**Environmental and Social Management Plan (ESMP)**

**C-PAR1**

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# Introduction

This ESMP has been developed in conjunction with the Environmental and Social Impact Assessment (ESIA) report for C-PAR1. In accordance with international best practice and UNDP requirements, this ESMP seeks to:

* + - * Identify and summarize all anticipated significant adverse social and environmental impacts;
			* Describe – with technical details – each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate;
			* Estimate any potential social and environmental impacts of these measures and any residual impacts following mitigation; and
			* Take into account, and be consistent with, other required mitigation and project management plans.

# Potential Adverse Environmental and Social Impacts

The environmental and social risks/impacts associated with the C-PAR1 project have been identified and assessed through two main exercises, i.e. the project’s Social and Environmental Screening procedure (SESP) and the ESIA process. The ESIA used a combination of the following methods: (1) community interviews, (2) household questionnaires, and (3) stakeholder seminars/consultations.

The ESIA identified and assessed a variety of risks relating (both directly and indirectly) to the project activities of C-PAR1. A summary overview of these risks is presented in Table 1 below.

**Table 1: Risk Overview**

|  |  |
| --- | --- |
| Risk/ Potential Impact  | Impact/Risk level  |
| 1. Increases in the occurrence of human -wildlife conflict
 | *Likelihood- Highly likely* *Impact consequence level- Moderate* Overall- **Moderate**  |
| 1. Issues relating to land tenure systems and traditional use of land within the NP sites
 | *Likelihood- Slight**Impact/Consequence – Moderate*Overall – **Low**  |
| 1. Voluntary physical resettlement may take place. Under the auspices of C-PAR1, any such resettlement/relocation will be voluntary, based on the principles of ‘willing buyer- willing seller’. Potential for legacy resettlement issues (i.e. particularly Three-River Source Phase 1 and 2 which were precursors to the C-PAR1 program) to arise.
 | *Likelihood- Moderately likely* *Impact/consequence level- severe* Overall- **High**  |
| 1. Economic displacement and access restrictions could occur in certain core conservation areas of the relevant three NP sites (no new restrictions are being proposed based on C-PAR1’ s interventions, the restrictions pre-date the C-PAR1 project). Nonetheless this risk has been assessed in accordance with international best practice and assigned a significance of high based on the potential for legacy economic displacement issues (pre-dating C-PAR1) to arise.
 | *Likelihood- Moderately likely* *Impact/consequence level- severe* Overall- **High**  |
| 1. Traditional livelihoods (animal husbandry and subsistence farming) may be impacted as project-affected peoples shift their livelihoods to meet the new opportunities presented by the establishment of the NPs.
 | The likelihood of impacts to livelihoods within the demonstration sites of C-PAR1 activities has been categorised as ‘*Highly likely’*, with the impact/consequence level being assessed as ‘*Moderate’*. As a result, the overall significance of the potential impact is considered to be **moderate** |
| 1. With the further strengthening of controls on human activities and the conversion/uptake of herders/pastoralists to other occupations, traditional cultural heritage and practices may be weakened or even lost.
 | The likelihood of impacts to cultural heritage within the demonstration sites of C-PAR1 activities has been categorised as ‘*Highly likely’*, with the impact/consequence level being assessed as ‘*Moderate’*. As a result, the overall significance of the potential impact is considered to be **moderate**. |
| 1. Patriarchal traditional structure of decision -making processes within many ‘ethnic minority’ populations (i.e. within the scope of C-PAR1 demonstration sites) might result in the exclusion of women from decision making and benefit sharing opportunities within the project architecture
 | The potential for gender discrimination amongst project affected peoples is limited. Female residents have been actively engaged in alternative livelihood trainings/workshops previously. In addition, female respondents (via both consultations and through the household survey), indicated that gender discrimination was not an issue of concern. The overall consequence level of gender-discrimination related risks has been categorized as ‘**low’.** |
| 1. Several of the intervention sites for C-PAR1 project activities are in areas of critical habitat/high conservation value areas. Poorly designed or executed project activities, could unintentionally damage critical or sensitive habitats and ecosystems
 | The likelihood of this impact occurring has been assessed as ‘Not likely’, with the consequence level been categorized as ‘moderate’. The overall significance level of these impacts to biodiversity/critical habitats is therefore categorized as ‘**moderate.’**  |
| 1. Climate change has the potential to impact the NP system in China, e.g., through habitat loss because of prolonged droughts or from floods
 | The likelihood of this impact occurring has been assessed as ‘Not likely’, with the consequence level been categorized as ‘moderate’. The overall significance level of these potential climate change related impacts is therefore categorized as ‘**moderate.’** |
| 1. The ecological restoration and conservation infrastructure construction activities in the relevant NPs (which are not directly funded by the UNDP/GEF C-PAR1 project but are nonetheless included within the scope of the ESIA as an associated facility) will have a minor, short-term negative impact on the ecological environment. Dust and emissions generated during the construction process will pollute the atmosphere, noise will affect the habitat of wildlife, and improper disposal of sewage and waste will pollute the surrounding soil, water bodies and atmosphere
 | The overall risk/impact for pollution has been assessed as having a likelihood rating of ‘slight’, and a consequence level of moderate. As such, the overall impact/risk rating for pollution-related impacts has been assessed as **low** |

## 2.1 Adverse Social Impacts

The most significant negative social impact on herders was identified as being HWC, mainly involving wolves, brown bears, wild boar and other wild animals destroying agricultural and forestry crops, attacking livestock and damaging houses. Before the establishment of NP, the HWCs have already been a recognisable issue. There is some risk that the occurrence of HWCs becomes more prominent as the establishment of NP has increased the number of wild animals.

 Secondly, the income and traditional livelihood of local residents (including ethnic minorities) may be negatively affected by transitions in the use and economic opportunities associated with the NP sites, especially for those households who are not living inside the PAs before the establishment of NP. For those households who are used to living inside the PAs, the establishment of NP will not increase significantly increase current restrictions.

With the further strengthening of controls on human activities and the conversion of herders to other occupations, traditional cultural resources may be weakened or even lost. In addition, in the patriarchal culture of Tibetan and other ethnic minority communities, there are differences and biases between men and women. The patriarchal nature of some of these societies may result in the perpetuation of discrimination and unequal access to sharing of benefits from the project.

## 2.2 Adverse Environmental Impacts

Several environmental impacts that have the potential to eventuate as a result of C-PAR1 activities have been identified. The adverse environmental impacts mainly arise from the possible rapid development of ecotourism, such as the increased number of tourists and tourism infrastructure. Before the establishment of NP, ecotourism was already practiced in the area and was under strict control. The NP will further attract more visitors and may increase the scale of ecotourism. Firstly, increases in the number of visitors to the NP sites may lead to adverse environmental impacts by increasing human-pressure on the receptor environment, including: (i) The behavior/activities of tourists resulting in indirect or direct interference to plants and animals and their habitats; (ii) Ecological experience projects will increase local consumption of resources such as water, electricity and heating; and (iii) There is some risk of increased threats posed by invasive alien species facilitated by NP visitors. The construction of necessary ecological protection and control infrastructure in NPs may cause new landscape damage/short-term environmental pollution through small-scale civil/construction works.

The C-PAR1 project activities may also be impacted by climate change. Climate change-related impacts for the C-PAR1 project are reflected in three aspects: (i) Climate change leading to changes in crop growth period and planting structure (i.e. affecting local communities who rely on animal husbandry and small-scale subsistence agriculture for their livelihoods); (ii) Climate change may aggravate the trend of grassland degradation (i.e., the quantity and quality of grass may decrease across key areas of some of the Par1 NP sites); and (iii) Climate change could lead to increased instances in natural disasters (i.e. wildfires, flooding etc.).

Finally, pollution and waste discharge could increase due to human pressures on the NP sites. The discharge of such pollution could be caused by the following behaviors: (i) Ecotourism and ecological experience activities without strict pollution/waste management practices in place; and (ii) Waste/pollution being released during the construction of ecological restoration and conservation infrastructure.

# Mitigation and Management Measures

## 3.1 Mitigation

Considering the risks identified above, different mitigation measures are proposed in order to minimize, mitigate, and manage any adverse project-related environmental and social risks respectively.

A suite of mitigation and management measures has been presented based on thorough assessment of all project-related activities (as outlined in the ESIA for CPAR 1). It should be noted however, that given the triggering of UNDP SES 6, a **project specific Indigenous Peoples Plan (IPP) is required to be developed**. The IPP is freestanding of this ESMP, but neither is mutually exclusive for the continued compliance of CPAR1 with UNDP requirements.

### 3.1.1 Social Mitigation and Management Measures

**Mitigation Measure 1: Strengthen the Management of Human-Wildlife Conflict**

Background:

In order to alleviate the impacts of HWC, the three-river source region explored the establishment of a mechanism to prevent and compensate individuals for conflicts between humans and animals. For example, a pilot project to deal with the conflict between human and animal was launched in Moqu Village, Suojia Township, Zhiduo County, Qinghai Province, and protective measures were taken against the threat of herdsmen being attacked by bears.

In 2012, Qinghai Forestry Department began to implement compensation measures for personal and property losses of farmers and herdsmen caused by terrestrial wild animals. In 2013, the pilot work was carried out with the support of the State Forestry Administration. Ex-post economic compensation will help reduce the economic losses caused by wild animals, but other supporting work is needed to alleviate the conflicts between man and animals (such as strengthening grazing management, publicity and education and wildlife management.)

Mitigation:

The protection of endangered species, especially those in the IUCN register, should be emphasized in the construction and management of NPs. Wildlife damage insurance can be taken to alleviate human-wildlife conflict. For example, after the establishment of the Three-River Source NP, all employees have been provided with insurance and almost all the livestock are under insurance. Affected herdsmen will be compensated if their livestock are killed by wild animals. However, wildlife damage insurance is not without its issues. For example, wild animals are likely to eat the whole body of livestock or drag it away, while the picture of the label on the nail in the ear of the livestock as well as the pictures taken from four parts of the body are needed when the herdsman apply for the insurance compensation, which may lead to a failure in insurance claim.

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| --- | --- | --- | --- |
| Issue  | Mitigation/Control activity  | Monitoring (indicators and reporting)  | Responsible Party  |
| Damage caused (economic as well as health and safety) from Human-wildlife conflict  | Establishment and provision of effective wildlife damage insurance for project affected peoples  | % of local peoples insuredAnnual reporting to UNDP  | The central government.Local government. |
|  | Workshops/awareness raising activities for prevention of HWC  | Number of workshops providedNumber of participants (sex disaggregated) | Local forestry and grassland administration,National park administration |

**Mitigation Measure 2: Improve livelihoods of local project-affected peoples**

Background:

Indigenous people are the main participants in the construction and management of PAs or national parks and their interests are often affected by protection measures. The interests of the indigenous people include obtaining economic sources to improve the income level, obtaining public environment and public services, and continuing the traditional ethnic culture. Among them, the core needs to pay attention to is the livelihood issue. Community herdsmen in China's PAs have two main sources of livelihood: animal husbandry and state subsidies. However, with the implementation of policies such as reducing the number of livestock raising, national subsidies have become the main source of income for herdsmen, including income of ecological protection personnel of NPs and grassland compensation. Three-river source NP has established a livelihood program by supporting each household in the area with one post of ecological rangers, each of whom receives a monthly subsidy of 1,800 yuan. There are three kinds of ecological rangers in Xianju NP, whose wages are 3,000 yuan/month, 2,000 yuan/month, and 100 yuan/day respectively.

