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|  | DRAFT Environmental and Social Management Framework (ESMF) |  |

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| **Project title:** Transformational wildlife conservation management in China | | | |
| **Country:** China | **Implementing Partner (GEF Executing Entity):** Foreign Environmental Cooperation Center of the Ministry of Ecology and Environment (FECO) | | **Execution Modality***:* National implementation |
| **Contributing Outcome (UNDAF/CPD, RPD, GPD)***:*  United Nations Sustainable Development Cooperation Framework (2021-2025) Outcome 3: People in China and the region benefit from a healthier and more resilient environment.  UNDP Country Programme Document for China (2021-2025), Pillar 2 (A healthier planet and resilient environment), Output 2.1: Adaptive policies developed at target level (subnational), financed and applied for nature-based systems to align with multilateral agreements and transboundary platforms.  UNDP Strategic Plan 2018-2021, Signature Solution 4: Promote nature-based solutions for a sustainable planet; Output 1.4.1: Solutions scaled up for sustainable management of natural resources, including sustainable commodities and green and inclusive value chains. | | | |
| **UNDP Social and Environmental Screening Category:**  Substantial | | **UNDP Gender Marker:**  GEN2 | |
| **Atlas Award ID:** 00132366 | | **Atlas Project/Output ID:** 00124919 | |
| **UNDP-GEF PIMS ID number:** 6606 | | **GEF Project ID number:** 10701 | |
| **Disclosure requirements:** This ESMF draft must be publicly disclosed 120 days before the Project Appraisal Committee Meeting (PAC). | | | |

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# Executive Summary执行摘要

This Environmental and Social Management Framework (ESMF) has been prepared for the submission of the UNDP project proposal “Transformational Wildlife Conservation Management in China” to the Global Environment Facility (GEF). The objective of the project is to safeguard key threatened and iconic wildlife in China through innovative management technologies, community participation and cross-sectoral engagement approaches. This will be accomplished through the following four interlinked components:

本环境和社会管理框架（ESMF）是为提交给全球环境基金（GEF）的联合国开发计划署（UNDP）建议项目 “中国野生动物保护管理转型”而编制。该项目的目标是通过创新管理技术、社区参与和跨部门参与来保护中国的主要受威胁和标志性野生动物，并通过以下四个关联组分予以实现。

* Component 1: Mainstreaming wildlife conservation into integrated landscape planning through enhanced intersectoral coordination and supportive policy environment
* Component 2: Demonstrating integrated landscape management approaches and innovative tools in key endangered globally important wildlife habitats
* Component 3: Deploying frontier technologies and innovative knowledge management solutions for wildlife conservation and landscape planning
* Component 4: Coordination, safeguards management, and monitoring & evaluation
* 组分1：通过加强部门间协调和有利的政策环境，将野生动物保护纳入综合景观规划的主流
* 组分2：在关键的全球重要濒危野生动物栖息地示范综合景观管理方法和创新工具
* 组分3：为野生动物保护和景观规划部署前沿技术和创新的知识管理解决方案
* 组分4：协调、管理保障以及监测和评估

The Framework sets out the principles, rules, guidelines and procedures for screening, assessing and managing potential social and environmental impacts of forthcoming but as yet undefined interventions. The Framework forms the basis upon which Environmental and Social Management Plan (ESMP) will be developed to ensure full compliance with UNDP’s Social and Environmental Standards (SES) requirements.

本框架规定了对即将实施但尚未明确的干预措施的潜在社会和环境影响进行筛选、评估和管理的原则、规则、指导方针和程序。该框架构成了制定环境和社会管理计划（ESMP）的基础，以确保完全遵守UNDP的社会和环境标准（SES）要求。

As the project aims to enhance conservation efforts and support conversion to alternative more sustainable livelihood for affected communities, it is expected to lead to high environmental and social benefits. Analysis and screening conducted during the development phase using UNDP’s Social and Environmental Screening Procedure (SESP) identified 8 potential social and environmental risks associated with the Project. Seven of the identified potential risks are considered “moderate” while the potential risk of economic displacement for ethnic minorities has been rated “Substantial” leading to an overall Project categorization of “Substantial”. The identified social and environmental risks’ impacts are manageable through identified mitigation measures detailed in the Social and Environmental Risk Screening Checklist (see annex 4 in the ProDoc).

该项目旨在加强保护工作，并支持受影响社区向其他更可持续生计转型，因此预计将带来较高的环境和社会效益。在开发阶段使用UNDP社会和环境筛选程序（SESP）进行分析和筛选，确定了8个本项目相关的潜在社会和环境风险。其中7个风险被评定为 “适中”，而少数民族因经济影响而搬迁的潜在风险被评定为 “较大”，使得整个项目的总体风险类别为 “较大”。 已确定的社会和环境风险影响可通过《社会和环境风险筛选清单》（见ProDoc附件4）中详述的缓解措施予以管理。

This ESMF is supported by:

- an Indigenous People Planning Framework, (see annex 11 in the ProDoc)

- a Stakeholder Engagement Plan including a description of the project Level Grievance Redress Mechanism to address concerns raised by affected stakeholders from the project, (see annex 7 in the ProDoc)

- Stakeholder consultations during project preparation grant (PPG) (Annex 8 of the ProDoc)

- a Gender Analysis and Gender Action Plan (see annex 10 in the ProDoc)

- Covid-19 Analysis and Action Framework (see annex 14 in the ProDoc), and

- Climate and Disaster Screening Report (see annex 13 in the ProDoc)

本框架得到以下支持：

- 《土著居民计划框架》（见ProDoc附件11）

- 《利益相关者参与计划》，包括描述项目层面的申诉纠正机制（GRM），以解决受影响利益相关者对本项目提出的关切（见ProDoc附件7）

- 在项目编制赠款阶段（PPG）与利益相关者协商（ProDoc附件8）

- 《性别分析和性别行动计划》（见ProDoc附件10）

- 《新冠疫情分析和行动框架》（见ProDoc附件14）

- 《气候和灾害筛选报告》（见ProDoc附件13）

The project is intervening in several landscapes with different socio-ecological characteristics. In order to ensure differentiated risks and mitigation measures adequately suits different activities and biophysical characteristics of the demonstration area, safeguards studies have been integrated into the project strategy as summarized in table below.

本项目在几个具有不同社会生态特征的景观中进行干预。为确保差异化风险和缓解措施充分适应示范区内的不同活动和生物物理特征，保障措施研究已被纳入项目战略，如下表所概述。

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| --- | --- | --- | --- |
| **Output**  **产出** | **Demonstration area / intervention site**  **示范区域/干预地点** | **Output deliverable可交付产出** | **Integrated safeguard instruments综合保障工具** |
| 1.2.1 | Yunnan Province云南省 | Cross-sectoral strategy and action plan for primate conservation and sustainable management in Yunnan Province  云南省灵长类动物保护与可持续管理跨部门战略和行动计划 | SESA considerations integrated into the strategy and action plan  纳入战略和行动计划的战略环境与社会评估（SESA）考量因素 |
| 1.2.2 | Giant Panda National Park大熊猫国家公园 | Cross-sectoral conservation and sustainable management plan for the Giant Panda National Park  大熊猫国家公园跨部门保护与可持续管理计划 | SESA considerations integrated into the plan  纳入该计划的战略环境与社会评估（SESA）考量因素 |
| 2.2.1 | Yunnan Province /  Tianchi Nature Reserve云南省/天池自然保护区 | Participatory ecological corridor Feasibility Assessment (including participatory rural assessment of affected communities)  参与式生态廊道可行性评估（包括受影响社区的参与式农村评估） | Compliant with ESIA requirements; screen risks according to SES procedures, ground-truthing, assess IP’s, initiate FPIC, evaluate potential for economic displacement  符合环境和社会影响评估（ESIA）要求；按照社会环境标准（SES）程序筛查风险，地面实况调查，评估土著居民标准（IP's），启动自由、事先和知情同意（FPIC）原则，评估因经济影响而搬迁的可能性 |
| Ecological corridor strategy and action plan  生态廊道战略和行动计划 | Compliant with ESMP requirements, with IPP and Livelihood Action Framework elements incorporated, FPIC obtained  符合《环境和社会管理计划》（ESMP）要求，纳入《土著居民计划》（IPP）和《生计行动框架》要素，获得自由、事先和知情同意（FPIC）原则 |
| 2.2.2 | Giant Panda NP /  Baodinggou Nature Reserve大熊猫国家公园/宝顶沟自然保护区 | Participatory ecological corridor Feasibility Assessment (including participatory rural assessment of affected communities)  参与式生态廊道可行性评估（包括受影响社区的参与式农村评估） | Compliant with ESIA requirements; screen risks according to SES procedures, ground-truthing, assess IP’s, initiate FPIC, evaluate potential for economic displacement  符合环境和社会影响评估（ESIA）要求；按照社会环境标准（SES）程序筛查风险，地面实况调查，评估土著居民标准（IP's），启动自由、事先和知情同意（FPIC）原则，评估因经济影响而搬迁的可能性 |
| Ecological corridor strategy and action plan  生态廊道战略和行动计划 | Compliant with ESMP requirements, with IPP and Livelihood Action Framework elements incorporated, FPIC obtained  符合《环境和社会管理计划》（ESMP）要求，纳入《土著居民计划》（IPP）和《生计行动框架》要素，获得自由、事先和知情同意（FPIC）原则 |
| 2.2.2 | Giant Panda NP /  Liziping Nature Reserve大熊猫国家公园/栗子坪自然保护区 | Participatory ecological corridor Feasibility Assessment (including participatory rural assessment of affected communities)  参与式生态廊道可行性评估（包括受影响社区的参与式农村评估） | Compliant with ESIA requirements; screen risks according to SES procedures, ground-truthing, assess IP’s, initiate FPIC, evaluate potential for economic displacement  符合环境和社会影响评估（ESIA）要求；按照社会环境标准（SES）程序筛查风险，地面实况调查，评估土著居民标准（IP's），启动自由、事先和知情同意（FPIC）原则，评估因经济影响而搬迁的可能性 |
| Ecological corridor strategy and action plan  生态廊道战略和行动计划 | Compliant with ESMP requirements, with IPP and Livelihood Action Framework elements incorporated, FPIC obtained  符合《环境和社会管理计划》（ESMP）要求，纳入《土著居民计划》（IPP）和《生计行动框架》要素，获得自由、事先和知情同意（FPIC）原则 |
| 2.3.1 | Yunnan Province /  Caojian Forest Farm  云南省/漕涧林场 | Baseline habitat survey (including participatory rural assessment of affected communities)  基线栖息地调查（包括受影响社区的参与式农村评估） | Compliant with ESIA requirements; screen risks according to SES procedures, ground-truthing, assess IP’s, initiate FPIC, evaluate potential for economic displacement  符合环境和社会影响评估（ESIA）要求；按照社会环境标准（SES）程序筛查风险，地面实况调查，评估土著居民标准（IP's），启动自由、事先和知情同意（FPIC）原则，评估因经济影响而搬迁的可能性 |
| Degraded habitat restoration plan  退化栖息地恢复计划 | Compliant with ESMP requirements, with IPP and Livelihood Action Framework elements incorporated, FPIC obtained  符合《环境和社会管理计划》（ESMP）要求，纳入《土著居民计划》（IPP）和《生计行动框架》要素，获得自由、事先和知情同意（FPIC）原则 |
| 2.3.1 | Yunnan Province /  Tianchi Nature Reserve  (restoration site)  云南省/天池自然保护区  （恢复点） | Baseline habitat survey  基线栖息地调查 | Compliant with ESIA requirements, risks screened according to SES procedures, ground-truthing, assess IP’s, evaluate potential for economic displacement  符合环境和社会影响评估（ESIA）要求；按照社会环境标准（SES）程序筛查风险，地面实况调查，评估土著居民标准（IP's），启动自由、事先和知情同意（FPIC）原则，评估因经济影响而搬迁的可能性 |
| Degraded habitat restoration plan  退化栖息地恢复计划 | ESMP and IPP elements included  包括《环境和社会管理计划》（ESMP）和《土著居民计划》（IPP）要素 |
| 2.3.2 | Giant Panda NP /  Wolong Nature Reserve大熊猫国家公园/卧龙自然保护区 | Baseline habitat survey  基线栖息地调查 | Compliant with ESIA requirements, risks screened according to SES procedures, ground-truthing,  符合环境和社会影响评估（ESIA）要求，按照社会环境标准（SES）程序筛查风险，地面实况调查 |
| Degraded habitat restoration plan  退化栖息地恢复计划 | Compliant with ESMP requirements  符合《环境和社会管理计划》（ESMP）要求 |
| 2.3.2 | Giant Panda NP /  Daxiangling Nature Reserve大熊猫国家公园/大相岭自然保护区 | Baseline habitat survey  基线栖息地调查 | Compliant with ESIA requirements, risks screened according to SES procedures, ground-truthing,  符合环境和社会影响评估（ESIA）要求，按照社会环境标准（SES）程序筛查风险，地面实况调查 |
| Degraded habitat restoration plan  退化栖息地恢复计划 | Compliant with ESMP requirements  符合《环境和社会管理计划》（ESMP）要求 |
| 2.3.2 | Giant Panda NP /  Baishuihe Nature Reserve大熊猫国家公园/白水河自然保护区 | Baseline habitat survey  基线栖息地调查 | Compliant with ESIA requirements, risks screened according to SES procedures, ground-truthing,  符合环境和社会影响评估（ESIA）要求，按照社会环境标准（SES）程序筛查风险，地面实况调查 |
| Degraded habitat restoration plan  退化栖息地恢复计划 | Compliant with ESMP requirements  符合《环境和社会管理计划》（ESMP）要求 |
| 2.4.1 | Yunnan Province /  Tianchi Nature Reserve  (corridor)  云南省/天池自然保护区  （廊道） | Business plan for nature-based livelihood development  基于自然的生计发展商业计划 | Developed with Livelihood Action Plan elements  制定了《生计行动计划》要素 |
| Yunnan Province /  Caojian Forest Farm  (restoration)  云南省/漕涧林场  （恢复） | Business plan for nature-based livelihood development  基于自然的生计发展商业计划 | Developed with Livelihood Action Plan elements  制定了《生计行动计划》要素 |
| Giant Panda NP /  Baodinggou Nature Reserve  (corridor)  大熊猫国家公园/宝顶沟自然保护区  （廊道） | Business plan for nature-based livelihood development  基于自然的生计发展商业计划 | Developed with Livelihood Action Plan elements  制定了《生计行动计划》要素 |
| Giant Panda NP /  Liziping Nature Reserve  (corridor)  大熊猫国家公园/栗子坪自然保护区  （廊道） | Business plan for nature-based livelihood development  基于自然的生计发展商业计划 | Developed with Livelihood Action Plan elements  制定了《生计行动计划》要素 |

During early implementation (Year 1) scoped social and environmental assessments will be undertaken, these include:

在早期实施期间（第1年），将在限定范围内进行社会和环境评估，包括：

- A scoped Social and Environmental Strategic Assessment (SESA) (see proposed outline in annex 1) for activities under Component 1: Mainstreaming wildlife conservation into integrated landscape planning through enhanced intersectoral coordination and supportive policy environment will be included in output 1.2.1 and 1.2.2.

- 在产出1.2.1和1.2.2中，将对“组分1：通过加强部门间协调和有利的政策环境，将野生动物保护纳入综合景观规划的主流” 在限定范围内进行社会和环境战略评估（SESA）（见附件1的拟议大纲）。

*-* scoped assessments of impacts of identified activities in the SESP, such the participatory Ecological Corridor Feasibility Assessments and Baseline habitat survey are required during project implementation to support output 2. These studies will be compliant with ESIA requirements with specific outlines provided in Annex 5.

- 在项目实施过程中，需要对社会和环境筛选程序（SESP）中所定活动的影响在限定范围内进行评估，如参与式生态廊道可行性评估和基线栖息地调查，以支持产出2。 这些研究要符合环境和社会影响评估（ESIA）要求，具体大纲见附件5。

Any potential adverse impacts identified will be further evaluated and subject to stakeholder consultations to determine the magnitude and severity of impacts on affected individuals and communities.

任何已确定的潜在不利影响都将被进一步评估，并与利益相关者协商，以确定对受影响个人和社区的影响程度和严重性。

As the project is rated Substantial Risk, Results of the scoped assessments will be targeted by the Business Plans for Nature-Based Livelihood Development (see outline in annex 2) to manage the case of specific impacts on ethnic minorities and economic displacement, and the Ecological Corridor Strategy and Action Plans (see outline in annex 3) and the Degraded Habitat Restoration Plans (see outline in annex 4); these will serve as Environmental and Social Management plans and will include management measures to mitigate potential social and environmental downstream impacts of the project.

由于该项目被评为“风险较大”，限定范围内的评估结果将由《基于自然的生计发展商业计划》（见附件2的大纲）来管理对少数民族和因经济影响搬迁的具体影响，以及《生态廊道战略和行动计划》（见附件3的大纲）和《退化栖息地恢复计划》（见附件4的大纲）；这些将用作环境和社会管理计划，并涵盖管理措施以减轻项目对下游的潜在社会和环境影响。

The ESMP will include the summary of all identified risks, together with related specific mitigation measures, responsible person, baseline data, mean of verification, reporting function and associated budget. Where possible, specific measures will be included in the monitoring and evaluation framework.

《环境和社会管理计划》将包括所有已定风险的摘要，以及相关的具体缓解措施、责任人、基线数据、核查手段、报告功能和相关预算。具体措施将尽可能纳入监测和评估框架。

The Foreign Environmental Cooperation Center of the Ministry of Ecology and Environment (FECO) shall be responsible for the implementation of the ESMF and overseen by the UNDP Project Manager and Project Officer. The Project management team, especially the Safeguards Officer in the Project Management Office will be responsible for the revision or updating the ESMF, undertaking social and environmental assessments with support of environment and social safeguards experts, and developing the scoped baseline habitat survey with ESIA considerations and subsequent ESMPs. The project management team will also be responsible for monitoring the implementation of targeted environmental and social management measures.

生态环境部对外合作与交流中心（FECO）应负责执行环境和社会管理框架（ESMF），并由UNDP项目经理和项目官员监督。项目管理团队，特别是项目管理办公室的保障官员将负责修订或更新ESMF，在环境和社会保障专家的支持下进行社会和环境评估，并结合环境和社会影响评估（ESIA）的考量因素制定限定范围的基线栖息地调查以及随后的《环境和社会管理计划》（ESMP）。项目管理小组还将负责监督针对性环境和社会管理措施的实施。

The National Project Coordinator will be responsible for GRM implementation. Grievances should be reported to the Project Board and dealt with according to the highest standards. Stakeholders and the general public with grievances may raise their grievance anytime through a complaint’s register to the Project Management Office, the FECO, UNDP or GEF.

国家项目协调员将负责申诉纠正机制（GRM）的实施。申诉应报告给项目委员会，并按最高标准处理。欲申诉的利益相关者和公众可以随时通过投诉登记簿向项目管理办公室、生态环境部对外合作与交流中心、UNDP或GEF提出申诉。

This ESMF also details the roles and responsibilities for its implementation and includes a detailed budget, monitoring and evaluation plan.

本环境和社会管理框架（ESMF）还详细说明了其实施的作用和责任，并包括详细的预算、监测和评估计划。

The ESMF related costs, which include contractual appointment of Social and Environmental Safeguards Officer (Draft ToRs available in annex 6 in outline), monitoring the ESMP and the environmental and social safeguards studies; training, workshops and conferences; and implementation of livelihood development activities, amount to US$ **488,705.**

ESMF的相关费用，包括社会和环境保障官员的订约任用（职权范围草案见附件6的概要），监测ESMP以及环境和社会保障研究；培训、研讨会和会议；以及实施生计发展活动，金额为**48万8705美元。**

# Abbreviations and Acronyms

|  |  |
| --- | --- |
| CNCBC | China National Committee for Biodiversity Conservation |
| CNY | Chinese yuan |
| C-PAR | China’s Protected Area System Reform |
| CPD | Country Programme Document (UNDP China) |
| EIA | Environmental Impact Assessment环境影响评价 |
| ECS | Ecological Corridor Strategies |
| ESIA | Environmental and Social Impact Assessment |
| ESMF | Environmental and Social Management Framework |
| ESMP  FECO | Environmental and Social Management Plan  Foreign Environmental Cooperation Center of the Ministry of Ecology and Environment |
| FPIC | Free, prior and informed consent |
| GEF | Global Environment Facility |
| IPs | Standards on Indigenous Peoples |
| IPP  MEE | Indigenous Peoples Plan  Ministry of Ecology and Environment |
| METT | Management Effectiveness Tracking Tool |
| MOF | Ministry of Finance |
| NFGA | National Forest and Grassland Administration |
| NPC | National People's Congress of the People's Republic of China |
| PA | Protected Area |
| PIF | Project Identification Form (GEF) |
| PMO | Project Management Office |
| PIR | GEF Project Implementation Report |
| POPP | Programme and Operations Policies and Procedures (UNDP) |
| PPG | Project Preparation Grant (GEF) |
| PRC | Peoples’ Republic of China (PRC) |
| PB | Project Board |
| SECU | Social and Environmental Compliance Review Unit (UNDP) |
| SES | Social and Environmental Standards (UNDP) |
| SESA | Strategic Environmental and Social Assessment |
| SESP | Social and Environmental Screening Procedure (UNDP) |
| SRM | Stakeholder Response Mechanism (UNDP) |
| UNDP | United Nations Development Programme |
| UNDP-GEF | UNDP Global Environmental Finance Unit |

# Introduction

This Environmental and Social Management Framework (ESMF) has been prepared for the submission of the UNDP project proposal “Transformational wildlife conservation management in China” to the Global Environment Facility (GEF) developed together with the Government of the Peoples’ Republic of China (PRC). UNDP is the GEF Agency for the project to which this ESMF applies.

