

Social Monitoring Report

Semestral Report
Covering Period: January – June 2022
July 2022

People's Republic of China: Yunnan Sayu River Basin Rural Water Pollution Management and Eco- Compensation Demonstration Project

Prepared by Sichuan Fontal Strategic Consulting Co., Ltd. for Zhaotong Project Management
Office and the Asian Development Bank

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**Asia Development Bank Financed
Yunnan Sayu River Basin Rural Water Pollution Management and
Eco-Compensation Demonstration Project**

**EMDP and Social Development M&E Report
(Phase II)**



Sichuan Fontal Strategic Consulting Co., Ltd.

July 2022

ABBREVIATION

ADB	Asia Development Bank
AHs	Affected Households
APs	Affected Persons
CL	Cultivated Land
CNY	Chinese Yuan
COL	Collective Owned Land
EMDP	Ethnic Minority Development Plan
GAP	Gender Action Plan
GRM	Grievance Redress Mechanism
HH	Household
LA	Land Acquisition
LAR	Land Acquisition and Resettlement
M&E	Monitoring and Evaluation
MLS	Minimum Living Security
PCDI	Per Capita Disposable Income
PCCE	Per Capita Consumption Expenditure
PMO	Project Management Office
PRC	the People's Republic of China
RP	Resettlement Plan
SDAP	Social Development Action Plan
SPS	Safeguard Policy Statement
YWPCO	Yudong Reservoir Water Resources Protection Committee

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1. Introduction

1.1 Project Overview

Yunnan Sayu River Basin Rural Water Pollution Management and Eco-Compensation Demonstration Project (hereinafter referred to as the "Project") includes four outputs. Output 1: Water pollution in the Sayu River Basin is reduced: 1) sewage treatment project; 2) solid waste management project; 3) pilot eco-village emission reduction project; 4) constructed wetlands to reduce non-point source pollution; 5) establishment of quantifiable soil and water conservation models; 6) promotion Low emission agriculture. Output 2: Water Pollution Prevention and Control Project in the Sayu River Basin: 1) establishment of a river protection model; 2) establishment of an integrated management platform for intelligent water affairs. Output 3: Ecological compensation mechanism in the Sayu River Basin: 1) Implementing the existing horizontal ecological compensation mechanism between Ludian County and Zhaoyang District, and establishing and implementing a horizontal ecological compensation mechanism between townships; 2) Establishing and implementing an ecological compensation fund to promote water pollution control during and after the project implementation. Output 4: Enhanced public education and capacity building and public awareness of water pollution control: 1) capacity building of government personnel on rural water pollution control and ecological compensation; 2) education on rural water pollution control and ecological compensation for students; 3) public awareness raising; 4) dissemination and replication of project activities.

On March 16 and April 10, 2022, the construction of the Project in Ludian County and Zhaoyang District respectively started. The project that has been started is the ecological river restoration project, involving Sayu Town and Leju Town in Zhaoyang District and Longshu Town in Ludian County.

1.2 Monitoring Method and Content

1.2.1 Monitoring Method

The monitoring methods of the social development external monitoring (EMDP, SDAP&GAP) are mainly as follows:

1)Literature research

Systematic and targeted collection of various documents related to the implementation of EMDP, SDAP&GAP (such as summary reports, statistical data, special research data, internal monitoring reports, etc. of owners and specific implementing agencies).

2)Interview and data collection of the implementing agency

For project owners and plan implementation agencies (Zhaoyang District and Ludian County Water Bureau, Ecological Environment Bureau, Forestry and Grassland Bureau, Rural Agriculture Bureau, Housing and Urban-rural Development Bureau, Women's Federation and other institutions and departments) conducted institutional interviews, and collected relevant basic data and literature. Also monitor and evaluate institutional capacity for implementing.

3)Focus group discussion (FGD)

Through focus group discussions, learn about the implementation of various measures of the project's EMDP, SDAP&GAP for the affected people, women and low-income groups, the benefits of the project, and relevant opinions and suggestions on the implementation, etc.

4)On-site observation

Through on-site observation of the project construction area, understand the progress, measures and effects of the project construction unit's implementation of the plan. In response to the problems found in the on-site observation, the monitoring personnel will put forward corresponding opinions and suggestions.

1.2.2 Monitoring Content

According to the requirements of the M&E outline of the EMDP, SDAP&GAP, the external monitoring team mainly conducts M&E in the following aspects:

- (1)Project construction progress;
- (2)The social-economic situation of the project area;
- (3)Project benefits;
- (4)Implementation of social development plans(EMDP, SDAP&GAP);
- (5)Implementation agency capacity;
- (6)Public participation and GRM;
- (7)Conclusions, questions and recommendations

1.3 Review of Previous Monitoring Activities and Feedback

EMDP M&E: During the first phase of monitoring, the monitoring team conducted a willingness survey among a sample of minorities affected by the project. According to the results of the household survey, all the interviewed ethnic minorities expressed support for the project and were willing to accept the resettlement policy implemented by the project. At the same time, the project owner and various implementation agencies have carried out a lot of preliminary communication work in

minority villages.

SDAP&GAP M&E: In the first phase of monitoring, the monitoring team completed a base survey of the social-economic situation in the project area and a social and gender development monitoring. As the construction unit had not entered the site at that time, the specific measures of the project SDAP&GAP had not been implemented, but the relevant preparatory work of the organization had been completed.

No problems were yet found in the preliminary monitoring activities.

1.4 The Focus of This Monitoring Period

As of July 2022, the sub-projects under construction do not involve ethnic minority natural villages, and most of the specific work of the EMDP has not yet been implemented, and the preparatory work has been completed. Some of the concrete measures of the SDAP and GAP have been implemented, and part of the target requirements have been completed, the relevant organizational preparations have been completed. Therefore, the focus of this monitoring period is: (1) the completion of the preparatory work for the implementation of the EMDP, the implementation of the activities of the SDAP&GAP; (2) Project benefits; (3) Implementation organization and capacity building; (4) Public participation and GRM.

1.5 Leader and Members of the Monitoring Team

In November 2021, Zhaotong Yudong Reservoir Water Resources Protection Committee (hereinafter referred to as "Zhaotong PMO") and Sichuan Fontal Strategic Consulting Co., Ltd. (hereinafter referred to as "Fontal Company") formally signed the Project external resettlement and social development monitoring and consulting service contract. According to the contract requirement, the external monitoring team of the Fontal Company went to the project site in July 2022 to carry out the work.

The external monitoring team consists of 4 experts. In July 2022, accompanied by the Zhaotong PMO, the monitoring team carried out field investigations on the projects that have been started one by one. Through discussions with institutions at all levels, household interviews, sampling questionnaires and other methods, the progress of the project, the implementation of the EMDP, SDAP&GAP were monitored in depth. The basic information of the monitoring team members is shown in Table 1-1.

Table 1-1 Basic Situation of the Monitoring Team Members

No.	Name	Sex	Nationality	Position	ADB CMS Numbers
1	Chen Xiongfei	Male	Han	Resettlement Specialist / Team Leader	CMS072403

No.	Name	Sex	Nationality	Position	ADB CMS Numbers
2	Peng Jiongbo	Female	Han	Social Specialist / Vice Team Leader	CMS145488
3	Xiao Junhao	Female	Dong	Social Specialist / Field Surveyor	CMS166050
4	Sun Jin	Female	Han	Resettlement and Social Specialist / Field Surveyor	CMS119675

2. Project Content and Implementation Progress

2.1 Project Content

Yunnan Sayu River Basin Rural Water Pollution Management and Eco- Compensation Demonstration Project aims to control water pollution in the Sayu River Basin. This will help China achieve its goal of building a harmonious and prosperous society through environmentally sustainable development. The Project includes four outputs: Output 1: Water pollution in the Sayu River Basin is reduced. Output 2: Water Pollution Prevention and Control Project in the Sayu River Basin. Output 3: Ecological compensation mechanism in the Sayu River Basin. Output 4: Enhanced public education and capacity building and public awareness of water pollution control.

The Project is implemented in Zhaoyang District and Ludian County, Zhaotong City, Yunnan Province, China. On September 29, 2020, the Executive Board of the Asian Development Bank (hereinafter referred to as ADB) approved the project. The total investment of the project is CNY 1.629 billion, of which USD 100 million is loaned from ADB. The loan term is 25 years, including a 6-year grace period. The project is expected to be completed by June 2026.

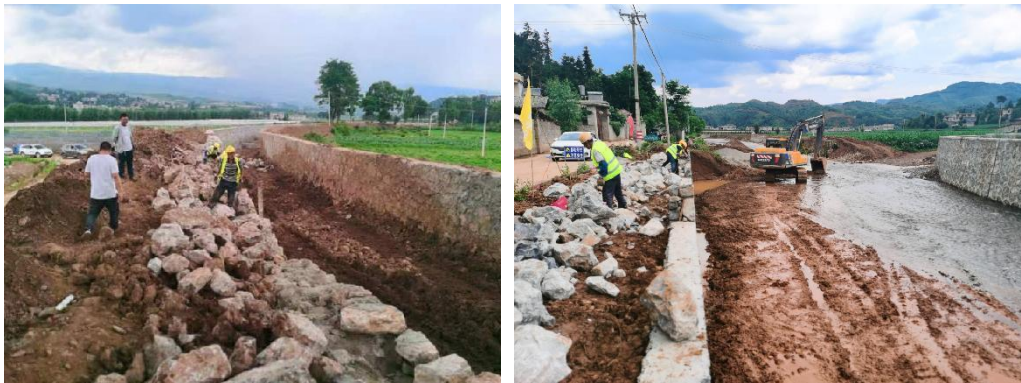
2.2 Project Implementation Progress

On March 16 and April 10, 2022, the construction of the Project in Ludian County and Zhaoyang District respectively started.

(C18) The Ecological River Restoration Project in Longshu Town was constructed by Anhui Shui'an Construction Group Co., Ltd., C18 involves a total of 11 ecological river channels: Gengjiawan Sand Ditch, Miaozi Ditch, Liyuan Sand Ditch, Guzhai Shenjiawan, Dazhaizi Sand Ditch, Baishuiyan Sand Ditch, Niujiaying Sand Ditch, Tangfang River, Anjia Ditch, Muguachong River and its tributaries, As of June 15, 1 has been completed: Miaozi Ditch. 7 have been started: Guzhai Shenjiawan Ditch, Dazhaizi Sand Ditch, Liujiaying Ditch, Baishuiyan Ditch, Niujiaying Sand Ditch, Anjia Ditch, Muguachong River and its tributaries (Muguachong tributary has been completed, the main river is under construction). Not yet started: Gengjiawan, Liyuan Sand Ditch, Tangfang River, and the construction is planned to be completed in March 2023.

(C22) The project involves 5 small rivers, including Jule River and ZhaiziShang Sand Ditch in Sayu Town, Xinhe Small River, Feijiachong Sand Ditch and Shangying Sand Ditch in Leju Town. The Leju Town Ecological River Restoration Project (C22-1) was undertaken by Hunan Deyu Construction Co., Ltd., and the Sayu Town Ecological River Restoration Project (C22-2) was undertaken by Zhaotong Yulong Mechanization

Engineering Co., Ltd. The construction is planned to be completed in April 2023.



C18 Project construction site



C22 Project construction site

Figure 2-1 Project Status

In addition to the above sub-projects, the rest of the sub-projects are not yet under implementation.