Mitigation:

Concerning alternative livelihoods, the C-PAR1 project must try to maintain the long-term effectiveness of the grassland compensation program, as well as undertaking livelihood training for community residents, (i.e., such as vocational skills training and language training). Projects should attract external investment, strengthen internal cooperation and other ways to develop new and characteristic projects that can stimulate the participation of indigenous people. Training related to future livelihoods, such as vocational skills training and language training, is critical. In doing so, the C-PAR1 project will seek to avoid the high dependence of community residents on state subsidies and strengthen their ability to cope with future risks through providing access to alternative incomes streams that build off their unique skillsets and knowledge of the NP sites. For example, three-river source NP has carried out "hand-weaving" alternative livelihood training in Hongqi Village, with 30 participants, 100% of whom were women. Xianju NP has conducted farmhouse tourism training, environmental education training and evening school training. The Nature Reserve Administration and the local governments should provide systematic livelihood training based on the person's own interests and strengths (as well as the advantages and opportunities of the economic development of that location). Livelihood support activities such as skills training, employment guidance, and labor law training should be provided. In addition, livelihood training should meet local needs, with content catered to the context of the area that is being targeted, and with teaching provided in a locally accessible language/dialect.

Indigenous people should play an important role in the construction and management decisions of PAs and national parks. The management of national parks should fully recognize the roles and functions of indigenous people. Local stakeholders and community members should be consulted throughout the implementation and monitoring of the project to ensure that stakeholders are kept informed of the project, progress and any changes, as well as problems identified. When necessary, the relevant rights and interests of the original residents shall be protected by legislation.

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| --- | --- | --- | --- |
| Issue  | Mitigation/Control activity  | Monitoring (indicators and reporting)  | Responsible Party  |
| Possible impacts to Indigenous Peoples/ethnic minorities within the project’s sphere of influence  | Development of project specific Indigenous Peoples Plan (IPP)  | To be outlined in IPP  | UNDP  |
| Impact to traditional sources of livelihood of project-affected peoples  | Develop new production projects suitable for indigenous people and environmentally friendly to attract external investment. Delivery of systematic livelihood training in all NP sites  | Number of livelihood trainings/workshopsNumber of participants for livelihood trainings/workshops (sex disaggregated) New income streams attained by local peoples  | National park administration and C-PAR Project management office |
|  | Provision of ecotourism and park ranger positions to ethnic minorities/marginalized & vulnerable groups  | Number of park rangers employed across C-PAR1 demonstration sitesEcotourism positions developed for local peoples/ethnic minorities | National park administration |
| The power expression of indigenous people in the construction and management of national parks | Involve indigenous people in the decision-making process of conservation management.To establish a system of joint management by administrative organs, indigenous people and third-party professional institutions. | The number of times that native residents participated in public hearings on national park construction projects.Establish channels for feedback from indigenous people. | National park administration |
| Negative perception and/or social tension related to the change of land use | Carry out community consultation on the purpose and benefits of making changes to land use.Get community buy-in on changes of land use | Documentation of all consultations undertaken Meeting minutes of consultationsWritten consent of local communities for land use changes to their traditional lands/resources  | National park administration and local government counterparts |

**Mitigation Measure 3: Strengthen the Protection and Conservation of Cultural Heritage**

Background:

With the further strengthening of controls on human activities and the conversion/uptake of herders/pastoralists to other occupations, traditional cultural heritage/practices may be weakened or even lost.

Mitigation:

In order to strengthen the protection and conservation of cultural heritage, it is necessary to carry out a base inventory of cultural heritage resources. Through cooperation with competent cultural heritage authorities, the C-PAR1 Project should seek to carry out a comprehensive cultural heritage survey and establish a cultural heritage archive and database. At the same time, the establishment of a list of intangible cultural heritage characteristics/practices, especially the endangered cultural heritage of ethnic minorities should be included in the protection list as soon as possible.

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| --- | --- | --- | --- |
| Issue  | Mitigation/Control activity  | Monitoring (indicators and reporting)  | Responsible Party  |
| With restrictions being put in place (i.e. to conserve the biodiversity/ecological environment), and with new livelihood opportunities opening up for local peoples, traditional cultural heritage may be impacted | Conduct of a base inventory of cultural heritage resources in the three NP sites Establishment of a comprehensive cultural heritage archive/database  | Cultural heritage survey undertaken (through robust consultation/ stakeholder engagement) CH database (for all three NPs within C-PAR1’s scope) established Inclusion of cultural heritage protection/conservation (including intangible) within future planning frameworks/policy decisions for NP administration  | National Park administration and local cultural heritage administration |

**Mitigation Measure 4: Enhance Gender Mainstreaming**

Background:

Gender equality and mainstreaming should be cross-cutting throughout the C-PAR1 project. As such, the promotion of equal participation and benefit sharing of men and women in the community, management of PAs, policy making and other levels is crucial.

Mitigation:

Within C-PAR1 activities, the implementation of gender mainstreaming needs to follow the following principles/activities:

1. Ask men and women equally about the needs and requirements of project intervention.
2. Gender-sensitive complaint and grievance mechanisms are put in place and proactively managed
3. Advocate equal participation of men and women in project activities.
4. When formulating strategies and plans, every effort should be made to consult the same proportion of men and women.
5. Organize gender equality training.
6. Ensure equal pay for men and women.
7. Half of the direct beneficiaries of the project should be women.

Gender equality and mainstreaming should be cross-cutting throughout C-PAR1. During project implementation, the project team must pay attention to the concerns of minority women, actively encourage their participation in management/decision-making processes and provide them with fair and equal livelihood/educational opportunities.

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| --- | --- | --- | --- |
| Issue  | Mitigation/Control activity  | Monitoring (indicators and reporting)  | Responsible Party  |
| Gender biases and discriminatory beliefs held by patriarchal societies (i.e. off local ethnic minorities) may be perpetuated by the project if not adequately addressed.  | Organisation and development of gender equality training amongst key project staff and park administration Promotion of equal pay amongst male and female project staff and beneficiaries Ensuring compliance with project’s gender sensitive GRM Gender balanced consultation  |  # of gender equality trainings undertakenPay distribution (gender disaggregated) # of women in management positions (i.e., both project staff and park administration) % of direct beneficiaries that are male and female# female focused workshops/consultations  | C-PAR project management office |

### 3.1.2 Environmental Mitigation and Management Measures

**Mitigation Measure 5: Control the Scale of Ecotourism**

Background:

With the implementation of C-PAR1 activities, and the further development and implementation of a National Park system in China, visitor numbers to the C-PAR1 project demonstration sites (i.e., the three NPs) will likely increase. This may also result in increased human-induced pressure to the receptor environment.

Mitigation:

NPs need to design ecotourism and ecological experience routes according to the concept of environmental sustainability, the precautionary principle, circular economy and low carbon footprint. NPs also need to reasonably determine the number of visitors to ensure minimal environmental impact from visitors. Relying on the supporting service area outside the park, the eco-tourism and eco-experience reception areas will be built. In addition, it is necessary to strengthen the respect for local customs and environmental protection measures that should be observed when entering NPs. The NP management teams should carry out publicity and awareness raising campaigns on ecological protection laws and regulations, NP construction policies, and visitor behavior norms so that local residents and visitors can understand the relevant requirements.

|  |  |  |  |
| --- | --- | --- | --- |
| Issue  | Mitigation/Control activity  | Monitoring (indicators and reporting)  | Responsible Party  |
| Visitor numbers to the C-PAR1 project demonstration sites (i.e., the three NPs) will likely increase. This will also result in increased human-induced pressure to the receptor biophysical environment.  |  Carefully monitor visitor numbers to each respective NP site Ensure all visitors are made aware of permitted behaviours/actions within the NP sitesRun awareness raising campaign on importance of adhering to rules and regulations for visitors of the NPs  | # of visitors to each NP site (monthly) Monitor and document any changes/impacts to the receptor environment, with particular attention during “high visitor season”. | National park administration  |

**Mitigation Measure 6: Systematically Include Climate Change Impact Planning in Decision-Making**

Background and mitigation:

The government and respective project implementing entities should integrate climate adaptation and mitigation considerations throughout the scope of C-PAR1 activities. It should actively participate in the formulation of countermeasures and policies related to responding and adapting to global climate change and carry out research and practice on the relationship between climate change and ecosystem health, specifically in the areas of the three NPs. In addition, NP management should: (i) further strengthen the construction of a climate change monitoring system, and (ii) improve forecasting and early warning capabilities.

|  |  |  |  |
| --- | --- | --- | --- |
| Issue  | Mitigation/Control activity  | Monitoring (indicators and reporting)  | Responsible Party  |
| Climate change has the potential to impact the NP system in China, e.g., through habitat loss because of prolonged droughts or from floods | Conduct and fund research on the relationship between climate change and ecosystem health within the regional scope of the three NPsInclusion of climate change and disaster risk reduction within all policy/project planning processesDevelop/build a climate monitoring system for each of the project’s NP demonstration sitesActively work on improving the forecasting and early warning systems  | # of research papers/studies on the topic of climate change impact and ecosystem health (focused on the project area of C-PAR1) Policy/planning documents which include explicit references and considerations for climate change/disaster risk reduction | National Park administration |

**Mitigation Measure 7: Management of Air Quality, Noise and Vibration and Traffic-Related Issues Associated With NP Infrastructure Development**

Background:

In the NPs construction phase, some ecological restoration and conservation infrastructure construction activities (which are not directly funded by the UNDP/GEF C-PAR1 project but are nonetheless included within the scope of the national parks as an associated facility) may have a minor, short-term negative impact on the ecological environment. Especially the dust and emissions generated during the construction process could pollute the atmosphere, noise could affect wildlife habitats, and improper disposal of sewage and waste could pollute the surrounding soil, water bodies and atmosphere. In the NPs operation phase, tourists, vehicles and production and household garbage may also cause noise disturbance and air and water pollution.