## Project description

The Earth's biological resources are vital to economic and social development, but human activities are stretching nature to its limits and are increasingly taking their toll on both the abundance and diversity of species, and our well-being in the process. As one of the 17 Megadiverse countries, China has among the highest biodiversity assemblages in the world with a wide range of geographic and biological features from mountain chains to deserts, to grasslands, to forests ranging from boreal to tropical evergreen and mangroves, as well as extensive marine areas including important coral reefs. China also has more than 34,984 known higher plant species, ranking third in the world and 6,445 vertebrate animal species, accounting for 13.7% of the world’s total. More than 10,000 fungi species are known in China, making up 14% of the world’s total[[1]](#footnote-2). From a conservation perspective, China has made remarkable strides on adopting forward-thinking measures to protect key habitats and threatened wildlife. China attaches great pride and importance to its rich biodiversity and has been working to expedite the mainstreaming of biodiversity across all departments and sectors.

Despite China’s tremendous resource endowments and conservation achievements, there are still contradictions between economic development and biodiversity conservation. Rapid economic growth of the country over the last decades, however, has resulted in ecological degradation, environmental pollution and other adverse effects. Globally, primate populations are also facing an imminent extinction crisis and are essential in a healthy forest ecosystem and landscapes. The practices of China’s conservation efforts to date suggest that cross-sectoral coordination, policy changes, enhanced guidelines where gaps exist and technological innovations are needed to prevent the extinction of known threatened species under the guidance of ecological civilization and community of life in mountains, rivers, forests, fields, lakes and grasses, while ensuring greater inclusivity of, and benefits flowing, to local communities. Figure 2 summarizes the Problem tree analysis

Diagram

Description automatically generated with low confidence

Figure 2: Problem tree analysis

The project has purposely selected Yunnan and Giant Panda National Park to demonstrate a landscape approach to conserving iconic and threatened wildlife and hone its remediation efforts through corridor connectivity enhancement and ecological restoration. Yunnan Province simply put, is the richest in China for biodiversity, with Sichuan Province a close second. The high variability in climatic and geographic conditions within Yunnan makes its biodiversity very fragile since habitats are consequently quite small and often endangered by growing human populations, habitat fragmentation, expanding of agricultural plantations and increasing pollution. Sichuan has exceptional value for biodiversity conservation and can demonstrate how ecosystem management systems can work across the borders of national and provincial protected areas.

The objective of the project is to safeguard key threatened and iconic wildlife in China. The approach to be taken in the roll-out of activities is participatory in nature through mutually supportive partnerships with other projects, initiatives and sectors, leveraging cost effective synergies with existing vehicles of biodiversity mainstreaming in China in the context of broader landscape approaches to wildlife conservation. This shall be achieved through the following nine outcomes designed under four complimentary and inter-related components summarized below in Figure 33.

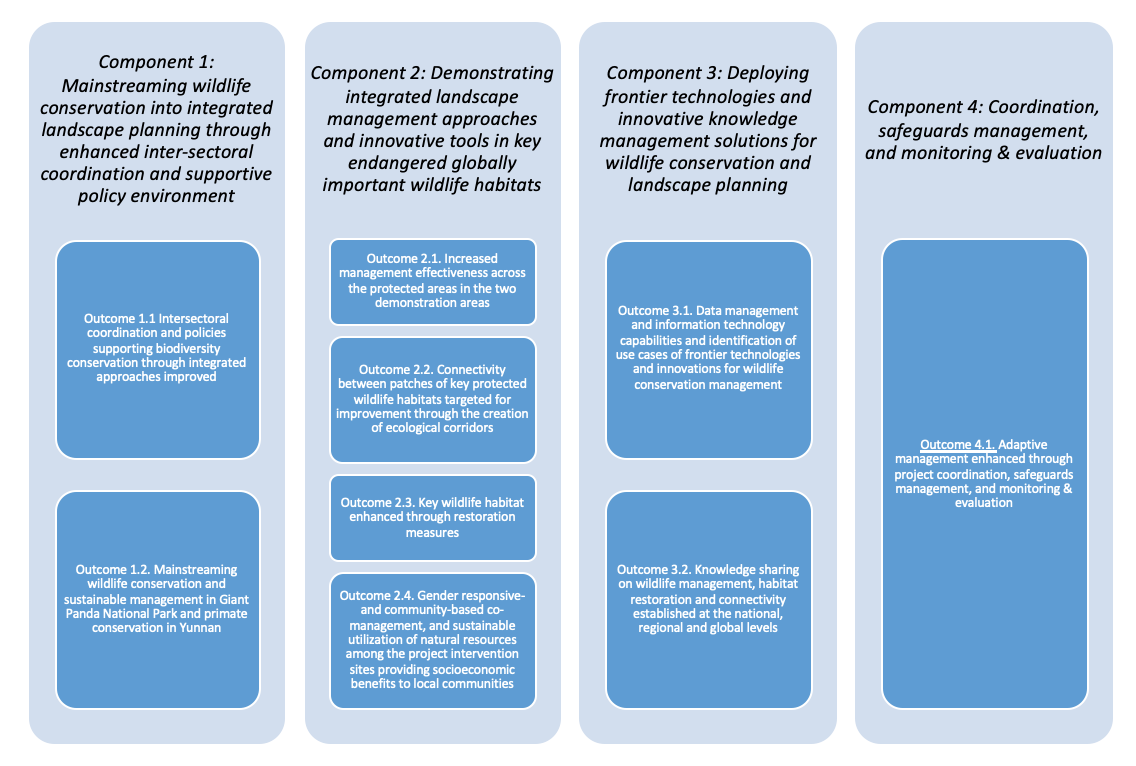


Figure 3 - Project components and outputs

The global environmental benefits of the Project will come from activities in two project demonstration sites, as well as policy, planning and mainstreaming activities at the national and provincial level. The global environmental benefits achieved by the project include improved effectiveness of 2.74 million ha of protected areas. These sites are primarily habitats for endangered wildlife of global significance. Targeted capacity-building and threat reduction activities and the application of advanced technology and financial innovations will help improve the condition and management effectiveness of protected areas and increase the income of the community. To develop ecological corridors in pilot sites of about 11,742 ha; habitat restoration on approximately 2,216 ha of protected areas; develop community-based activities and alternative livelihood demonstrations benefiting 10,000 people (40% representation of women); design and implement innovative technologies and financing models and conduct related activities to improve the effectiveness of protected land management to better respond to the needs of wildlife and biodiversity conservation. These activities are expected to increase connectivity, biodiversity and improved ecosystems services. These activities are essential for the existing protection of a wide range of endangered wildlife. More sustainable use and management of protected areas will provide conservation benefits for wildlife and human beings.

## Purpose and scope of this ESMF

This Environment and Social Management Framework (ESMF) sets out the principles, rules, guidelines and procedures for screening, assessing and managing potential social and environmental impacts associated with project activities, in line with the requirements of UNDP’s Social and Environmental Standards. The ESMF shall also promote the achievement of the environmental and social objectives of the Project. The implementing partners of the project and the relevant members of the project management unit will use this ESMF during the start of the project implementation to ensure the environmental and social risks and impacts are fully assessed and management measures are in place prior to the implementation of the relevant project activities.

The ESMF is supported by scoped assessment studies developed during PPG phase such as the Gender Action Plan; Gender Analysis; Stakeholder Analysis; COVID-19 Analysis; Climate and Disaster Risk Screening; Landscape profiles; Baseline METT assessments and Preparation of Indigenous People Planning Framework (IPPF) to address impacts on indigenous/ethnic minority peoples, based on the principles of Free and Prior Informed Consent (FPIC) and developed through stakeholder consultations with affected ethnic minority communities; and Indigenous Peoples Plan, to establish a process by which members of potentially affected communities participate in the design, management measures, and implementation and monitoring of relevant project activities.

This ESMF also sets out additional safeguards measures that apply to the project during the inception phase, including but not limited to:

* 1. A scoped Social and Environmental Strategic Assessment (SESA, see outline in Annex 1) for any policy support related project activities. Any potential adverse impacts identified during the SESA will be further evaluated and subject to stakeholder consultations to determine the magnitude and severity of impacts on affected individuals and communities.
  2. Conduct of further scoped assessments of impacts of identified activities in the SESP, such the Participatory Ecological Corridor Feasibility Assessments and Baseline Habitat surveys are required during project implementation to support output 2 and will include ESIA considerations. With an associated IPP.
  3. Results of the scoped assessments will be targeted by the Business Plans for Nature-Based Livelihood Development (see outline in annex 2) to manage the case of specific impacts on ethnic minorities and economic displacement, and the Ecological Corridor Strategy and Action Plans (see outline in annex 3) and the Degraded Habitat Restoration Plans (see outline in annex 4); these will serve as Environmental and Social Management plans that will include management measures to mitigate potential social and environmental downstream impacts of the project.
  4. Closely monitor, together with project partners and UNDP, measures included in the ESMPs to ensure these risks are considered in management planning activities and that any influx of peoples into the project area is appropriately handled by the PMO.

Consistent with UNDP’s Information Disclosure Policy, this ESMF will be publicly disclosed to help affected communities and other stakeholders understand the risks and impacts of proposed activities under the Project. UNDP will ensure that information on the Project, including its risks and potential impacts, will be made available in a timely manner, in an accessible place, and in a form and language understandable to affected stakeholders, including the general public. Means of dissemination include posting on websites, public meetings, newsprint, television and radio reporting, social media, flyers and local displays.

## Potential Social and Environmental Impacts

The Project uses UNDP’s Social and Environmental Screening Procedure (SESP) to identify potential social and environmental risks and opportunities associated with proposed projects (see annex 4 in ProDoc). The project has been scrutinized as to its type, location, scale, sensitivity and the magnitude of its potential social and environmental impacts. All project components are screened, including planning support, policy advice, and capacity-building, as well as site-specific, physical interventions. Activities that will be completed under project co-financing are also included in the scope of the assessment.

The analysis identified a range of potential social and environmental impacts associated with the project activities. The screening during the PPG phase vis-à-vis UNDP’s SESP overarching principles and Social and Environmental Standards (SES) resulted in an overall social and environmental risk categorization of “Substantial”, since activities under the Project with potential adverse social and environmental risks and impacts are few in number, limited in scale, but potential risk of economic displacement under Standard 5 and the risk of negative impact to ethnic minorities (standard 6) have triggered a substantial risk level, requiring - more safeguard assessment such as the participatory Ecological Corridor Feasibility Assessments and the Baseline Habitat Survey s, which will include ESIA considerations. After project design efforts will be readily addressed through application of good international practice, mitigation measures and stakeholder engagement during Project implementation.

The SESP (see annex 4 in ProDoc) summarizes the potential environmental and social risks of the Project. The level of significance of potential social and environmental risks were rated, based on the extent of impact and likelihood of occurrence, as low, moderate, substantial or high. Based on the significance of each of the 8 potential risks, the overall SESP risk categorization has been rated “Substantial”. A synthesis of the key project activities with potential social and environmental impacts is shown in Table 1.

**Table 1: Summary of main project activities resulting in potential social and environmental impacts.**

See ProDoc Annex 4 for more detail for potential risks and mitigation measures (only those rated moderate or high are shown below).

| **Project outcomes** | **Associated SESP risk** | **Safeguards risk assessment and management** | **Time For delivery as per project Workplan** |
| --- | --- | --- | --- |
| **Outcome 1.1: Intersectoral coordination and policies supporting biodiversity conservation through integrated approaches improved** | Risk 1: Economic displacement- Communities in the project area could face economic displacement because of the expansion of the NP system, e.g., through restricted/altered use of access to land and resources. Certain land use activities would likely be prohibited as part of the process of transferring collectively held land to the state, but the residents might be allowed to continue to live in their dwellings. These impacts could affect men differently than women.  Protected area management activities of the Giant Panda NP have involved and could continue to involve economic displacement due to diminished access to assets that leads to loss of income sources or means of livelihood for affected communities.  Risk 5: COVID Exposure: The project could potentially involve risks of vector-borne disease due to a prolonged or recurrent outbreak of the COVID-19 pandemic or similar crisis. Members of the project implementing team, stakeholders involved in execution of project activities, and local community members may be at a heightened risk of exposure to COVID-19 through stakeholder consultation meetings, workshops, trainings, field interventions, etc. | Conduct a Strategic Environmental and Social Assessment (SESA), providing guidance on incorporating social and environmental considerations into policy measures (indicative outline available in Annex 1 to the ESMF).  Adaptive management measures will be implemented to reduce the risk of virus exposure during a potential prolonged or recurrent COVID-19 pandemic, or similar crisis.  Mitigation measures outlined in the COVID-19 Action Framework will be implemented accordingly, e.g., ensuring physical distancing, providing personal protective equipment, avoiding non-essential travel, delivering training on risks and recognition of symptoms, etc. Virtual meetings will be held where feasible. It also includes measures to mitigate risks of vector-bone diseases, and to address opportunities in conservation of wildlife and other biodiversity resources. | Y1 Q3 – Y3 Q1 |
| **Outcome 1.2: Mainstreaming wildlife conservation and sustainable management in Giant Panda National Park and primate conservation in Yunnan** | Risk 1: Economic displacement- Communities in the project area could face economic displacement because of the expansion of the NP system, e.g., through restricted/altered use of access to land and resources. Certain land use activities would likely be prohibited as part of the process of transferring collectively held land to the state, but the residents might be allowed to continue to live in their dwellings. These impacts could affect men differently than women.  Protected area management activities of the Giant Panda NP have involved and could continue to involve economic displacement due to diminished access to assets that leads to loss of income sources or means of livelihood for affected communities.  Risk 2: Women discrimination. Project activities and approaches might not fully incorporate or reflect views of women and girls and ensure equitable opportunities for their involvement and benefit; and there is a risk that a prolonged or recurrent COVID-19 pandemic would exacerbate gender inequality.  Risk 5: Covid Exposure. The project could potentially involve risks of vector-borne disease due to a prolonged or recurrent outbreak of the COVID-19 pandemic or similar crisis. Members of the project implementing team, stakeholders involved in execution of project activities, and local community members may be at a heightened risk of exposure to COVID-19 through stakeholder consultation meetings, workshops, trainings, field interventions, etc. | * Implement and incorporate consideration of the Strategic Environmental and Social Assessment (SESA), providing guidance on incorporating social and environmental considerations into policy measures (indicative outline available in Annex 1 to the ESMF). * PPG consultations were made with representatives of the All China Women’s Federation in Sichuan and Yunnan provinces, and in 6 villages located within the proposed ecological corridor for the Tianchi South intervention site. Based on feedback collected from the stakeholder and community consultations and desk review, a comprehensive Gender Analysis was completed in the two demonstration areas and in the broader biodiversity conservation sector. * Mitigation measures outlined in the COVID-19 Action Framework will be implemented accordingly, e.g., ensuring physical distancing, providing personal protective equipment, avoiding non-essential travel, delivering training on risks and recognition of symptoms, etc. Virtual meetings will be held where feasible. It also includes measures to mitigate risks of vector-bone diseases, and to address opportunities in conservation of wildlife and other biodiversity resources. | Y2 Q3 – Y3 Q4 |
| **Outcome 2.1: Increased management effectiveness across the protected areas in the two demonstration areas** | Risk 3: Poorly designed or executed project activities could have inadvertent impacts to environmentally sensitive areas, generate construction waste and affect community health. | * Upstream Risks for policies, plans and programmes that may impact on biodiversity and protected area will be treated by the Strategic Environmental and Social Assessment developed under , providing guidance on incorporating social and environmental considerations into policy measures). Findings will then be incorporated into the capacity development program in the two demonstration areas. * Biophysical characteristics of the two demonstration areas have been assessed and described in the Landscape Profiles and Management Effectiveness Tracking Tool (METT), * The ESMF provides further guidance on screening and assessment of capacity building needs and safeguards requirements. | Y3 Q1 – Y3 Q4 |
| **Outcome 2.2: Connectivity between patches of key protected wildlife habitats targeted for improvement through the creation of ecological corridors** | *Risk 1 – Economic resettlement*: Vulnerable or marginalized groups, including ethnic minorities, might face restrictions in access to resources, and anticipated livelihood benefits to local people, which are primarily composed of ethnic minorities, might not materialize as planned, potentially leading to economic displacement.  *Risk 3* - Poorly designed or executed project activities: could have inadvertent impacts to environmentally sensitive areas, generate construction waste and affect community health.  *Risk 4 – hazards:* The project intervention sites and workers are subject to hazards such as earthquakes, floods, landslides, and wildfire, and certain project outputs, e.g., habitat restoration are vulnerable to potential impacts of climate change.  *Risk 6 – Cultural heritage:* The project may potentially involve activities adjacent to cultural heritage sites and have inadvertent adverse impacts on these sites.  *Risk 8* –Adherence to SES: Activities funded under investment assistance delivery mechanisms may be carried out without full adherence to UNDP SES. | Downstream risks of for project sites will be assessed in Outcome 2, The Participatory Ecological Corridor Feasibility Assessments must comply with ESIA requirements (see proposed outline in annex 5 in this ESMF). These will screen risks of the creation of ecological corridors according to the SESP and will respectively identify the exact area for the corridors development activities.  Findings and mitigation measures will be included into the Ecological Corridor Strategies and Action Plans (See output 2.2 and annex 3 of this ESMF), which will serve as Environmental and Social Management Plans (ESMPs) for the Corridors development activities.  Furthermore, with respect to risks associated with ethnic minorities, a framework approach has been concluded most appropriate for this stage, considering that consultations have not yet been conducted with each of the communities where the project interventions are planned (see Annex 8. Stakeholder consultations during PPG). An Indigenous People Planning Framework has been prepared including details of the process of the FPIC implementation which will be produced before any activity potentially affecting ethnic minorities takes place (see ESMF and IPPF sections on risk 1 and procedures for FPIC in Section 6 of the IPPF). | Y1Q4 - Y6Q4 |
| **Outcome 2.3: Key wildlife habitat enhanced through restoration measures** | *Risk 1 – Economic resettlement*: Vulnerable or marginalized groups, including ethnic minorities, might face restrictions in access to resources, and anticipated livelihood benefits to local people, which are primarily composed of ethnic minorities, might not materialize as planned, potentially leading to economic displacement.  *Risk 3* - Poorly designed or executed project activities: could have inadvertent impacts to environmentally sensitive areas, generate construction waste and affect community health.  *Risk 4 – hazards:* The project intervention sites and workers are subject to hazards such as earthquakes, floods, landslides, and wildfire, and certain project outputs, e.g., habitat restoration are vulnerable to potential impacts of climate change.  *Risk 6 – Cultural heritage:* The project may potentially involve activities adjacent to cultural heritage sites and have inadvertent adverse impacts on these sites.  *Risk 8* –Adherence to SES: Activities funded under investment assistance delivery mechanisms may be carried out without full adherence to UNDP SES. | Downstream risks of for project sites will be assessed in Outcome 2, through the Degraded Habitat Assessment, which will comply with ESIA requirements (see proposed outline in annex 5 in this ESMF). These will screen risks of the creation of restoration activities according to the SESP and will respectively identify the exact area and modality for the restoration activities.  Findings and mitigation measures will be included into the Ecological Corridor Strategies and Action Plans and the Degraded Habitat Restoration Plan (See output 2.2 and annex 4 of this ESMF), which will serve as Environmental and Social Management Plans (ESMPs) for the Restoration activities in the respective landscapes.  Furthermore, with respect to risks associated with ethnic minorities, a framework approach has been concluded most appropriate for this stage, considering that consultations have not yet been conducted with each of the communities where the project interventions are planned (see Annex 8. Stakeholder consultations during PPG). An Indigenous People Planning Framework has been prepared including details of the process of the FPIC implementation which will be produced before any activity potentially affecting ethnic minorities takes place (see ESMF and IPPF sections on risk 1 and procedures for FPIC in Section 6 of the IPPF). | Y1Q4 - Y6Q4 |
| **Outcome 2.4: Gender responsive- and community-based co-management, and sustainable utilization of natural resources among the project intervention sites providing socioeconomic benefits to local communities** | *Risk 1 – Economic resettlement*: Vulnerable or marginalized groups, including ethnic minorities, might face restrictions in access to resources, and anticipated livelihood benefits to local people, which are primarily composed of ethnic minorities, might not materialize as planned, potentially leading to economic displacement.  Risk 2 – Gender Inequality: Project activities and approaches might not fully incorporate or reflect views of women and girls and ensure equitable opportunities for their involvement and benefit; and there is a risk that a prolonged or recurrent COVID-19 pandemic would exacerbate gender inequality.  *Risk 6 – Cultural heritage:* The project may potentially involve activities adjacent to cultural heritage sites and have inadvertent adverse impacts on these sites.  *Risk 8* –Adherence to SES: Activities funded under investment assistance delivery mechanisms may be carried out without full adherence to UNDP SES. | Results of the scoped assessments will be targeted by the Business Plans for Nature-Based Livelihood Development (see outline in annex 2) to manage the case of specific impacts on ethnic minorities and economic displacement,  The IPPF provides guidance on the timing for further assessments and free, prior, and informed consent (FPIC) consultations and describes roles and responsibilities and budgeting. FPIC consultations will be made as part of the Business Plans for Nature-Based Livelihood Development , but the process of informing and obtaining consent will start before, through the participatory Ecological Corridor Feasibility Assessments and the Degraded Habitat Site Assessments. The IPPF includes management measure and proposed approach to strengthen governance structure of ethnic minorities, and related issues with representativeness (if any).  Safeguard measures developed by co-financing partners, including governmental entities and civil society organization will assessed by the Safeguard contractor and will be reviewed by the project management team and UNDP to ensure adherence with UNDP’s SES policy prior to initiating work on the ground. | Y1Q4 - Y6Q4 |
| **Outcome 3.1: Data management and information technology capabilities and identification of use cases of frontier technologies and innovations for wildlife conservation** | The project mainstreams sustainability and resilience through the application of frontier technologies and innovations for wildlife conservation, while this is expected to only have positive implication, the application of frontier technologies may lead to negative effects on human rights. | The project aims to harness the benefits of frontier technologies to demonstrate cost-effective and innovative ways of managing wildlife in broad multi-use landscapes. Project communication and knowledge management activities will strengthen local environmental management capacities and will raise awareness of and support for conservation and sustainable use of biodiversity among policy makers and the general public  The overall Substantial rating is consistent with the demonstration focus of the project, i.e., demonstrating integrated, multi-stakeholder approaches and deployment of emerging frontier technologies. The spatial scale of the demonstrations is limited, as are the number of potentially affected people.  The SESP includes risks associated with COVID-19, and specific mitigation measures are described in the COVID-19 Analysis and Action Framework in Annex 14. |  |
| **Outcome 4.1: Adaptive management enhanced through safeguards management, sustainability planning, and monitoring & evaluation** | Risk 7 - Workers health and safety: Engagement of community workers may involve working conditions that do not meet national labor laws or international commitments and may involve occupational health and safety risks due to physical hazards.  *Risk 8* –Adherence to SES: Activities funded under investment assistance delivery mechanisms may be carried out without full adherence to UNDP SES. | These sections will cover topics such as training, sharing information to the workers, describing the project’s Grievance Redress Mechanism, etc.). Field activities will not start prior to approval of the restoration plans and wildlife crossing structure designs by the Implementing Partner and UNDP. The ESMF provides guidance on the development of management measures to mitigate risks to community health, safety and security. The project Field Officers will support monitoring and evaluation in the field, inspecting project interventions, and communicating with the Demonstration Area Coordinators, nature reserve staff, and local government entities. |  |