2.3 Project Impact Scope and Beneficiary Profile

According to the scope of project implementation, the first batch of sub-projects that have been implemented now mainly affect 1 township and 5 villages/communities in Ludian County, and 2 townships and 2 villages in Zhaoyang District.

As of this period, the construction of the project is under way. It is expected that the construction of these sub-projects will directly benefit 1 township and 5 villages/communities) in Ludian County and 2 townships and 2 villages in Zhaoyang District, benefiting 10,872 people in 2,846 HHs, including 5,306 (48.8%) women , 2,181 (20.06%) low-income population and 72 (0.66%) diaspora minority population. For details, see Table 2-1.

The sub-projects already under way do not involve ethnic minority natural villages.

Table 2-1 Summary of Batch 1 Subproject Beneficiary

Components	Towns	Village/community	Beneficial HHs	Beneficial Population	Female	Low Income	EM
Ecological River Restoration	Leju	Xinhe	511	1,759	853	369	5
	Sayu	Jule	295	975	469	187	2
	Longshu	Tangfang	457	1,828	880	360	41
		Guzhai	146	584	285	121	4
		Jintang	375	1,500	752	305	10
		Zhaobi	555	2,198	1,080	421	6
		Xinle	507	2,028	987	418	4
	Total		2,846	10,872	5,306	2,181	72
	Proportion		-	100%	48.8%	20.06%	0.66%

Source: Baseline survey in January 2022.

Note: EM - Ethnic minorities

3. Current Monitoring Results

3.1 Overview of the Current Safeguard Policy Implementation for EM

According to the project EMDP, the project implementation will involve two minority natural villages, which are expected to include a Yi natural village and a Miao natural village. The Miao Natural Village is located in Shuimo Town, and the Yi Natural village is located in Xinjie Town, Ludian County. The project mainly involves the construction of ecological village pilot.

Through on-site investigation and confirmation with the Project Office, the actual impact scope of the project does not involve ethnic minority administrative villages, but only ethnic minority natural villages. At present, the sub-projects currently under construction do not involve areas inhabited by ethnic minorities, and the pilot content of constructing ecological villages has not been implemented. Therefore, the specific work of the EMDP has not been implemented, but the preparatory work has been completed.

3.2 Specific Implementation and Analysis of EMDP

As of this period, the progress and completion of key indicators in the project's EMDP are as follows:

- **Water pollution sources in the Sayu River basin reduced**

The list of pilot ecological villages is being confirmed and is expected to include one Yi and one Miao natural village, and detailed design consultation are under way. The external monitoring agency completed a socioeconomic baseline survey on the the Zhaotong Project in January 2022. There were 68 ethnic minorities in the sample households, accounting for 12.12%, among whom 33 (48.53%) were women. The Interviewed ethnic minorities all expressed support for the Project, without any further suggestions and opinions.

- **Water bodies in the Sayu River basin protected from pollution**

The design of construction drawings for ecological rural embankments, rivers and water management systems in the EM natural village has not started yet, and relevant public consultation and awareness raising activities have not been carried out yet. Related issues are being coordinated and communicated with relevant agencies.

- **Eco-compensation mechanism established for the Sayu River basin**

The design of ecological compensation mechanism has not started yet, and the relevant public consultation and awareness raising activities have not been carried out yet. The PMO are coordinating and communicating with relevant institutions.

- **Education, capacity, and public awareness on water pollution management strengthened**

About ethnic minorities to participate in the rural water pollution management and ecological compensation ability training, seminars and delegation, minority students accept education of rural water pollution management and ecological compensation, and the minority awareness raising activities on rural water pollution management and ecological compensation, the PMO are coordinating and communicating with the local education department and relevant agencies.

- **For All Outputs: Generating Job Opportunities**

374 jobs have been created (123 for skilled and 251 for unskilled), of which 136 (36.36%) are for ethnic minorities, as shown in Table 3-1. To date, 100% of contractors and workers have received training on the religious beliefs and customs of ethnic minorities on site, and ensure timely advertisement of job vacancies; and give priority to ethnic minorities for hiring.

Table 3-1 Employment Opportunities Offered During Project Construction (as of July 2022)

Type of Job	Total Number of Local Employees	Among them					
		Number of Female	Percentage of Female	Number of Low-income	Percentage of Low-income	Number of Minority	Percentage of Minority
Skilled	123	16	13.01%	47	38.21%	15	12.20%
Non-skilled	251	107	42.63%	69	27.49%	121	48.21%
Total	374	123	32.89%	116	31.02%	136	36.36%

Source: provided by each construction unit, on-site investigation

- **For all Outputs: Comply with labor laws and core labor standards**

100% workers including EM workers receive relevant training and information: participation in public health knowledge promotion and trainings regarding prevention and control of HIV/AIDS, STI and other infectious disease, distribute local information and publicity materials (e.g., posters and brochures) regarding the prevention and treatment of HIV/AIDS and STI, distribute to construction workers brochures. 100% contractors comply with relevant labor standards.

- **Compensation and Restoration for Land Acquisition/Use for the project**

Land acquisition and temporary land use in minority natural villages have not started yet, and related work will be carried out after civil engineering works start.

- **For All Outputs: Project Management and Capacity Building**

(1) In order to ensure the smooth implementation of the EMDP, each project office, the implementing agency, town government and village committee have designated persons in charge of EMDP activities, including: Municipal PMO, Cui Yuanlei; Zhaoyang PMO, Zhang Guangwen; Ludian PMO, Chen Chao; Longshu Town, Wang Yao; Shuimo town, Liu Guobin et al. See Appendix 5 for details.

(2) The PMO employs Sichuan Fontal Strategic Consulting Co., Ltd. as the external

monitoring agency to timely monitor the implementation of the EMDP and report to the PMO and ADB once every six months.

(3) By July 2022, Social expert responsible for the preparation of plans, and external monitoring experts had provided trainings to the PMO, implementation agencies, construction units and relevant staff on the implementation and monitoring of the project's EMDP, SDAP&GAP. See Section 5.2 for details.

(4) All local villages and/or farmers, including ethnic minorities, are made aware of the profile of the project and the GRM through publicity and information disclosure by the PMO, the implementing agencies and relevant staff. At present, information disclosure and household publicity have been carried out for 15 times, with a total number of 306 participants, including 133 women, accounting for 43.46%, and 76 ethnic minorities, accounting for 24.84%.

3.3 Early Warning of Activities not Implemented

(1) Due to the late entry of the project management consulting firm, which just started relevant work in July 2022, there was a lack of participation and support from consultants in the preliminary preparation of the EMDP. The provision of guidance to village/community office staff on the EMDP has been included in the work plan for the next monitoring period in order to implement and monitor the EMDP more effectively.

(2) Due to EMDP related pilot ecological village construction content temporarily not been implemented, including ethnic minorities to participate in the detailed design, ecological compensation mechanism design, and related training, LA and temporary land use in ethnic minority natural villages did not carry out specific work, need to speed up progress of related work.

3.4 Measures and Suggestions for Improvement

It is suggested that the PMO should speed up the project implementation, confirm the list of ecological pilot villages as soon as possible, accelerate the relevant work of the sub-projects that have not been started, including public consultation and awareness raising activities of ethnic minorities, and start related sub-projects construction as soon as possible.

It is suggested that the PMO should carry out more relevant training and capacity improvement activities as soon as possible after the admission of the project management consultants, so as to help the PMO further promote the implementation of the EMDP.

4. Information Disclosure, Public Participation and GRM

4.1 Public Participation

During the preparation of the project's EMDP, ethnic minority residents, including Miao and Yi villagers in the two ecological pilot villages under the project, were consulted about the possible positive and negative impacts of the project. They expressed their support and willingness to participate in the project in order to benefit directly from it.

After the approval of the project, the EMDP has been posted on the ADB website and distributed to minority natural villages.

In the early stage of the project implementation, township and village cadres have carried out extensive publicity of the project, encouraging minority residents to participate in the project consultation and construction.

The Internet, local radio, wechat public account and other ways are using to publicize the project and the law and awareness of water pollution prevention and control.

During the detailed design, detailed physical survey and implementation, further information disclosure and public participation activities will be carried out.

Table 4-1 Project Information Disclosure and Public Participation Records

Time	Frequency	Participants				Activity	Content
		Total	Female	Low -income	EM		
February-July, 2022	15	306	133	65	76	Villager symposium, household publicity, sampling survey, etc	Project publicity, baseline survey, public opinion consultation, GRM disclosure



Figure 4-1 Information Disclosure and Publicity During the Project Implementation

4.2 GRM

In accordance with the requirements of the ADB SPS, the Project has developed specific Grievance Redress Mechanism (GRM) to address safety and social issues related to ADB funded projects to achieve the following objectives: (i) Provide communication channels for the communities, to make related environment and social issues brought by the Project can be paid close attention to and solved effectively, (ii) Prevent and mitigate adverse community impacts resulting from the construction and operation of the Project, (iii) Build trust and respect, and promote effective relationships between project agencies and local villages and communities. All members of the villages or communities, including women, ethnic minorities and low-income people, have access to the GRM.

The Project's existing appeal channels are in line with the plans' requirements, including face-to-face meetings, written complaints, phone conversations, email and social media, etc.

Complaints concerning any aspect related to the implementation of the EMDP will be referred first to the village committee and/or village cadres.

If the complaint is not adequately resolved at the village level, the complaint can be filed with the township government office and the records will be submitted to the Zhaotong PMO.

If necessary, the people can submit a complaint to the Zhaotong PMO. The Zhaotong PMO will be assisted by social experts and will be responsible for ensuring the timely implementation of the EMDP and other plans prepared for the Project.

The PMO, IAs and relevant responsible agencies have designated special personnel to be responsible for collecting and accepting the grievances and appeals (if any), see Table 4-2 for details. As of this monitoring period, no complaints have been received.

Table 4-2 Contact Information for Grievance Redress

Agencies		Name	Phone Number
Zhaotong PMO	Yudong Reservoir Water Resources Protection Committee Office	Xiong Yongying	15096552777
	Yudong Reservoir Water Resources Protection Committee Office	Wang Qi	13638811311
	Yudong Reservoir Water Resources Protection Committee Office	Cui Yuanlei	13648706065
ZhaoyangPOM	Water Bureau of Zhaoyang District	Zhangguangwen	13887084810
	Leju Town Water Management Station	Heyun	13638865988
	Sayu Town Jule Village	Xu Xingqiang	13400834206
	Sujia Township Water Management Station	Jiang Shihua	13908709748
	Dazhaizi Township Water Management Station	Lv Zhicong	13887104497
Ludian PMO	Water Bureau of Ludian County	Wu Jingjiang	13648703276
	Women's Federation, Women and Children's Working Committee of Ludian County	Liu Linjun	13887017456
	Xinjie Town Water Management Station	He Jijun	13887040445
	Shuimo Town Rural Revitalization Center	Li Lejin	15094264599
	Longshu Town People's Government	Shen Jichao	13887076566

4.3 Summary

By the end of this period, the project information disclosure and public participation activities have begun to be implemented as planned, and the GRM is in line with the requirements of the EMDP. With the assistance of social experts, the related work will continue to be pushed forward.

