action plan to their website.

148. Objectives of the external monitoring 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, and
 - (vi) updating the monitoring indicators specified in Table 22.

X. BUDGET AND FINANCING

149. In costing the planning and implementation resettlement consultations, translations of ongoing community consultation, and road safety and HIV/AIDS/STIs awareness campaigns, allowance should be made for any extra costs to address ethnic minority issues and concerns that might be necessary. It is essential to ensure that minority groups are fully able to participate, and receive maximum benefit from training and any printed materials relating to the project itself, or related matters.

150. The actions to be implemented under the EMDP focus on inclusion in the project and are therefore largely cost neutral. The actions will (i) be included as part of the project budget; or (ii) represent expenses contractors incur as line items in their budgets; or (iii) be implemented by staff of government agencies, and hence are covered by local government staffing and related costs. The costs were shown in Table 22.

151. Itemized costs are as follows:
- (i) costs for adequate compensation (based on entitlements) for ethnic minority people affected by land acquisition are included in the resettlement plans, including measures for vulnerable groups (1% of RP budgets);
 - (ii) the cost of both temporary and permanent bilingual traffic safety features such as signs, barriers, markings, etc., is included in the cost of each road subcomponent and will be incorporated into the contractor's construction costs;
 - (iii) costs for training construction workers on HIV/AIDS and STIs awareness and prevention, and for briefing workers on the ethnic minority customs and beliefs which must be respected will be included as line items in the bill of quantities for each contract and will be the responsibility of the contractor;
 - (iv) the ERAB will provide the briefings on local ethnic minority customs and beliefs to for supervisors, and contractors will bear the costs of time lost by supervisors;
 - (v) the County Treasury will provide CNY10,000 (\$1,500) per county to cover costs of producing information, education, and communication materials in Kazakh for use in the CDC's activities to promote HIV/AIDS/STI awareness; and
 - (vi) the costs for supervision and external monitoring and evaluation of the EMDP is incorporated in the in the costs of RP budget. The total budget for both the resettlement and EMDP supervision, monitoring, and evaluation is CNY593,000.

ANNEX 1: TERMS OF REFERENCE FOR THE ETHNIC MINORITY DEVELOPMENT PLAN EXTERNAL MONITOR

1. The ethnic minority development plan (EMDP) for the Xinjiang Altay Urban Infrastructure and Environment Improvement Project outlines specific actions to promote inclusion of ethnic minorities in the project activities to ensure positive benefits and mitigation of any negative impacts. It forms a stand-alone document to ensure compliance with the Asian Development Bank's (ADB) Safeguard Policy Statement (2009), particularly Safeguard Requirement 3 for Indigenous Peoples.

2. The objectives of the external monitor are to (i) ensure the conditions and action plan of the EMDP are implemented in accordance with relevant regulations of the People's Republic of China and ADB's Safeguard Policy Statement; (ii) assess the impacts of the EMDP action plan implementation on the ethnic minority people; (iii) assess the overall efficiency and effectiveness of the EMDP implementation; and (iv) suggest necessary adjustments to ensure that ethnic minorities are no worse off and that they benefit from the project in an equitable and culturally appropriate manner.

A. Methodology and Content

3. The general methodology will involve secondary data collection, key informant interviews, analysis of household survey data, and participatory rapid appraisal techniques. The field observations, analyses, and overall evaluation methods will be combined. Focus group discussions and key informant interviews, secondary data review and review of resettlement plan monitoring survey data will be undertaken to assess the impacts, progress, funding, organization, and management of the EMDP activities.

4. The tasks of the external monitoring and evaluation will include

- (i) collection of secondary data at provincial, county and county seat levels relating to indicators in Table 22 of the EMDP;
- (ii) monitoring the impact of key project activities on ethnic minorities;
- (iii) monitoring the implementation and effectiveness of EMDP activities as specified in Table 22 of the EMDP;
- (iv) monitoring the consultation, participation, and disclosure activities and their effectiveness;
- (v) monitoring the effectiveness of the grievance redress mechanism; and
- (vi) preparation of semiannual reporting of results to the Altay project management office, Ethnic and Religious Affairs Bureau, and ADB.

B. Reporting and Distribution

5. The monitoring and evaluation reports shall be submitted semiannually. Copies sent to ADB should be in English, Chinese, and Kazakh. The Chinese and Kazakh versions should also be provided to local agencies involved in the EMDP implementation and be made available to affected residents (e.g., website, local libraries, etc.).

6. Reports should provide summaries of principal findings, tabulations of key indicators, qualitative and quantitative descriptions of main changes for minorities and conclusions and implications, if any, for additional actions or assistance.

7. The final monitoring and evaluation report will constitute a completion report on the EMDP process and detail the extent to which the EMDP has (i) complied with ADB policy, met the objectives stated in the EMDP, and (iii) contributed to the welfare and inclusion of minorities in the project areas.

C. Qualification of Contracted Institute/Consultant to Implement the Monitoring and Evaluation

8. The qualification of the contracted institute/consultant to carry out this external monitoring and evaluation includes:

- (i) at least 5 years of working experience in similar tasks with international development projects;
- (ii) sound knowledge on ethnic minorities in Altay, social sciences and participatory development;
- (iii) knowledge and skills in designing instruments for data collection, especially at the community level; and
- (iv) experience in using rapid participatory appraisal techniques.

D. Cost Estimate

9. The costs for supervision and external monitoring and evaluation of the EMDP is incorporated in the in the costs of RP budget. The total budget for both the resettlement and EMDP supervision, monitoring, and evaluation is CNY593,000.