The 8 potential risks identified in the SESP are further described in this section:

***Risk 1*: *Vulnerable or marginalized groups, including ethnic minorities, might face restrictions in access to resources, and anticipated livelihood benefits to local people, which are primarily composed of ethnic minorities, might not materialize as planned, potentially leading to economic displacement.***

**Overarching Principle: Leave No One Behind:**

**Human Rights** (Question P.3, P.4, P.5, P.6)

**Accountability** (Question P.13, P.14)

**Project-Level Standards:**

**Standard 5: Displacement and Resettlement**

(Question 5.2)

**Standard 6: Indigenous Peoples** (Questions 6.1, 6.3, 6.4, 6.6, 6.9)

**Risk Level: Substantial**

**Risk Assessment:** Of the seven project intervention sites, there are four intervention sites where potential risks of economic displacement to local people and ethnic minorities have been identified, namely Baodinggou NR, Giant Panda NP; Liziping NR, Giant Panda NP; Tianchi NR, Yunnan Province; and, Caojian Forest Farm, Yunnan.

Ineffective engagement of local communities, including ethnic minorities, women, disabled people and other marginalized groups may lead to increased vulnerability. Local communities in and near the project intervention sites were assessed as part of the socioeconomic baseline analyses (i.e., Gender Analysis; Stakeholder Analysis; COVID-19 Analysis; Climate and Disaster Risk Screening; and Landscape profiles). Initial consultations were conducted in some of the communities but not all (further details are available Annex 8. Stakeholder consultations during project preparation grant - PPG). However, FPIC did not start during PPG Phase.

Furthermore, land in China is either owned by the state or by collectives, as outlined in Article 9 (Land Ownership) of the Constitution and Article 205, Part II of the Civil Law which further stipulates state ownership of forest lands. In the project demonstration areas, the collectively held land is appropriated to local communities, regardless of their ethnic group. Stakeholder participation and engagement in projects are well established practices in China. Moreover, ethnic minority groups are generally well represented in the village and township councils in China. Many of the communities in the project demonstration areas include whole villages and townships which are composed of one (or few) minority group/s. However, there is still a tendency to engage in a top-down approach.

Table 2. summarizes type of intervention, its dimension, the estimated number of local people affected, together with the presence of ethnic minorities for each project intervention site.

Table 2: Intervention sites affecting Local communities.

| **Intervention site** | **Province, Protected Area** | **Selection criteria** | **Project interventions** | **Area, ha** | **Est. number of local people affected by project intervention** | **Ethnic minorities among affected local people** |
| --- | --- | --- | --- | --- | --- | --- |
| **Baodinggou NR**  E 103.917  N 31.783 | Sichuan, Giant Panda National Park | -Importance for panda habitat integrity  -Corridor establishment has been indicated as a priority of GPNP.  -Local willingness for the project. | Ecological corridor and habitat restoration to enhance connectivity of fragmented giant panda populations. The establishment of the corridor will entail a multi-stakeholder agreement on grazing management, sustainable agriculture/horticulture, and other land use). Restoration interventions will focus on habitat degraded by unsustainable land use practices, and involve enrichment planting with native tree and shrub species and monitored natural regeneration. There are opportunities to collaborate with the governmental Grain to Green program.  Planned community activities include strengthening and introducing alternative livelihoods, e.g., skills enhancement, ecotourism. | 5,169 ha | 978  (There are two villages near the intervention site: Jingzhou, and Shengli. The cumulative population of these two villages in 2020 was approx. 1,851. Considering the villages are near the proposed corridor, the some of the local people may be affected by and benefit from the project interventions). | More than 95% of the local people in the three villages are from the Qiang ethnic minority. |
| **Liziping NR**  E 102.333  N 29.00 | Sichuan, Giant Panda National Park | -Important for panda habitat integrity  -Corridor establishment has been indicated as a priority of GPNP.  -Local willingness for the project. | Ecological corridor (Tuowushan Habitat Corridor) and habitat restoration to enhance connectivity of fragmented giant panda populations. The establishment of the corridor will entail a multi-stakeholder agreement on grazing management, sustainable harvesting of NTFPs, agricultural land use, etc.). Restoration interventions will focus on habitat degraded by former unsustainable land use practices, and involve enrichment planting with native tree and shrub species and monitored natural regeneration.  Planned community activities include strengthening and introducing alternative livelihoods, e.g., beekeeping, cultivation of Chinese medicinal herbs, mushroom planting, fruit tree planting, improved livestock management. | 3,273 ha | There are two villages in / near the intervention site: Lizi village has 312 HHs, 1,074 people in 2017, Menghuo village had 150 HHs and 603 people in 2017. An estimated 339 of these people are may be affected by and benefit from the project) | 99% of the local people in the Lizi and Menghuo villages are of the Yi ethnic minority. |
| **Caojian FF**  E 99.079  N 25.723 | Yunnan, Caojian Forest Farm | 1) Important habitat of key primates species in China.  2) Habitat of fragmentation and loss due to human activities, such as grazing land expansion, fire, grazing under forest, and collection, as well as hunting for other wildlife species. And without management of PA.  3) The northmost habitat for Western crested gibbon has no monitoring and research.  4) Habitat restoration of gibbon in this area will benefit to enhancing awareness of wildlife conservation from site level, province to nation level. | Restoration of degraded gibbon habitat in the north edge of the Caojian Forest Farm, involving rehabilitating land damaged from a fire that occurred about 10 years ago and also from over-grazing by livestock. Restoration is planned to involve enrichment planting of native species and monitored natural regeneration. The restoration work will likely be made by forest farm workers supported by people from the local community/village. Other activities involving the local community entail strengthening and introducing alternative livelihoods, e.g., fruit tree planting, cultivation of Chinese medicinal herbs, improved livestock management, and ecotourism. | 200 ha | There is one village near the intervention site from Yunlong county: Caojian village had a population of 12,009 in 2019. | More than 85% of the local people in Caojian village are of Bai, Achang, and Yi ethnic minority groups. |
| **Tianchi NR**  E 99.217  N 26.046 | Yunnan, Tianchi Nature Reserve | 1) The southernmost habitat of key primates black-and-white snub-nosed monkeys.  2) Habitat of black-and-white snub-nosed monkey in its southernmost range suffer serious fragmentation and loss, the two southernmost populations are isolated.  3) Habitat restoration and ecological corridor establish for these key primates involving cross-sector plan and action.  4) Community sustainable development will benefit wildlife conservation, and the way for resource sustainable use and management in the habitat area of key primates are importance for long-term population and habitat management. Which will mainstream wildlife conservation. | Ecological corridor and habitat restoration to enhance connectivity of fragmented snub-nosed monkey populations. The establishment of the corridor will entail a multi-stakeholder agreement on grazing management and other land use, etc.). Apart from the reaching agreement on land use practices, two overline wildlife crossings are planned to facilitate safe passage of the monkeys across two town roads. Restoration interventions will focus on habitat degraded by former over-grazing and also forest land damaged by a wildfire in 1980 in the vicinity of Mt. Longma. Planned restoration activities will involve enrichment planting with native species and monitored natural regeneration; local people from nearby villages are envisaged to take part in the restoration activities. The overline crossings will be contracted through competitive bidding.  Other planned community activities include strengthening and introducing alternative livelihoods, e.g., fruit tree planting, cultivation of Chinese medicinal herbs, improved livestock management, and ecotourism. | 3,300 ha corridor;  500 ha restoration | There are six villages in the vicinity of the intervention sites: Longfei, Dagonchang, Jiancao, Shijing, Tiandeng, and Shaoshang. The cumulative population of these six villages in 2021 was approx. 10,853. We estimate that approx. 830 of these people would be affected by and benefit from the project. | More than 85% of the local people in the six villages in the vicinity of the intervention sites are of the Bai, Lisu, Yi, and Miao ethnic minority groups. |

Due to the COVID outbreak, FPIC consultation did not start during PPG Phase. Nonetheless, local residents, mostly ethnic minorities, have been sensitized to land use restrictions in and near the protected areas, but some of the unsustainable activities have been persistent, including unauthorized livestock grazing for the need of basic livelihoods. Assessment of potential risks were based on consultations with local government units, nature reserve management bureaus and members of local communities. At the village level major benefits derived from the project would include higher incomes and well-being derived from increased and diversified sustainable production and post-production practices.

According to information available at PPG, the other three intervention sites (Wolong NR, Daxiangling NR, Baishuihe NR, see Table 2 below for details) do not pose a risk of economic displacement to local people or minority groups as they are very remote, with the closest villages located several kilometers away from the edge of the Natural Reserves. Also, the current regulations and the nature reserves (NR) management plans are very strict and production activities are simply not allowed.

Table 3 - Project sites not affecting local communities

| **Intervention site** | **Province, Protected Area** | **Selection criteria** | **Project interventions** | **Area, ha** | **Est. number of local people affected by project intervention** | **Ethnic minorities among affected local people** |
| --- | --- | --- | --- | --- | --- | --- |
| **Wolong NR**  E 103.183  N 31.083 | Sichuan, Giant Panda National Park | -Important for panda habitat integrity.  Opportunity to develop best practice in restoration of unsuccessful mono-culture approaches.  -Restoration has been included in a masterplan of GPNP.  -Local willingness for the project. | Restoration of degraded habitat in the Qionglai Mountains, including conversion of an unsuccessful mono-culture plantation of *larix kaempferi* into a mixed species forest. The intervention is planned at a remote area inside the Wolong Nature Reserve. | 985 ha | None  (The nearest villages, Wolong and Gengda, are located approx. 3 and 2 km, respectively, from the edge of the nature reserve. Considering these villages are located outside the reserve, local people are not expected to be affected by the project intervention.) | Not applicable.  (The Wolong and Gengda villages are composed of 80% Tibetan and Qiang ethnic minorities.) |
| **Daxiangling NR**  E 102.667  N 29.583 | Sichuan, Giant Panda National Park | -Important for panda habitat integrity.  Opportunity to develop best practice in restoration abandoned mining sites.  -Restoration has been included in a masterplan of GPNP.  -Local willingness for the project. | Restoration of degraded habitat in the Niba Mountains, involving rehabilitating abandoned mining (marble) sites by enrichment planting of native species and monitored natural regeneration. The intervention is planned at a remote area inside the Daxiangling Nature Reserve. | 500 ha | None  (There is one village, Shuanglin, located about 2 km from the edge of the nature reserve. In 2020 this village had 51 HHs and 255 people. Considering the Shuanglin village is located outside the reserve, local people are not expected to be affected by the project intervention.) | Not applicable.  (There are limited numbers of ethnic minorities in this area; the Shuanglin village is composed primarily of Han people.) |
| **Baishuihe NR**  E 103.817  N 31.333 | Sichuan, Giant Panda National Park | -Important for panda habitat integrity.  -Opportunity to develop best practice in restoration of earthquake damaged habitat.  -Restoration has been included in a masterplan of GPNP.  -Local willingness for the project. | Restoration of degraded habitat in the Longmen Mountains, involving rehabilitating landslide related damage from a major earthquake in 2008, by enrichment planting of native species and monitored natural regeneration. The intervention is planned at a remote area inside the Baishuihe Nature Reserve. | 531 ha | None  (There is one village, Baoshan, located about 3 km from the edge of the nature reserve. In 2020 this village had a population of 2,098. Considering the Baoshan village is located outside the reserve, local people are not expected to be affected by the project intervention.) | Not applicable  (There are limited numbers of ethnic minorities in this area; the Baoshan village is composed primarily of Han people.) |

The Baseline habitat survey will also cover the three intervention sites that are not expected to affect local population as surrounding livelihoods may still depend on the natural resources in the targeted demonstration sites. This implies that available information will require ground-truthing during early implementation before any activity in the 3 sites takes place.

This risk is rated as “Substantial” due to the potential economic displacement that would affect ethnics minorities. Initial consultations were conducted in some of the communities but not all (See Stakeholder consultations during project preparation grant in Annex 8 of the ProDoc), FPIC did not start during PPG Phase.

The project intends to strengthen opportunities for sustainable livelihoods in areas outside of the protected areas/between different habitats, which could have the added benefit of offering alternative livelihoods to those currently relying on protected areas and reduce pressures on critical habitats through unsustainable activities. The project will provide opportunities for local people to be involved in capacity building activities aimed at strengthening their existing or introducing new close-to-nature livelihood models, including joint management of natural resources, organic farming, ecotourism, certification schemes and alternative livelihood cooperatives, etc. Under the current conditions in China, one of the biggest barriers hindering economic prosperity in rural area is that farmers, especially women and ethnic minority farmers often have limited access to green supply chains, lack financial management skills, and are uninformed of real-time market information and of partnership opportunities.

The local communities in the demonstration areas are sensitized to land use restrictions associated with the protected areas; however, there remain issues in some areas, e.g., such as unauthorized livestock grazing in and near the nature reserves. Ineffective engagement of local communities, including ethnic minorities, women, disabled people and other marginalized groups may lead to increased vulnerability and to economic displacement (loss of assets or access to assets that leads to loss of income sources or means of livelihood).

Upstream Risks for policies, plans and programmes that may impact on Economic resettlement and ethnic minorities will be treated by the Strategic Impact Assessment considerations, developed as part of the Cross-sectoral strategy and action plan under Output 1.2)

Downstream risks for project sites will be further assessed in Outcome 2, Activity 2.2.1.3 (Yunnan Province) and 2.2.2.3 (Sichuan Province) will develop Participatory Ecological Corridor Feasibility Assessments and the Baseline habitat survey (Activity 2.3.1.2 for Yunnan and Activity 2.3.2.3 for Sichuan),will include ESIA consideration, and will identify the exact area for the corridors and restoration activities. These assessments will also cover the three intervention sites that are not expected to affect local population as regardless of the distance, surrounding livelihoods may still depend on the targeted demonstration sites and available information will require ground-truthing before any activities take place.

Participatory Ecological Corridor Feasibility Assessments, which will comply with Environmental and Social Impact Assessment for the proposed ecological corridors and will assess the risks to vulnerable or marginalized groups, including ethnic minorities, which might face restrictions in access to resources.

With respect to risks associated with ethnic minorities, a framework approach has been concluded most appropriate for this stage, considering that consultations have not yet been conducted with each of the communities where the project interventions are planned. Preliminary consultations (see Annex 8. Stakeholder consultations during PPG) took place as a means of gauging initial interest, support, needs, requests and concerns over the proposed activities. The Indigenous People Planning Framework developed during PPG phase maps out the initial plan for how FPIC will be implemented during project implementation. However due to the remoteness of some ethnic group, FPIC with all affected communities did not start during PPG Phase. The Indigenous People Planning Framework also includes details of the process of the FPIC implementation which will be produced before any restoration activity takes place.

**Management measures:** The project will set up a multi-sector coordination mechanism to explore feasibility either to change land use plans for instance converting agriculture land to forestry land or improve productive management of relevant sectors for instance making incentive policy for controlling livestock grazing in the corridor areas. These wildlife-friendly practices may be taken into local land use plans and sectoral plans. The good practices on the sites will be demonstrations of the cross-sectoral strategies and action plans on the ground under Outcome 1.2. will include recommendations developed under Activity 1.1.2.2. Conduct a Strategic Environmental and Social Assessment (SESA), providing guidance on incorporating social and environmental considerations into policy measures).

Risk of Economic displacement will be addressed by the Plans for Nature-Based Livelihood Development (Outputs 2.4.1 and 2.4.2) which will include an associated IPP to address risks for ethnic minorities and the requirement for FPIC before key wildlife habitats are enhanced through restoration measures. The project engagement approach with pro-poor cooperatives and agro-businesses will be based on informed consultations to ensure that particular livelihood strategies of the different ethnic groups are taken into account, where existing. Even though an FPIC agreement will not be signed, since there are no traditional institutions and authorities to provide for a such signature at this stage, FPIC principles will as such be followed in the planning and formulation of project interventions.

The project will provide opportunities for local people to be involved in capacity building activities aimed at strengthening their existing or introducing new close-to-nature livelihood models, including joint management of natural resources, organic farming, ecotourism, certification schemes and alternative livelihood cooperatives, etc. By facilitating linkages to local cooperatives and women’s groups and ecologically conscious private enterprises which are closer to the marketplace, the prospects of their income generation capabilities and assets accumulation will be substantially improved. Apart from these monetary gains, i.e., increased financial capital, the local direct beneficiaries will gain non-monetary benefits. Joint management of natural resources and improved nature conservation are expected to restore ecosystem functions and services, resulting in improved land productivity, water quality, climate regulation services, erosion control capabilities, etc. These improvements will generate increased nature capital of the local communities.

The procedures outlined in the ESMF will guide the implementation of the livelihood improvement activities ensuring equitable sharing of benefits.