5. Organization and Management

5.1 Organization Arrangement

Since EMDP implementation needs the assistance and cooperation of various departments, in order to ensure the smooth implementation of the plans, the Project has set up necessary implementation and management agencies, responsible for implementation, coordination and monitoring of related activities. The agencies are as follows:

- ✓ Zhaotong PMO (Yudong Reservoir Water Resources Protection Committee Office, YWPCO): Supervise and monitor the implementation of the EMDP, assisted by the social consultants, to ensure timely implementation of the EMDP;
- ✓ Zhaoyang District PMO and Ludian County PMO: Under the unified coordination of the Zhaotong PMO, responsible for the organization, management, coordination, supervision, implementation of the EMDP;
- ✓ Shuimo Town and Longshu Town Office: Provide support to implementation, coordinate, advise, and review progress of the EMDP;
- ✓ Other key agencies for implementation include the Finance Bureau, Ecology and Environment Bureau, Education Bureau, Women's Federation (WF), and other concerned agencies, in coordination with the township heads and the natural village leaders and/or cadres who shall be the focal persons to facilitate linkages at the village level.
- ✓ External M&E agency: Responsible for external monitoring and evaluation of the implementation of EMDP.

See Table 5-1 for the principal persons in charge of the organization. See Appendix 4 for the arrangement of personnel (statistics by ethnicity and gender). See Appendix 5 for copies of relevant documents.

Table 5-1 Main Responsible Person and Duty Distribution Table

Agency	Name	Responsibility	Sex	Nationality
Zhaotong PMO	Xiong Yongying	Head of Social Security	Female	Han
Zhaotong PMO	Cui Yuanlei	Head of the EMDP implementation	Male	Han
Zhaoyang District PMO	Zhang Guangwen	Head of Social Security	Male	Han
Zhaoyang District PMO	Ma Qiong	Commissioner for EMDP, SDAP&GAP	Female	Hui
Ludian County PMO	Li Caimeng	Head of Social Security	Male	Han

Agency	Name	Responsibility	Sex	Nationality
Ludian County PMO	Chen Chao	Head of the EMDP, SDAP&GAP	Male	Yi
Longshu Town	Wang Yao	Head of the EMDP, SDAP&GAP	Male	Han
Shuimo Town	Liu Guobin	Head of the EMDP, SDAP&GAP	Male	Miao
Leju Town	Yao Jian	Head of the SDAP&GAP	Male	Han
Sayu Town	Qin Mingwei	Head of the SDAP&GAP	Male	Han
Shujia Township	Cui Peiwen	Head of the SDAP&GAP	Male	Han
Dazhaizi Township	Kong lingyang	Head of the SDAP&GAP	Male	Han
Xinjie Town	Li Feng	Head of the SDAP&GAP	Male	Han

5.2 Institutional Capacity and Performance of Responsibilities

In 2021, the PMO has conducted more than 10 training and learning activities, including online training by the ADB North Office, offline training by inviting experts, and organization of out-of-the-way study, to improve the ability of the PMO staff in bidding, procurement, project management and other aspects.

In March 2021, during the update of the RP, the resettlement social experts during the project start-up stage provided training for the project office staff, implementing agencies and relevant departments for the detailed physical quantity survey, internal monitoring and evaluation and appeal handling mechanism.

In July 2022, resettlement external monitoring experts and relevant experts from the project management company have provided training on project management, RP, SDAP&GAP, and EMDP implementation and monitoring for the PMO, IAs, and construction units. See Table 5-2 for details.

Table 5-2 Institutional Capacity Building

Time	Training Times	Participant			Training Content
		Total Number	Number of Female	EM	
2021	11	214	41	29	Physical quantity survey, internal monitoring and evaluation, and GRM; ADB SPS; bidding and procurement, project management, etc.; including gender-related content once(19 people participated, including 6 women and 5 EMs)
July, 2022	2	37	12	10	Project management, RP, SDAP and GAP, EMDP implementation and monitoring, and other contents, including two gender-related contents
Total	13	251	53	39	
Proportion		100%	21.12%	15.54%	

As of the current monitoring period, the owner of the project mainly plays a role in coordinating work at all levels, and the implementation agencies cooperate with each other to ensure the normal development and advancement of EMDP, SDAP&GAP related work.

6. Monitoring, Report and Evaluation

6.1 Internal Monitoring

The internal monitoring system has been basically established. The main institutions include the PMO, the project management company, the relevant implementation agencies, the townships/towns, the villages and groups and the construction unit. The internal information collection and monitoring system has been established. The consulting experts include 1 resettlement expert, 1 social and gender expert, all male and Han nationality. Due to the late entry of the project management company, the project management company has just started relevant work by the time of site monitoring in this period.

6.2 External Monitoring

In November 2021, Zhaotong Yudong Reservoir Water Resources Protection Committee and Sichuan Fontal Strategic Consulting Co., Ltd. formally signed the Project external resettlement and social development monitoring and consulting service contract. According to the contract requirements, by July 2022, the company has completed the baseline survey and two phases of external monitoring site survey, and prepared and submitted two phases of external monitoring report on resettlement and social development. The quality of the reports meet the policy requirements of ADB. The first phase of the report has been published on the website of ADB.

The external monitoring team consists of four experts, including 3 female (75%) and 1 ethnic minority (25%).

In July 2022, accompanied by the Zhaotong PMO, the monitoring team carried out field investigations on the projects that have been started one by one. Through discussions with institutions at all levels, household interviews, sampling questionnaires and other methods, the progress of the project, the implementation of the EMDP, SDAP&GAP were monitored in depth. The second phase of external monitoring report was submitted at the end of July 2022.

7. Problems and Suggestions

7.1 Problems

(1) Since the project was started at the beginning of 2022, the relevant civil engineering and project contents of the minority natural villages have not been started, which leads to the slow progress of the EMDP implementation.

(2) Due to the late entry of the project management company, the PMO's preliminary work lacked the assistance of consultants and experts.

(3) The management of activity records and information materials of EMDP needs to be further improved, and some information cannot be collected in a timely and comprehensive manner because many departments are involved.

7.2 Suggestions

(1) It is suggested to complete the confirmation of the list of Ecological pilot villages as soon as possible, and carry out public consultation activities and awareness raising activities of ethnic minorities in the preliminary design stage as planned.

(2) It is suggested that the project management consultant should carry out relevant training and capacity improvement activities in the next stage as soon as possible after entering, so as to help the PMO further promote the implementation of the EMDP and social plans.

(3) The PMO should regularly collect brief introduction and photos of public consultation and awareness promotion activities related to the Project from towns, villages, environmental protection, education and other relevant units, and further collect and sort out relevant information, timely archive, so as to reflect the development of related activities in a more comprehensive way.

8. SDAP and GAP Implementation Monitoring

8.1 Social and Gender Categories Assessed in the Preparation Stage

Poverty alleviation and social strategies:

The Project was listed as a comprehensive poverty alleviation intervention project. Based on intensive stakeholder consultations and social-economic surveys, 127,015 residents of the Project area, including 59,697 women (47.0%) and 25,403 low-income people (20%), are expected to benefit directly from this project, by reducing solid waste and water pollution, improving river management, and improving environmental and ecological protection in Sayu River Basin. Other residents in Zhaoyang District and Ludian County will also benefit indirectly from the improved environment. The project will provide 1,834 jobs during construction and 372 jobs during operation.

Gender:

The project is classified as an effective gender mainstreaming project according to the ADB Guidelines for Gender Mainstreaming Categories in Projects. Gender analysis indicates that women are the primary managers of domestic water and solid waste management and that women will spend less time on these tasks if the system improvements proposed in this project are implemented. Migration is a key livelihood strategy in the region, especially among young people; But women who haven't gone out will be interested in the job opportunities brought by this project. The Project will ensure that women participate in employment and benefit equitably in each output. Women are expected to benefit through improved waste management and living conditions in their communities, improved quality of life and employment.

8.2 Internal Monitoring

The internal monitoring system has been basically established. The main institutions include the PMO, the project management company, the relevant implementation agencies, the townships/towns, the villages and groups and the construction unit. The internal information collection and monitoring system has been established. As of this period of monitoring, the project management company has started related work.

8.3 Major Indicators Progress

8.3.1 SDAP

Output 1: Wastewater management and pollution control in the Sayu River Basin strengthened

The specific engineering content of the Project has not started yet. The list of ecological demonstration villages is being confirmed. In the villages where sub-projects have been started, 147 people have participated in environmental protection or environmental education activities, including 32 low-income people, accounting for 21.77%. A total of 256 beneficiary representatives attended public consultations and public meetings on solid waste, including 54 (21%) low-income people.

Output 2: Water resources management in the Sayu River improved

The sub-project of ecological river embankment is under construction. It is estimated that it will directly benefit 1 town and 5 villages/communities in Ludian County and 2 towns and 2 villages in Zhaoyang District, benefiting 10,872 people in 2,846 HHs, including 5,306 women (48.8%) and 2,181 low-income people (20.06%), and 72 (0.66%) diaspora minorities.

Output 3: Eco-compensation mechanism for the Sayu River Basin established

The design and implementation of ecological compensation mechanism have not yet begun.

Output 4: Education, capacity, and public awareness for water pollution management strengthened

In July 2022, 20 government officials participated in a water pollution treatment capacity building project. In March 2022, education activities related to World Water Day were held in 5 schools in Sayu, Leju, Xinjie, Shuimo and Longshu towns. More than 4,600 students (930, 20.3% from low-income families) received education on water resources protection and water pollution control. Education activities on water pollution management at the community level have begun to communicate and prepare with relevant organizations.

For all outputs: Create job opportunities

Project construction has created 374 job opportunities (123 for skilled and 251 for unskilled), 31% (116) of which are for low-income people .

For all outputs: Comply with labor laws and core labor standards

A total of 3 contractors have started the project. 100% of the contractors comply with labor laws and core labor standards. 374 project workers received information on prevention and control of sexually transmitted diseases (STDs), including HIV/AIDS. Surrounding community residents publicity work is being coordinated. 100% of workers

have access to separate toilets for men and women and sanitation facilities.

For all outputs: Project management

The project management support consulting team has included a social development specialist, who started work in July 2022. One social and gender officer has been assigned to each PMO(the city/district/county PMO), and a detailed list of personnel is shown in Table 5-1. The Zhaotong PMO and the district/county PMO have both established security departments, which are responsible for the coordination and implementation of the project SDAP. A total of 13 training sessions have been completed with 251 participants, including 53 females (21.12%) and 39 ethnic minorities (15.54%), as shown in Table 5-2. The baseline social-economic survey and two phases of monitoring survey have been completed, and data collection by income status has been completed.

8.3.2 GAP

Output 1: Wastewater management and pollution control in the Sayu River Basin strengthened

(i) In the baseline survey in January 2022, sampled women spend two hours a day on sewage treatment, garbage and animal waste collection and treatment on average. (ii) The construction of sewage treatment facilities and animal waste collection ponds, the improvement of solid waste management, low-carbon emission agriculture, soil and water conservation activities have not been started, and the related planned activities have not been carried out. (iii) The list of ecological demonstration villages is being confirmed. (iv) A total of 256 beneficiary representatives attended public consultations and public meetings on solid waste, including 109 (42.6%) women, the set targets have been achieved.

Output 2: Water resources management in the Sayu River improved

(i) As of July 2022, the Project construction had created 123 technical jobs, of which 16 (13%) were for women, 251 unskilled jobs, of which 107 (43%) were for women, as shown in Table 3-1. (ii) The Ecological embankment sub-project is under construction and is expected to benefit 10,872 people, including 5,306 women (48.8%). (iii) The construction of intelligent cloud river information platform management system and intelligent water resources comprehensive management platform has not started yet. (iv) A total of 256 beneficiary representatives participated in the relevant public consultation, 109 (42.6%) of whom were female, and fulfilled the set targets.

Output 3: Eco-compensation mechanism for the Sayu River Basin established

The design and implementation of ecological compensation mechanism have not yet begun.