Mitigation/Management:

The following performance criteria are set for the construction elements of the associated facilities within the three NP sites:

1. Release of dust/particle matter must not cause an environmental nuisance;
2. Measures to assist in minimising the air quality impacts associated with construction and operation activities must be undertaken at all times;
3. undertake measures at all times to assist in minimizing the noise associated with construction activities;
4. No damage must be caused to off-site property by vibration from construction and operation activities;
5. The goal is that no complaints are received regarding construction traffic;
6. Corrective action to respond to complaints and/or grievances is to occur within 48 hours.

|  |  |  |  |
| --- | --- | --- | --- |
| Issue  | Mitigation/Control activity  | Monitoring (indicators and reporting)  | Responsible Party  |
| Increase in dust levels in sensitive areas of the NPs due to C-PAR1 associated facility infrastructure construction  | Implement effective dust management measures in all areas during design, construction and operation. Special attention to providing shields which will prevent dust and other airborne particles from escaping from the building site | Daily monitoring of construction-related dust and particulate matter. UNDP/C-PAR1 project staff may be required to undertake routine site inspections.  | Contractor  |
| Increased noise and vibration from construction (of associated facilities in the three NPs) affecting wildlife and/or communities  | Select plant and equipment and specific design work practices to ensure that noise emissions are minimized during construction and operation. | Routine site visits by C-PAR1 project management/staff. All incidents, complaints and noncompliance related to noise shall be reported in accordance with the site incident reporting procedures | Contractor |
|  | Consultation with the local communities concerning measures to minimise adverse environmental and social impacts due to project and construction-related traffic.  | Documentation and meeting minutes from local consultation on impact of construction-related traffic Record of any traffic and construction relate grievances  | Contractor/ project management  |
|  | Ensure project vehicles are properly serviced and maintained especially with regard to noise and engine emissions. | Maintain vehicle service & inspection records  | Contractor  |

# Monitoring

The progress of ESMP implementation will be evaluated every year, with subsequent updates being attributed to the ESMP if deemed necessary. Records of all consultations are to be kept and reported on a monthly basis. Any reports of non-compliance (i.e., with either host country law or UNDP SES requirements) must be recorded and reported within a week of the complaint. The UNDP must be notified in the event of any individual or community complaint or dissatisfaction and ensure the Grievance Redress Mechanism is complied with.

The Project Manager is responsible for day‐to‐day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project staff maintain a high level of transparency, responsibility, and accountability in terms of Safeguards compliance[[1]](#footnote-1) and M&E / reporting of project results. The Project Manager will develop annual work plans based on the multi‐year work plan, including annual output targets to support the efficient implementation of the project. The Project Manager will ensure that the standards of UNDP and GEF are met and complied with at all times. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence‐based reporting in the GEF PIR, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g., ESMP, gender action plan, stakeholder engagement plan, etc.) occur on a regular basis. The UNDP Country Office will support the Project Manager as needed.

The Project Steering Committee (PSC) will take corrective action as needed to ensure the project achieves the desired results. The PSC will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project’s final year, the PSC will hold an end‐of‐project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

The Implementing Partner is responsible for providing all required information and data necessary for timely, comprehensive and evidence‐based project reporting, including grievances, results and financial data, as necessary. Specifically, C-PAR1 plays a central role in attracting the participation of local people and promoting local economic and sector development. They are vital in developing alternative livelihoods for local people and thus are potential partners for demonstration. The project office will be responsible for monitoring the environmental and social management plan and reporting its implementation to UNDP CO on a quarterly basis. The three NP sites are responsible for assisting C-PAR1 to carry out project activities and implement co-financed activities. UNDP will be the Senior Supplier on the Project and Program Steering Committees. The UNDP Country Office will provide administrative and strategic guidance to the project, and support procurement processes, including for international sourced goods and services. The UNDP‐GEF Regional Technical Advisor based at the Regional Hub for Asia and the Pacific will provide strategic technical assistance and project assurance. UNDP is also one of the co-financing partners on the project.

The overarching C-PAR1 ESMP Monitoring and Implementation table is presented below.

**Table 2: Overarching Monitoring and Implementation Plan**

| **Monitoring activities and related projects** | **Description** | **Time period** | **Supervise by** | **Budget****(RMB)** |
| --- | --- | --- | --- | --- |
| Track the progress of the environmental and social management plan | * Coordinate the implementation of the environmental and social management plan in each of the pilot areas
 | Every year | Project management office | 20,000 yuan;travel fee to and from the pilot protected area |
| Environmental and social mitigation measures | * Incorporate environmental and social mitigation measures into project design
* Include environmental and social mitigation measures in bidding documents and construction contracts
* Develop policy that seeks to include considerations of mitigating potential adverse environmental impacts
* Make policy to mitigate the negative influence to vulnerable groups in particular
* Make policy to enhance the mutual adaptability between the project and the local community
 | Long-term | Project management office and pilot protectedarea | Permanent and participatory implementation and monitoring of impacts and mitigation measures |
| Learning | * Regularly collect knowledge, good practices and lessons learned from social and environmental risk management and actively absorb experiences from other projects and partnerships and incorporate them into project activity planning.
 | Every year | Project management office and local project coordinator | 10,000 yuan;expenses for venue rental and layout |
| Annual management plan evaluation report | * A copy of the annual overarching project evaluation report must be provided to the project steering

committee and key stakeholders. The report will include analysis, updates and recommendations for risk management. | Every year | C-PAR1 International, national and socialassessment specialist | N/A |
| Project review | * The project steering committee will review the most updated risk analysis and the recommendations regarding risk mitigation measures.
 | Every year | Project management office and project steering committee | N/A |
| Cultural heritage protection | * Protection of cultural heritage building strictly following the requirements of *Cultural Heritage Protection Law*;
* Regulate commercial activities of shops, develop and implement *Roadside Store Restoration and Adjustment Plan* and *Guidelines of Store Advertising Signs* etc. to maintain historical style of the street
* Carry out heritage protection training on local residents and tourists
 | Every year | Project management office and pilot protectedarea | 5,000 yuan;heritage protection training expense |
| Vulnerable groups | * Provide employment opportunities for vulnerable groups
* Make special provisions to help women, elders, and other vulnerable groups
 | Every year | Project management office and pilot protectedarea |  |
| Public consultation | * Establish and maintain a public consultation mechanism, with staff assigned to receive public complaints and opinions to secure the rights of project affected people.
 | Every year | Project management office and pilot protectedarea | N/A |

# Capacity Development and Training

## 5.1 Experts/Specialists

Environmental and Social Experts (Specialists) will be hired in the C-PAR1 project, including international, domestic, and local experts. These experts will facilitate the design and implementation of mitigation measures and monitoring done by local government and relevant agencies (including livelihood training, the protection and conservation of cultural heritage, gender mainstreaming, voluntary ecological migration, eco-tourism and ecological experience, climate change adaptation as well as environmental education and monitoring on a day-to-day basis).

## 5.2 Project Management Office (PMO)

The PMO is responsible for providing timely feedback on the reports submitted and on the questions proposed by the local agencies and implementing partners during the implementation of C-PAR1 activities. In this way, the PMO will supervise and manage the implementation of projects as well as mitigation and monitoring measures during project implementation.

## 5.3 Project Steering Committee (PSC)

The PSC of each NP will participate in the Safeguards-related training session provided by experts on different mitigation and monitoring measures. The PSC is also responsible for reporting the implementation progress on a yearly basis, reporting questions in a timely manner, supporting the provision of follow-up training, technical assistance and adjustment to work plans. For measures that include trainings for local government or local communities, like HWC insurance, livelihood training, eco-tourism, and environmental education, the PSC also needs to organize or assist the experts in organizing trainings.

## 5.4 Project Pilot Area

The local government or agency of each project pilot area is responsible for the implementation of activities, especially those closely related to local communities like the promotion of HWC insurance, the inclusion of vulnerable communities and public consultation. The local government or agency also needs to provide information needed in reports and organize the trainings targeted to local communities and local government, to improve the sustainability of the NP system.

# Stakeholders

## 6.1 Introduction

Stakeholders are persons, groups, or institutions with an interest in the project or the ability to influence the project outcomes, either positively or negatively. Stakeholders may be directly or indirectly affected by the project. The potential impacts of this project are mainly related to the residents in and around the national park’s area. Section 7.5 will describe in detail the composition of stakeholders of the project.

The implementation of this project must consider all relevant stakeholders in order to appropriately minimize and compensate for any adverse impacts that may derive from the project activities. Producing and implementing a Stakeholder Engagement Plan, conducting full consultation and exchange, and making information accessible to the public are all important measures to ensure full stakeholder participation.

Livelihood shifts (moving away from traditional animal husbandry and subsistence farming) have the potential to exacerbate local poverty and inequality. Potential changes in lifestyle may affect the cultural heritage of ethnic minorities, such as nomadic culture and minority languages.

As a result of ecological improvement, wolves, brown bears, snow leopards and other animals may interact with human settlements more frequently, attacking livestock, destroying houses, and attacking human beings.

In addition, national park management agencies at all levels, local governments and project organizations are also important stakeholders. These risks are outlined in further detail in the Chapter 5 of the ESIA for this project (as well as Chapter 2 of this ESMP).

## 6.2 Regulations, Requirements, and Compliance

This section outlines legislation, regulations, and standards relevant to stakeholder engagement and information disclosure to which this project must adhere.

### 6.2.1 China's Domestic Laws and Regulations

Many laws, administrative regulations, departmental rules and planning outlines in China require public participation and information disclosure Chapter 5 of **the Environmental Protection Law of the people's Republic of China** (revised in 2015) specifically stipulates “information disclosure and public participation”, endows “citizens, legal persons and other organizations with the right to obtain environmental information, participate in and supervise environmental protection according to law”, and requires that “…environmental information should be made public in accordance with the law, and public participation procedures should be improved to facilitate citizens, legal persons and other organizations to participate in and supervise environmental protection.”

Article 5 of **the Environmental Impact Assessment Law** (revised in 2018) stipulates that "the State encourages relevant units, experts and the public to participate in environmental impact assessment in an appropriate way". The measures for public participation in environmental impact assessment were deliberated and adopted at the ministerial meeting of the Ministry of ecological environment on April 16, 2018 and will be implemented as of January 1, 2019. "The measures are applicable to industries, agriculture, animal husbandry, forestry, energy, water conservancy, transportation, urban construction, tourism, tourism and other industries that may cause adverse environmental impacts and directly involve public environmental rights and interests Public participation in environmental impact assessment of special plans related to natural resources development, and public participation in environmental impact assessment of construction projects that should prepare environmental impact reports according to law".

Article 5 of Law of the People's Republic of China on the Prevention and Control of Atmospheric Pollution（revised in 2018）stipulates that "the competent ecological and environmental departments of the people's governments at or above the county level shall exercise unified supervision and administration over the prevention and control of air pollution". "Other relevant departments of the people's governments at or above the county level shall, within the scope of their respective functions and duties, exercise supervision and administration over the prevention and control of air pollution".