Findings and mitigation measures will be included into the Ecological Corridor Strategies (see activities 2.2.2.4 and 2.2.2.5) and Action Plans and the Degraded Habitat Restoration Plan (2.3.2.2. and 2.3.2.3), which will respectively serve as Environmental and Social Management Plans (ESMPs, see annex 3 and 4) for the Corridors development and the Restoration activities. As Standard 6 clearly mentions that “Project activities that may adversely affect the existence, value, use or enjoyment of indigenous lands, territories or resources are not conducted unless agreement has been achieved through the FPIC process” an Indigenous people plan for each demonstration sites that affects ethnic minorities, including detailing the process of the FPIC implementation plan will be produced before any activity takes place.

The following activities will not be commenced until suitable, agreed FPIC is in place:

* Output 2.2.1. Ecological corridor established to link key primate habitats in Yunlong County, Dali Bai Autonomous Prefecture, Yunnan Province, consistent with the cross-sectoral strategy and action plan developed in Output 1.2.1.

Output 2.2.2. Connectivity of isolated panda habitats in the Giant Panda National Park enhanced through establishing two ecological corridors, consistent with the cross-sectoral strategy and action plan developed in Output 1.2.2

* Output 2.3.1. Restoration of key primate habitat undertaken in Yunlong County, Dali Bai Autonomous Prefecture, Yunnan.
* Output 2.3.2. Degraded panda habitats undergoing restoration in the Giant Panda National Park through biological/ecological engineering and other technical measures
* Output 2.4.1. Ecological goods and services, including nature-based tourism, certification schemes and organic farming, in place to generate alternative income streams for local communities.
* Output 2.4.2. Alternative livelihood social associations established and/or strengthened in the demonstration areas.

The IPPF provides guidance on the timing for further assessments and free, prior, and informed consent (FPIC) consultations and describes roles and responsibilities and budgeting. FPIC consultations will be made as part of the Business Plans for Nature-Based Livelihood Development , but the process of informing and obtaining consent will start before, through the participatory Ecological Corridor Feasibility Assessments and the Degraded Habitat Site Assessments. The IPPF includes management measure and proposed approach to strengthen governance structure of ethnic minorities, and related issues with representativeness (if any).

Results of the FPIC consultations will be recorded in Ecological Corridor Strategies and Action Plans and the Degraded Habitat Restoration Plans. Field interventions will not commence prior to the application of the FPIC principles at the intervention sites.

The ESMF and the project Stakeholder Engagement Plan include descriptions of the project’s comprehensive grievance redress mechanism (GRM), which emphasizes utilizing existing local mechanisms. The GRM also includes a process to lodge anonymous complaints, and provides a simple and accessible platform to local communities and others. Stakeholder analysis and engagement is conducted in a gender-responsive, culturally sensitive, non-discriminatory, and inclusive manner, ensuring that potentially affected vulnerable and marginalized groups are identified and provided with opportunities to participate. Measures will be undertaken to ensure that effective stakeholder engagement occurs where conditions for inclusive participation are unfavorable. Specific procedures for developing those measures in compliance with Standards 5 and 6 are detailed in table 7 of this report. Box 1 below outline the requirements of the relevant standards;

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| **Specific requirements of Standard 5 on Resettlement and displacement:**  Requirements of this Standard 5 to all activities that may involve physical or economic and occupational displacement. No activity under the project will involve physical displacement. There are risks for economic displacement associated with the proposed four ecological corridors (two in Sichuan and two in Yunnan) and the habitat restoration in the Caojian Forest Farm in Yunnan. The project strategy has a strong emphasis on strengthening livelihood opportunities for local communities, in order to reduce pressures on critical habitats through unsustainable activities. Proposed activities under Outputs 2.4.1 and 2.4.2 include Market Assessments for Nature-based Livelihood Development.  The following standards requirements will be applied:   * Applies economic resettlement due to land use or access to resources, incl. from associated facilities or activities that occur in anticipation of project * Prohibit forced evictions, allowing evictions only in exceptional circumstances meeting lawful evictions criteria * Mitigate impacts where avoidance is not possible and demonstrate land acquisition/restrictions limited to direct project requirements * Utilize experience professionals in establishing baselines, designing displacement activities, assessing risks/impacts * Identify affected persons, lands, assets through census, socioeconomic surveys, asset inventories (incl claims of affected groups not present (seasonal resource users) * Provide written justification and disclose action plan in advance of displacement activities (e.g. ate least 90 days) * Ensure access to effective remedies and legal counsel * Ensure meaningful consultations and good-faith efforts to secure negotiated settlements * Evaluate livelihood levels ex-post to see if S5 objectives met * RAP and LAP (or equivalent) to address general reqs: * determine eligibility, cutoff dates, entitlements for all categories of affected persons. * provide (a) fair and just compensation at full replacement cost for loss property or goods, provided prior to resettlement (may be collective); (b) transitional support (financial and in-kind) per reasonable estimates on time to restore and improve income-earning capacity, levels, standards of living; (c) development assistance (land development, credit, direct benefits, training, employment opportunities, expertise, as appropriate. The combination of a, b, c will seek to improve pre-displacement productive capacity and earning potential * provide secure access to necessary services (food, water shelter, energy, sanitation); * consider gender aspects, recognizing women and men as co-beneficiaries, providing single women with own compensation * ensure impoverished individuals marginalized and disadvantage persons/groups have equal access to benefits and resources * avoid discriminatory activities and pay particular attention to the needs of marginalized and disadvantaged people   Where economic displacement with significant impacts, action plan also addresses:   * compensate for all commercial losses (incl costs of transfer and reestablishing commercial activity, lost net income during transition, lost employee wages) and other assets such as crops, irrigation infrastructure, other improvements * provide replacement property of improved value where legitimate tenure rights restricted. Provide replacement agricultural sites of superior productive potential wherever possible, incl through investments to increase productivity). Where clearly demonstrated replacement land and resources unavailable, offer cash compensation at full replacement cost and options and support for alternative income earning w/ evidence of mutual agreement * compensate those without recognized land claims for lost assets other than land, at full replacement cost   where affected livelihoods natural resource-based, offer replacement land and access to alternative resources with combination of productive potential, locational advantage, other factors with improved livelihood-earning potential and accessibility, wherever feasible. allow continued access or to alternative resources with equivalent earning potential. Provide alternative income earning opportunities and support if demonstrably not possible to provide replacement land and resources  **Specific requirements of standard 6 on Indigenous Peoples:**  The Standard applies to the Project since this may affect the human rights, natural resources, territories, Cultural Heritage and / or traditional livelihoods of ethnic minority peoples. Furthermore, the following standards requirements will be applied:   * Recognize IPs have collective rights to own, use, develop, control lands, territories, resources, they have traditionally owned, occupied, otherwise used or acquired * Develop an action plan for achieving legal recognition of IP ownership of land for projects contingent on such legal status. * No forcible removal of IPs from lands. No relocation without FPIC and only after just and fair compensation, with option of return where possible * Agreement through FPIC process required before activities commence which propose development, utilization or exploitation of mineral, forest, water or other resources on IP lands/territories or adversely affect existence, value, use, enjoyment of IP lands, territories resources * Ensure agreements on equitable benefit sharing reached with IPs in culturally appropriate and inclusive manner   IPP requires for projects that affect IP rights, lands, territories, resources. IPP developed through meaningful participation |

***Risk 2:* *Project activities and approaches might not fully incorporate or reflect views of women and girls and ensure equitable opportunities for their involvement and benefit; and there is a risk that a prolonged or recurrent COVID-19 pandemic would exacerbate gender inequality.***

**Overarching Principle: Leave No One Behind:**

**Gender Equality and Women’s Empowerment** (Questions P.10, P.11)

**Risk Level: Moderate**

**Risk Assessment** During the project development phase gender consultations were carried out by the PPG team, with institutional and NGO proponents in the two demonstration areas in Sichuan and Yunnan provinces. Among the cumulative total of 199 permanent staff in the five nature reserves (Wolong, Daxiangling, Baishuihe, Baodinggou, and Liziping) in the Giant Panda NP (Sichuan province) demonstration area, 60 or 30% are women, based on 2021 figures. There are 13 women, or 25% of the total combined 51 permanent staff in the Tianchi Nature Reserve and Caojian Forest Farm. PPG consultations were also made with representatives of the All China Women’s Federation in Sichuan and Yunnan provinces, and in 6 villages located within the proposed ecological corridor for the Tianchi South intervention site. Based on feedback collected from the stakeholder and community consultations and desk review, a comprehensive Gender Analysis and Gender Action Plan were completed to provide a situation analysis of the key gender issues in the two demonstration areas and in the broader biodiversity conservation sector, and to provide guidance to the implementation team for ensuring gender equality and women empowerment goals are achieved in the project.

Despite progress made in China with respect to gender equality, there remain challenges, particularly in rural areas, and there is still a gender bias in the upper-middle management levels. Particular attention to ensure project do not discriminate against women and girls or reinforce gender-based discrimination or inequalities. Men tend to dominate many positions in the conservation sector and participate more often than women colleagues in trainings and skill development initiatives. The COVID-19 pandemic could potentially further exacerbate these inequalities, as many women are needing to spend more time at home during restricted movement directives to tend to children and other household duties.

This has affected women’s career prospects negatively. During the COVID-19 lockdown period, many rural migrant male workers have had to remain in the villages with no income. The frustration has led to more cases of gender-based violence in the domestic sphere. These inequalities in the rural areas of China are also relevant among ethnic minority groups, and in some cases more pronounced. For this reason, the Project must ensure that both women and men are able to participate meaningfully and equitably.

During the project development phase gender consultations were carried out by the PPG team, with institutional and NGO proponents both in the in Sichuan and Yunnan provinces. PPG consultations were also made with representatives of the All China Women’s Federation in Sichuan and Yunnan provinces, and in 6 villages located within the proposed ecological corridor for the Tianchi South intervention site.

Based on feedback collected from the stakeholder and community consultations and desk review, a comprehensive Gender Analysis was completed to provide a situation analysis of the key gender issues in the two demonstration areas and in the broader biodiversity conservation sector.

**Management Measures:** A Gender Action Plan is linked to the Stakeholder Engagement Plan and the Indigenous Peoples Planning Framework, it ensures appropriate safeguards are in place to facilitate participatory engagement of women and girls, as well as other vulnerable groups and provides guidance to the implementation team for ensuring gender equality and women empowerment goals are achieved in the project.

The Gender Analysis and Gender Action plan will be regularly reviewed and updated to account for gender differentiated impacts, e.g., regarding the impacts and response to the COVID-19 pandemic.

A gender focus is applied in the project design by responding to the needs of women due to their increasing role in new sustainable livelihoods and business opportunities. Women-led cooperatives and business entities will be given priorities. With improvement of economic empowerment by the project activities, women will be more actively involved in post-production and marketing activities, which will improve their status in the household. Together with their collective participation in cooperative management, women through the project process will increase their capacity to speak out in the community and gradually strengthen their role in the community decision-making. Women’s participation in programme activities will be ensured by applying gender-sensitive M&E indicators.

Gender focal points will be funded by the implementing partner, and will be assigned in the Project Management Office and at each of the six project NRs. The gender focal points will help promote gender issues on the project and assist in the implementation of the Gender Action Plan and monitoring progress towards the achievement of the gender mainstreaming objectives, and advising on training topics and initiatives. The project will use the services of a Gender-Safeguards consultant, who will support the project with delivering gender trainings, carrying out monitoring and evaluation missions, and making recommendations for adaptive management measures to ensure equal access to benefits for women are fulfilled. Moreover, the All-China Women’s Federation will be represented on the multi-stakeholder, cross-sectoral platforms established for each proposed ecological corridor. Finally, the project will include appropriate measures to prevent and address any form of violence and harassment, bullying, intimidation and/or exploitation, including any form of gender-based violence (GBV). The expectation is that gender-based violence caused by COVID-19 might be reduced because of women empowerment and alternative livelihood provided by this project. This will be closely monitored by the PMO gender focal point.

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| **Box 2 - Requirements on Gender Equality and Women’s Empowerment**  The project aims to fully mainstream gender in project interventions, to foster gender equality and women empowerment. To ensure that the project design and activities fully incorporate and reflect the views of women and men, and provide equal opportunities for them to participate and benefit from project activities, a gender analysis was undertaken during the PPG phase. Based on this gender analysis, a comprehensive gender action plan has been developed with specific activities and budget to ensure gender is mainstreamed in all project components, and that the project contributes towards improving gender equality and women’s empowerment in the project sites.   New or enhanced policies that will be developed with project support shall consider and respond to women’s (particularly those in the fisheries and informal sector) needs, issues and well-being. This will include ensuring equitable access, control and use of natural resource, as well as representation of women and men in leadership and decision-making platforms such as project boards, provincial networks and inter-agency enforcement and monitoring mechanisms. The project’s proposed Indigenous Peoples Planning Framework shall also incentivize sustainable production and consumption practices among women and men community members, and enable them to become better stewards of their natural resource base. The project will also contribute to improved community (particularly the youth) awareness and action for nature conservation and ensure that both women and men are able to access, share and apply knowledge relevant to wildlife species and their habitats. |

***Risk 3*: *Poorly designed or executed project activities could have inadvertent impacts to environmentally sensitive areas, or affect community health and generate construction waste.***

**Project-Level Standard:**

**Standard 1: Biodiversity Conservation and Sustainable** [**Natural**](#tyjcwt) **Resource Management** (Questions 1.1, 1.2, 1.3, 1.4, 1.6, and 1.8)

**Standard 3: Community Health, Safety and Security** (Question 3.1, 3.2, 3.3)

**Standard 8: Pollution Prevention and Resource Efficiency** (Questions 8.2)

**Risk Level: Moderate**

**Risk Assessment:** Project activities have been designed to be consistent with UNDP Social and Environmental Standards (SES), namely Standard 1 (SES S1) on Biodiversity Conservation and Sustainable Natural Resource Management. Project activities in or near environmentally sensitive areas require an abundance of caution. Biophysical characteristics of the two demonstration areas have been assessed and described in the Landscape Profiles and Management Effectiveness Tracking Tool (METT) baseline scorecards annexed to the Project Document. The proposed locations for the demonstration ecological corridors and habitat restoration interventions are based on earlier analyses made by the PA management entities in the two demonstration areas.

Albeit the specific design of wildlife crossings to be supported by the project will prioritize low impact cost-effective, low-impact proven technologies (i.e., ropes, nets, fast growing native vegetation, etc.), the deployment of these may result in mismanagement of construction waste. Enhancing connectivity of wildlife species in ecological corridors outside the borders of PAs could result in an increase in human-wildlife conflicts in the adjacent production landscapes. Enhancing nature-based tourism is one of the livelihood options considered in the project. An increase in the numbers of tourists disturbs or damage important habitats. And invasive alien species could inadvertently be introduced as part of the habitat restoration interventions. Enhancing connectivity of wildlife species in ecological corridors outside the borders of PA’s could result in an increase in human-wildlife conflicts in the adjacent production landscapes. While the increased presence of wildlife may generate attraction for illegal trade.

Under outcome 2. participatory Ecological Corridor Feasibility Assessments and baseline habitat survey will include ESIA content and intent in addition to updated threats analyses, consultations with production sector stakeholders, field appraisals of biophysical conditions, and recommendations for enhancing habitat connectivity. With reference to the construction waste and pollution prevention the following Risks will be addressed by the scoped ESIA:

* adverse impacts on ambient conditions and assimilative capacity of environment. Risk on land use, proximity to ecologically sensitive areas, potential for cumulative impacts
* generation of waste (hazardous and non-hazardous, incl plastics), and recover and reuse waste in safe manner
* disposal sites are operated to unacceptable standards

**Management Measures:** The project will set up a multi-sector coordination mechanism to explore feasibility either to change land use plans for instance converting agriculture land to forestry land or improve productive management of relevant sectors for instance making incentive policy for controlling drivers to use the available underground tunnel reducing surface transport on the mountain, limiting tourism activities in panda breeding time. These wildlife-friendly practices may be taken into local land use plans and sectoral plans. The good practices on the sites will be demonstrations of the cross-sectoral strategies and action plans on the ground under Outcome 1.2. will include recommendations provided by the Social and Environmental Strategic Assessment, and will be included in the design of restoration and corridors in the intervention sites.

Based upon the Ecological Corridor Feasibility Assessments, Ecological Corridor Strategies and Action Plans will be developed for the proposed three corridors. Similarly, Degraded Habitat Restoration Plans will be developed based on the information gathered during the PPG phase and the Baseline Habitat Survey. These plans will respectively serve as Environmental and Social Management Plans (ESMPs) for the Corridors development and the Restoration activities. These will be prepared in line with the requirements of UNDP SES S1 and will be reviewed and cleared by UNDP, the Implementing Partner, and the National Commission of Biodiversity Conservation (NCBC), prior to initiating any field interventions. The draft versions of the plans will be prepared in line with the requirements of UNDP SES S1. and reviewed and cleared by UNDP and the Implementing Partner, the National Commission of Biodiversity Conservation (NCBC), prior to initiating any field interventions.

Field work will be made by experienced and qualified service providers and other trained personnel, under the supervision of the local PA management entities. Clear selection criteria and technical specifications will be included into procurement process to ensure that requirements highlighted into Standard 1, 3 and 8, and in the scoped Site Assessments (with ESIA considerations)/ESMPs are adequately cascaded down into the bidding documents of service providers.

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| **Box 3: Main requirements from SES 1, 3 and 8**  **SES1 on Biodiversity Conservation and Sustainable Natural Resource Management.**  The requirements of this Standard apply to projects that are located in modified, natural and critical habitats; and / or potentially impact or are dependent on the ecosystem services of modified, natural, or critical habitats. The project aims to demonstrate establishment and operationalization of ecological corridors in parts of the Giant Panda NP in Sichuan Province and protected area system in the Dali Bai Autonomous Prefecture in Yunnan Province, through multi-stakeholder and cross-sectoral processes. Restoration of degraded habitats is also included in the project strategy. These protected areas are harboring globally significant biodiversity, including the giant panda, black snub-nosed monkey, and the black crested gibbon.  Ecological Corridor Strategies and Action Plans will be developed for the proposed four corridors. Similarly, Degraded Habitat Restoration Plans will be developed, and no field work will be initiated prior to review and approval of the plans by UNDP and Implementing Partner. Field work will be done by experienced and qualified service providers and other trained personnel, under the supervision of the local PA management entities. Furthermore, the following requirements will apply:  - Do not increase the risk of illegal trade of protected species  - No introduction of known invasive species  - No introduction of any alien species w/o risk assessment  - Assess risks of accidental or unintended introduction  - Apply critical habitats requirements. In addition:  - Projects in protected areas to be consistent with area management plans (if they exist)  - Consult area sponsors and stakeholders  - Enhance conservation aims and management of area  - Apply Standard 5 on displacement if adverse impacts from access restrictions  - Avoid adverse impacts on ECS of relevance to affected communities  - Where avoidance is not possible, mitigation and management seek to maintain value and functionality of affected ECS  - Involve and consult communities affected by impacts on ECS  - Ensure equitable benefit sharing in utilization of genetic resources (consistent with Nagoya Protocol). Apply Standard 6 Indigenous Peoples if resources collected from IP lands, territories  **SES 3 on Community, Health, Safety and Security**  Requirements of this Standard apply to projects that may pose significant risks to human health and safety. In this project, more concerning health risks are associated with vector-borne disease due to a prolonged or recurrent outbreak of the COVID-19 pandemic or similar crisis. Adaptive management measures will be implemented to reduce the risk of virus exposure during a potential prolonged or recurrent COVID-19 pandemic, or similar crisis. The COVID-19 Action Framework will be implemented which includes mitigation measures, e.g., ensuring physical distancing, providing personal protective equipment, avoiding non-essential travel, delivering training on risks and recognition of symptoms, etc.  The project Knowledge Management and Communications Strategy, to be completed during project implementation, will include specific considerations for communication, public awareness and exchange of information under these circumstances. Project implementation team will regularly review the risk and update mitigation measures.  Additionally, the following standards requirements will apply:   * Avoid or minimize potential community exposure to health risks and diseases that could result from/be exacerbated by project activities (water-related, vector-borne, communicable, non-communicable, injuries, nutritional disorders, mental health and well-being) * Avoid or minimize transmission of communicable disease associated with influx of project labor * Structural elements that may pose significant health and safety risks are designed by competent professionals; certified by independent professionals; include plans for supervision, operations, maintenance, emergency preparedness; require safety inspections and monitoring * Construction personnel are qualified and trained, and contractors required to appropriately manage health and safety risks   **SES 8 - Pollution Prevention and Resource Efficiency**  Several infrastructure construction works have not yet been designed, mismanagement of construction waste and lack of pollution prevention are to be considered inherent risks. The following standards requirements may apply:   * Avoid, and if not possible, reduce generation of waste (hazardous and non-hazardous, incl plastics), and recover and reuse waste in safe manner * Waste that cannot be recovered/reused must be treated/disposed in environmentally sound manner with control of emissions and residues * If hazardous, ensure environmentally sound disposal, use reputable contractors and obtain chain of custody for third party disposal * Ascertain if licensed disposal sites are operated to acceptable standards |

No invasive alien species (IAS) will be used; particular attention will be given to introducing autochthonous species and propagating local genotypes. Concerns for IAS encroachment will be addressed in the restoration plans, and the project team will liaise with the UNDP-GEF IAS GEF-6 project for technical advisory support.