Output 4: Education, capacity, and public awareness for water pollution management strengthened

(i) In July 2022, 20 government officials participated in a water pollution

treatment capacity building project, including 6 (30%) women. (ii) In March 2022, education activities related to World Water Day were held in 5 schools in Sayu, Leju, Xinjie, Shuimo and Longshu towns. More than 4,600 students received education on water resources protection and water pollution control, of which 2,210 (48%) were female. (iii) Education activities on water pollution management at the community level have begun to communicate and prepare with relevant organizations.

For all outputs: Project management

(i) The project management support consulting team has included a social and gender development specialist, who started work in July 2022. One social and gender officer has been assigned to each PMO(the city/district/county PMO), and a detailed list of personnel is shown in Table 5-1. The Zhaotong PMO and the district/county PMO have both established security departments, which are responsible for the coordination and implementation of the project SDAP&GAP. (ii) A total of 13 training sessions have been completed with 251 participants, including 53 females (21.12%) and 39 ethnic minorities (15.54%), as shown in Table 5-2. (iii) The baseline social-economic survey and two phases of monitoring survey have been completed, and data collection by gender has been completed.

8.3.3 Problems and Suggestions

(i) Due to the late entry of the project management consulting firm, the relevant work started in July 2022, which may affect the implementation of the SDAP&GAP. It is suggested that the project management consultant should carry out the next stage of relevant training and capacity upgrading activities as soon as possible, so as to help the PMO further promote the implementation of the plans.

(ii) The proportion of technical positions provided for women during the construction period (13%) is slightly lower than the target requirement (15%). It is suggested that attention should be paid to increasing the proportion of female technical positions in subsequent sub-projects. The proportion of female government workers participating in water pollution treatment capacity improvement activities (30%) has not reached the plan requirement (40%). It is suggested that women's participation should be strengthened and more women should be encouraged to participate in the project capacity improvement activities.

(iii) Since the project training and capacity improvement activities are participated by multiple implementation agencies, there are certain difficulties in comprehensive data collection and statistics. It is suggested that the PMO should further collect and sort out relevant information from each agencies and timely file it, so as to more comprehensively reflect the implementation of the project activities.

Appendix 1 Results Form of the EMDP

Actions	Targets and Indicators	Time	Responsible Department	Implementation Progress(As of July, 2022)
A. Output 1: Water pollution sources in the Sayu River basin reduced				
<p>A.1 Ensure EMs' participation in public consultation on construction design of rural solid waste, small wastewater and livestock manure treatment facilities, wetland, low emission agriculture, pilot eco-villages and environment protection</p> <p>A.2 Ensure EMs traditional cultural features incorporated in pilot eco-villages (Miao and Yi) to attract more tourists/visitors.</p> <p>A.3 Ensure EMs' proposal on constructing village trading market adequately considered and integrated in project detailed design during project implementation stage</p> <p>A.4 Ensure EMs participation in awareness raising activity on rural wastewater and solid waste management, wetland, low emission agriculture, pilot eco-villages and environment protection for residents in the project area.</p> <p>A.5 Ensure EMs participation in public hearings for solid waste and wastewater tariffs.</p>	<p>Targets:</p> <ul style="list-style-type: none"> ➢ 50% EM representatives among participants in detailed design consultation meetings/activities ➢ Two EM pilot eco-villages incorporated traditional cultural features of relevant ethnic minority groups (Miao and Yi) ➢ EMs proposal on construction of village trading market considered and integrated in project detailed design during project implementation ➢ 100% EM HHs attended the awareness raising activity ➢ 50% EMs representatives among participants in public hearing meetings for solid waste and wastewater <p>Baseline: 0</p>	2020-2026	<p>City/county/district PMOs, IAs DRC, PB and FB</p> <p>Assisting agencies: EMRB, HRSSB, DIs, town governments and PIC social/gender development specialist</p>	<p>The list of ecological pilot villages is being confirmed, and it is expected to include a Yi natural village and a Miao natural village. Detailed design consultation activities are in progress, and the number of participants and the proportion of ethnic minorities are being counted.</p>
B. Output 2: Water bodies in the Sayu River basin protected from pollution				
<p>B.1 Ensure EMs' participation in public consultation on construction design of ecological river embankments, river and water management system.</p> <p>B.2 Ensure EMs' participation in awareness activity on river and water management for residents.</p>	<p>Targets:</p> <ul style="list-style-type: none"> ➢ 50% EM representatives among participants in detailed design consultation meetings/activities ➢ 100% EMs HHs participated in the awareness raising activity <p>Baseline: 0</p>	2020-2026	<p>City/county/district PMOs, town governments</p> <p>Assisting agencies: EMRB, IAs, CB and PIC social/gender development specialist</p>	<p>Construction drawing design has not started yet.</p>
C. Output 3: Eco-compensation mechanism established for the Sayu River basin				
C.1 Ensure EMs' participation in public	Targets:	2020-2026	City/county/district	Not started. The PMO are coordinating and

consultation in the design of eco-compensation mechanism-financed activities; C.2 Ensure EMs' participation in awareness activity on eco-compensation-financed activities	<ul style="list-style-type: none"> ➢ 50% EMs among participants in detailed design consultation activities for ecocompensation related activities ➢ 100% EMs HHs participated in the awareness raising activities Baseline: 0		PMOs, IAs Assisting agencies: EMRB, HRSSB, RRB, DIs, town governments and PIC social/gender development specialist	communicating with relevant institutions.
D.Output 4: Education, capacity, and public awareness on water pollution management strengthened				
D.1 Ensure EMs' participation in capacity training, workshops and study tours on rural water pollution management and eco-compensation; D.2 Ensure EM students' participation in education for rural water pollution management and ecocompensation; D.3 Ensure EMs' participation in public awareness on rural water pollution management and eco-compensation	Targets: <ul style="list-style-type: none"> ➢ 50% EMs among participants in the technical/knowledge training activities ➢ 100% EM students attended the education for pollution management ➢ 100% EM HHs attended the awareness raising (through publicity, handbook, brochure, media, or internet) on rural water pollution management and eco-compensation (disaggregated by sex, ethnicity; number of the publicity, handbook and brochure and date distributed; date posted on media or internet) ➢ EM trainees or participants consulted regarding appropriate training time, theme, and location ➢ 100% EM trainees have the equal rights to receive training subsidies Baseline: 0	2020-2026	City/county/district PMOs, IAs, EB Assisting agencies: EMRB, town governments and PIC social/gender development specialist	Coordinating and communicating with local education departments and relevant institutions.
E. For All Outputs: Generating Job Opportunities				
E.1 In construction stage, 1,834 temporary job positions, 825 skilled and 1,009 unskilled (civil works), to be created; E.2 In operation stage, 372 positions, 360 skilled and 12 unskilled (maintenance of facilities and landscaping of rivers and wetlands), to be created; E.3 Ensure timely advertisement of job vacancies; and give priority to EMs for hiring; E.4 Ensure contractors and workers respect EMs' religious belief and customs through training on sites	Targets: <ul style="list-style-type: none"> ➢ 40% of jobs under the project are made available to EMs during construction stage and operation stage ➢ 100% contractors and workers trained about EMs' religious belief and customs on sites Baseline: 0	2020-2026	City/county/district PMOs, IAs, contractors Assisting agencies: EMRB, HRSSB; PIC social/gender development specialist	374 jobs have been created (123 for skilled and 251 for unskilled), of which 136 (36.36 %) are for ethnic minorities, as shown in Table 3-1. So far, 100% contractors and workers trained about EMs' religious belief and customs on sites, timely advertisement of job vacancies is ensured; and priority to EMs for hiring is given.

F. For all Outputs: Comply with labor laws and core labor standards				
<p>F.1 Ensure contractors comply with labor laws and core labor standards, including no child labor, minimum wages, equal pay to equal work, and occupational health and safety for EM workers</p> <p>F.2 Ensure participation of workers including EM workers in public health knowledge promotion and trainings regarding prevention and control of HIV/AIDS, STI and other infectious disease</p> <p>F.3 Ensure contractor construction personnel involved in HIV/AIDS and STI publicity activities</p> <p>F.4 Distribute local information and publicity materials (e.g., posters and brochures) regarding the prevention and treatment of HIV/AIDS and STI</p> <p>F.5 Distribute to construction workers brochures regarding festivals and activities of ethnic minorities</p>	<p>Targets:</p> <ul style="list-style-type: none"> ➢ 100% workers including EM workers receive relevant training and information ➢ 100% contractors comply with relevant labor standards <p>Baseline: 0</p>	2020-2026	<p>City/county/district PMOs, IAs, contractors</p> <p>Assisting agencies: EMRB, HRSSB, CDPC, HB, WF</p>	<p>100% workers including EM workers receive relevant training and information: participation in public health knowledge promotion and trainings regarding prevention and control of HIV/AIDS, STI and other infectious disease, distribute local information and publicity materials (e.g., posters and brochures) regarding the prevention and treatment of HIV/AIDS and STI, distribute to construction workers brochures. 100% contractors comply with relevant labor standards.</p>
G. Compensation and Restoration for Land Acquisition/Use for the project				
<p>G.1 Provide information about specific purpose of Project and the permanent and temporary land use</p> <p>G.2 Conduct consultation process with affected people, including EMs</p> <p>G.3 Ensure farmers receive adequate compensation for permanent and temporary land use in fair way (full replacement cost and equivalent to AAOV or annual land rental)</p> <p>G.4 Ensure affected HHs receive technical and skill training and assistance in livelihood restoration</p> <p>G.5 Ensure affected farmers have access to grievance redress mechanism in case of any disputes</p> <p>G.6 Ensure the farmland occupied temporality is restored to original status after construction completion</p> <p>G.7 Ensure irrigation, drainage systems and approach roads destroyed by construction (if any) are reconstructed to original status in a timely manner</p>	<p>Targets:</p> <ul style="list-style-type: none"> ➢ 100% affected EM households participated in public consultation on land acquisition/use ➢ 100% EM households affected by land acquisition/use are compensated adequately ➢ 100% affected EM households supported in livelihood restoration (training, jobs, etc.) ➢ 100% EM's temporally occupied land is restored properly ➢ 100% of affected rural public facilities are reconstructed timely <p>Baseline: 0</p>	2020-2026	<p>City/county/district PMOs</p> <p>Assisting agencies: AB, HRSSB, EMRB</p>	Not started.
H. For All Outputs: Project Management and Capacity Building				

<p>H.1 Ensure social specialists are included in PIC to guide the implementation of EMDP and provide training to the PMOs, IAs and town governments.</p> <p>H.2 Ensure PMOs, IAs, town government each assign at least one staff to undertake the EMDP activities</p> <p>H.3 Recruit one external monitor by PMO to carry out timely monitoring of implementation of EMDP together with the RP monitoring, which will be reported semiannually to PMO and ADB</p> <p>H.4 Provide training to PMOs and IAs on: (i) ADB safeguard policy; (ii) how to implement and monitor EMDP; and (iii) EM issues on relevant project components.</p> <p>H.5 Provide guidance on EMDP to village/community office staff to implement and monitor EMDP more effectively</p>	<p>Targets:</p> <ul style="list-style-type: none"> ➤ Social specialists are recruited to guide and assist in implementing EMDP activities ➤ At least one staff of each PMO, IA, and town and village is appointed to undertake the EMDP activities ➤ One external monitor is recruited by PMO during project implementation ➤ Semi-annual monitoring reports prepared and submitted to PMO and ADB. ➤ All staff in the PMOs and IAs received training on EMDP and how to implement and monitor EMDP ➤ All affected villages/households, including EMs, know about the grievance redress mechanism <p>Baseline: 0</p>	2020-2026	<p>City/county/district PMOs</p> <p>Assisting agencies: EMRB, IAs, PIC social/gender development specialist</p>	<p>1) Each PMO, implementing agency, town government and village committee has designated the person in charge of minority development plan activities: Municipal PMO: Cui Yuanlei Zhaoyang District PMO: Zhang Guangwen Ludian County PMO: Chen Chao Longshu Town: Wang Yao Shuimo Town: Liu Guobin et al</p> <p>2) Prepared and submitted 2 semi-annual monitoring reports</p> <p>3) All local villages and/or farmers, including ethnic minorities, are aware of the grievance mechanism.</p> <p>4) By July 2022, Social expert responsible for the preparation of plans, and external monitoring experts had provided trainings to the PMO, implementation agencies, construction units and relevant staff on the implementation and monitoring of the project's EMDP, SDAP&GAP. See Section 5.2 for details.</p>
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Source: EMDP & field survey.