Article 22 of Law of the People's Republic of China on the Prevention and Control of Noise Pollution（2022）stipulates that " The emission of noise and the generation of vibration shall conform to the noise emission standards, the relevant environmental vibration control standards and the requirements of relevant laws, regulations and rules". Article 42 stipulates that "For construction operations in areas where noise sensitive buildings are concentrated, the construction unit shall, in accordance with state regulations, set up an automatic noise monitoring system, network with the supervision and administration department, keep the original monitoring records, and be responsible for the authenticity and accuracy of the monitoring data".

Article 74 of Law of the People's Republic of China on the Prevention and Control of Water Pollution stipulates that "people's governments at or above the county level may delimit protection zones for water bodies in scenic spots, important fishery water bodies and other water bodies of special economic and cultural value, and take measures to ensure that the water quality in the protection zones meets the water environmental quality standards for specified purposes".

Article 10 of **the law of the people's Republic of China on regional ethnic autonomy** (revised in 2001) stipulates that "the organs of self-government in ethnic autonomous areas guarantee that all ethnic groups in the area have the freedom to use and develop their own spoken and written languages, and the freedom to maintain or reform their own customs and habits”. Article 27 stipulates that "the organs of self-government of national autonomous areas shall, in accordance with the provisions of the law, determine the ownership and use right of grasslands and forests in their respective areas. The organs of self-government of national autonomous areas protect and build grasslands and forests, organize and encourage tree and grass planting. Destruction of grasslands and forests by any organization or individual by any means is prohibited. It is strictly forbidden to destroy grassland and forest to reclaim cultivated land, Article 48 stipulates that "the organs of self-government of national autonomous areas guarantee that all ethnic groups in the area enjoy equal rights".

The State Council implemented several provisions of **the law of the people's Republic of China on regional ethnic autonomy (2005)**, which required "to speed up the establishment of ecological compensation mechanism. According to the principle of developer's payment, beneficiary's compensation and saboteur's compensation, from the national, regional and industrial levels, through financial transfer payment, project support and other measures, Reasonable compensation shall be given to the ethnic autonomous areas that have made contributions to the protection of the ecological environment, such as the protection of wild animals and plants and the construction of nature reserves. ".

**The regulations of the people's Republic of China on the disclosure of government information** (revised in 2019) clearly stipulates that "people's governments at all levels shall strengthen the organization and leadership of the work of government information disclosure" and "administrative organs shall disclose government information timely and accurately. If an administrative organ finds any false or incomplete information that affects or may affect social stability or disrupt social and economic management order, it shall issue accurate government information to clarify it. "For government information that involves the adjustment of public interests, needs to be widely known by the public or needs public participation in decision-making, the administrative organ shall take the initiative to make it public".

Article 6 of **the Interim Regulations on major administrative decision-making procedures**, which came into effect on September 1, 2019, stipulates that "major administrative decisions shall be made in accordance with the principle of democratic decision-making, fully listen to the opinions of all parties, and ensure the people's participation in decision-making through various channels and forms".

Article 9 of Law of the People's Republic of China on the Protection of Cultural Relics (revised in 2017) stipulates that "Capital construction and tourism development must abide by the guidelines for the protection of cultural relics, and their activities shall not cause damage to cultural relics". Article 12 of Intangible cultural heritage law of the People's Republic of China (2011) stipulates that "the State adopts measures such as identification, recording and filing to preserve intangible cultural heritage, and adopts measures such as inheritance and dissemination to protect intangible cultural heritage that embodies the excellent traditional culture of the Chinese nation and has historical, literary, artistic and scientific values".

Article 88 of Law of the People's Republic of China on Employment Contracts (revised in 2012) stipulates that Where an employing unit is under any of the following circumstances, it shall be subject to administrative punishment according to law; If the case constitutes a crime, criminal responsibility shall be investigated according to law: (1) Forced labor by means of violence, threat or illegal restriction of personal freedom; (2) Commanding in violation of regulations or forcing risky operations to endanger the personal safety of workers; (3) Insulting, corporal punishment, beating, illegally searching or detaining workers; (4) Those who cause damage to labourers shall be liable for compensation: poor working conditions, serious environmental pollution, and serious damage to the physical and mental health of labourers.

### 6.2.2 International Treaties signed by China

There are also relevant provisions in the international treaties signed by China. The Convention for the protection of the world cultural and natural heritage of 1972 "Article 27: (1) states parties to this Convention shall, through all appropriate means, especially education and publicity programs, strive to enhance the appreciation and respect of their people for the cultural and natural heritage as defined in Articles 1 and 2 of this Convention; (2) States parties shall make the public widely aware of the dangers posed to such heritage and the activities undertaken to implement this Convention. Article 28: States parties receiving international assistance in accordance with this Convention shall take appropriate measures to make people aware of the importance of the property receiving assistance and the role played by international assistance. ".

Article 13 of the 1992 Convention on biological diversity provides for public education and awareness, "States parties shall: (a) promote and encourage understanding of the importance of the protection of biodiversity and the measures required, and promote and include these topics in educational curricula through mass communication tools; (b) develop, as appropriate, educational and public awareness programmes on the protection and sustainable use of biodiversity in cooperation with other countries and international organizations. ". Article 17 provides for information exchange: "1. States parties shall facilitate the exchange of information available to the public on the protection and sustainable use of biodiversity, taking into account the special needs of developing countries. 2. Such exchange of information shall include the exchange of technology, scientific and socio-economic research results, as well as information, expertise, local and traditional knowledge of training and investigation programmes, and, together with the technology referred to in Article 16, paragraph 1. The return of information should also be included where feasible. "

The Beijing Declaration (1995) is committed to protecting the rights of women and children, "ensuring the full implementation of the human rights of women and girls as an inalienable, indispensable and indivisible part of all human rights and fundamental freedoms", "empowering women and their full participation in all areas of society on an equal basis, including participation in decision-making processes and access to power, it is the foundation of equality, development and peace. ".

The United Nations Declaration on the rights of indigenous people (2007) states that indigenous people have equal rights:

Article 3: indigenous people have the right to self-determination. Based on this right, they can freely determine their political status and freely pursue their own economic, social and cultural development.

Article 4: in exercising their right to self-determination, indigenous peoples enjoy autonomy or autonomy in matters relating to their internal and local affairs, as well as in how to raise funds to exercise their functions of autonomy.

Article 5: indigenous people have the right to maintain and strengthen their unique political, legal, economic, social and cultural institutions, while maintaining the right to participate fully in the political, economic, social and cultural life of the country, in accordance with their will.

Article 23 of the Cartagena Protocol on Biosafety to the Convention on biological diversity, which was not ratified in 2000, provides for public awareness and participation:

“1. Parties shall: (a) promote and facilitate public awareness and educational activities and participation in the safe transfer, handling and use of living modified organisms, taking into account the risks to human health, In order to facilitate the protection and sustainable use of biodiversity. Parties shall cooperate with other national and international institutions, as appropriate, in this regard; (b) Strive to ensure that public awareness and education activities include access to information on possible imports of living modified organisms identified in accordance with this protocol. 2. Each party shall, in accordance with its own laws and regulations, consult the public in the decision-making process on living modified organisms and, subject to Article 21 on confidential information, inform the public of the results of such decisions. 3. Each Contracting Party shall strive to make the public aware of the means by which information and information of the biosafety clearing house may be made publicly available.”

### 6.2.3 UNDP’s Social and Environmental Standards (SES)

UNDP’s Social and Environmental Standards (SES) are applied to all UNDP projects. Further details regarding the UNDP’s SES are outlined in Section 2.3 of this ESIA.

**Table 8-1 Key Elements of UNDP’s SES**

|  |  |  |
| --- | --- | --- |
| Overarching Policy | Project-Level Standards | Policy Delivery Process & Accountability  |
| Principle 1: Human RightsPrinciple 2: Gender Equality and Women’s EmpowermentPrinciple 3: Environmental Sustainability | Standard 1: Biodiversity Conservation and Sustainable Natural Resource ManagementStandard 2: Climate Change Mitigation and AdaptationStandard 3: Community Health, Safety and Working ConditionsStandard 4: Cultural HeritageStandard 5: Displacement and ResettlementStandard 6: Indigenous PeoplesStandard 7: Pollution Prevention and Resource Efficiency | Quality AssuranceScreening and CategorizationAssessment and ManagementStakeholder Engagement and Response MechanismAccess to informationMonitoring, Reporting, and Compliance Review |

UNDP puts forward detailed and comprehensive requirements for stakeholder participation and engagement. The project must ensure that stakeholders fully express their opinions and demands and participate in the various processes of the project. Key SES stakeholder engagement requirements are as follows:

1. Ensure meaningful, effective, informed participation of stakeholders in the formulation and implementation of UNDP programs and projects, providing stakeholders opportunities to express their views at all points in the project decision-making process on matters that affect them (SES, Part C, paras. 18, 20).

2. Conduct stakeholder analysis and engagement in a gender-responsive, culturally sensitive, non-discriminatory, and inclusive manner, identifying potentially affected vulnerable and marginalized groups and providing them opportunities to participate (SES, Part C, para. 18).

3. Develop appropriately scaled Stakeholder Engagement Plans, with level and frequency of engagement reflecting the nature of the activity, magnitude of potential risks and adverse impacts, and concerns raised by affected communities (SES, Part C, para. 21).

4. Meaningful, effective and informed consultation processes need to be free of charge and meet specified criteria, including: being free of intimidation and external manipulation; initiated early and iterative; inclusive; gender and age responsive; culturally appropriate and tailored to language preferences; and based on timely disclosure of relevant and accessible information regarding the project and its social and environmental risks and impacts (SES, Part C, para. 20).

5. Include differentiated measures to allow effective participation of disadvantaged or vulnerable groups, including persons with disabilities (SES, Part C, para. 20).

6. Undertake measures to ensure effective stakeholder engagement occurs where conditions for inclusive participation are unfavorable (SES, Part C, para. 18)

7. Document consultations and report them in accessible form to participants and the public (SES, Part C, paras. 20, 28).

8. Ensure early and iterative meaningful stakeholder engagement throughout the assessment and management of potential social and environmental risks and impacts (SES, Part C, para. 16).

9. Ensure that stakeholders who may be adversely affected by the project can communicate concerns and grievances through various entry points, including an effective project-level grievance mechanism, and also UNDP’s Stakeholder Response Mechanism and Social and Environmental Compliance Unit (SES, Part C, paras. 23-26, 37).

10. For projects that affect rights, lands, territories, resources, and traditional livelihoods of indigenous peoples, ensure meaningful consultations and free, prior informed consent (FPIC) (SES, Part C, para. 22; SES, Standard 6, para. 10).

11. For projects that may involve physical or economic displacement, ensure activities are planned and implemented collaboratively with meaningful and informed participation of those affected (SES, Standard 5).