Resources have been allocated in the project budget for monitoring and reporting on risk mitigation measures and biodiversity conservation actions, enabling timely and informed adaptive management. With reference to the construction waste and pollution prevention the following management measures will be included in the ESMPs:

* address adverse impacts consider ambient conditions and assimilative capacity of environment. Consider land use, proximity to ecologically sensitive areas, potential for cumulative impacts
* Avoid, and if not possible, reduce generation of waste (hazardous and non-hazardous, incl plastics), and recover and reuse waste in safe manner
* Ascertain if licensed disposal sites are operated to acceptable standards

***Risk 4:* *The project intervention sites are subject to hazards such as earthquakes, floods, landslides, and wildfire, and certain project outputs, e.g., habitat restoration, are vulnerable to potential impacts of climate change.***

**Project-Level Standard:**

**Standard 2: Climate Change and Disaster Risks** (Questions 2.1 and 2.2)

**Risk Level: Moderate**

**Risk Assessment**: A Climate and Disaster Risk Screening was prepared during the PPG phase and annexed to the Project Document. The steep and forested terrains in the two demonstration areas are vulnerable to floods, debris flows and landslides and wildfires. In fact, the proposed habitat restoration in the Caojian Forest Farm in Yunnan is at an area damaged by a wildfire approx. 10 years ago. There is a high seismic hazard among the intervention sites within the Giant Panda National Park. The planned habitat restoration in the Baishuihe Nature Reserve (Giant Panda National Park) is at an area that was damaged from a landslide following a large earthquake in 2008. Prior to commencing restoration activities, restoration plans will be developed by specialist professionals. The focus will be on native species that are adapted to local climatic conditions and resilient to climate variations, thus enhancing the likelihood for survival. The restoration plans will be reviewed and approved by the Implementing Partner and UNDP prior to executing the field work.

Other project outputs could also be vulnerable to potential impacts of climate change and local disaster hazards. For example, the frontier technologies deployed to the project intervention sites will need to be designed to be climate-proofed to protect against disaster hazards, e.g., high winds, floods, etc. Deployment plans for the frontier technology systems will be prepared by specialist professionals and approved by the Implementing Partner and UNDP prior to installation in the field.

The design of the wildlife crossing technologies in the Tianchi Nature Reserve will need to take into account climate and disaster risks, e.g., strong winds. The design of the wildlife crossing structures will be made by licensed engineers and approved by the permitting authority, as well as the Implementing Partner and UNDP prior to construction. Specific requirements for climate proofed and anti-seismic infrastructures will also be inserted into the procurement documents.

Worker safety are also subject to hazards which has potential impacts on the workers wellbeing. The project will therefore:

* evaluate hazard safety risks due to construction, including use of appropriate project/sector health and safety assessment and expertise
* consider risks of accidents and natural hazards, avoid exacerbating potential impacts of natural and human-made hazards

**Management measures:** The Climate and Disaster Risk Screening includes a description of risk mitigation measures that will be taken during implementation.

Existing management systems and structures in the project landscapes are incorporated into the risk mitigation measures. These include but are not limited to the following: early warning systems (including automatic weather stations operated by provincial and county level disaster management entities, wildfire lookout towers operated by county forest bureaus), county and village level emergency response teams, fire lines etc.

The restoration plans will include assessments of risks of climate and disaster hazards on the proposed interventions, as well as descriptions of the measures that will be implemented to reduce and manage the identified risks.

Construction of the wildlife crossing structures will be overseen by construction management professionals, ensuring execution according to specifications and assisting with troubleshooting in the field.

The deployment of the frontier technology systems will be made by qualified nature reserve staff or other specialized professionals, and regular monitoring missions will be made to ensure the units are functioning according to plan.

Local disaster management entities will be invited to join the multi-stakeholder coordination groups in the two demonstration areas, promoting regular communication, linkages with existing management systems and training based on the firefighter capacity building plan. Field Officers will support the execution of the project activities, assisting with monitoring and evaluation in the field, inspecting project interventions, and communicating with the Demonstration Area Coordinators, nature reserve staff, and local government entities.

Emergency Preparedness Plan will be incorporated into Ecological Corridor Strategies and Action Plans, Degraded Habitat Restoration Plans which will serve as site specific ESMPs. In summary:

* Structural elements and services to be designed, constructed, operated, decommissioned per national legal regulations, good international practice and relevant international obligations and standards
* Structural elements that may pose significant health and safety risks are to be designed by competent professionals; certified by independent professionals; include plans for supervision, operations, maintenance; require safety inspections and monitoring
* Consideration and measures to address, where relevant, incremental risks of public exposure to accidents, hazards, potential traffic and road safety risks

Further Requirements from UNDP Standard 2 are described in box 4 below, together with other specific requirements

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| **Box 4: SES 2 - Climate Change and Disaster Risks**  Requirements of this Standard apply since Project outcomes may be threatened by climate change or disaster risks. A Climate and Disaster Risk Screening was prepared during the PPG phase which includes a description of risk mitigation measures that will be taken during implementation.  Existing management systems and structures in the project landscapes are incorporated into the risk mitigation measures. These include but are not limited to the following: early warning systems (including automatic weather stations operated by provincial and county level disaster management entities, wildfire lookout towers operated by county forest bureaus), county and village level emergency response teams, etc.  Local disaster management entities will be invited to join the multi-stakeholder coordination groups in the two demonstration areas, promoting regular communication and linkages with existing management systems.  **Other general recommendations for the specific risk of wildfires are:**  REGULATIONS: Check with local authorities for any local regulations concerning wildfire hazard. Ensure that the project conforms to 1) any applicable wildfire land use planning regulations; 2) any applicable building regulations 3) any existing plans for warning and evacuation; and 4) any national laws, regulations and rules.  DO NOT INCREASE HAZARD: Human activities and the operation of certain machinery can increase the potential for wildfire ignition. Policies and procedures should consider the potential for wildfire ignition, particularly during the days where weather conditions are conducive to Wildfire spread. |

***Risk 5:* *The project could potentially involve risks of vector-borne disease due to a prolonged or recurrent outbreak of the COVID-19 pandemic or similar crisis. Members of the project implementing team, stakeholders involved in execution of project activities, and local community members may be at a heightened risk of exposure to COVID-19 through stakeholder consultation meetings, workshops, trainings, field interventions, etc.***

**Project-Level Standard:**

**Standard 3: Community Health, Safety and Security** (Question 3.4)

**Risk Levels:** Moderate

**Risk Assessment:** A COVID-19 Analysis was undertaken during the PPG phase and is annexed to the Project document. The initial responses and measures adopted by China, such as early reporting and situation monitoring, large-scale surveillance, and preparation of medical facilities and supplies, were successful in suppressing the epidemic within a few months following the outbreak in January-February 2020. There continue to be periodic clusters and localized outbreaks, and the government has implemented swift targeted lockdowns and other control measures. According to data on the WHO COVID-19 dashboard, from 03 January 2020 and 20 August 2021, there have been 122,586 confirmed cases with 5,674 deaths.

(<https://covid19.who.int/region/wpro/country/cn>)

**Management measures:** Adaptive management measures will be implemented to reduce the risk of virus exposure during a potential prolonged or recurrent COVID-19 pandemic, or similar crisis.

Mitigation measures outlined in the COVID-19 Action Framework will be implemented accordingly, e.g., ensuring physical distancing, providing personal protective equipment, avoiding non-essential travel, delivering training on risks and recognition of symptoms, etc. Virtual meetings will be held where feasible. It also includes measures to mitigate risks of vector-bone diseases, and to address opportunities in conservation of wildlife and other biodiversity resources.

The project Knowledge Management and Communications Strategy, to be completed during project implementation, will include specific considerations for communication, public awareness and exchange of information under these circumstances. As COVID-19 is an evolving situation and could potentially exacerbate other vulnerabilities and risks, it will be important to remain abreast of the situation during project implementation and regularly review the risk and update mitigation measures as needed.

***Risk 6: The project may potentially involve activities adjacent to cultural heritage sites and have inadvertent adverse impacts on these sites.***

**Project-Level Standards:**

**Standard 4: Cultural Heritage** (Questions 4.1, 4.3)

**Standard 6: Indigenous Peoples** (Question 6.9)

**Risk Level:** moderate

**Risk Assessment:** There is mixed land use in the three planned generally sparsely populated ecological corridors, and the local people are predominately composed of ethnic minorities.

The Participatory Ecological Corridor Feasibility Assessments, an Environmental and Social Impact Assessment for the proposed ecological corridors include an assessment of cultural heritage sites and evaluate specific risks~~,~~  (e.g., excessive presence of tourists or lack of chance find procedures, to establish how chance finds of tangible Cultural Heritage shall be managed, including notification of relevant authorities and stakeholders, avoidance of further disturbance or damage, protection, documentation and assessment of found objects by relevant experts.

**Management Measure:** This ESMF and the IPPF provide~~s~~ guidance on development of management measures to mitigate inadvertent impacts to cultural heritage. Prior to submitting the ecological corridor plans for endorsement/approval by local or provincial government entities, FPIC will be conducted with the ethnic minority groups. This process is described in the Indigenous People Planning Framework annexed to the Project Document.

Prior to submitting the ecological corridor plans for endorsement/approval by local or provincial government entities, FPIC will be conducted with the ethnic minority groups. This process is described in the Indigenous People Planning Framework annexed to the Project Document.

The project will strengthen the protection and inheritance of cultural heritage through various measures, including finding out the basic situation of intangible cultural heritage of all ethnic groups in all sites, preparing the special plan for the protection and utilization of cultural protection resources.

The project will also invite experts to write environmental education readings, one of which focuses on the protection and inheritance of cultural heritage, and carry out relevant publicity activities in the project demonstration sites and relevant primary and secondary schools. The project will also carry out corresponding training for traditional culture, such as embroidery training for women.

The project will strengthen the protection and inheritance of cultural heritage through various measures, including finding out the basic situation of intangible cultural heritage of all ethnic groups in all sites, preparing the special plan for the protection and utilization of cultural protection resources. The project will also invite experts to write environmental education readings, one of which focuses on the protection and inheritance of cultural heritage, and carry out relevant publicity activities in the project demonstration sites and relevant primary and secondary schools. The project will also carry out corresponding training for traditional culture, such as embroidery training for women. Main requirements from SES 4 on cultural Heritage are highlighted in box 5 below.

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| **Box 5: SES 4 requirements on Cultural Heritage**  Requirements of this Standard apply to Cultural Heritage, which includes tangible and intangible heritage. The four ecological corridors planned in the project are situated in areas where the local people are predominately (>85%) composed of ethnic minorities with cultural heritages. Development of the ecological corridor plans will include an assessment of cultural heritage sites, and specific safeguard measures will be formulated, e.g., restricted access by tourists. The development of the corridor plans will be a participatory, multi-stakeholder process, including representation of the ethnic minority groups. FPIC principles will be applied to ethnic minority groups. A multi-tiered Grievance Redress Mechanism (GRM) has been developed to allow stakeholders an easily accessible process for communicating concerns or specific issues and to reach satisfactory resolution through inclusive conflict management measures. Additionally, the following standards requirements will apply:   * Avoid activities that may lead to significant adverse impacts to CH (tangible and intangible) * Include chance find procedures in all plans and contracts regarding project-related construction, incl. excavations, demolitions, movement of earth, flooding, or other changes * Procedures establish how chance finds of tangible CH shall be managed (notification, avoidance of further disturbance or damage, protection, documentation, assessment by experts) * Where potential adverse impacts, engage qualified CH experts and relevant stakeholders in identification, documentation, management * If projects seek to facilitate commercial use of CH for communities as option to consider, do not proceed unless good faith negotiations result in documented outcome and provide for fair and equitable benefit sharing from any commercialization, and appropriate mitigation and safeguarding measures adopted * Ensure meaningful participation of concerned parties where projects involve or affect intangible CH |

The Stakeholder Engagement Plan provides guidance for ensuring effective consultation and engagement with key stakeholders, especially ethnic minorities and local communities.

A multi-tiered Grievance Redress Mechanism (GRM) has been developed to allow stakeholders an easily accessible process for communicating concerns or specific issues and to reach satisfactory resolution through inclusive conflict management measures.

***Risk 7: Engagement of community workers may involve working conditions that do not meet national labor laws or international commitments.***

**Project-Level Standard:**

**Standard 3: Community Health, Safety and Security** (Question 3.1, 3.2, 3.7)

**Standard 7: Labour and Working Conditions** (Questions 7.1, 7.6)

**Risk Level: Moderate**

**Risk Assessment**: The project may involve occupational health and safety risks due to physical hazards and may entail risk of air pollution, noise, vibration, traffic, injuries, physical hazards, erosion, sanitation that, if not adequately addressed, may exacerbate impacts on Community Health, Safety and Security of workers and affected communities. There are two wildlife crossing structures planned at the Tianchi NR intervention site. Construction of these crossings will require working at heights and may entail risk of air pollution, noise, vibration, traffic, injuries, physical hazards, erosion, sanitation that, if not adequately addressed, may exacerbate impacts on Community Health, Safety and Security of workers and affected communities. Execution of the planned restoration work at the degraded forest land at the Baishuihe NR intervention site (Giant Panda NP) will require work on steep terrain. Only Caojian Forest Farm plans to involve community workers in the restoration of the damaged forest land at this intervention site. The restoration area is relatively small (200 ha), and a low number of community workers will likely be involved.

Community workers are planned for only one of the eight project intervention sites. Restoration plans include sections on labor requirements, in accordance with relevant Chinese regulations and UNDP SES 7 (Labor and Working Conditions). These sections will cover topics such as training, sharing information to the workers, describing the project’s Grievance Redress Mechanism, etc.). Field activities will not start prior to approval of the restoration plans by the Implementing Partner and UNDP. Some of the proposed activities involve working on steep terrain and also at heights, however only a low number of people will be involved in these types of activities, and the risks can be managed through ensuring specialist professionals carry out such activities.

Worker safety are also subject to hazards. The project will therefore:

* evaluate hazard safety risks due to construction, including use of appropriate project/sector health and safety assessment and expertise
* consider risks of accidents and natural hazards, avoid exacerbating potential impacts of natural and human-made hazards

**Management measures:** Clear selection criteria and technical specifications will be included into procurement process to ensure that requirements highlighted into Standard 1, 3 (risks of air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation) and 7. Restoration plans and designs of the wildlife crossing structures will include sections on labor requirements, in accordance with relevant Chinese regulations and UNDP SES 3 and 7 (community health, safety and security and Labor and Working Conditions). These sections will cover topics such as training, sharing information to the workers, describing the project’s Grievance Redress Mechanism, etc.). Field activities will not start prior to approval of the restoration plans and wildlife crossing structure designs by the Implementing Partner and UNDP.

The project Field Officers will support monitoring and evaluation in the field, inspecting project interventions, and communicating with the Demonstration Area Coordinators, nature reserve staff, and local government entities. Relevant SES 7 requirements are outlined below in box 6:

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| **Box 6. Relevant requirements from SES 7. Labor and Working Conditions**  Labor requirements, in accordance with relevant Chinese regulations and UNDP SES requirement on Labor and Working Conditions will be incorporated in the habitats restoration plan covering topics such as training, sharing information to the workers, describing the project’s Grievance Redress Mechanism, etc.). Field activities will not start prior to approval of the restoration plans by the Implementing Partner and UNDP. Additionally, the following standards requirements will apply:   * Ensure necessary processes and measures are in place that address the safety and health of project workers, addressing: * Identification and assessment of hazards and risks * Safety and health training * Employment injury benefits and/or remedies * Conduct due diligence to ascertain third parties are legitimate, reliable entities with appropriate policies and systems in place to allow them to operate in accordance with S7 minimum requirements   Incorporate S7 minimum requirements into contractual agreements with third parties and manage and monitor their performance. In case of subcontracting, third parties include equivalent reqs and remedies in their contracts |

***Risk 8: Activities funded under investment assistance delivery mechanisms may be carried out without full adherence to UNDP SES.***

**Overarching Principles and Project-Level Standards:** All

**Risk Level: Moderate**

**Risk Assessment**: The project strategy includes delivering investment assistance to select community organizations for (a) improving quality of harvested non-timber forest products, (b) developing ecotourism experiences, (c) marketing of products and services, (d) establishing community nurseries to support habitat restoration activities; etc.

Investment assistance is conceived as a delivery mechanism under the National Implementation Modality (NIM). The Letter of Agreement (LOA) will be signed to transfer resources from IP to local partners based on the achievement of milestone deliverable progress described in payment terms. The local partners then will decide if some NGOs or village committee shall be involved, and cooperative agreement will be signed between them if needed.

**Management measures:** The IP will be held accountable for certifying the deliverables as committed by local partners including checking the validity & effectiveness of the activities’ results at the community level.

Further assessment is required as project activities are further defined during the inception phase. During implementation, screening checklists to assess sub-projects risk levels together with selection criteria and other decisions regarding the proposed investment assistance should be developed to ensure adherence with UNDP SESP.

Specific screening questions for co-financing partners should include:

* + - 1. Could the investment be granted to an institution that does not have an environmental and social policies and an associated environmental and social management system (ESMS) in place (transparent, publicly available)?
      2. Could the investment be granted to an institution with insufficient capacities (i.e. unqualified personnel e.g. ES Officer) to implement the ESMS?
      3. Could the investment be granted to an institution that does not have an Exclusion List?
      4. According to the institution's portfolio classification: Could the institution have potential high-risk projects in their portfolio?
      5. Is there evidence that the institution does not comply with the local legal framework?
      6. Does the institution provide a stable communication channel with stakeholders and local communities (e.g. a Grievance Redress Mechanism)?
      7. Does the organization provide auxiliary or capacity building support services?

All on-the-ground activities will be subject to inspection for potential non-compliance. UNDP Country Office must engage a safeguards Individual Contractor (IC) on a Long-Term Agreement or similar Medium-Term contractual modality to ensure adherence with UNDPs SES in the whole Country Office Vertical Fund (VF) portfolio. Community organizations will be trained in UNDP SES, and execution in the field will be supported through proactive monitoring and evaluation.

Safeguard measures developed by co-financing partners, including governmental entities and civil society organization will assessed by the Safeguard contractor and will be reviewed by the project management team and UNDP to ensure adherence with UNDP’s SES policy prior to initiating work on the ground. In addition, a common agreement will be reached on the approach to address project related grievance redress, including specific accountability in case a complaint may arise. Any gaps will be discussed with the co-financing partners and reviewed regularly, including during the annual project progress review stakeholder workshops.

The new proposed activity should be assessed to confirm if it could result in economic displacement that will require livelihood restoration support for economically displaced communities, including ethnic minorities. No such activity can commence until required further studies and preparation of management measures, including ESMP, have been completed and approved and the identified management measures are put in place.

# Legal and Institutional Frameworks

## Legal Framework for wildlife protection in China

China has an established robust legal system with regards to the field of wildlife protection including:

- Laws enacted by the NPC and the NPC Standing Committee: the Wildlife Protection Law enacted in 1988, and subsequently revised four times in 2004, 2008, 2016 and in 2018 respectively[[2]](#footnote-3);

- Administrative regulations promulgated by the State Council: mainly including Aquatic Animal Protection Regulations in 2013 and Terrestrial Animal Protection Regulations in 2016;

- Departmental rules: including more than 100 announcements and circulars issued by the National Forestry and Grassland Administration, the Ministry of Public Security, the Ministry of Ecology and Environment, the State Administration for Industry and Commerce, the Ministry of Agriculture and Rural Affairs, the General Administration of Customs and other state departments;

- Regulations and legal documents of local governments.

Additional policies and legislation relevant to the scope of biodiversity conservation, protected areas, and wildlife protection are described below in Table 1.