Note: AB= Agricultural Bureau, DRC=Development and Reform Commission, PB=Price Bureau, FB=Finance Bureau, EMRB=Ethnic Minorities and Religious Bureau, HRSSB=Human Resources and Social Security Bureau, DI=Design institute, PIC=Project Implementation Consultant, CB= Construction Bureau, EB= Education Bureau, RRB=Rural Revitalization Bureau, CPDC=The Centers for Disease Prevention and Control.

Appendix 2 Results Form of the SDAP

Actions	Targets and Indicators	Time	Responsible Department	Implementation Progress
A. Output 1: Wastewater management and pollution control in the Sayu River Basin strengthened				
A.1 Ensuring that project communities can participate and benefit from rural wastewater management to improve sanitation	15,359 HHs (including 59,286 persons, of which 20% are poor and/or low-income) with access to wastewater treatment facilities (2019 baseline: 0)	2021-2026	ZCG, LCG, ZDG, PMO, LPMOs, consultants, contractors and suppliers (supported by township governments, village committees and WF)	Not started.
	Installed animal waste collection tanks for 17,323 HHs (including 66,867 people, 20% of whom are poor and/or low-income) (2019 baseline: 0 people)			Not started.
A.2 Ensuring that project communities can participate in and benefit from rural solid waste management to improve human settlements	Construction of solid waste management facilities for 30,890 HHs (including 118,798 people, 20% of whom are poor and/or low-income) (2019 baseline: 0 HHs)			Not started.
A.3 Ensuring that project communities can participate in and benefit from the construction of ecological demonstration villages, thereby improving infrastructure and human settlements	2,500 people participated in environmental protection activities or environmental education activities in ecological demonstration villages, 20% of whom are poor and/or low-income (2019 baseline: 0)			The list of ecological demonstration villages is being confirmed, 147 people have participated in environmental protection and environmental education activities in the villages where sub-projects have been started, including 32 (21.77%) low-income people.
A.4 Ensuring that project communities can participate in and benefit from the wetland construction, soil and water conservation, and low-carbon agriculture to reduce non-point source pollution	10,489 people benefited from wetland construction, 20% of whom are poor and/or low-income (2019 baseline: 0)			Not started.
	12,941 people benefited from soil and water conservation, 20% of whom are poor and/or low-income (2019 baseline: 0)			Not started.

Actions	Targets and Indicators	Time	Responsible Department	Implementation Progress
	33,946 people benefited from low carbon agriculture, of which 20% of the poor and/or low-income population (2019 baseline: 0)			Not started.
A.5 Ensuring the participation of project community representatives in public consultations on the detailed design of relevant projects, and public hearings on solid waste and sewerage charges	100 beneficiary representatives participated in the public consultation on the detailed design of the relevant projects, and the public hearing on the charging standard of solid waste and sewage treatment fees, 20% of whom were poor and/or low-income (2019 baseline: 0)			Completed. A total of 256 beneficiary representatives participated in relevant public consultations and public meetings on solid waste, including 21% of the low-income population.
A.6 Ensure that community-based cleaner groups and environmental monitoring groups are established and well-functioning in ecological construction pilot villages	Set up cleaners groups and environmental supervision groups in each ecological construction pilot village and keep them in good operation (2019 baseline: 0)			Current progress: 0
B. Output 2: Water resources management in the Sayu River improved				
B.1 Ensuring that project communities participate in and benefit from the construction of ecological riverbanks, thereby improving ecology and the environment	4,811 people benefited from the construction of ecological river banks, 20% of whom are poor and/or low-income population (2019 baseline: 0)	2021-2026	ZCG, LCG, ZDG, PMO, LPMOs, consultants, contractors and suppliers (supported by township governments, village committees and WF)	Under implementation. It is expected that 1 town and 5 villages /communities in Ludian County and 2 towns and 2 villages in Zhaoyang District will directly benefit(10,872 people in 2,846 HHs), including 5,306 (48.8%) women and 2,181 (20.06%) low-income people.
B.2 Ensuring the participation of public representatives in the consultation of the detailed design of the relevant project components	60 beneficiary representatives participated in public consultation on detailed design of relevant projects, 20% of whom are poor and/or low-income population (2019 baseline: none)			Completed A total of 256 beneficiary representatives participated in the relevant public consultation, including 21% of the low-income population.
C. Output 3: Eco-compensation mechanism for the Sayu River Basin established				
C.1 Ensuring project community participation and benefited from eco-compensation mechanisms to improve the environment	20% of the participants in the consultation activities on the design and implementation of the eco-compensation mechanism are poor and/or low-income people (2019 baseline: none)	2021-2026	ZCG, YWPCO, PMO, LPMOs, consultants, contractors and	Not started.

Actions	Targets and Indicators	Time	Responsible Department	Implementation Progress
	20% of beneficiaries of eco-compensation funds are poor and/or low-income (2019 baseline: none)		suppliers (supported by township governments, village committees and RRB)	Not started.
D. Output 4: Education, capacity, and public awareness for water pollution management strengthened				
D.1 Ensuring the participation of government staff in water pollution control capacity building projects	200 people participated in the water pollution control capacity building project (2019 baseline: 0)	2021-2026	ZCG, LCG, ZDG, PMO, LPMOs, schools, consultants(supported by township governments, village committees and RRB)	In July 2022, 20 people participated in the water pollution control capacity building.
D.2 Ensuring that students receive education on water pollution control	12,550 students (at least 20% of whom are from poor and/or low-income) were educated in water pollution control (2019 baseline: 0)			Coordinating and communicating with the local education department on related matters. In March 2022, education activities related to World Water Day were conducted in 5 schools in Sayu, Leju, Xinjie, Shuimo and Longshu Town. More than 4,600 students (930 of them from low-income families, 20.3%) were educated.
D.3 Ensuring that project communities participate in awareness raising activities related to water pollution control	32,750 people participated in awareness-raising activities related to water pollution control (at least 20% of whom were poor and/or low-income) (2019 baseline: 0)			Preliminary communication and preparatory work with relevant agencies.
E. For all outputs: Create job opportunities				
E.1 During construction, a total of 1834 temporary jobs were created, including 825 skilled and 1,009 unskilled jobs	1,834 jobs created during construction, 20% of which for the poor and/or low-income population (2019 baseline: not applicable)	2021-2026	ZCG, LCG, ZDG, PMO, LPMOs, consultants, contractors (supported by township governments,	374 jobs have been created during construction, including 123 skilled and 251 unskilled jobs, 31% of which for low-income population, see Table 3-1 for detail.
E.2 During operation, a total of 372 jobs were created, including 360 skilled and 12 unskilled jobs (for maintenance of watercourses and wetland facilities and landscaping)	372 jobs created during operations, 20% for the poor and/or low-income earners (2019 baseline: not applicable)			Not started.

Actions	Targets and Indicators	Time	Responsible Department	Implementation Progress
E.3 Ensure timely release of employment information and prioritize employment of the poor and/or low-income population			village committees, HRSSB and RRB)	
F. For all outputs: Comply with labor laws and core labor standards				
F.1 Ensuring that contractors comply with labor laws and core labor standards, including the prohibition of child labor, minimum wages, equal pay for equal work, and occupational health and safety	100% of contractors comply with labor laws and core labor standards (2019 baseline: 0) 1,834 project workers received information on prevention and control of STDs (including HIV/AIDS) (2019 baseline: 0)	2021-2026	ZCG, LCG, ZDG, PMO, LPMOs, consultants, contractors (supported by township governments, village committees and HRSSB)	A total of 3 contractors have started projects, and 100% of the contractors comply with labor laws and core labor standards.
F.2 Ensure that contractors employ appropriate service providers to educate workers employed by project contractors and residents of surrounding communities in the project area about the prevention and control of STDs, including HIV/AIDS	524 residents in the surrounding communities of the project area received publicity on the prevention and control of venereal diseases (including HIV/AIDS) (2019 baseline: 0)			374 project workers received publicity on prevention and control of STDs (including HIV/AIDS) The publicity work for residents in the surrounding communities is being coordinated
F.3. Provide workers with separate toilets and sanitation facilities for men and women	100% of workers have access to separate toilets and sanitation facilities (2019 baseline: 0)			100% of workers have access to separate toilets and sanitation facilities
G.For all outputs: Project management				
G.1 Ensure that a social development specialist is included in the project management support advisory team to guide and assist the implementation of the SDAP and provide training to the Zhaotong PMO, local PMO and other government agencies	A social development specialist was hired as a member of the project management support advisory team to guide and assist in the implementation of the SDAP (2019 baseline: 0)	2021-2026	ZCG, LCG, ZDG, PMO, LPMOs, consultants(supported by township governments, village committees and RRB)	Completed A social development specialist has started related work in July 2022.
G.2. Designate a Social and Gender Affairs Specialist in each PMO and local PMO to ensure the effective implementation of the SDAP	At least one Social and Gender Affairs Specialist designated by the Municipal PMO and the Local PMO to implement the relevant activities in the SDAP (2019 baseline: 0)			Designated Social Security Officer: Municipal PMO: Xiong Yongying Zhaoyang District PMO: Zhang Guangwen Ludian County PMO: Li Caimeng The municipal PMO and the Local PMO has set

Actions	Targets and Indicators	Time	Responsible Department	Implementation Progress
				up a security department, which is responsible for the coordination and implementation of the project's SDAP
G.3 Provide training to municipal PMO, local PMOs and other government agencies on: (1) Asian Development Bank social development policies; (2) how to implement and monitor SDAP; (3) project-related social issues, and the importance of implementing social inclusion in all project activities	Relevant staff of municipal PMO, local PMOs and other government agencies receive training (2019 baseline: 0)			A total of 13 relevant trainings have been completed, with a total of 251 participants. See Table 5-2 for details.
G.4 Collect data by income status	Data by income status collected during project implementation (2019 baseline: 0)			The resettlement socioeconomic baseline survey and two phases of monitoring surveys have been completed to collect data by income status.

Source: SDAP & field survey.

Note: ZCG=Zhaotong City Government, ZDG=Zhaoyang District Government, LCG=Ludian County Government, WF=Women's Federation, LPMO=Local Project Management Office, RRB=Rural Revitalization Bureau, HRSSB=Human Resources and Social Security Bureau.