12. Provide ongoing reporting to affected communities and individuals for projects with significant adverse social and environmental impacts (SES, Part C, para. 34).

13. Seek to identify, reduce, and address the risk of retaliation and reprisals against people who may seek information on and participation in project activities, express concerns and/or access project-level grievance redress processes/mechanisms or UNDP’s Stakeholder Response Mechanism or Social and Environmental Compliance Unit (SES, Part C, para. 27).

### 6.2.4 Compliance with Regulations and Requirements

The project needs to meet the requirements of all the above laws and regulations for stakeholder participation, including information disclosure, publicity and education, skill training, establishment of supervision and complaint mechanism, and protection of the rights of women, children and ethnic minorities. Sections 7.3 and 7.4 of the report describes in detail the specific stakeholder participation activities of the project, including the national level and the pilot village level.

Information disclosure and exchange are the basis for stakeholder participation. The project has and will continue to promote the exchange, transmission and sharing of information between the project organizer and all stakeholders through various forms such as questionnaire surveys, household interviews, forums, expert consultations and collective training. The project will also incorporate the views of stakeholders in the whole process as far as possible.

Gender equality is an important goal of the project. The project will promote gender mainstreaming through various channels. This project will analyze the impact of various project activities on gender, actively take measures to eliminate gender barriers, and promote equal participation and benefit of men and women. In community decision-making, it is necessary to ensure that women can express their opinions and demands. More specific considerations for women are described in Section 7.4.

Meaningful consultations and free, prior informed consent (FPIC) for ethnic minority peoples are considered in throughout the project-cycle. Affected ethnic minorities are able to withhold consent and raise grievances through a project-level GRM which is accessible and cultural appropriate to them.

In this project, the pilot villages of Tree-River Resource National Park and Giant Panda National Park involve ethnic minority residents. All activities of the project will put the participation of local ethnic minority residents at the core to ensure that they are aware of and participate in the whole decision-making process. Effective information should be obtained through public opinion survey in advance. In addition, China's law clearly stipulates that ethnic minorities have the freedom to use and develop their own languages, as well as the freedom to maintain or reform their own customs and habits. The project needs to use minority languages to ensure smooth information communication and respect minority customs. This is taken seriously in all stakeholder activities of the project.

In order to ensure the effective supervision, feedback and appeal of stakeholders, the project will institute a project-level of Grievance Redress mechanism (provided in Chapter 8 of this ESMP). The GRM aims to solve problems conveniently, cooperatively, quickly, and effectively through dialogue, joint fact finding, negotiation and problem solving.

## 6.3 Summary of Stakeholder Engagement Activities

### 6.3.1 Stakeholder Involvement in the Risk Assessment

The project has taken a variety of approaches to inform stakeholders and will continue to involve them during project implementation. Opinions and information from stakeholders (mainly residents of pilot villages) are crucial for project evaluation. Stakeholders' experiences with the project activities will provide key information for the further improvement of the project.

The local focal point in charge of the project and the local villagers' committee are responsible for informing the local residents of the specific project-related information. Consultation seminars, questionnaire surveys and household interviews are the main methods to collect the opinions of stakeholders.

**(1) Questionnaire survey**

This project has carried out questionnaire surveys and household interviews in three pilot villages of National Parks. In addition to the basic questions, the questionnaire also sought project-affected peoples’ views of the National Park, the degree of affect to livelihoods, human animal conflict and other issues. The specific data analysis and results are presented in the ESIA report for C-PAR1.

**(2) Interview**

The project has conducted interviews with families and individuals in each of the three pilot villages of Three-River-Resource National Park. The local project focal point visited the families of the pilot villages and randomly selected villagers for in-depth interviews and exchanges. Through the interview, the local focal point can have a long-term in-depth exchange with the villagers to obtain the villagers' views on the construction of the National Park, the implementation of the project activities, and any impacts that local peoples are encountering (either direct or indirect) as a result of the project’s intervention.

### 6.3.2 National level

The public participation and information disclosure actions carried out by the National Park Authority are as follows:

(1) Provide telephone, e-mail and correspondence address on the official website of the National Park Administration to solicit opinions for the formulation of the master plan of the National Park, such as the notice on soliciting opinions for the master plan of the northeast tiger and leopard National Park (Draft) from March 09, 2018 to March 22, and the notice on soliciting public opinions on the master plan of Qilian Mountain National Park (Draft) 2018. Considering the stakeholders who do not use the Internet and telephone, the planning team went to the local areas to hold a forum to collect opinions. During the planning process, the planning team went deep into the National Park to carry out field investigations, conduct in-depth exchanges with the local government and herdsmen, and understand the opinions and demands of stakeholders. Taking the overall planning of Qilian Mountain National Park as an example, during the planning period, the planning team held more than 30 seminars at different levels. The language of communication and planning texts is mainly Chinese, and minority languages are used for communication and consultation in areas with ethnic minorities.

(2) Holding National Park Logo award-winning collection activities: in order to better display the brand connotation of Qilian Mountain National Park, Qilian Mountain National Park Administration has carried out the national Qilian Mountain National Park Logo system award-winning collection activities since November 19, 2018. As of December 31, 2018, a total of 213 pieces (sets) of works have been received from the whole country, including 204 pieces (sets) of online contributions, 9 pieces (sets) were submitted by mail.

(3) On February 10, 2021, the interactive activity of "Choose the National Park in your heart" was held and publicized through the official website of National Park Administration and people's website.

(4) The official website has set up three sections: "interactive message", "online interview" and "online live broadcast", which are used to publicize and disclose the construction of the National Park so as to facilitate the public to express their opinions, obtain information, and knowledge.

Through the "interactive message", the staff of the National Park Service can understand the information needs of visitors, answer their questions through the online message, and provide the information they need. According to the records of the website, five messages about the National Park have been answered in time.

The "live online" section provides visitors with a network entrance to the press conference. For example, at the regular press conference of the fourth quarter of 2019 held on October 10, 2019, the responsible administrative parties of the three national park system pilot areas introduced the relevant situation, the logo of Qilian Mountain National Park was released on October 17, 2019, and the press conference for the opening of the logo of northeast tiger and leopard National Park was held on July 11, 2018.

(5) According to the annual report of the State Forestry and grassland administration on government information disclosure in 2020, 55,553 pieces of government information will be released, including 85 official documents, 273 replies to proposals, and 3,960 administrative licensing results. 14 press conferences were held and broadcasted simultaneously; 91 applications for information disclosure from the public were received, of which 21 were e-mail applications, 84 were completed on time, and 7 were carried forward to the next year according to regulations, covering wildlife protection, nature reserve management, national park construction management, etc.

### 6.3.3 Pilot site level

**(1) Three-river Source National Park**

The following stakeholder participation activities have been carried out in the four pilot villages of GEF Three-River Source National Park project:

**Alternative sustainable livelihoods training**

From October 25 to 31, 2020, the project has carried out "hand weaving" alternative livelihood training in Hongqi village, with 30 participants, 100% of whom were women.

**Environmental education and training**

Three-river Source National Park Administration has entrusted Siyuan education vocational training school of Haixi prefecture to organize environmental education training in Niandu village of Zaduo County, Masai village of Zhiduo County, Hongqi village of Qumalai county and Chaze village of Maduo County in Three-River Source National Park pilot area from August 20 to 31, 2020.

* Time: August 20-31, 2020, 12 days in total
* Venue: Chaze village, management committee of Yellow River Source Park, Niandu village, management committee of Mekong River Source Park, Masai village, Zhiduo Management Office of Yangtze River Source Park, Hongqi village, Qumalai Management Office of Yangtze River Source Park.
* Training contents: environmental education, garbage sorting, ecological resource protection, and environmental monitoring in the pilot area of Three-River Source National Park.
* Training personnel: ecological management and protection personnel (herdsmen) in four demonstration villages (about 100 people), and relevant park management personnel and technical personnel (24 people), a total of 124 people.
* Training methods and schedule: the expert group trained in the pilot villages, each pilot village training for three days (including the distance), a total of 12 days.
* Training expert member: One National Park ecological protection expert; one national park environmental education expert.
* Training requirements: (1) all relevant units should actively organize the ecological management and protection personnel of pilot villages to participate in the training, and all the pilot mobilizers should participate in the whole process; and (2) the training institution is required to carefully prepare the training plan, carry out the training in accordance with the contract, strictly implement the daily attendance system, carefully fill in the training evaluation form after the training, and bind all training materials into volumes, submitting them to the Administration for filing.

**Franchising with participation of enterprises (source area of Mekong River)**

Due to the situation of pandemic prevention and control, the Mekong River Source Management Committee decided to divide the franchise of the pilot area of Niandu village, Angsai Township, Mekong River Source Park in 2020 into two projects, which will be implemented at the end of the year.

**Ecological experience demonstration skills training project in Niandu village, Angsai Township**

The Management Committee of Mekong River Source Park has entrusted Beijing Haidian District Shanshui nature conservation center to be responsible for the training project of ecological experience demonstration skills in Niandu village, Angsai Township, which is a pilot project of UNDP-GEF Three-river Source National Park. The training personnel include 60 ecological public welfare administrators and 21 families of public welfare administrators.

Through this training, herdsmen are more aware of the importance of ecological protection and local residents' sense of responsibility and consciousness of ecological protection is enhanced.

**Ecological experience reception supporting facilities procurement project**

On January 26, 2021, the pilot project of UNDP-GEF Three-river Source National Park purchased ecological experience reception facilities. After the equipment is put into place, it will play an important role in publicizing the concept of National Park protection.

**Study on human animal conflict management**

From mid-October to mid-November 2020, three expert groups completed the study of construction pilot projects in the national park. These groups are: the research group of School of economics and management, Beijing Forestry University; the research group of ecological environmental impact and countermeasures of hydropower and mines in national nature reserves (which is comprised of Chengdu University of science and technology and General Institute of water resources and hydropower); and the by Ziyangtianxia (Beijing) Consulting Co., Ltd.

The staff of GEF project supported the research work and assisted them to complete the research work successfully.

**(2) The Giant Panda National Park**

**Environmental education and training**

In September 2020, the project carried out a questionnaire survey on environmental education and training in the pilot villages of giant panda National Park. A total of 176 people participated in the survey. From September 22 to September 26, 2020, the project trained the villagers in the pilot villages, and organized the villagers to discuss, share and record the environmental education sites and natural resources in groups. The total number of trainees was 344, including 158 males, accounting for 45.93%, and 186 females, accounting for the remaining 54.07%. The project encourages villagers to sign up to join the volunteer teams in environmental education and training. As of December 2020, 155 people from five villages have joined the volunteer guard team. Based on the previous research work, the project compiled environmental education introductory manuals for the pilot villages of Giant Panda National Park. Each village has a corresponding version of the environmental education manual. The total printing volume is 1,500 copies, and each pilot village will print 300 copies for distribution.