Table 4 - Summary of relevant biodiversity policies and legislation

| **Policy / legislation** | **Date** | **Instrument** |
| --- | --- | --- |
| First PA established in China | 1956 | Dinghushan Nature Reserve was established on the proposal of the National Committee of the Chinese people's Political Consultative Conference in 1956 |
| PAs recognised as an important part of national planning | 1979 | Notice of Strengthening, Planning and Scientific Investigation in Nature Reserves |
| The National Committee for Man and the Biosphere was established | 1980 | The first three Man and Biosphere reserves were established. |
| PAs recognised as legal entities | 1981 | The Law of Forest issued and implemented. |
| Regulations for the first PAs promulgated | 1985 | The State Council agreed to issue Management Approaches of Nature Reserves of Forest and Wildlife, Law of Grassland |
| PA role in ecological conservation needs recognised | 1987 | Principles on China’s Ecological Conservation |
| Need for species protection recognised | 1988 | Law of Wild Animal Protection |
| According to the national standard of the first nature reserve type, "wild animal" is one of the nine nature reserve types | 1993 | The State Bureau of Quality and Technical Supervision  issued the principles for classification of types and grades of nature reserves (national standard) |
| Implementation of wildlife protection law | 1992 | The State Council agreed to issue regulations on the  implementation of terrestrial wildlife protection |
| Implementation of wildlife protection law | 1993 | The State Council agreed to issue regulations on the implementation of aquatic wildlife protection |
| Rules for Nature Reserves endorsed by State Council | 1994 | Regulations of Nature Reserves |
| Regulations for Marine reserves established | 1995 | Management Approaches of Marine Nature Reserves |
| Wide range of policy issues restated and approved | 1994 | China Biodiversity Action Plan |
| Circular of enhancing wetland conservation and management | 2004 | General Office of the State Council (No.50) |
| 15 policy measures for species conservation and management | 2004 | Notice of the General Office of the State Council on Strengthening the Protection and Management of Biological Species Resources |
| Species protection and utilization policy | 2007 | Outline of national plan for protection and utilization of biological species resources (2006-2020) |
| Circular of enhancing nature reserve management | 2010 | General Office of the State Council (No.63) |
| Biodiversity conservation policies and planning | 2010 | China's Biodiversity Conservation Strategy and Action Plan (2011-2030) approved by the State Council |
| National Park pilot project launched | 2015 | The National Development and Reform Commission and 12 other ministries launched trials of 10 national parks across the country |
| For the first time, it was proposed in the outline of national planning that "Major projects for biodiversity Conservation should be implemented". | 2016 | Outline of the 13th Five-Year Plan for National Economic and Social Development |
| Legal provisions on ecological protection red lines | 2018 | Amendment to the Environmental Protection Law of 1988 and 2014 |
| Wildlife Protection Law | 2018 | Revision to the Wildlife Protection Law enacted in 1988 |
| About nature conservation in system policy reform | 2019 | General Office of the CPC Central Committee General Office of the State Council issued Guiding Opinions on Establishing a System of Natural Protected Areas with National Parks as the Main Body |
| In order to coordinate the integrated protection and restoration of mountains, rivers, forests, fields, lakes and grasses | 2020 | The National Development and Reform Commission and the Ministry of Natural Resources have released “The Master Plan for Major National Projects for the Conservation and Restoration of Major Ecosystems (2021-2035) " |
| Decision to Comprehensively Prohibit the Illegal Trade of Wild Animals, Eliminate the Bad Habits of Wild Animal Consumption, and Protect the Health and Safety of the  People. | 2020 | Standing Committee of the National People’s Congress- instruments |
| China Releases Position Paper of the People's Republic of China for the United Nations Summit on Biodiversity | 2020 | “Building a Shared Future for All Life on Earth: China in Action” |
| Amended national list of protected wild animals | 2021 | Added over 500 more animals to wildlife protection list |
| China 14th 5-year Plan approved and one of its aims is ecological civilization construction to achieve new progress. | 2021 | “National spatial development pattern of protection was optimized, the effective way of production and life of the green transformation, energy utilization efficiency of resource allocation more reasonable, greatly increased, the total discharge of major pollutants continue to reduce, continue to improve ecological environment, ecological security barrier more solid, urban and rural living environment improved significantly”. |

Supporting the operationalization of the regulatory landscape, China developed inter-agency government coordination mechanisms for biodiversity. In 2011, the China National Committee for Biodiversity Conservation (CNCBC), composed of 23 departments under the State Council and headed by a Vice Premier, was established to promote communication and improve collaboration among departments and coordinate biodiversity actions at the national level.[[3]](#footnote-4)

**Gaps in the legal system:**

Although China has a strong wildlife protection legislation system, it is not complete. A multitude of laws and regulations continue to be issued by departments at different levels. Separate laws cover wildlife protection, forestry, marine conservation, wetlands conservation and EIA. In terms of the legal responsibility of wildlife protection, it is also difficult for law enforcement bodies to cooperate with each other due to them being decentralized, horizontal and vertical. In particular, technical standards and a technical specification system need to be enhanced to reduce the lack of technical support in design standards, type of ecological corridor construction, construction planning and technical specifications. In terms of habitat restoration, there is also a lack of technical standards and specifications for natural restoration, biological measures and engineering measures. In addition, infrastructure construction projects, such as high-speed rail, expressway, dam, reservoir, ports and other facilities, often occur in the surrounding areas and even within the protected areas. However, lack of technical guidance on how to ensure the nature-based infrastructure constructions and minimize the impact on wildlife. China's existing legislation creates challenges to conserving the country's natural resources and protecting its biodiversity. Chinese law remains unsuccessful in pursuit of these goals due to inadequate public participation, implementation and enforcement problems, and legislative prioritization of economic-as opposed to ecological-values. There is no clear lead agency in control of all areas of conservation, and no clear line of authority on environmental law matters, which creates a significant atmosphere of confusion and tension between national and provincial actors and institutions. For example, according to the Regulations on Nature Reserves, both the forestry and environmental protection administrations have authority over nature reserves management. Most importantly from a landscape perspective the "integrated management" responsibility and the responsibilities of the other departments are not clearly defined. Until recently biodiversity legislation and policies in China have been driven-and greatly influenced-by existing international biodiversity law. Although China's outward commitment to international law is laudable, in the context of conservation, the country's domestic conservation strategy and institutional and professional capacity, lack long-term viability because it has become overly dependent and reliant on international financial resources and technical support. Activity 1.1.2.1. will specifically conduct a policy gap analysis on issues that restrict the reversal and mainstreaming of biodiversity conservation and management in the medium and long term, and the planning and policy frameworks of biodiversity -friendly incentive measures at the landscape scale need to be developed according to the special needs and policy gaps in the field.

Alternatives regarding the legal system:

The governments’ restructuring implemented in March 2018 unified the previously decentralized functions and responsibilities of protected land management into one department, the Ministry of Natural Resources. The newly formed Ministry of Natural Resources oversees the development and protection of China's natural resources, establishes a space planning system, establishes an ecological compensation system and manages the national system of protected land. The newly established National Forestry and Grassland Administration is responsible for the management of nature reserves and national parks throughout the country and will continue to be responsible for the protection and management of wildlife throughout the country. In order to strengthen the protection and management of wild animals and plants, the National Forestry and Grassland Administration has, in its institutional reform, established a special division of Animal and Plant Protection and a Division of Protected Areas, and has made wildlife protection one of its priority areas.

## Legal Framework for Environmental Management of China

Since the promulgation of its first Environmental Protection Law in 1979, China has gradually established a comprehensive environmental management legal framework. Roughly, this framework includes more than 80 laws and statues, over 120 regulations and over 1000 standards and technical guidelines at national level primarily addressing pollution control, natural resource conservation and management of the environment. In addition, there are also a large number of regulations and implementation plans at local levels. Many local governments also have developed local environmental and emission standards that are more stringent than national standards.

The main national environmental laws/regulations, guidelines and standards related to the wildlife project are summarized in table 2.

Table 5 - Applicable National Laws/Regulations, Guidelines and Standards

| **No.** | **Law/Regulations** | **Version Date** | **Relevance** |
| --- | --- | --- | --- |
| 1. **General Environmental Protection and Pollution Control Laws** | | | |
| 1 | Environmental Protection Law | 2015-01-01 | The fundamental and “most stringent” environmental law ever in China. It sets out the general principle of environmental protection and sets up key systems of environmental management. |
| 2 | Environmental Impact Assessment Law | 2018-12-29 | It requires construction projects and certain types of plans are subject to requirements of environmental impact assessment, public participation and development of mitigation measures to avoid, reduce and mitigate adverse impacts.  Activity 1.1.3.6. will specifically develop wildlife assessment elements for integration into national environmental impact assessment (EIA) regulations and practice. |
| 3 | Water Pollution Control Law | 2018-10-26 | These national laws for surface/ground water pollution control applies to all types of projects and facilities with wastewater pollution. |
| 4 | Solid Waste Pollution Control Law | 2018-12-29 | It presents pollution control requirements covering domestic waste, industrial solid waste, construction waste, agricultural waste and hazardous waste. |
| 5 | Circular Economy Promotion Law | 2018-10-26 | It is a basic law for promoting waste reduction, reuse and resource recycling. It encourages establishment of waste recycling system. |
| 6 | Noise Pollution Control Law | 2018-12-29 | This law establishes legal requirements for noise pollution control for industrial facilities, construction activities, traffic, and social ambient noise. |
| 7 | Soil Pollution Control Law | 2018-08-31 | It requires protection of soil and prevents soil pollution by all citizens and organizations. The waste sorting, collection, transfer and disposal activities must adopt effective measures to prevent and mitigate soil pollution. |
| 8 | Soil Conservation Law | 2010-12-25 | It requires all activities that can cause soil erosion to adopt prevention and mitigation measures. |
| 1. **Regulations for Solid Waste Management** | | | |
| 9 | Regulations on City Appearance and Environmental Sanitation | 2017.03-01 | It sets out the national environmental sanitation standards and requirements for sanitation facilities in cities. |
| 10 | Measures for the Management of Urban Domestic Waste | 2017-04-28 | It sets out management requirements and measures for cleaning, collection, transportation and disposal of urban domestic wastes. |
| 11 | National Inventory of Hazardous Waste | 2016-03-30 | The inventory provides a list of solid wastes that are classified as hazardous. It provides guidance for hazardous wastes management. |
| 12 | Technical Policies for Hazardous Waste Pollution Control | 2001-12-17 | This policy applies to technical selection for generation, collection, transportation, classification, inspection, packaging, recycling, storage and disposal of hazardous wastes, and provides technical guidance on planning, site selection, design, construction and operation management of hazardous waste management facilities. |
| 1. **Occupation with Health and Safety Laws and Regulations** | | | |
| 13 | Labor Law | 2018-12-29 | General requirements for occupational health and safety risk management, including clarification of the parties and responsibilities, management process and penalties for non-compliance. |
| 14 | Contract Law | 1999-10-01 |
| 15 | Work Safety Law | 2014-12-01 |
| 16 | Occupational Disease Prevention Law | 2017-11-05 |
| 17 | Guidelines for Prevention and Control of Occupational Diseases by Employers | 2010-08-01 | Methods and technical guidelines for OHS risk management in China. |
| 18 | Occupational Health and Safety Management System Requirements and Guidelines | 2018-03-12 |
| 19 | Occupational Disease Hazard Reporting Measures | 2012-06-01 |
| 20 | Classification of Occupational Exposure to Hazardous Material | 2010-11-01 |
| 21 | Management Rules for Emergency Response Plans for Work Safety Accidents | 2009-05-01 |
| 22 | Regulations on Accidents Reporting and Investigation | 2007-06-01 |
| 1. **Environmental Impact Assessment System** | | | |
| 23 | Categorized Directory for Environmental Impact Assessment of Construction Projects | 2018-04-28 | It specifies the principles for the classification of environmental impact assessment levels for various construction projects and the requirements for the form of environmental impact assessment reports. |
| 25 | Methods of Public Consultation for EIA | 2019-01-01 | It requires public consultation for EIA. Three rounds of information disclosure are required (initial project information, first draft of environmental assessment report, environmental assessment draft, and solicitation of opinions) |

## Legal Framework for Social Management

**Ethnic Minorities**:

The term “*indigenous peoples*” is not used in China. There are a total of 56 ethnic groups identified in China, mainly based on their similarities such as common [ancestry](https://en.wikipedia.org/wiki/Ancestry), [language](https://en.wikipedia.org/wiki/Language), [society](https://en.wikipedia.org/wiki/Society), and [culture](https://en.wikipedia.org/wiki/Culture). Yunnan is widely known for its cultural diversity in China having one third of its population as ethnic minorities. The province has 25 native ethnic groups (46%) out of the 55 ethnic minority groups of the country. Five of the seven project counties are located in the so-called "cultural diversity area" . Dali and Nujiang are classified as "minority autonomous prefectures". In Lijiang prefecture, 60% of the population belong to ethnic minority groups. Overall, about 29% of the population in the project area belong to ethnic minority groups. Main ethnic minority groups in two demonstration sites areas are: Hui, Bai, Yi, Miao, Lisu, Naxi, Lahu, Pumi, Dai, Li, Qiang, Tibetan and Nu people. These minorities are overall well integrated in the existing socio-economic context. They have livelihood strategies similar to those of the other rural populations. While there is currently no evidence that they are excluded from existing economic opportunities nor discriminated, and have no distinct needs from the rest of the population, this will be closely monitored and reviewed during project implementation. Government policies targeting rural poor and vulnerable households in Yunnan and Sichuan provinces do not differentiate based on ethnicity, but target based on poverty indicators. Notwithstanding, the requirements of Standard 6 on the engagement with Indigenous people will be applied to all project activities affecting ethnic groups (see section 6 in table 4 below and IPPF).

The ***Constitution* (1982, revised in 2018)** addresses the issue of PA through confirming the state and collective ownership of land and natural resources and prescribing the State’s responsibility in environmental and resource protection. The Constitution emphasizes that all nationalities in the People’s Republic of China are equal. The State protects the lawful rights and interests of minority nationalities and upholds and develops a relationship of equality, unity and mutual assistance among all of China’s nationalities. The State assists areas inhabited by minority nationalities in accelerating their economic and cultural development according to the characteristics and needs of the various minority nationalities. Regional autonomy is practiced in areas where people of minority nationalities live in concentrated communities; in these areas organs of self-government are established to exercise the power of autonomy. In exploiting natural resources and building enterprises in the national autonomous areas, the State shall give due consideration to the interests of those areas. All these provisions are reiterated in the ***Regional Ethnic Autonomy Law*** (1984, revised in 2001).

The ***Rules of the State Council on the implementation of the Law of the People's Republic of China on Regional National Autonomy*** (2005)[[4]](#footnote-5) stipulates that the state strengthens the poverty alleviation and development of the ethnic autonomous areas and emphasizes the infrastructure and the basic construction of the farmland in the poor rural areas of the autonomous areas, which focus on water, electricity, access, radio, television construction, and the transformation of thatched houses and dilapidated houses, and ecological migration. All these activities are based on the residents’ willingness.

**For labor management**: employers should sign employment contracts with laborers on a voluntary basis to define both parties’ rights and obligations. The Labor Law of the PRC (amended in 2018), the Labor Contract Law (2012), and the Special Provisions on Labor Protection of Female Employees are complied with strictly. Salaries shall be based on work, and equal pay shall be paid for equal work. The average working hours of workers shall not exceed 44 hours per week or 8 hours per day. In case of specific circumstances, the extended working hours will not exceed 3 hours per day and 36 hours in total per month. The juvenile workers (16-18 years old) should not be involved in overtime working. Considering the nature of the intervention in the 2 demonstration areas, the increasing labor supervision of local governments, and the fact that the project will establish labor management and grievance redress regulations, the project labor risks are low.

**Public participation**: The Opinions of the General Office of the State Council on Advancing Public Disclosure of Government Information in the Field of Approval and Implementation of Major Construction Projects, and the Opinions of the General Office of the State Council on Advancing Public Disclosure of Government Information in the Public Resource Allocation Field require that major decisions and surveys should cover all local stakeholders, and fully collect their opinions, and information should be disclosed to the public as much as possible so as to improve the transparency and efficiency of the approval and implementation of projects.

China’s policies do not require the development and implementation of a stakeholder engagement plan (SEP) that describes the times and methods of contact with stakeholders in the whole project lifecycle. During the preparation of the wildlife project, a stand-alone Stakeholder engagement plan has been prepared and attached to the ProDoc to identify all stakeholders, including vulnerable groups, women and minority residents, provide timely, relevant, understandable and accessible information to stakeholders, and fully consult with them as well.

Applicable social laws and regulation are summarized in table 3.

Table 6 - Applicable social laws and regulations

| **No.** | **Name** | **Version** | **Applicability** |
| --- | --- | --- | --- |
| I. General laws on social risk management | | | |
|  | Interim Regulations on Major Administrative Decision-Making Procedures | 2019 | Major administrative decisions shall be made under the principle of democratic decision-making, opinions shall be fully solicited from all parties, and it shall be guaranteed that the people participate in decision-making through various channels and forms.  If any major administrative policy may affect social stability and public security adversely, the undertaker or any other agency responsible for risk assessment shall assess the risk controllability of the draft decision. |
|  | Social Stability Risk Assessment for Major Fixed Asset Investment Projects | 2012 | The social stability risk assessment shall include: 1) if any major issue is meeting most people’s final needs, being financially affordable, and being understood and supported by most people; 2) if all major matters have been subject to consideration of various restrictions; 3) if any major security event will occur if local residents strongly object the project, and if there is any contingency plan; 4) potential major issues affecting social stability. |
| II. Laws on labor management | | | |
| 3. | Labor Law | Amended in 2018 | This Law applies to enterprises, individually-owned economic organizations (hereinafter referred to as the employer) and laborers who form a labor relationship with them within the boundary of the Peoples Republic of China. State departments, institutional organizations and social groups and laborers who form a labor relationship with them shall follow this Law.  Forced labor shall be prohibited. Any labor contract involved forced labor shall be illegal. Anyone who uses laborer by force, threat or illegal restriction of personal freedom shall be prosecuted criminally. |
| 4. | Labor Law  Labor Contract Law | Amended in 2018  Amended in 2012 | A labor contract should be entered into to define both parties’ rights and obligations.  When an employer hires an employee, it shall faithfully inform him of the work contents, conditions and location, occupational harm, work safety state, remuneration, and other information which the employee requires to be informed.  Where an employer formulates, amends or decides rules or important events which are directly related to the interests of the employees, such rules or important events shall be discussed at the meeting of employees' representatives or the general meeting of all employees, and the employer shall negotiate with the labor union or the employees' representatives on an equal basis. |
| 5. | Regulations on Labor Security Supervision | Amended in 2018  2004 | China has a sound labor dispute mediation system through a corporate committee under the formal trade union system. Workers may also appeal through the labor bureau directly.  the labor security supervision over enterprises and individual industrial and commercial households (hereinafter referred to as the employing entities) shall be governed by these Regulations. The labor security supervision over job intermediary institutions, occupational skills training institutions, and occupational skills assessment and authentication institutions shall be conducted in accordance with these Regulations.  The labor security supervision over an employing entity shall be under the jurisdiction of the labor security administration at the county level or at the level of a city divided into districts at the locality of employment by the employing entity.  Labor security supervision shall be conducted in such forms as routine inspection, written review, special inspection, and complaint investigation. |
| 6. | Trade Union Law | 2009 | All physical and mental workers of enterprises and public institutions shall have the right to join and organize trade unions, regardless of ethnic group, race, gender, occupation, religion and education. An enterprise or public institution shall establish a trade union according to law within one year after opening.  The trade union shall urge enterprises and public institutions to cover endowment, unemployment, medical, injury, maternity and other social insurance for workers according to law.  The trade union shall assist enterprises and public institutions in collective welfare, salary payment, social insurance, labor safety and health, etc. |
| 7. | Law of the PRC on the Protection of Rights and Interests of Women  Special Provisions on Labor Protection of Female Employees | Amended in 2018  2012  2017 | Special protection shall be offered to women and children, and they shall not be hired for dangerous jobs.  Women shall enjoy the same labor and social security rights as men, and receive equal pay for equal work.  The employer shall protect women’s safety and health at work, and not assign unsuitable jobs to women. Women enjoy special protection during menstruation, pregnancy, lying-in and breastfeeding periods.  The employer shall prevent sexual harassment on female workers, and protect their privacy when handling their appeals. |
| III. Policies on information disclosure | | | |
| 8. | Opinions of the General Office of the State Council on Advancing Public Disclosure of Government Information in the Public Resource Allocation Field | 2016 | The basic information, transaction process information, bidding information, contract execution and performance, etc. of a public resource project shall be disclosed by the administrative department or public institution managing or allocating public resources respectively; the administrative departments concerned should disclose law violation and discredit information along. |
| 9. | Regulations on Complaint Letters and Visits | 2005 | Transparent grievance redress channels have been established, and implementation measures for further appeals are in place. Citizens, legal persons or other organizations shall submit suggestions, opinions or appeal requests to governments at all levels by way of letter, e-mail, telephone or visit, etc., to be handled by competent administrative authorities according to law.  The department for letters and visits of the people's government at or above the county level shall, upon receiving a letter or visit, register the letter-or-visit matter presented and handle it on the merits of each case within 15 days. The matter presented by a letter-writer or visitor shall be handled within 60 days from the date it is accepted. If the matter is complicated, the time limit for handling it may be extended appropriately upon the approval by the responsible person of the administrative organ concerned, but the period extended shall not exceed 30 days, and the letter-writer or visitor shall be notified of the reasons for such extension. |

## International Agreements and Treaties

China is a signatory to several multilateral agreements and conventions that are relevant to the program; including but not limited to the following:

* 1971, Convention on Wetlands of International Importance (Ramsar)
* 1972, Convention Concerning the Protection of the World Cultural and Natural Heritage
* 1980, Convention on International Trade in Endangered Species of Wild Fauna and Flora
* 1992, Convention on Biological Diversity
* 1992, United Nations Framework Convention on Climate Change
* 1995, Beijing Declaration (a [resolution](https://en.wikipedia.org/wiki/United_Nations_General_Assembly_resolution) adopted by the [UN](https://en.wikipedia.org/wiki/United_Nations) at the end of the [Fourth World Conference on Women](https://en.wikipedia.org/wiki/Fourth_World_Conference_on_Women) on 15 September 1995. The resolution adopted to promulgate a set of principles concerning the equality of men and women)
* 1998, International Covenant on Civil and Political Rights (ICCPR); signed in 1998, not yet ratified
* 2000, Cartagena Protocol on Biosafety on the Convention on Biological Diversity
* 2007, United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)

## UNDP’s Applicable Social and Environmental Standards Based on Identified Risks

UNDP’s Social and Environmental Standards, which first came into effect on 1 January 2015, was revised and became effective on 1 January 2021. The objectives of the standard include: i) strengthen the quality of programming; ii) maximize social and environmental opportunities and benefits; iii) avoid adverse impacts to people and the environment; iv) minimize, mitigate, and manage adverse impacts where avoidance is not possible; v) strengthen UNDP and partner capacities for managing social and environmental risks; and vi) ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project affected people.