Appendix 3 Results Form of the GAP

Actions	Targets and Indicators	Time	Responsible Department	Implementation Progress
A. Output 1: Wastewater management and pollution control in the Sayu River Basin strengthened				
A.1. Baseline and endline survey on women's time spent for wastewater, garbage, and animal feces collection and treatment conducted at the beginning and end of the project (2019 baseline: NA)	A.1. By 2026, 60,000 women with increased time savings for wastewater, animal feces, and solid waste management (2019 baseline: NA)	2021-2026	ZCG, LCG, ZDG, PMO, LPMOs, consultants, contractors and suppliers (supported by township governments, village committees and WF)	January 2022 Baseline Survey: Women sampled spent an average of 2 hours a day in sewage treatment, garbage and animal waste collection and treatment.
A.2. Quotas for women are set for skilled and unskilled jobs created under Output 1 during construction and operation.	A.2.1. 466 skilled jobs created during construction, of which at least 20% provided to women (2019 baseline: 0)			123 skilled jobs have been created, of which 13% are provided to women, see Table 3-1 for details.
	A.2.2. 360 skilled jobs created during operation, of which 30% are provided to women (2019 baseline: NA)			Not started.
	A.2.3. 569 unskilled jobs created during construction, of which 40% for women (2019 baseline: NA)			251 unskilled jobs have been created, of which 43% are provided to women, see Table 3-1 for details.
A.3. Increase women's access to sanitation services by constructing wastewater facilities and animal feces collection tanks in rural areas.	A.3.1. 15,359 households (including 59,286 people, of which 47% are women) connected with wastewater facilities (2019 baseline: 0 person)			Not started.
	A.3.2. Animal feces collection tanks installed for 17,323 households (including 66,867 people, of which 47% are women) (2019 baseline: 0 person)			Not started.
A.4. Improve women's access to solid waste management services for improved environmental condition.	A.4. Solid waste management facilities developed for 30,890 households (including 118,798 people, of which 47% are women) (2019 baseline: 0 household)			Not started.

Actions	Targets and Indicators	Time	Responsible Department	Implementation Progress
A.5. Promote women’s participation in environmental protection activities in the pilot eco-villages through outreach and education.	A.5. 2,500 people, of which 40% are women, in the pilot eco villages participate in environmental and education activities on environmental protection (2019 baseline: NA)			The list of ecological demonstration villages is being confirmed
A.6. Support the transition to low emission/low-pollution riculture among female farmers.	A.6.1. 16,000 female farmers receive training and participate in promotion of low-emission agriculture (2019 baseline: NA)			Not started.
	A.6.2. 12,941 people, of which 47% are women, benefited from soil and water conservation (2019 baseline: NA)			Not started.
A.7. Conduct consultations on detailed design that include the needs and views from women and men, including on wastewater and solid waste tariff proposals.	A.7. 100 representatives of beneficiaries, of which at least 40% are women, participate in consultations on detailed designs of relevant project components and in public hearings on wastewater and solid waste tariff proposals (2019 baseline: NA)			Completed A total of 256 beneficiary representatives participated in relevant public consultations and public meetings on solid waste, and 42.6% of the participants were women.
A.8. Establish cleaning teams and designated environmental supervision groups in the pilot eco-villages with women’s representation.	A.8.40% representatives of the designated cleaning teams and environmental supervision groups are women (2019 baseline: NA)			Not started.
B. Output 2: Water resources management in the Sayu River improved				
B.1.Quotas for women are set for skilled and unskilled jobs created by Output 2 during construction and operation.	B.1.1. 440 unskilled jobs created during construction, of which 40% are provided to women (2019 baseline: NA)	2021-2026	ZCG, LCG, ZDG, PMO, LPMOs, consultants, contractors and suppliers (supported by township governments, village committees	251 unskilled jobs have been created, of which 43% are provided to women, see Table 3-1 for details.
	B.1.2. 359 skilled jobs created during construction, of which 15% are provided to women (2019 baseline: NA)			123 skilled jobs have been created, of which 13% are provided to women, see Table 3-1 for details.
B.2. Improve women’s living conditions by constructing ecological river embankments.	B.2. Ecological river embankments constructed for 4,811 people, of which 47% are women (2019 baseline: NA)			Will begin to benefit when the project is completed.

Actions	Targets and Indicators	Time	Responsible Department	Implementation Progress
B.3. Improve women’s access to river and water management and benefit from improved water quality.	B.3. 4,811 people, of which 47% are women, benefited from the intelligent cloud platform river information management system; and the smart water integrated management platform (2019 baseline: NA)		and WF)	Not started.
B.4. Conduct consultations on detailed design that include the needs and views from women and men, including of relevant project components.	B.4. 60 representatives of beneficiaries, of which at least 40% are women (2019 baseline: NA)			Completed. A total of 256 beneficiary representatives participated in the relevant public consultation, and 42.6% of the participants were women.
C. Output 3: Eco-compensation mechanism for the Sayu River Basin established				
C.1. Women represented in the implementation of the eco-compensation mechanism.	C.1. By 2023, at least 35% of the eco-compensation fund management committee members are women (2019 baseline: NA)	2021-2026	ZCG, YWPCO, PMOs	Not started.
D. Output 4: Education, capacity, and public awareness for water pollution management strengthened				
D.1. Women are trained on water pollution management.	D.1.1 200 people (of which at least 40% are women) with water pollution management capacity enhanced (2019 baseline: 0)	2021-2026	ZCG, LCG, ZDG, PMO, LPMOs, schools, consultants (supported by township governments, village committees and WF)	In July 2022, 20 people have participated in the water pollution control capacity building project, and women account for 30%
	D.1.2. 12,550 students (of which at least 40% are women) trained on water pollution management (2019 baseline: 0)			Coordinating and communicating with the local education department. In March 2022, education activities related to World Water Day were conducted in 5 schools in Sayu, Leju, Xinjie, Shuimo and Longshu Town. More than 4,600 students (2,210 females, 48%) were educated.
	D.1.3. 32,750 people with awareness of water pollution management (of which at least 40% are women) increased (2019 baseline: 0)			Preliminary communication and preparations with relevant agencies have begun

Actions	Targets and Indicators	Time	Responsible Department	Implementation Progress
E.For all outputs: Project management				
E.1. Ensure a gender specialist is included in the project management support consultant team to guide and assist in the implementation of the GAP and provide training to the PMO, the LPMOs, and other government agencies.	E.1.A gender specialist recruited as a member of the project management support consultant team to guide and assist in the implementation of the GAP (2019 baseline: NA)	2021-2026	ZCG, LCG, ZDG, PMO, LPMOs, consultants (supported by township governments, village committees and WF)	Completed A gender specialist has started work in July 2022.
E.2.Assign a social and gender focal staff in each of the PMO and the LPMOs to ensure effective implementation of the GAP.	E.2.At least one social and gender focal person assigned in each of the PMO and the LPMOs to implement the GAP activities (2019 baseline: NA)			Designated Social Security Officer: Municipal PMO: Xiong Yongying Zhaoyang District PMO: Zhang Guangwen Ludian County PMO: Li Caimeng Both the municipal PMO and the district/county PMO have set up a security department, which is responsible for the coordination and implementation of the GAP
E.3. Provide training to the PMO, the LPMOs, and other government agencies on (i) gender equality and mainstreaming policies of the Asian Development Bank; (ii) how to implement and monitor the GAP; and (iii) gender issues in relevant project components.	E.3. Relevant staff of the PMO, the LPMOs, and other government agencies receive training (2019 baseline: NA)			Completed relevant training 3 times, 56 people participated, including 18 women(32%). see Table 5-2 for details.
E.4.Collect sex-disaggregated data.	E.4. Sex-disaggregated data collected during project implementation (2019 baseline: NA)			The social-economic baseline survey and two phases of monitoring surveys have been completed to collect sex-disaggregated data

Actions	Targets and Indicators	Time	Responsible Department	Implementation Progress
E.5. Prepare monitoring reports on the GAP implementation.	E.5. Monitoring reports on the GAP implementation included in the quarterly project progress reports and the semiannual external resettlement and social development monitoring and evaluation reports (2019 baseline: NA)			Included in this monitoring report.

Source: GAP & field survey.

Note: ZCG=Zhaotong City Government, ZDG=Zhaoyang District Government, LCG=Ludian County Government, WF=Women's Federation, LPMO=Local Project Management Office .

Appendix 4 Table of Implementation and Management Staff

Agency	Total staff	Number of Female	Number of EM	Number of People Responsible for implementing EMDP, SDAP&GAP		
				Total	Female	Specific Responsibilities
Zhaotong PMO (YWPCO)	15	6	1	5	2	With the assistance of social experts, supervise and monitor the implementation of the EMDP, SDAP&GAP to ensure its implementation in a timely manner
Zhaoyang District PMO	11	2	1	5	1	Implementing EMDP, SDAP&GAP
Ludian County PMO	10	2	1	3	1	Implementing EMDP, SDAP&GAP
Township government	21	7	2	14	7	Implementing EMDP, SDAP&GAP
Ecology and Environment Bureau	3	1	0	3	1	Assist in the implementation of EMDP, SDAP&GAP
Agriculture and Rural Bureau	3	1	0	3	1	Assist in the implementation of EMDP, SDAP&GAP
Natural Resources Bureau	3	1	0	3	1	Assist in the implementation of EMDP, SDAP&GAP
Finance Bureau	3	2	0	3	2	Assist in the implementation of EMDP, SDAP&GAP
Education Bureau	3	1	0	3	1	Assist in the implementation of EMDP, SDAP&GAP
The Women's Federation	3	3	0	3	3	Assist in the implementation of EMDP, SDAP&GAP
External M&E Agencies	4	3	1	4	3	Monitor and evaluate EMDP, SDAP&GAP activities
Total	79	29	6	49	23	