**Alternative sustainable livelihoods training**

The project team assessed the livelihood status of the pilot villages through questionnaires and household interviews. In doing so, they were able to collect information for alternative livelihood training content and development strategy planning. The project team also collected data and files from local management units, village branch committees and forestry management departments. The first training ran from September 21 to September 25, 2020. 378 people from five administrative villages were trained. The training team focused on the village resource analysis, community resource map, cooperative cultivation (law, product, market, Finance) and seasonal tourism design.

From November 4 to 8, 2020, the project carried out the second training on sustainable alternative livelihoods in the pilot villages, and the number of direct beneficiaries of this training reached 288. There were 142 males and 146 females. Women accounted for more than half of the participants, which reflected the ability and conditions of women's participation in village governance and ensured women's right to participate.

### 6.3.4 Other Planned Participation Activities

In 2021, the planned stakeholder activities in Niandu village, Angsai Township, Mekong River Source Park pilot area (i.e., of UNDP-GEF Three-river Source National Park) are as follows:

1. Organize the ecological experience households of Niandu village in Angsai township to visit other pilot areas and exchange and study.
2. Organize and carry out training on human animal conflict and other insurance claims, to ensure that local communities understand the procedures, scope and system of insurance claims settlement to reduce their own losses.
3. Publication of a micro documentary on biodiversity which tells the story of species occurring in different ecosystems and shows the rich biodiversity of the ecosystem and the relationship between human and nature.

## 6.4 Stakeholder Engagement Plan

### 6.4.1 Information Disclosure

Information disclosure and exchange are the basis for stakeholder participation. The project has and will continue to promote the exchange, transmission and sharing of information between the project organizer and all stakeholders through various forms such as questionnaire survey, household interview, forum, expert consultation and collective training. The project has incorporated and will continue to incorporate the views of stakeholders in the whole process as far as possible, to ensure that stakeholders participate in decision-making through various channels and forms.

Information disclosure here refers to the provision of timely, accessible information regarding the project and its potential social and environmental impacts to stakeholders in order to facilitate their meaningful, effective and informed participation in project design and implementation.

**The main information disclosed in this project includes:**

* The necessity and importance of local construction of national parks in pursuit of strengthened ecological protection;
* The specific content of the National Park pilot policy, including policy objectives, policy impact, policy methods, policy time limits, etc;
* Detailed regulations and requirements of National Park pilot management – mainly regarding the restrictions on local resource development and infrastructure construction;
* Detailed information regarding grassland compensation policy for farmers, including compensation standards, methods, and fund issuing times; and
* All other relevant information regarding the GEF project, including project objectives, implementing agencies, project contents, etc.

The project needs to ensure that the above information is fully understood by the personnel of local government agencies, the staff of regional ethnic autonomy institutions, and the community residents inside and outside the reserve. Information disclosure needs to use both Mandarin and local minority languages to ensure that language will not become an obstacle for stakeholders to obtain information. The ways of information disclosure should be as diverse as possible to ensure that all stakeholders can obtain and understand the information.

**The recommended information disclosure methods are as follows:**

1. Make and print brochures in both Chinese and minority languages (such as Tibetan). In view of the levels of education and the possibility of illiterate stakeholders in some project areas, photos and infographics should be added to the brochures for ease of understanding. Special personnel should be arranged to distribute and explain the brochures to each household in a linguistically and culturally appropriate manner.
2. Cooperate with local TV stations to record interview videos to publicize the pilot construction of national parks, introduce the GEF project, and transmit information to local residents through TV broadcast.
3. Publicize and explain the policy and project information to the local residents via telephone. It should be noted that the telephone communication (and all other stakeholder engagement efforts) should be conducted in a linguistically and culturally appropriate manner.

4. Publicity activities should be carried out for students in local schools.

### 6.4.2 Consultations

As a starting point for any Stakeholder Engagement Plan, it is important to consider the key factors in ensuring meaningful, effective, and informed consultation processes, as articulated in UNDP’s SES Policy.

One crucial aspect, particularly for this project which includes areas inhabited by ethnic minorities, is following a process of free, prior, and informed consent of the stakeholders. The specific methods undertaken by the C-PAR1 project team, in adherence to national and UNDP stakeholder engagement requirements, are as follows:

1. **Holding open collective consultation meetings**

Holding a collective negotiation meeting is a negotiation method that can include multiple stakeholders at once, promote communication among stakeholders, and address the conflicting interests of different groups. However, this method may involve significant expense especially in the pilot areas covering large areas which have inconvenient transportation systems.

Gathering stakeholders as much as possible and holding consultation meetings is the most direct way to gather and understand their perspectives. However, the special needs of different sub-groups of stakeholders (such as women, children, the elderly, and the disabled) should be fully and independently considered. Suitable facilities should be provided for these groups where necessary. Some accommodations for these groups are outlined briefly below. More detail regarding appropriate accommodations for vulnerable groups is also presented in section 7.4.3 of this ESMP.

Accommodations for marginalized and vulnerable groups and persons with disabilities：

* Provide information in accessible formats;
* Choose convenient and accessible locations for consultations;
* Provide support for meals, transportation, and accommodation. In some circumstances, stipends for lost earnings may be necessary (e.g. due to long travel times);
* Ensure consultations are scheduled at an appropriate and inclusive time;
* Provide simplified explanations of complex issues and terminology. Time must be spent to ensure that all stakeholders have been able to understand and engage with the consultation material. At times this may require a targeted approach, making particular portions of presentations to members of vulnerable groups independent from the stakeholder group at large;
* Provide support workers to assist participants with disabilities;
* Provide simultaneous interpretation (language, signing);
* Protect stakeholders from adverse consequences of participating (including private meetings if necessary).

Gender and age inclusive consultation methods includes：

* Women/elderly/youth-only interviews;
* Gender or age specific focus groups and group consultations;
* Separate meetings with women’s cooperatives or youth associations;
* Reserved seating in steering committees, decision-making & monitoring bodies for females, youth & elderly;
* Choosing consultation times & places that will increase gender and age inclusiveness;
* Providing childcare during consultations;
* Tailored capacity building sessions.
1. **Meeting with stakeholder representatives**

When it is difficult to hold a consultation meeting of all stakeholders, a small-scale meeting with the representatives of stakeholders can be useful. In this project, the pilot villages can select several representatives to participate in the negotiation, who represent the common interests and demands of the villagers. If there are different opinions within a village (as here are likely to be), people representing different voices need to participate in the talks. Due diligence by the administration of the consultation must be undertaken to ensure that the representatives do in fact represent the collective opinion of the community they are representing.

1. **Conducting public opinion polls and questionnaires**

Public opinion polls and questionnaire surveys can widely collect the personal needs information of stakeholders. However, it can be difficult to carry out general public opinion polls and questionnaires in the pilot areas of national parks, which is costly, time-consuming and laborious. The more feasible method is to randomly select a certain sample to carry out the investigation. It should be noted that people who are proficient in the local language and understand the local culture should be selected as investigators to facilitate the work. Before the investigation, systematic training should be given to the investigators regarding the appropriate methods to employ in effectively collecting impartial information.

### 6.4.3 Participation of Vulnerable Groups

Women, children, the elderly, and the disabled are all groups that need special consideration in the project. Project team members should be aware that relations between men and women will influence all stages of a project. Male and female stakeholders may have different interests in and abilities to influence the outcome of a project. The project team should be aware of the cultural context and the different barriers (geographical, physical, attitudinal, informational and communicational) that may undermine equal gender participation. For instance, women who have low literacy levels, or who are marginalized in their particular cultural context may have difficulties in accessing information. To address this issue, project information could be disseminated through various media, including notices, leaflets, announcements or illustrated texts (to serve those who cannot read) in community forums, market days, etc.

To facilitate women’s participation in the villages, planned activities need to be mindful of women’s daily routines and where their activities take place. A critical issue is childcare. Childcare must be provided during the scheduled consultation times so that women can attend the meetings. The project should budget for childcare at all meetings to ensure the involvement of women in project activities.

It may be necessary at times to undertake differentiated approaches to engaging with certain groups and communities to ensure inclusion of marginalized and disadvantaged groups as well as to protect their safety and security. For example, private meetings that ensure a degree of anonymity may be needed. In addition, the SES require special measures to ensure appropriate accommodation and facilitation for effective participation of project-affected persons with disabilities.

In addition, the participation of the elderly can be neglected if consultations are not designed and conducted with appropriate care. In order to ensure the participation of the elderly and the disabled, consultations need to be held in accessible locations and appropriate translation, interpreting, and assistance services must be deployed to ensure their full participation.

## 6.5 Stakeholder Mapping

The person in charge of the project execution department and the local focal point employed by the project shall undertake the work of stakeholder analysis, and constantly update the content according to the project process and available information. There is no specific work schedule for this element, but the local person in charge of the project should always pay attention to the participation of stakeholders in the whole process of project implementation.

A key objective at this stage is to begin to identify stakeholders who may have a strong interest in or ability to influence what is being planned, including potential groups who may benefit from the project, those who may also be adversely impacted, and groups potentially opposed to the planned interventions. Initial analysis would thus focus on identifying and consulting with representatives of likely stakeholder groups, such as regional or national associations, unions, ethnic minority people networks, local and national NGOs, etc.

Stakeholders in National Parks refer to all individuals or groups directly or indirectly involved in national park conservation and whose actions affect or whose interests are affected by the conservation and use of national parks. Key stakeholders in the ESIA process for C-PAR1 include the National Park Administration, the Three-River Source National Park Management Agency, the Giant Panda National Park Management Agency, the Xianju National Park Management Agency, local governments, communities (ethnic minorities in particular), and NGOs. Stakeholders are divided below into classifications as governmental and non-governmental. Each of these classifications is analyzed independently.

### 6.5.1 Governmental Stakeholders

**(1) National Park Administration (NPA)**

In March 2018, the central government provided for the formation of the National Forestry and Grassland Administration, with the addition of the National Parks Administration. The NPA is responsible for the unified management of national parks and provides top-level design for the management of national parks while a national park management agency is set up for each national park to carry out specific management.

In terms of project roles, as the owner of natural resource assets, the NPA is not only the formulator of national park policies, but also plays a central role in leading and coordinating among national park stakeholders.

The main concerns of NPA stem from the difficulty of reconciling interests with local government. The purpose of establishing National Parks is to protect the authenticity and integrity of natural resources. Therefore, the establishment of National Parks will inevitably restrict the development of certain local resource-consuming industries, thereby limiting local socio-economic development to some degree. As a result, local governments are often not very motivated to participate.

**(2) Local governments of three provincial pilot demonstrations**

The NPs will be established through consolidating existing nature reserves and placing previously non‐protected areas under protection. The subnational government agencies in these jurisdictions will be responsible for administering the establishment of the NPs.