The Social and Environmental Standards (SES) require all UNDP programmes and projects to enhance positive social and environmental benefits while ensuring that adverse social and environmental risks and impacts are avoided, minimized, mitigated and managed. The SES also aims to strengthen UNDP and partner capacities for managing social and environmental risks; and to ensure full and effective stakeholder engagement.

UNDP will not support activities that do not comply with national laws and obligations under international laws. UNDP also seeks to support governments to adhere to their human rights obligations and empower individuals and groups, especially the most marginalized.

A social and environmental screening was prepared following UNDP’s Social and Environmental Screening Procedure. Based on the screening process, the Project, was categorized as “Substantial”, based on the social and environmental risks of the Project.

The risk screening and assessment process determined the relevant UNDP Social and Environmental Standards, as reflected in Table 2. During the PPG, impacts and risks initially indicated in the PIF were further updated, based on consultations with different stakeholders. UNDP’s SES will be used to address the requirements of GEF’s Policy on Environmental and Social Safeguards. UNDP’s SES will be followed throughout the implementation of the Project and have been included into the risk description section above. Table 4 describes UNDP SES description of trigger requirements that should be incorporated in both the scoped ESIA and the related ESMPs.

Table 7 - Social and Environmental Standards Requirements

| **UNDP SES** | **Triggered** | **Description of Triggered Requirements** |
| --- | --- | --- |
| Programming Principles | | |
| Overarching Principle: Leave No One Behind | ✔ | As an overarching programming principle, the Project will ensure that no one will be left behind and to reach the furthest behind first, consistent with the 2030 Agenda of UN Member States. The Project will address the situation of those marginalized, discriminated and excluded from its interventions. The Project will follow rights-based approach, including the application of gender perspective. |
| Human Rights | ✔ | The project will uphold human rights principles based on the Universal Declaration of Human Rights. This will be achieved by engaging all stakeholders in the project operations, from project design, implementation, monitoring and evaluation, and abiding by UNDP’s abiding by Standard 5 & 6in facilitating development interventions for most affected communities. |
| Gender Equality and Women’s Empowerment | ✔ | The project aims to fully mainstream gender in project interventions, to foster gender equality and women empowerment. To ensure that the project design and activities fully incorporate and reflect the views of women and men, and provide equal opportunities for them to participate and benefit from project activities, a gender analysis was undertaken during the PPG phase. Based on this gender analysis, a comprehensive gender action plan has been developed with specific activities and budget to ensure gender is mainstreamed in all project components, and that the project contributes towards improving gender equality and women’s empowerment in the project sites.   New or enhanced policies that will be developed with project support shall consider and respond to women’s (particularly those in the fisheries and informal sector) needs, issues and well-being. This will include ensuring equitable access, control and use of natural resource, as well as representation of women and men in leadership and decision-making platforms such as project boards, provincial networks and inter-agency enforcement and monitoring mechanisms. The project’s proposed Indigenous Peoples Planning Framework shall also incentivize sustainable production and consumption practices among women and men community members, and enable them to become better stewards of their natural resource base. The project will also contribute to improved community (particularly the youth) awareness and action for nature conservation and ensure that both women and men are able to access, share and apply knowledge relevant to wildlife species and their habitats. |
| Accountability | ✔ | The multi-stakeholder, cross-sectoral approaches integrated into the project strategy entail broad engagement, among different administrative levels (e.g., national, provincial, county, local), across different sectors (e.g., conservation, forestry, agriculture, tourism, disaster management, community development, etc.), and involving multiple types of stakeholders, including governmental, civil society, private sector, and research-academic institutional sectors.  The project design has a strong emphasis on inclusive stakeholder participation, particularly with respect to women, ethnic minorities, elderly, youth and other vulnerable groups. Specifically, the project will ensure the mainstreaming of women and ethnic minorities into the project trainings and various livelihood schemes, and collaborative participation in the planning, establishment, and operationalizations of the proposed ecological corridors. Local protected area management entities will play a key role in capacity building at local levels.  The project will promote local accountability and rules of law. The project strategy is built upon the principle of multi-stakeholder governance and promotes genuine participation of local communities in wildlife conservation and management. Stakeholder consultation is required throughout, and a transparent project-level grievance redress process is freely available. The Stakeholder Engagement Plan also includes a description of the project’s grievance redress mechanism (GRM) and information on UNDP’s Accountability Mechanism. The Stakeholder Engagement Plan is an integral part of the project design, will be communicated to project stakeholders during the inception workshop and referenced in each of the terms of reference developed for implementation of project activities. |

## Gaps in policy framework

The Strategic Environmental and Social Assessment (SESA) will include further analysis of the legal and policy frameworks that apply to the project, identifying gaps and strategies to enable the project’s policy-level activities to operate with.

# Procedures for Screening, Assessing and Managing Social and Environmental Impacts

This ESMF has been developed as part of UNDP’s due diligence process in the project cycle, following the screening with the SESP template. Screening, assessment and management of social and environmental impacts is required, based on the broad scope of project activities, in order to further define and assess their relevance and relative importance on a site-specific basis. The following measures are required in order to ensure compliance with social and environmental standards.

## Screening during PPG

The SESP has identified foreseen environmental and social impacts of the project. The screening has established significance ratings for each identified risk. The risks were based on activities, outputs and outcomes currently identified. Among the 8 risks, 1 was rated “Substantial” and 7 were rated “Moderate” in terms of significance of potential impacts. The overall risk-rating for the project is “Substantial”, with scoped assessments and management measures. The overall Substantial rating is consistent with the demonstration focus of the project, i.e., demonstrating integrated, multi-stakeholder approaches and deployment of emerging frontier technologies. The spatial scale of the demonstrations is limited, as are the number of potentially affected people.

## Procedures for Assessment and Management

The summary of Social and Environmental assessment and management studies aligned with relevant output are summarized in Table 8 below.

Table - Summary of SES studies for the Transformational Wildlife Conservation Management in China

|  |  |  |  |
| --- | --- | --- | --- |
| **Output** | **Demonstration area / intervention site** | **Output deliverable** | **Integrated safeguard instruments** |
| 1.2.1 | Yunnan Province | Cross-sectoral strategy and action plan for primate conservation and sustainable management in Yunnan Province | SESA considerations integrated into the strategy and action plan |
| 1.2.2 | Giant Panda National Park | Cross-sectoral conservation and sustainable management plan for the Giant Panda National Park | SESA considerations integrated into the plan |
| 2.2.1 | Yunnan Province /  Tianchi Nature Reserve | Participatory ecological corridor Feasibility Assessment (including participatory rural assessment of affected communities) | Compliant with ESIA requirements; screen risks according to SES procedures, ground-truthing, assess IP’s, initiate FPIC, evaluate potential for economic displacement |
| Ecological corridor strategy and action plan | Compliant with ESMP requirements, with IPP and Livelihood Action Framework elements incorporated, FPIC obtained |
| 2.2.2 | Giant Panda NP /  Baodinggou Nature Reserve | Participatory ecological corridor Feasibility Assessment (including participatory rural assessment of affected communities) | Compliant with ESIA requirements; screen risks according to SES procedures, ground-truthing, assess IP’s, initiate FPIC, evaluate potential for economic displacement |
| Ecological corridor strategy and action plan | Compliant with ESMP requirements, with IPP and Livelihood Action Framework elements incorporated, FPIC obtained |
| 2.2.2 | Giant Panda NP /  Liziping Nature Reserve | Participatory ecological corridor Feasibility Assessment (including participatory rural assessment of affected communities) | Compliant with ESIA requirements; screen risks according to SES procedures, ground-truthing, assess IP’s, initiate FPIC, evaluate potential for economic displacement |
| Ecological corridor strategy and action plan | Compliant with ESMP requirements, with IPP and Livelihood Action Framework elements incorporated, FPIC obtained |
| 2.3.1 | Yunnan Province /  Caojian Forest Farm | Baseline habitat survey (including participatory rural assessment of affected communities) | Compliant with ESIA requirements; screen risks according to SES procedures, ground-truthing, assess IP’s, initiate FPIC, evaluate potential for economic displacement |
| Degraded habitat restoration plan | Compliant with ESMP requirements, with IPP and Livelihood Action Framework elements incorporated, FPIC obtained |
| 2.3.1 | Yunnan Province /  Tianchi Nature Reserve  (restoration site) | Baseline habitat survey | Compliant with ESIA requirements, risks screened according to SES procedures, ground-truthing, assess IP’s, evaluate potential for economic displacement |
| Degraded habitat restoration plan | ESMP and IPP elements included |
| 2.3.2 | Giant Panda NP /  Wolong Nature Reserve | Baseline habitat survey | Compliant with ESIA requirements, risks screened according to SES procedures, ground-truthing, |
| Degraded habitat restoration plan | Compliant with ESMP requirements |
| 2.3.2 | Giant Panda NP /  Daxiangling Nature Reserve | Baseline habitat survey | Compliant with ESIA requirements, risks screened according to SES procedures, ground-truthing, |
| Degraded habitat restoration plan | Compliant with ESMP requirements |
| 2.3.2 | Giant Panda NP /  Baishuihe Nature Reserve | Baseline habitat survey | Compliant with ESIA requirements, risks screened according to SES procedures, ground-truthing, |
| Degraded habitat restoration plan | Compliant with ESMP requirements |
| 2.4.1 | Yunnan Province /  Tianchi Nature Reserve  (corridor) | Business plan for nature-based livelihood development | Developed with Livelihood Action Plan elements |
| Yunnan Province /  Caojian Forest Farm  (restoration) | Business plan for nature-based livelihood development | Developed with Livelihood Action Plan elements |
| Giant Panda NP /  Baodinggou Nature Reserve  (corridor) | Business plan for nature-based livelihood development | Developed with Livelihood Action Plan elements |
| Giant Panda NP /  Liziping Nature Reserve  (corridor) | Business plan for nature-based livelihood development | Developed with Livelihood Action Plan elements |

This ESMF is supported by:

- an Indigenous People Planning Framework, (see annex 11 in the ProDoc)

- a Stakeholder Engagement Plan including a description of the project Level Grievance Redress Mechanism to address concerns raised by affected stakeholders from the project, (see annex 7 in the ProDoc)

- a Gender Analysis and Gender Action Plan (see annex 10 in the ProDoc)

- Covid-19 Analysis and Action Framework (see annex 14 in the ProDoc), and

- Climate and Disaster Screening Report (see annex 13 in the ProDoc)

During early implementation (Year 1) scoped social and environmental assessments will be undertaken and incorporated into the project strategy, these include:

* **Strategic Environmental and Social Assessment for upstream activities**

The project will respect requirements for the scoped Social and Environmental Strategic Assessment (SESA) (see proposed outline in annex 1) for activities under Component 1: Mainstreaming wildlife conservation into integrated landscape planning through enhanced intersectoral coordination and supportive policy environment, specifically during output the implementation of output 1.2.1 Cross-sectoral strategy and action plan for primate conservation and sustainable management in Yunnan Province and 1.2.2. Cross-sectoral conservation and sustainable management plan for the Giant Panda National Park where SESA consideration will be integrated into the strategy and the action plan.

The project will make sure to integrate a gender perspective into all the capacity building events and stakeholders consultations, advocating for women rights and striving to offer equal participation opportunities in trainings and awareness events and decision-making processes. SESA approach will be applied to the amendments to the local strategies.

The SESA requirements will be incorporated by independent experts in accordance with UNDP’s SES policy and the [UNDP SES Guidance Note on Assessment and Management](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/UNDP%20SES%20Assessment%20and%20Management%20GN%20-%20FInal%20Nov2020.pdf) to identify and assess social and environmental impacts associated with the proposed regulations in a participatory manner with stakeholders as follows:

* 1. Identify social and environmental priorities to be included in planning and policy processes
  2. Assess gaps in the institutional, policy, and legal frameworks to address these priorities
  3. Identify potential adverse social and environmental impacts associated with policy options
  4. Engage decision makers and stakeholders to ensure a common understanding and broad support for implementation
  5. Formulate policy and institutional measures needed to close policy and legal gaps, address institutional weaknesses, and avoid adverse social and environmental impacts.

The SESA will consist of an assessment of impacts that integrates environmental and social considerations into policies, plans and programmes and evaluates their interlinkages with economic considerations. It will evaluate the effect of supported regulatory/policy changes on a broad, cross sectoral basis with the aim of making policy decisions and other upstream actions more sustainable.

The SESA approach will be applied to all the project-supported legal and policy amendments under Component 1 such that potential social and environmental downstream impacts arising from the development of subsequent regulations/policy/guidelines are considered as an explicit part of the amended laws and policies.

Information and strategies identified will inform decision making and will be used to guide assessments of downstream activities.

The SESA process will be accompanied by a concise report that summarizes the main findings and results of SESA, including:

1. SESA stakeholder engagement process;
2. Key social and environmental priorities and issues associated with the proposed project-born amendments and policy work;
3. Institutional arrangements for coordinating integration of social and environmental issues into chosen amendments;
4. Legal, regulatory, policy, institutional and capacity recommendations to address any identified gaps for managing the social and environmental priorities and implementing applicable social and environmental policies;
5. Identification of measures (e.g. policies, institutional strengthening, governance reform) to address and manage anticipated adverse social and environmental risks and impacts, including a summary Action Matrix (see annexed outlines);

As a high-level document, the SESA is based on the broad scope of envisaged high-level project activities. As such, work on the SESA will commence during the first six months of the project.

* **Scoped ESIA/ESMP for Corridor development and restoration activities**

scoped assessments of impacts of identified activities in the SESP, such the participatory Ecological Corridor Feasibility Assessments and Degraded Habitat Site Assessments are required during project implementation to support output 2. These studies will include ESIA considerations to address the risks and impacts associated to ethnic minorities and the potential changes in livelihoods. During the course of the project, additional activities and outputs, which are not included in the existing SESP as some details remain unspecified, may or will be proposed and developed to achieve project objectives. These proposed activities will require screening using the SESP to ensure the identification of impacts and their significance (impacts and likelihood of occurrence). For this purpose, ESIA considerations have been integrated into the Baseline Habitat Surveys during activities 2.3.1.1 (in GPNP in Sichuan) and 2.3.2.1 (Yunlong Tianchi Nature Reserve and Caojian Forest Farm in Yunnan) and the Participatory Ecological Corridor Feasibility Assessment, these will occur in activities 2.2.1.3 (Sichuan) and 2.2.2.3 (Yunnan).





*Figure 4 - The 7 steps to address environmental and social risks in the Transformational wildlife conservation management in China*

Any potential adverse impacts identified will be further evaluated and subject to stakeholder consultations to determine the magnitude and severity of impacts on affected individuals and communities.

These **Scoped assessment** will be carried out by independent experts in a participatory manner with stakeholders during the project inception phase and will include: i) number, types and operational extent of wildlife habitat restoration and ecological corridors construction interventions ii) community groups that might be affected; and iii) Project’s impact on indigenous people/ethnic minority people’s human rights, Cultural Heritage and / or traditional livelihoods; iv) potential economic displacement impacts associated with the planned degraded habitats restoration and ecological corridors construction activities in GPNP in Sichuan and Yunlong Tianchi Nature Reserve and Caojian Forest Farm in Yunnan. This risk will be closely monitored, together with project partners, and further assessed in the ESIA consideration and measures included in the corridors development and restoration activities to ensure these risks are considered in landscape planning activities and are appropriately handled by the PMU.

Project-affected stakeholders will be consulted on the scope and parameters of the assessment processes and their findings, including proposed mitigation and management measures. As described in the IPPF (Annexed in the ProDoc) and Stakeholder Engagement Plan (see annex 7 in ProDoc), targeted consultations will be conducted, as necessary, to ensure that marginalized or disadvantaged groups and individuals affected by the project have the opportunity to participate and that the FPIC process is adequately followed.

The Ecological Corridor Strategy and Action Plans (see outline in annex 3) and the Degraded Habitat Restoration Plans (see outline in annex 4)

) will serve as Environmental and Social Management plans (ESMPs) for the respective site. These management plans will be carried out in accordance with UNDP SES (see table 7), and no activities on the ground will be initiated prior to review and approval of the plans by UNDP and the Implementing Partner. The PMO will have to ensure overall coherence and alignment between the site specific plans and the outcomes of the SESA developed under component 1,

Identification of time-bound measures to avoid, reduce, mitigate and manage potential impacts will be captured in an assessment report and revised SESP. If determined necessary by the scoped assessment, then a stand-alone management plan will be prepared to capture those management measures. In either case (updated SESP or stand-alone management plan), at a minimum the output of the scoped assessment must include:

* Summary of identified adverse social and environmental risks and impacts that could not be avoided or remain after impact minimization efforts
* Actions to implement mitigation measures for each identified risk and impact
* A monitoring and reporting plan
* Stakeholder engagement, including FPIC consultations with ethnic minorities, and plan for stakeholder engagement during implementation of management measures
* Implementation schedule, cost estimates and funding sources.

Further information on stand-alone management plans can be found on the UNDP website at: <https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Guidance%20and%20Templates.aspx>.

* **Business Plans for Nature-Based Livelihood Development for Potential Economic Displacement**

As the project is rated Substantial Risk, results of the scoped assessment and associated IPP (see outline in annex 2) will be used to manage the case of specific impacts on ethnic minorities and economic displacement. Business plans for Nature-Based Livelihood development will be developed as part of the following activities.

|  |  |  |  |
| --- | --- | --- | --- |
| **Output** | **Demonstration area / intervention site** | **Output deliverable** | **Integrated safeguard instruments** |
| 2.4.1 | Yunnan Province /  Tianchi Nature Reserve  (corridor) | Business plan for nature-based livelihood development | Developed with Livelihood Action Plan elements |
| Yunnan Province /  Caojian Forest Farm  (restoration) | Business plan for nature-based livelihood development | Developed with Livelihood Action Plan elements |
| Giant Panda NP /  Baodinggou Nature Reserve  (corridor) | Business plan for nature-based livelihood development | Developed with Livelihood Action Plan elements |
| Giant Panda NP /  Liziping Nature Reserve  (corridor) | Business plan for nature-based livelihood development | Developed with Livelihood Action Plan elements |

These Livelihood Action Plans will be developed when the project activities will cause directly or indirectly, economic displacement whereby the livelihoods of individuals or communities are restricted, partially, or fully, in their access to land or resources to support their economic well-being. These action plans will address beneficiary participation in economic displacement decision-making, adequate (full and fair) compensation and assistance, as well as risk management to ensure that livelihoods are at least as good as prior to the program implementation and that the livelihoods of poor and marginalized are improved. The plan will include independent monitoring procedures, clarification of land rights consistent with applicable law, and outline capacity, training, and development actions targeting beneficiaries’ livelihoods. It will ensure that UNDP SES requirements, best practice standards, and mitigation measures are being met, such that Program activities involving economic displacement cannot proceed until completion of livelihood action plans that are site-specific. Where impacts on the economically displaced population are minor, an abbreviated action plan may be developed that establishes the eligibility criteria for economic compensations for the affected persons.