Appendix 5 Documents Related to Project Organization Setting

(1) Zhaotong PMO

昭通市亚行贷款长江上游云南洒渔河流域生态补偿示范项目办公室文件

昭亚办通（2021）3号

昭通市亚行项目办公室关于 调整充实内设机构和人员建立工作机制的通知

各有关单位：

因工作需要，决定调整充实长江上游云南洒渔河流域生态补偿示范项目亚行贷款项目办公室内设机构和人员。现通知如下：

一、行政部

部 长：李兴贵（渔洞管理局水保综合科科长）

副 部 长：龙 梅（渔洞管理局水保综合科副科长）

王忠东（昭通市国家保密局办公室主任）

工作人员：孙雯雯（渔洞管理局水保综合科工作人员）

袁 华（渔洞管理局水保综合科工作人员）

主要职责：

（一）负责处理项目办日常工作，抓好重要事项的督查督办，

王从勇（渔洞管理局水保规划科工作人员）

严 或（渔洞管理局水保水情科工作人员）

王 琦（渔洞管理局水保规划科工作人员）

主要职责：

（一）负责项目的设计管理、施工管理和技援执行，严格做好工程项目的进度控制、质量控制、投资控制，加强工程项目合同管理、信息管理，确保项目顺利实施。

（二）制定完善项目工程管理规章制度。

（三）完成主任、副主任交办的相关工作。

四、采购部

部 长：殷国竹（渔洞管理局工程技术科科长）

副 部 长：胡学军（市发改委农经科科长）

王兴福（渔洞管理局灌区管理科副科长）

张孝永（渔洞管理局工程技术科副科长）

工作人员：保荣伟（渔洞管理局工程技术科工作人员）

钟 山（渔洞管理局工程技术科工作人员）

主要职责：

（一）负责招标文件管理，做好招标文件的初审、报批工作，制定完善项目采购管理规章制度。

（二）按照招标程序和指南，负责招标过程的监督工作。

（三）完成主任、副主任交办的相关工作。

五、安保部

部 长：熊永英（渔洞管理局水保水情科科长）

工作人员：崔元磊（渔洞管理局水保规划科工作人员）

文秘、宣传、档案、统计报表、后勤保障等工作。

（二）负责与亚行及中国区项目管理官员的沟通联络，做好项目所有文件和合同文本翻译、项目办内外部的综合协调沟通工作。

（三）负责组织开展内外交流与学习、考察工作，制定完善内部管理规章制度。

（四）完成主任、副主任交办的相关工作。

二、财务部

部 长：陈照云（渔洞管理局资产财务科科长）

副 部 长：吴道奎（昭通市财政局外经科科长）

李鸿邦（市发改委财金与利用外资科科长）

张洪燕（渔洞管理局资产财务科副科长）

工作人员：吴建华（渔洞管理局资产财务科工作人员）

主要职责：

（一）负责财务管理，制定完善项目财务管理规章制度。

（二）负责组织编制年度项目支付计划，做好支付管理、审计配合。

（三）负责审核市（县、区）提款报账凭证，项目市（县、区）会计报表的汇总上报工作。

（四）完成主任、副主任交办的相关工作。

三、工程部

部 长：董本权（渔洞管理局水保规划科科长）

副 部 长：崔汝静（渔洞管理局总工程师）

工作人员：白庆洪（渔洞管理局水保规划科工作人员）

崔汝先（渔洞管理局水保综合科工作人员）

黄 梅（渔洞管理局水保水情科工作人员）

王 倩（渔洞管理局水保水情科工作人员）

主要职责：

（一）负责社会政策管理、环境政策管理，加强与亚行技援团、设计单位、昭鲁县区亚行项目办环境、社会和移民专家的沟通、协调、联络、对接，参与项目建设的环境保护、社会和移民相关工作，制定完善项目安保管理规章制度。

（二）完成主任、副主任交办的相关工作。

五、建立机制，推进工作落实

（一）建立定期研究机制。市亚行项目办主持各部每月召开一次工作推进会，总结当月工作，找出存在问题和困难，安排次月任务。市亚行项目办主任、副主任每季度召开一次主任联席会，同时昭鲁县区政府分管领导、昭鲁县区亚行办主任和技术负责人、市亚行项目办各部部长及副部长参加，听取季度工作进展，研究解决存在问题，推进下步工作。

（二）建立沟通汇报机制。加强与省市县相关领导和部门的工作汇报，建立与亚行、县区政府、县区亚行项目办、内设各部的沟通联系。同时将工作中好的经验、做法，工作亮点，工作进展等制作成工作简报抄送亚行、省市县相关部门和领导了解掌握工作动态，获取工作关心支持。原则上每季度不少于一次。

（三）建立责任落实机制。各部工作职责已明确，要增强责任意识，树立一盘棋的思想，不能推诿扯皮。各部负责人要切实履行主体责任，带头作为，示范引领，凝聚合力；要制定每项

工作的责任人、时间表，不等不靠、不推不让，积极主动地完成任务。若因部门工作不力影响工作推进的，将追究相关人员责任。

昭通市亚行项目办公室
(昭通渔洞水库水资源保护委员会办公室代章)
2021年11月19日

抄送:市发改委，市财政局，昭鲁县区亚行项目办，市亚行办各部。

昭通市人民政府办公室文件

昭政办发〔2016〕120号

昭通市人民政府办公室关于成立亚行贷款
昭通市水资源保护与综合利用项目
工作领导小组的通知

各县、区人民政府，市直各委、办、局：
为进一步加强我市基础设施建设力度，增强水资源综合利用能力，确保各族人民生产生活用水安全，加快脱贫致富、全面建成小康社会步伐，推进城市环境建设和新型城镇化进程，促进滇东北城镇群和长江生态安全屏障建设，市人民政府决定利用亚洲开发银行贷款实施渔洞水库径流区综合治理和昭阳区轿子沟水

库工程、洒渔河治理工程、润昭饮水工程项目。项目计划总投资27.65亿元人民币，拟申请亚行贷款2.1亿美元（约合13.86亿元人民币）。

为确保亚行贷款项目成功申报，顺利实施，市人民政府决定成立“亚行贷款昭通市水资源保护与综合利用工作领导小组”。现将有关事项通知如下：

一、领导小组组成人员

- 组 长：郭大进 市人民政府市长
副组长：苏建宏 市人民政府副市长
成 员：成 刚 市人民政府副秘书长
李松涛 市发改委主任
郝流勇 市财政局局长
孙朝孝 市国土资源局局长
宣世新 市环保局局长
曹阜忠 市住建局局长
吕 磊 市林业局局长
方宗辉 市水利局局长
李绍军 市审计局局长
陈树清 市渔洞水库管理局局长
陶 毅 昭阳区人民政府区长
马洪旗 鲁甸县人民政府县长

傅再胜 永善县人民政府县长

领导小组下设办公室在发改委，由李松涛同志兼任办公室主任，市财政局副局长吕玉黔同志、昭通渔洞水库管理局局长陈树清同志任办公室副主任，办公室成员由相关单位人员组成；领导小组下设市级项目实施管理办在昭阳区人民政府，由陶毅同志兼任办公室主任。

二、领导小组工作职责

(一) 贯彻落实中央、省有关文件精神，按照亚行贷款政策要求，结合我市“六大战略”和“十三五”发展规划，指导和督促有关部门制订我市实施规划、办法等。

(二) 定期不定期召开领导小组会议，研究确定我市亚行贷款政策和贷款管理原则。统筹开展贷款的对外联络工作。监督贷款资金、配套资金的落实与使用。解决项目实施中的重大事项和问题。

(三) 明确各级、各部门工作职责，指导、协调、监督和管理亚行贷款项目实施活动。

三、领导小组办公室职责

(一) 负责研究和制定利用亚行贷款实施昭通市水资源保护与综合利用项目相关政策和措施。

(二) 指导昭通渔洞水库管理局和昭阳区人民政府做好项目申报和前期准备工作、制定筹资方案、制定还本付息计划和偿还

债务保证措施。

(三) 对项目执行全过程进行监督、管理。汇总分析项目信息，上报领导小组。

四、市级项目实施管理办职责

(一) 负责研究和制定利用亚行贷款实施渔洞水库径流区水资源保护子项目相关政策和各项管理制度。

(二) 做好项目申报和前期准备工作。制定筹资方案和国内配套资金方案并加以落实，制定还本付息计划和债务偿还计划及其保证措施。

(三) 制定项目实施方案，承担项目规划、设计、采购、实施、提款报账、绩效评价等，对项目执行全过程进行管理。汇总分析项目信息，上报领导小组。



抄送：市委办公室，市人大常委会办公室，市政协办公室，市法院，市检察院，昭通军分区，武警昭通支队，各人民团体、企事业单位，中央、省驻昭各单位。

昭通市人民政府办公室

2016年9月9日印发

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(2) Zhaoyang District PMO

昭通市昭阳区人民政府办公室文件

昭区政办通〔2021〕3号

昭阳区人民政府办公室关于调整充实亚行贷款 长江上游云南酒渔河流域生态补偿示范 项目工作领导小组及项目办公室 的通知

有关乡、镇人民政府，区直有关部门：

为实施好亚行贷款长江上游云南酒渔河流域生态补偿示范项目相关工作，进一步理顺工作关系，明确职能职责，扎实有效推进施工工作，确保亚行贷款长江上游云南酒渔河流域生态补偿示范项目的落实及相关工作顺利开展。经区人民政府研究，决定调整充实亚行贷款长江上游云南酒渔河流域生态补偿示范项目工作领导小组及项目办公室。现将有关事项通知如下：

一、领导小组组成人员和工作职责

组 长：张 洁 区委常委、副区长

副组长：马昌化 区水务局局长
邓光涛 区发改局局长
杨 斌 区财政局局长
成 员：龙树毅 区民宗局副局长
周 俊 区公安分局党委委员、政治处主任
董学梅 区民政局副局长
吕建华 区人社局副局长
龙建良 区自然资源局副总督察
刘宪春 区生态环境分局副局长
陈明勇 区住建局副局长
万棉忠 区农业农村局党组成员
黄开云 区水务局主任科员
曹家发 区文旅局副局长
周 杰 区林草局副局长
李怀勇 区统计局副局长
陈 斌 区扶贫办副主任
马培富 区信访局副局长
赵乙谦 区公共资源交易中心副主任
马 莲 区妇联副主席
罗正能 酒渔镇镇长
谭亚翔 乐居镇镇长
熊 雷 苏甲乡乡长
张 灵 大山包镇镇长

徐国权 大寨子乡乡长

领导小组负责全面统筹昭阳区亚行贷款长江上游云南酒渔河流域生态补偿示范项目建设工作，下设领导小组办公室在区水务局，办公室主任由马昌化同志兼任，负责领导小组日常事务及协调亚行项目相关工作，成员从相关单位抽调。

各成员单位在区人民政府的统一领导下，积极与对口上级部门联系，加强沟通协作，切实履行职责，认真做好项目申报审批，严格按照项目要求组织实施，统筹协调解决项目推进中出现问题。

二、项目办公室、科室组成人员和主要职责

亚行项目办公室设在区水务局，办公室主任由马昌化同志兼任，办公室副主任由区水务局主任科员黄开云同志、区生态环境分局副局长刘宪春同志、区住建局副局长陈明勇同志、区农业农村局党组成员万棉忠同志兼任，成员从相关单位抽调，具体负责项目审贷所需资料的收集、整理、上报、项目实施等相关工作。

项目办公室主要职责：

（一）负责区级利用亚行贷款长江上游酒渔河流域生态补偿建设示范区全面工作；

（二）负责落实区委、区政府对亚行贷款相关工作的决策部署；

（三）负责研究制定亚行贷款项目重大决策；

（四）负责与区级领导的联系汇报工作；

（五）负责与区级相关部门的沟通联系。

（6）负责组织项目立项可研申报、项目评审、项目招投标；

（7）负责组织施工图自审、会审，施工项目技术管理；

（8）负责工程造价管理、造价审查。

2.财务科

科 长：李章祥 区水务局财务科会计

成 员：刘明涵 区水务局财务科会计

范沛莲 区水务局财务科出纳

鄯 燕 区生态环境分局财务科会计

阳 庆 区农业农村局财务科会计

周明慧 区住建局计财科科长

主要职责：

（1）负责行业主管单位项目的计划编制和财务管理，组织落实项目办财务核算管理，会计记账、账务处理，编制财务报表；

（2）项目财务分析，组织编制年度项目支付计划，项目办财务收支的各项支出；

（3）负责审核项目提款报账凭证，项目会计报表的汇总上报等工作；

（4）联系市区财政，指导项目财务核算管理工作；

（5）负责基本建设投资的会计核算，参与基本建设投资项目的招标投标和合同审查，办理工程竣工结算和交付使用固定资产的登记等业务工作；

（6）按《会计档案管理办法》规定，做好亚行项目会计档案的归档、保存、使用和注销工作。

项目办公室下设5个科室：工程技术科、财务科、采购管理科、综合科和社保科；2个特设岗位：移民和社会专家、环境专家。

1.工程技术科

科 长：王郑祺 区水务局高级工程师

副科长：范锦标 区生态环境分局工作人员

成 员：阳廷雍 区水务局高级工程师

王应军 区水务局工程师

李佳兴 区住建局村镇科科长

李 俊 区农业农村局工作人员

主要职责：

（1）负责行业主管单位相应项目工程建设的管理，并联系对接项目顾问专家团；

（2）负责制定工程施工管理方案及施工组织计划书，审定施工单位编制的施工进度计划及施工阶段各类技术资料的归集管理；

（3）负责施工现场的质量技术监督、业主与施工单位协调、工程签证的审批以及组织工程验收和竣工报告的审查；

（4）负责工程施工进度管理和安全管理，督促亚行贷款项目参建单位建立完善工程建设安全管理体系，确保不出现重大安全事故；

（5）负责工程项目的技术管理，审核项目的技术方案，指导新技术、新材料的运用；

3.综合信息科

科 长：马才勇 区水务局副局长科员

成 员：马 坤 区水务局工作人员

李 玮 区水务局工作人员

伍维叶 区生态环境分局生态科科长

李佳兴 区住建局村镇科科长

李 俊 区农业农村局工作人员

主要职责：

（1）负责处理项目办及各行业主管单位相应项目的日常综合性政务、事务，制定内部管理规章制度，重要事项的督查督办，文秘、宣传、档案、保密以及外事、接待和后勤保障等工作；