In terms of roles in the project, the provincial, county, township and village government units will be key partners during project implementation. Representative subnational officials from the three NP pilots are proposed to be members of the project steering committee. Project activities will be closely coordinated with local government units.

The National Park pilot areas are vast. Taking the Giant Panda National Park as an example, nearly 120,000 people were included in the pilot area. The main concerns of local governments stem from two aspects: firstly, the establishment of national parks will restrict the development of local mining, quarrying and other traditional industries, and restrict the construction of roads and other infrastructure; secondly, the development and economic rights of communities may be damaged.

**(3) Local National Park Management Agency (LNPMA)**

Local National Park Management Agency (LNPMA) including the Three-River Source National Park Management Agency, Sichuan Forestry Department, and Xianju National Park Management Committee.

**(4) Three-River Source National Park Management Agency**

In terms of mandates, the Three-River Source National Park (TRS NP) Management Agency has been established under the Qinghai Provincial Government as the agency responsible for management of the Three-River Source NP.

In terms of roles in this project, The TRS NP Management Agency will be a member of the Project Steering Committee. Through a contractual arrangement with FECO, the TRS NP Management Agency will be responsible for implementation of project activities under Component 2 designed for the TRS NP.

**(5) Sichuan Forestry Department**

The Sichuan Forestry Department (SFD) is mandated to implement State principles, policies, laws, and rules concerning the improvement of forest resources of Sichuan Province. The SFD also drafts forestry regulations and is responsible for enforcement. The SFD is responsible for establishing and managing nature reserves, forest parks and wetland parks for protection of forest and wetland ecosystems. As more than 80% of the Giant Panda National Park is situated within Sichuan Province, the SFD is the leading provincial agency with respect to design and management of the NP.

In terms of roles in this project, the Sichuan Forestry Department will be a member of the Project Steering Committee. Through a contractual arrangement with FECO, the Sichuan Forestry Department will be responsible for implementation of project activities under Component 2 designed for the Giant Panda NP. The Sichuan Forestry Department will also be responsible for facilitating coordination with the Gansu and Shaanxi provincial forestry departments for inter‐provincial project activities.

**(6) Xianju National Park Management Committee**

The Xianju National Park Management Committee has been established under the Xianju County Government as the body responsible for management of the Xianju NP.

In terms of roles in this project, the Xianju Management Committee will be a member of the Project Steering Committee. Through a contractual arrangement with FECO, the Xianju Management Committee will be responsible for implementation of project activities under Component 2 designed for the Xianju NP.

The main concerns of LNPMA stem from the lack of clarity in the management system for the construction of national parks, which has led to a slow process of piloting the construction of NP and an inability to effectively coordinate the (at times conflicting) interests of conservation and regional development respectively. The current NP management system cannot effectively mobilize the enthusiasm of local participation, and the unclear management system also limits the efficiency of local governments coordinated protection and development. In addition, LNPMA will also face the pressure of local economic development. On the one hand, the strictest protection of NP will restrict local economic development and cause conflicts between local governments and LNPMA. On the other hand, the dependence of local extensive economic development methods on resources and the demand for infrastructure construction are constantly increasing, and pollution emissions from economic development may increase.

### 6.5.2 Non-Government Stakeholders

**(1) Local communities**

The local communities within the NPs are concerned with improving their own economic standard of living, but also with maintaining their social and cultural well-being. Their lifestyles and cultures are already integrated with the physical geography, they have a deep understanding of the natural conditions within the NP and are closely connected to it. As a result, local community residents are also key participants in the management of the NP.

Specifically, the local residents can be divided into two categories, one is the surrounding residents within the scope of the National Park pilot construction, the other is the villagers of the pilot villages selected by the GEF project. The project selected three national park construction pilot projects in China, namely: Three-river Source National Park, giant panda National Park and Xianju National Park. The pilot projects of these three national parks and the details of the communities within them have been introduced er in the ESIA and will not be repeated exhaustively here.

The residents in and around the three national parks are particularly important stakeholders. In the GEF project, four pilot villages around the National Park have been selected as the objects of activities and evaluation. The villagers of the four pilot villages are also very important stakeholders, including Chaze village of the Management Committee of Yellow River Source Park, Niandu village of the Management Committee of Mekong River Source Park, Masai village of Zhiduo Management Office of Yangtze River Source Park, and Hongqi village of Qumalai Management Office of Yangtze River Source Park.

In terms of mandates, the local communities where project interventions are planned are among the key beneficiaries of the project as well as playing a central role in attracting participation of local people and promoting local economic and sector development. The opinions of local communities are vital in developing appropriate alternative livelihoods for local people and thus are potential partners for demonstration.

In terms of roles in this project, the local communities will participate in collaborative PA management arrangements, receive specific training, be involved in sustainable alternative demonstrations, and encouraged to be actively involved in the NP.

The social impact of NP and C-PAR1 activities on the community is differentiated across the local population. The establishment of NPs may have a negative impact on the livelihoods of farmers at lower income levels, as reflected in the increased intensity of protection and restrictions on community access to natural resources, including grazing, medicine digging and wild plant collection, which is also a main source of livelihood for poor farmers.

For communities within and around the NPs, the main social impacts caused by the establishment of national parks are also differentiated depending on their own circumstances. The internal communities bear the main negative social impact, as the establishment of national parks can potentially impose restrictions on the use of resources in the area, while the negative impact is not as significant for the surrounding communities. The main tourism infrastructure of the NP has been built in the surrounding communities, thus the impact of the NP establishment on the surrounding communities has been mostly positive from a socioeconomic standpoint.

In the project, special attention should be paid to the vulnerable groups in the local community, such as women, the elderly, children, the disabled, etc. Women, the elderly, children, the disabled and other vulnerable groups may lack production skills and have more difficulty to adapt to changes in their socioeconomic situation.

According to the feedback from the local focal point of the project, there are 5,771 villagers in the four villages of Three-River Resource National Park, all of whom are Tibetan, and the common language is Tibetan. In the four villages of the giant panda National Park, ethnic minorities account for only 5%, about 120 people, including Tibetan, Qiang, Yi, Hui and other nationalities. Both villages in Xianju National Park are predominantly Han villagers. According to the preliminary investigation report, the villagers of Giant Panda National Park and Xianju National Park can speak Mandarin, and there is no significant language barrier in information exchange. But there are more than 5000 Tibetan villagers living in Three-River Resource National Park. They generally cannot proficiently speak Mandarin. Therefore, the implementation of the project must pay attention to the language of the stakeholders. Tibetan should be the main language for activities in Three-River Resource National Park. In addition, the elderly are also stakeholders that need to be focused on. According to the environmental education report of the Giant Panda National Park, the average age of the villagers in the pilot villages (or potential pilot villages) in the Giant Panda National Park area is between 49 and 60 years old, and less than 10% of the villagers are under 30 years old and over 20 years old.

**(2) GEF Agency and UNDP**

The UNDP has had a resident office in China for many years, providing a broad spectrum of development assistance, including sustainable management of natural resources, governance, gender equality, and the rule of law.

In terms of roles in this project, the UNDP is the GEF Agency for the project and the C‐PAR Program Coordination Agency. UNDP will be the Senior Supplier on the Project and Program Steering Committees. The UNDP Country Office will provide administrative and strategic guidance to the project, and support procurement processes, including for international sourced goods and services. The UNDP‐GEF Regional Technical Advisor based at the Regional Hub for Asia and the Pacific will provide strategic technical assistance and project assurance. UNDP is also one of the co-financing partners on the project.

The main concerns of GEF stem from the possible negative environmental impacts of project activities, including infrastructure activities brought about by supporting funds that will have negative impacts on the environment. In addition, concerns exist that the main project activities cannot significantly improve community livelihoods and reduce dependence on resources.

# Grievance Redress Mechanism

It is necessary to establish a channel to receive feedback from stakeholders for the implementation of policies and projects. Generally, after the relevant stakeholders participate in the activities, the experience and feelings of the participants can be recorded on the spot, as well as encouraging participants to put forward suggestions for future improvements.

The project will establish a long-term and stable feedback and communication mechanism with the National Park Authority, local national park management agencies, local ethnic autonomous agencies, community coordinators, etc. The appeal mechanism is divided into direct and indirect appeals. An overview of the process can be seen in Table 3.

Establishing a daily and continuous communication mechanism will play an important role. The official websites of National Park Administration and pilot national parks have set up an interactive message platform. The website also provides the telephone number, mailing address and email address of the organization.

Taking the giant panda National Park as an example, a "director's mailbox" is set up on its website. The public can feed back their opinions to the leaders of the Giant Panda National Park Administration by submitting information and letters, and the staff will also reply in a centralized way. At the same time, the website also provides a report telephone to accept the reports of violations related to Giant Panda National Park. These channels can play a certain role, but the residents of the pilot villages in remote areas rarely visit the National Park website due to limitations on internet accessibility. Therefore, it is necessary to establish feedback channels suitable for local farmers and herdsmen. The feasible methods are as follows:

* Set up a special line for residents' feedback to receive their opinions at any time;
* Set up a message box in the local management organization to receive anonymous feedback from residents;
* Set up a communication coordinator in the village to collect villagers' opinions and feed back to the National Park Management Agency and GEF project agency.

**Table 3: Grievance Redress Mechanism Overview**

|  |  |  |  |
| --- | --- | --- | --- |
| Mechanism for filing complaints by communities in and around protected areas | Goal | Main responsible organizations | Time |
| Step 1: provide contact information of the protected areas and a description of how to file a complaint to communities that are affected by the project | Enable affected communities to access project information and resolve any complaints as soon as possible | Project implementation unit  | Immediately effective after the meeting |
| Step 2: The affected stakeholder submits a complaint to the PA administration. Complaints can be made by phone and recorded by the telephone operator. Complaints can be made in minority language and a community liaison officer will translate the content into Mandarin.  | Give every stakeholder, regardless of gender, ethnicity, literacy (or lack thereof), a fair chance to appeal | Project implementation unit  | Any time during project implementation |
| Step 3: the PA administration responds to the complainant and forwards the response to the project office | Guarantee the complainant's right for consideration | Project implementation unit  | Complaints received within 15 business days |
| Step 4: if the complainant is not satisfied with the response from the PA administration, they can submit a second appeal to the project office |  | Project office | Response received within 7 business days |
| Step 5: project office responds to the complainant and forwards the response to the PA administration and UNDP | Guarantee the complainant's right for reconsideration | Project office | Complaints received within 15 business days |
| Step 6: if the complainant is not satisfied with the response from the project office, then they can submit a third appeal to UNDP for another reconsideration |  | UNDP | Response received within 7 business days |
| Step 7: UNDP gives a final response to the complainant and forwards the response to the project office and the reserve administration |  | UNDP | Received reconsideration within 7 business days |

**(1) Direct Appeals**

Local community residents can reflect their dissatisfaction and demands to the local management organization by dialing the complaint telephone number, writing complaint letters, and making direct in person complaints. The staff of the organization will directly accept the complaints and submit them to the leaders of the organization. The management of the institution will discuss and determine the appropriate person in charge and alternative solutions through internal meetings, and then the person in charge will communicate with the complainants and convey the proposed solutions. If the complainants choose to accept the proposed solution, the complaint will be solved. If the complainants choose to refuse the proposed solution, the agency will report the complaint to the higher authorities.