（2）负责与昭通市亚行贷款长江上游酒渔河流域生态补偿建设先行示范项目办公室的沟通联络，以及项目办内外部沟通及衔接工作；

（3）搭建项目办内部交流合作平台，组织开展内外交流、培训学习等工作；

（4）负责与项目单位的联络沟通和指导。

4.采购管理科

科 长：李章祥 区水务局财务科工作人员

工作人员：阳廷雍 区水务局高级工程师

范锦标 区生态环境分局工作人员

李佳兴 区住建局村镇科科长

李 俊 区农业农村局工作人员

主要职责：

- (1) 负责项目办对应行业部门的招标采购管理工作，制定内部采购管理规章制度；
- (2) 指导、监督行业主管部门按照行政政策和程序开展采购管理工作，联系协调亚行采购专家、咨询公司、招标代理机构，做好前期采购管理工作，复核检查招标文件和评标报告；
- (3) 加强项目办与行业主管部门实施单位对招投标文件、档案资料的管理；
- (4) 积极参与亚行对相关人员采购政策学习培训；
- (5) 监督公共资源交易中心等管理机构，加强对招标采购全过程的监督检查工作。

5. 社保科

科 长：张广文 区水务局安检科科长
工作人员：姚 健 乐居镇自然资源所所长
秦明伟 酒渔镇自然资源所所长
崔佩文 苏甲乡自然资源所所长
孔令扬 大寨子乡自然资源所所长

主要职责：

- (1) 负责处理征地拆迁、移民、征地、社会矛盾、信访、少数民族、妇女儿童和劳动人事保障，以及文秘、宣传、档案、制定内部管理规章制度等工作；
- (2) 负责与市亚行办及亚行北办社会、移民等独立专家的沟通联络；

- (3) 负责与亚行项目所涉及的公安、交通、国土、移民、信访、征地、民宗、劳动人事、妇联、文旅和教体等相关单位的联络沟通。

6. 特设岗位

根据亚行项目实施程序与需要，设立两个项目特设岗位：

- (1) 移民和社会专家：马琼 区妇联发展科负责人

主要职责：加强与亚行技援团、设计单位、乡镇的沟通、协调、联络、对接和参与项目建设的社会和移民相关妇女、少数民族权益落实、资料收集上报等工作。

- (2) 环境专家：雷恒源 区生态环境分局环境监测站站长

主要职责：加强与亚行技援团、设计单位、乡镇的沟通、协调、联络、对接参与项目建设的环境保护监测评估及资料收集上报等相关工作。



昭阳区人民政府办公室

2021年1月21日印发

(3) Ludian County PMO

鲁甸县人民政府文件

鲁政发〔2021〕11号

鲁甸县人民政府关于调整鲁甸县亚行贷款 长江上游云南酒渔河流域生态补偿 示范项目领导组的通知

各乡镇人民政府，县直各有关单位：

为认真做好鲁甸县亚行贷款长江上游云南酒渔河流域生态补偿示范项目相关工作，使贷款项目管理科学化、规范化、制度化，切实提高贷款使用效益，因人事变动，县人民政府决定调整鲁甸县亚行贷款长江上游云南酒渔河流域生态补偿示范项目领导组。现将有关事项通知如下：

一、领导组成员

组 长：杨绪春 县委副书记、县长
副组长：张 虎 县政府副县长
杨 斌 县政府党组成员、县副处级领导
成 员：黄 坤 县委办副主任、县档案局局长
陈富荣 县政府办主任
马敏桥 县发改局局长

陈朝祥 县民宗局局长
纳才相 县教体局局长
冯 靖 县民政局局长
晏银林 县财政局局长
刘平爱 县自然资源局局长
雷 旭 市生态环境局鲁甸分局局长
王咏宇 县住建局局长
王富坤 县农业农村局局长
杨贵勇 县水务局局长
夏举崇 县应急管理局局长
米高林 县审计局局长
邓益虎 县林业和草原局局长
王文杰 县扶贫办主任
徐 薇 县政务服务管理局长
胡万友 县投资服务中心主任
郎德锐 县妇联常务副主席
马黎姬 团县委书记
沈吉超 龙树镇镇长
唐亚东 新街镇镇长
蒋开谋 水磨镇镇长

领导组下设办公室在县投资服务中心，内设行政部、财务部、工程部、安保部、采购部五个工作部。杨斌兼任办公室主任，蔡寿玺兼任办公室副主任（专职），胡万友兼任办公室副主任，项目办工作人员从相关单位抽调组成，主要负责研究和制定亚行贷

款项目的相关政策和各项管理制度,做好项目申报前期准备工作和建设期对外联络、组织协调等具体工作,对亚行项目的实施进行监督、管理。

二、行政部

部 长:胡万友 县投资服务中心主任
副 部 长:李才猛 县投资服务中心副主任
臧永强 县国有林场副场长(专职人员)
成 员:阮金暑 县委办三级主任科员
杨德丽 县投资服务工作人员

主要职责:

(一)负责处理项目办日常工作,综合性政务、事务,抓好重要事项的督查督办和文秘、宣传、档案、保密、外事、接待和后勤保障等工作;

(二)负责与市亚行项目办的沟通联络,项目内外部联络、沟通及衔接工作;

(三)负责组织开展内外交流与学习、考察工作,制定完善内部管理制度;

(四)完成主任、副主任交办的相关工作。

三、财务部

部 长:马玉金 县财政局副局长
副 部 长:卯声娟 县审计局副局长
成 员:从相关单位抽调组成

主要职责:

(一)负责指导项目实施部门亚行项目财务管理,完善相关

(四)完成主任、副主任交办的相关工作。

五、采购部

部 长:王朝喜 县公共资源交易中心副主任
副 部 长:范雄廷 县财政局工作人员
成 员:曾清沛 县林业和草原局工作人员
马在勇 县住建局工作人员
蔡南海 县水务局工作人员
丁 勇 县农业农村局工作人员

主要职责:

(一)负责招标文件管理,会同工程部做好招标文件的初审、报批工作,制定完善项目采购管理制度;

(二)按照招标程序和指南,负责招标过程的监督工作;

(三)完成主任、副主任交办的相关工作。

六、安保部

部 长:李才猛 县投资服务中心副主任(专职人员)
副 部 长:雷宽巧 县自然资源局副局长
陈 超 县民宗局副局长(民族专员)
彭 卫 市生态环境局鲁甸分局副局长
成 员:刘林军 县妇女儿童专职副主任(妇女儿童专员)
武靖江 县水务局工作人员(移民专员)
朱雪梅 市生态环境局鲁甸分局工作人员(环境专员)
胡世娇 县一中教师(翻译)
王 耀 龙树镇副书记
李 峰 新街镇副镇长

财务管理规章制度:

(二)负责指导项目实施部门提款报账凭据,协调、规范亚行项目提款报账工作;

(三)负责监督亚行项目支出管理,协调配合财政、审计等相关部门对项目的检查审计工作;

(四)完成主任、副主任交办的相关工作。

四、工程部

部 长:蔡寿玺 县扶贫办副主任
副 部 长:张 伟 县住建局副局长
高礼银 县农业农村局副局长
臧永胜 县水务局副局长
陈 林 县林业和草原局副局长
成 员:岑成富 县水务局工作人员(专职人员)
邓书全 县农业农村局工作人员(专职人员)
马 尧 县住建局工作人员(专职人员)
夏文鑫 县林业和草原局工作人员
张 焱 县水务局工作人员
张福泉 县农业农村局工作人员

主要职责:

(一)负责制定项目工程建设的管理规章制度;

(二)负责项目的设计管理、施工管理和技援执行,严格做好工程项目的进度控制、质量控制、投资控制,加强工程项目合同管理、信息管理,确保项目顺利实施;

(三)负责监督项目实施的质量,跟进项目实施的时间进度;

刘国斌 水磨镇副镇长

(一)负责社会政策管理、环境政策管理,加强与亚行技援团、设计单位、有关专家(环境、社会和移民)和市亚行办的沟通、协调、联络、对接,参与项目建设的环境保护、社会和移民相关工作,制定完善项目安保管理制度;

(二)完成主任、副主任交办的相关工作。

七、有关要求

(一)各级各部门要充分认识亚行贷款长江上游云南酒渔河流域生态补偿项目的重要意义,高度重视,明确职责,形成一级抓一级,层层抓落实的工作格局,为推动项目顺利实施提供强有力的组织保障。

(二)各单位、各部门所抽调到县亚行项目办的专职人员原则上与原单位工作脱钩,专职从事县亚行项目办相关工作,抽调期间其工资及一切福利待遇由原所在单位负责;各单位、各部门从事亚行项目人员相对固定,不得随意更换,确保亚行项目顺利推进。



鲁甸县人民政府办公室

2021年6月25日印发

Appendix 6 Summary of the Implemented Training and Capacity Building Activities

Output	Training / Awareness Promotion Activity Theme	Total number of activities	Communities covered	Organizer	Total number of participants	Female	Proportion of women	Low-income	Proportion of Low-income	EM	Proportion of EMs	Participants' satisfaction rate
Output 1: Wastewater management and pollution control in the Sayu River Basin strengthened	Environmental protection and environmental education	1	7	Township government	147	76	51.70%	32	21.77%	2	1.36%	100
Output 4: Education, capacity, and public awareness for water pollution management strengthened	Water pollution control and water resources protection	1	7	Zhaotong PMO	20	6	30.00%	0	0.00%	1	5.00%	100
	Water pollution control, water environment protection	1	14	The Yudong Reservoir Administration Bureau	4600	2210	48.04%	930	20.22%	35	0.76%	100
For All Outputs: Project Management and Capacity Building	Project management, RP, implementation and monitoring of EMDP, SDAP&GAP	13	23	Zhaotong PMO	251	53	21.12%	0	0.00%	39	15.54%	100
For all Outputs: Comply with labor laws and core labor standards	Knowledge of infectious disease prevention and control	15	7	Constructors	374	123	32.89%	116	31.02%	136	36.36%	100
Total		31	58	0	5392	2468	45.77%	1078	19.99%	213	3.95%	500

Appendix 7 Photos

Environmental protection and environmental education



Water pollution control and water resources protection activities



Implementation and monitoring trainings on social security policies, EMDP, SDAP&GAP



Trainings on knowledge of infectious disease prevention and control and publicity of EM customs



Women employed during the project construction