**(2) Indirect Appeals**

The complainants can express their dissatisfaction and appeal to the community coordinator. After receiving a complaint, the community coordinator should first consider resolving the complaint through communication and consultation at the community level. If the community coordinator finds that the complaint cannot be solved through the communication within the community, he needs to inform the local government agencies of the complaint in a timely manner. Finally, the community coordinator acts as the intermediary, the government agencies and the complainants solve the complaints with the help of the community coordinator and meet or compensate the reasonable demands of the complainants.

# Implementation Action Plan

| **Type** | **Activity** | **Description** | **Implementation unit** | **Time** | **Budget****(RMB)** |
| --- | --- | --- | --- | --- | --- |
| **Mitigation** | Strengthen the management of human-wildlife conflict | Explore the establishment of a mechanism to prevent and compensate for conflicts between humans and animals. In addition, wildlife damage insurance can be taken to alleviate human-animal conflict. | Pilot protectedarea, projectoffice, socialassessment specialist | June of2021-February of 2022 | 30,000yuan |
|  | Carry out livelihood training and improve community residents' livelihood capability | Carry out livelihood training for community residents, such as vocational skills training and language training. Livelihood support activities such as skills training, employment guidance, and labour law training should be provided. | Pilot protectedarea, projectoffice, socialassessment specialist | Activity is activated when voluntary relocation occurs during the time period | TBD |
|  | Strengthen the protection and inheritance of cultural heritage | Cooperate with the competent cultural heritage authorities to carry out a comprehensive cultural heritage survey, register them in accordance with the law, and establish a cultural heritage archive and database. | Pilot protectedarea, projectoffice | Activity is activated when voluntary relocation occurs during the time period | 60,000yuan |
|  | Enhance gender mainstreaming | Promote equal participation and benefits for men and women in the community, education, management of PAs, policy making and other levels. | Pilot protectedarea, projectoffice, gender and social inclusion specialist | June of2021-February of 2022 | 60,000yuan |
|  | Attach importance to climate change | Strengthen the construction of a climate change monitoring system, improve its forecasting and early warning capabilities, carry out evaluation of the results of artificial weather impact, and improve artificial weather impact methods and facilities. | Pilot protectedarea, projectoffice, socialassessment specialist | June -November of 2021 | 30,000 yuan |
|  | Control the scale of ecotourism and ecological experience | Design ecotourism and ecological experience routes according to the concept of green management, recycling and low carbon footprint, and reasonably determine the number of visitors. | Pilot protectedarea,socialassessment specialist | August of2021-March of 2022 | 60,000 yuan |
|  | Strengthen the awareness of ecological environmental protection amongst local communities | Regularly carry out publicity activities on ecological environmental protection awareness, and adopt ways acceptable to local residents, such as organizing local youth volunteers to popularize ecological environmental protection awareness among their families and members of the pilot villages. | Pilot protectedarea, projectoffice, socialassessment specialist | June of2021-August of 2022 | 60,000 yuan |
|  | **Total** |  |  |  | 300,000 yuan |
| **Monitoring** | Track the progress of the environmental and social management plan | Coordinate the implementation of the environmental and social management plan in each of the pilot areas | Project management office | June of2021- December of 2021 | 20,000 yuan |
|  | Environmental and social mitigation measures | Incorporate environmental and social mitigation measures into project design; Include environmental and social mitigation measures in bidding documents and construction contracts; Make policy to mitigate the negative environmental influence to stakeholders;Make policy to mitigate the negative influence to vulnerable groups; Make policy to enhance the mutual adaptability between the project and the local communities. | Project management office and pilot protectedarea | Long-term | Permanent and participatory implementation and monitoring of impacts and mitigation measures |
|  | Learning | Regularly collect knowledge, good practices and lessons learned from social and environmental risk management and actively absorb any experiences from other projects and partnerships and incorporate them into projects. | Project management office and local project coordinator | August of 2021 | 5,000 yuan |
|  | Annual management plan evaluation report | A copy of the annual management plan evaluation report must be provided to the project steering committee and key stakeholders. The report will include analysis, updates and recommendations for risk management. | C-PAR1 socialassessment specialist | September of 2021 | N/A |
|  | Project review | The project steering committee will review the most updated risk analysis and the recommendation on risk mitigation measures. | Project management office and project steering committee | October of 2021 | N/A |
|  | Cultural heritage protection | Protect cultural heritage building strictly following the requirements of Cultural Heritage Protection Law;Regulate commercial activities of shops; Develop and implement Roadside Store Restoration and Adjust Plan and Guidelines of Store Advertising Signs etc. to maintain historical style of the street;Carry out heritage protection training on local residents and tourists. | Project management office and pilot protectedarea | November of 2021 | 5,000 yuan |
|  | Vulnerable groups | Provide employment opportunities for vulnerable groups;Make special provisions to help women, elders, and other vulnerable groups. | Project management office and pilot protectedarea | June of 2021-November of 2021 | 10,000 yuan |
|  | Public consultation | Establish and maintain a public consultation mechanism, with staff assigned to receive public complaints and opinions of project affected people. | Project management office and pilot protectedarea | Long-term | N/A |
|  | **Total** |  |  |  | **40,000 yuan** |
| Capacity development and training | Internationalspecialist trainingin environmentaland socialmanagement | Training will be providedby social integration(international) experts(concentrated in Xianju County or in a city in Zhejiang Province) | Social inclusionspecialist, pilotprotected area | TBD based oninternationalspecialists andCOVIDsituation | 100,000 yuan |
|  | Environmentaland socialmanagementtraining | The PSC of each NP needs to participate in the training session provided by experts on different mitigation and monitoring measures, and then conduct regular management and monitoring according to the requirements and standards. | Pilotprotected area, socialassessment specialist | July-August of 2021 | 30,000 yuan |
|  | Self-learning | Regularly collectknowledge, good practicesand lessons learned onsocial and environmentalrisk management andactively captureexperiences from otherprojects and partners andincorporate them intoprojects. | Pilotprotected area, local project coordinator | July of 2021 | N/A |
|  | **Total** |  |  |  | **130,000 yuan** |
| **Stakeholder****engagement** | Consultations | Holding open collective consultation meetings; Meetings with stakeholder representatives; Conducting public opinion polls and questionnaires. | Pilot protectedarea | July of 2021 | 20,000 yuan |
|  | Information disclosure | Make and print brochures, contact local TV stations to produce news reports, carry out telephone publicity. | Pilot protectedarea | August of 2021 | 60,000 yuan |
|  | Reporting | Local media will be invited to participate in the project before the stakeholders participate in the activities, and they will be invited to interview or record. The social and environmental assessment of the project will be carried out in due time, and the assessment report will be prepared and made public. | Pilot protectedArea, project management office | September of 2021 | 60,000 yuan |
|  | **Total** |  |  |  | **140,000 yuan** |
| **Total** |  |  |  |  | **610,000 yuan** |

# Appendix 1: SESP Attachment 1. Social and Environmental Risk Screening Checklist

|  |  |
| --- | --- |
| **Checklist Potential Social and Environmental Risks** |  |
| **Principles 1: Human Rights** | **Answer****(Yes/No)** |
| 1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?
 | No |
| 1. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups?[[2]](#footnote-2)
 | No |
| 1. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?
 | Yes |
| 1. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?
 | Yes |
| 1. Is there a risk that duty‐bearers do not have the capacity to meet their obligations in the Project?
 | Yes |
| 1. Is there a risk that rights‐holders do not have the capacity to claim their rights?
 | Yes |
| 1. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?
 | No |
| 1. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project affected communities and individuals?
 | No |
| **Principles 1: Gender Equality and Women’s Empowerment** |  |
| 1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?
 | No |
| 1. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?
 | Yes |
| 1. Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?
 | No |
| 1. Would the Project potentially limit women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being
 | Yes |
| **Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard‐related questions below** |  |
|  |  |
| **Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management** |  |
| 1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes | No |
| 1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | Yes |
| 1.3 Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 Would Project activities pose risks to endangered species? | No |
| 1.5 Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 Does the Project involve significant extraction, diversion or containment of surface or ground water?For example, construction of dams, reservoirs, river basin developments, groundwater extraction | No |
| 1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | No |
| 1.10 Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered. | No |
| **Standard 2: Climate Change Mitigation and Adaptation** |  |
| 2.1 Will the proposed Project result in significant[[3]](#footnote-3) greenhouse gas emissions or may exacerbate climate change? | No |
| 2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change? | Yes |
| 2.3 Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population’s vulnerability to climate change, specifically flooding | No |
| **Standard 3: Community Health, Safety and Working Conditions** |  |
| 3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities? | No |
| 3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | No |
| 3.3 Does the Project involve large‐scale infrastructure development (e.g. dams, roads, buildings)? | No |
| 3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | No |
| 3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | No |
| 3.6 Would the Project result in potential increased health risks (e.g. from water‐borne or other vector‐borne diseases or communicable infections such as HIV/AIDS)? | No |
| 3.7 Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning? | No |
| 3.8 Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)? | No |
| 3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? | No |
| **Standard 4: Cultural Heritage** |  |
| 4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts) | No |
| 4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | No |
| **Standard 5: Displacement and Resettlement** |  |
| 5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement? | Yes |
| 5.2 Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)? | Yes |
| 5.3 Is there a risk that the Project would lead to forced evictions?[[4]](#footnote-4) | No |
| 5.4 Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | Yes |
| **Standard 6: Indigenous Peoples** |  |
| 6.1 Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | No |
| 6.3 Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk | Yes |
| 6.4 Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | Yes |
| 6.5 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | No |
| 6.6 Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? | Yes |
| 6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them? | No |
| 6.8 Would the Project potentially affect the physical and cultural survival of indigenous peoples? | No |
| 6.9 Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? | No |
| **Standard 7: Pollution Prevention and Resource Efficiency** |  |
| 7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non‐routine circumstances with the potential for adverse local, regional, and/or transboundary impacts? | No |
| 7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non‐hazardous)? | No |
| 7.3 Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase‐outs?For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol | No |
| 7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No |
| 7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water? | No |

1. For the purposes of this section, this refers to both host country law/regulation, as well as UNDP SES requirements [↑](#footnote-ref-1)
2. Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals. [↑](#footnote-ref-2)
3. In regards to CO2, ‘significant emissions’ corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.] [↑](#footnote-ref-3)
4. Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections. [↑](#footnote-ref-4)