**Conclusions:** The procedures above are based on the broad scope of project activities, outputs and outcomes. The management strategies are therefore designed to manage those impacts in their broadest sense, and the allocated significance ratings (Substantial and Moderate) are based on a precautionary approach. The relevance of these risks may vary across sites, and the significance or likelihood of associated risks or impacts is not necessarily uniform across at all locations.

**Screening of project activities** at the demonstration sites using existing SESP, will take place in order to validate and rigorously assess PPG findings. The Safeguards Experts/company will be hired by the project to conduct the assessments, develop SESA and the participatory Ecological Corridor Feasibility Assessments and Degraded Habitat Site Assessments to support the screening at project sites for undefined activities. The Project manager will ensure the development and implementation of SESA and the scoped assessment and will be supported by technical/support staff. Technical inputs will be provided by the project’s qualified experts.

The first step after the project inception will be to leverage stakeholders engagements, start the implementation of participatory inclusive consultations and validate all the selected areas during the PPG.

The screening will start during the first year of the project implementation.

**Assessment of activities:** will be based on SES requirements and commensurate with the magnitude of the envisaged risk, and targeted specifically at the risk, especially considering risks to poor, vulnerable or marginalized communities (including ethnic minorities identified in the IPPF) and individuals. The appropriate level of stakeholder consultation will be required at all stages.

**Management of identified** **risks** will follow the “mitigation hierarchy” model, described above. Management of additional site-specific activities will be captured in both the Ecological Corridor Strategy and Action Plans (see outline in annex 3) and the Degraded Habitat Restoration Plans. Where required, additional stand-alone plans for the activity may be developed, or addendums made to existing stand-alone plans, such as the business plan for livelihood development or a site-specific addition to the Gender Action Plan. The management plans are dynamic and may require subsequent amendments as new project activities are identified, screened, assessed, and implemented. Additional required mitigation and impact management measures must be integrated into management plans with the technical inputs of specialized project experts.

Throughout all safeguards procedures, the project’s SEP, Comprehensive Stakeholders Engagement and Gender Action Plan (GAP) will be followed and updated as needed based on the screenings, assessments and management plans.

Stakeholder Engagement Plan (Annex 7 Project Document): Fair, inclusive and gender-responsive stakeholder engagement will be essential for ensuring equitable involvement and inclusion of women, men, youth, other vulnerable groups such as ethnic minorities. The Stakeholder Engagement Plan will enable project staff to ensure that selection is carried out in synergy with the related legal and policy governance structure and that the implementation and selection procedures meet the required norms and standards. The plan will specifically consider how to engage marginalized and vulnerable groups equitably and meaningfully (women, women headed households, youth, elderly, rural poor, ethnic minorities such as Roma, and/or any other group deemed to be vulnerable) within the project areas. The plan will also provide terms of reference and modalities for managing stakeholder engagement in project activities at each site and with each community.

Gender Analysis and Action Plan (GAAP – Annex 10 Project Document): The Gender Action Plan was developed based on an existing reports and gender analysis. The purpose of the GAP is to promote the conservation and sustainable management of natural by reducing gender gaps identified in natural resource use and access to resources and services, as well as participation in natural resource management. Addressing gender gaps and inequalities is necessary for women in the 5 targeted landscapes to live in a safe environment and enjoy equal rights and opportunities with men and achieve commensurate results. To achieve this goal, the GAP proposes gender sensitive activities to address the unequal access to and control over natural resources; unbalanced participation and involvement in decision making in environmental planning and management at all levels and unequal access to socio-economic benefits and services. The gender plan includes targeted activities deployed with the aim of ensuring the equitable participation of women at three levels: as project beneficiaries, as active promoters of sustainable wildlife management measures and at decision making level. The gender activities will be implemented and supported by dedicated gender consultant and by the project team.

# Institutional arrangements and capacity building

## Roles and responsibilities for implementing this ESMF

The roles and responsibilities of project staff and associated agencies in the implementation of this ESMF is as follows.

**Implementing Partner:**

The Implementing Partner for this project is the **Foreign Environmental Cooperation Center of the Ministry of Ecology and Environment (FECO).** The FECO is an experienced implementing partner (IP) on several other UNDP-GEF projects.

Table 8 - FECO responsibilities in the implementation of safeguards

|  |
| --- |
| The FECO is responsible for: |
| * Ensuring that the required assessment (scoped assessments, as above) and assessment report and the required management plans and framework (ESMP, IPP) are developed, disclosed for public consultation and approved, and management measures are adopted and integrated during project implementation; * Project planning, coordination, management, monitoring, evaluation and reporting. * Reporting, fairly and accurately, on project progress against agreed work plans in accordance with the reporting schedule and required formats; * Maintaining documentation and evidence that describes the proper and prudent use of project resources in conformity to the signed Project Document and in accordance with applicable regulations and procedures (e.g. SES); * Ensuring all requirements of UNDP’s SES and national regulatory/policy frameworks and relevant international standards have been addressed (e.g. mitigation of identified adverse social and environmental impacts);   Procurement of goods and services, including human resources, is required to ensure compliance with this ESMF. |

Deputy Director General of FECO, will serve as the National Project Director (NPD) and will provide strategic oversight and guidance to project implementation.

**Project Board:**

The **Project Board** will be composed of project development partners, Ministry of Finance and UNDP, Ministry of Ecology and Environment, project executive partner, FECO and beneficiary representatives from GPNP and Dali Bai Autonomous Prefecture, etc.

Table 9 - PB’s role in the implementation of safeguards

|  |
| --- |
| PB’s role includes the following: |
| * Monitor implementation of this ESMF and compliance with national and international regulations, and UNDP social and environmental standards; * Decision making for the adoption of necessary measures including full integration of management measures within project Outputs and annual work plans; * Establish and support GRM mechanism to address any grievances. |

The Project Board will have the final responsibility for the integration of ESMP/stand-alone management plan(s) in the execution of the project. The integration of those plans will need to consider particular institutional needs within the implementation framework for application of the ESMP, including a review of the required budget allocations for each measure, as well as the authority and capability of institutions at different administrative levels (e.g. local, regional, and national), and their capacity to manage and monitor ESMP implementation. Where necessary, capacity building and technical assistance activities will be included to enable proper implementation of the ESMP.

**UNDP:**

UNDP is accountable to the GEF for the implementation of this project. This includes oversight of project execution to ensure that the project is being carried out in accordance with agreed standards and provisions. UNDP is responsible for delivering GEF project cycle management services comprising project approval and start-up, project supervision and oversight, and project completion and evaluation. UNDP is also responsible for the Project Assurance role of the PB.

Table 10 - UNDP Role in the implementation of safeguards

|  |
| --- |
| UNDP’s role includes the following: |
| * Provide oversight on all matters related to safeguards; * Inform all the stakeholders involved in, or potentially impacted, positively or negatively, by the GEF-financed projects, about the UNDP’s Accountability Mechanism; * Ensure that the Compliance Review and the Stakeholder Response Mechanisms are operational during the lifetime of the projects; * Ensure adherence to the SES for project activities implemented using funds channeled through UNDP’s accounts, and undertake appropriate measures to address any shortcomings; * Verify and document that all UNDP SES requirements have been addressed;   Provide technical guidance on implementation of this ESMF and administrative assistance in recruiting and contracting expert safeguards services (as required), and monitor adherence of each project to the ESMF and UNDP policies and procedures. |

Project Management Office will play a key role in the daily implementation on the ESMF

Table 11 - PMO role in the implementation of safeguards

|  |
| --- |
| **Project Management Office** |
| * Supervise and manage implementation of measures defined in this ESMF; * Assign specific responsibilities for implementation of this ESMF, including monitoring, and community consultations on the draft management plans to a staff member(s) of the PMO; * Maintain relevant records associated with management of environmental and social risks, including updated SESPs, impact assessments, a log of grievances together with documentation of management measures implemented; * Report to the Implementing Partner, the Project Board, and UNDP CO on the implementation of the ESMF;   Ensure that all service providers are informed of their responsibilities for the day to day compliance with the ESMF. |

As noted above, the projects’ subsequent management plan**s** as required**,** will describe the roles and responsibilities in the implementation of those plans. Those new roles and responsibilities will be assessed and integrated, as appropriate, as part of the participatory decision making and implementation proceedings of the project.

The project organization structure is shown in **Figure 55** below.

Figure 5 - Proposed Project governance structure

Diagram

Description automatically generated with low confidence

## Project Assurance

UNDP performs supervision, oversight and quality assurance roles, involving UNDP Country Office, involving the regional and headquarters levels. Project Assurance must be totally independent of the Project Management function. The quality assurance role supports the Project Board and Project Management Office by carrying out objective and independent Project oversight and monitoring functions. This role ensures appropriate Project management milestones are managed and completed. The Project Board cannot delegate any of its quality assurance responsibilities to the National Project Coordinator. This Project oversight and quality assurance role is covered by the GEF Agency. UNDP provides a three – tier oversight services involving the UNDP Country Offices and UNDP at regional and headquarters levels. Project assurance is totally independent of project execution.

## ESMF Administration

FECO shall be responsible for the implementation of the ESMF. The Project management team, especially the Safeguards Officer in the Project Management Office will be responsible for the revision or updating the ESMF, undertaking social and environmental assessments, undertaking social and environmental assessments with support of environment and social safeguards experts, and developing the Environmental and Social Management Plan (ESMP). The Project management team will also be responsible for monitoring of implementation of targeted environmental and social management measures.

## Training and Capacity Building

The Project would have a strong focus on building capacity for the implementation at county and community levels. Capacity building/training would be provided to all key institutional participants and the principal stakeholders in order that the project is properly understood, and the different parties are able to implement their assigned responsibilities. Key information and outreach materials would be produced according to the specific audience being addressed (e.g., government, cooperatives/private sector, community, smallholders).

The project would identify community and other stakeholder capacity-building needs, supported by effective information, education and communication activities. This includes the needs for specific trainings such as natural resource management and/or climate- related issues, supervision and reporting needs, including measures (i.e. environmental approvals, local permits, compliance with specific international guidelines and standards, compensation, grievance mechanisms, etc.).

The project will deliver skills development capacity building training. Low-value investment assistance will also be delivered to facilitate strengthening of local livelihood initiatives. The procedures outlined in the ESMF will guide the implementation of the livelihood improvement activities ensuring equitable sharing of benefits.

Training and capacity building have been integrated into the Multiyear workplan.

Under component 1 Output 1.1.4. will focus on a capacity building plan on applying integrated approaches and implementing evaluation indicator systems developed and delivered Sub activities include:

1.1.4.1. According to the needs of mainstreaming biodiversity conservation and management, fully investigate the different cognition and knowledge requirements of inter-sectoral wildlife coordination mechanisms, develop capacity building plans and training contents on applying integrated approaches and implementing evaluation indicator systems, and make timely adjustments based on the training feedback of each period.

1.1.4.2. Develop selection criteria and follow-up performance tracking mechanism for trainees.

1.1.4.3. Develop training materials and lesson plans to promote upscaling.

1.1.4.4. Support implementation of training in cooperation with co-financing partners and other stakeholders.

1.1.4.5. Strengthen international collaboration, including organizing international learning exchanges.

Other training activities will be developed under output 1.2.2. Namely the delivery of training to the multi-sectoral working group members on the results of the SESA completed in Output 1.1.2 and on UNDP Social and Environmental Standards.

For component 2, Output 2.1.1. will focus on Improving capacity for PA managers to effectively engage and support participatory, multi-level, cross-sectoral landscape approaches to conserve globally-threatened and iconic wildlife sub activities will include:

2.1.1.1. Conduct training needs assessments for the protected area management entities and community rangers in the two demonstration areas.

2.1.1.2. Based on the results of the training needs assessments and baseline METT assessments, develop a 5-year capacity building plan, broken down by functional responsibilities and required competences.

2.1.1.3. Implement the 5-year capacity development plan, linking the training activities with site-based activities at the project intervention sites.

2.1.1.4. Organize two cross-province learning exchanges between the Sichuan and Yunnan demonstration areas, sharing best practices and knowledge among the protected area management entities.

2.1.1.5. Develop a performance based technical guideline for community ranger development, identifying competences and qualifications to reach different levels of this position.

Specific Deliver of training on UNDP Social and Environmental Standards. These are planned on sub activities 2.2.1.2. (for establishment of the ecological corridors), 2.2.2.2 (Connectivity of isolated panda habitats), 2.4.1.1. (participatory rural assessment approaches). On the other hand, Sub activities 2.2.1.7, 2.2.2.7, 2.3.1.4, 2.3.2.3. will strengthen the capacities of the protected area management entities while local social associations will be targeted by sub/activity 2.4.2.4.

For Component 3, sub- activity 3.1.1.4. will deliver capacity building to NR staff and other conservation practitioners on utilizing the wildlife data for making management decisions (e.g., 3D visualization decision-support GIS platform), ensuring an equitable percentage of women are included in the trainings. While sub activity 3.1.1.7. will deliver training of use of the citizen science applet, e.g., local schools, women’s groups, ethnic minorities.

Environment and social safeguards experts will be engaged to support the completion of the scoped assessment(s) of economic displacement and other risks, and the subsequent development of the Scoped ESIA/ESMPs and any other stand-alone management plans. These experts will offer an induction session for Project Management team (and implementing partners, as needed) on safeguards responsibilities and approaches.

The UNDP-GEF Unit will provide advice to project teams as needed to support the implementation of this ESMF and the preparation, implementation and monitoring of social and environmental management plans/measures.

# Stakeholder engagement and information disclosure

## Stakeholder Engagement

### Consultation Activities During Project Preparation

Extensive stakeholder engagement and consultations were conducted during the PPG phase involving government agencies and groups at the national, provincial and local levels. These consultations also involved ethnic minority community members in the 3 sites (Liziping Nature Reserve in Giant Panda National Park of Shimian County, Yunnan Yunlong Tianchi National nature reserve and the Caojian Forest Farmof the Yunlong County) academic institutions doing research wildlife conservation and their habitats, civil society organizations, and private sector. All the consultations conducted during the PPG phase are documented in the Stakeholder Engagement Plan of the Project Document (see annex 7). The summary of consultations is indicated below:

Table 12 - Summary of consultations

| **Type of Organization** | **Name of Organization / Office** | **Date of Consultation** |
| --- | --- | --- |
| Government – National | Ministry of Finance | 13-Apr-21  21-Mar-22 |
| Foreign Environmental Cooperation Center of the Ministry of Ecology and Environment (FECO) | 14-Mar-22  21-Mar-22 |
| Academy of Forest Inventory and Planning, National Forestry and Grassland Administration (NFGA) | 13-Apr-21;  25-Jun-2021 |
|
| Government - Provincial | Yunnan Forestry and Grassland Bureau | 27-Oct-21 |
| GPNP Management Bureau | 25-Oct-21 |
| GPNP Sichuan Management Bureau | 25-Oct-21 |
| Government - Local | Yunnan Dali Prefecture Forestry and Grassland Bureau | 22-Apr-2021;  27-Oct-2021 |
|
|
| Pengzhou City Government | 17-Apr-21 |
| Pengzhou City Longmenshan Township Government | 17-Apr-21 |
| Chengdu Park and Urban Construction Management Bureau | 17-Apr-21 |
| GPNP Pengzhou Management Station | 17-Apr-21 |
| Sichuan Shimian County Government | 18-Apr-21 |
| GPNP Ya’an Management Bureau | 18-Apr-21 |
| Shimian County Women's Federation | 18-Apr-21 |
| Shimian County Ethnic and Religious Affairs Bureau | 18-Apr-21 |
| Liziping Township Government | 18-Apr-21 |
| Yunnan Yunlong County Government | 21-Apr-21 |
| Yunnan Yunlong Forestry Bureau | 22-Apr-21 |
| National Park and Nature Reserves | Baishuihe Nature Reserve | 17-Apr-21 |
| Liziping Nature Reserve | 18-Apr-21 |
| Yunlong Tianchi Nature Reserve | 22-Apr-21 |
| Caojian Forest Farm | 22-Apr-21 |
| Civil Society Organizations – NGOs | Shanshui Conservation Center Chengdu | 16-Apr-2021;  24-Apr-2021 |
| WWF China | 16-Apr-21 |
| The Nature Conservancy (TNC) | 16-Apr-2021;  24-Apr-2021 |
| Local Community Members, women’s groups and ethnic minority groups | Ethnic minority male and female farmers in Liziping Township, Liziping Nature Reserve, Shimian County | 18-Apr-2021 |
| Bai minority male and female farmers in Caojian Forest Farm, Yunlong County | 22-Apr-21 |
| Yi minority female farmers in Yunlong Tianchi Nature Reserve, Yunlong County | 23-Apr-2021; |

### Consultation Activities Prior to Project Implementation

Before Project implementation, an Inception Workshop will be conducted at the national and regional levels. The workshop will familiarize key stakeholders with the Project components, outputs and activities, the roles and responsibilities of stakeholders, including Project plans and activities that will be carried out in the Project. In addition, stakeholders will also be familiarized with the Project’s safeguards requirements, including ESMF, Stakeholder Engagement Plan and Indigenous Peoples Planning Framework. Also, the Project will orient stakeholders on monitoring, grievance redress, gender strategy and other management strategies for the Project. The workshop will ensure a strong and well-defined social mobilization process will facilitate the delivery of the project activities in an inclusive and effective manner. It will ensure that the project is able to target and include its intended beneficiaries and that the target group fully understand the opportunities presented by the project as well as the obligations and responsibilities for those who chose to join the

project. It will enable project activities to be fine-tuned to respond to the ground realities and priorities of the households.

The project will ensure that stakeholder engagement is undertaken in a culturally appropriate manner so that their rights and interests are protected, and their unique concerns and needs are identified and addressed. Furthermore, they participate in, contribute to and benefit from the project outcomes equitably. The framework for ensuring meaningful engagement of ethnics minorities compliant FPIC principles is described in section 6.4 of the Indigenous People planning Framework.

Initial consultations with some of the ethnic minority communities during PPG missions to the NRs suggested that they share the same written language with the official language in China, predominantly are able to communicate in mandarin Chinese with people from outside the village; have similar cellphone penetration rates as their Han counterparts within the communities and most important of all, they have as strong interest, particularly women, if not stronger, in the livelihood improvement activities in the project.

Nevertheless, due to a number of factors, including language constraints, education attainment, geographic isolations, etc., socioeconomic conditions in some ethnic minority communities lag behind the broader population in the province and in the country.

According to the Stakeholder Engagement plan, inclusive engagement of ethnic minority people is to encourage ethnic minorities to participate in the project, ensuring that they benefit from the project and minimize negative impacts on them.

* Communicate project information in local languages and through methods that are culturally appropriate.
* Ensure ethnic minorities have equitable representation in the decision-making bodies associated with the community level project activities – particularly Liziping NR, Baodinggou NR and Wolong NR in Sichuan Province and Tianchi NR and Caojian Forest Farm in Yunnan Province.
* Ensure participation of ethnic minorities is gender inclusive and tailored to the needs of disadvantaged and vulnerable groups.
* Facilitate/strengthen community organizations, e.g., agricultural associations, including cooperatives and ethnic minority women’s groups in communities with active male labor migration.
* Deliver skills and know-how training, including professional training for farmers, capacity building for establishing or strengthening markets for traditional and alternative livelihoods products and services, including specialized ecotourism products and services.
* Focus on delivering broad sustainable livelihood benefits, including improvements to, e.g., through alternative biological compensation mechanisms and payment innovation, ecotourism, e.g., through capacity building for agricultural associations, including cooperatives, ethnic minority women’s groups, etc.
* Ensure timely access to information. Project details will be communicated orally and visually as well as in written form in local languages, to ensure local stakeholders can understand the specific activities being implemented and the potential impacts and benefits.

### Consultation Activities During and After Project Implementation

During the implementation stage, public consultations will focus on implementation status, management measures being implemented for environmental and social risks identified, resolution of grievances, including the results of monitoring. During the Project completion phase, consultations will focus on sustainability strategies and measures to sustain the gains of the Project. The Stakeholder Engagement Plan is in Annex 7 of ProDoc.

## Information Disclosure

UNDP’s Information Disclosure Policy is guided by openness, with the presumption that any information concerning UNDP programmes and operations is available to the public. The Project, in line with UNDP’s policy, will ensure that relevant information on the Project will be disclosed in a timely manner, in an accessible place and in appropriate form and language to ensure that affected communities and other stakeholders will understand the opportunities, risks and potential impacts of different activities under the Project. The Project will provide public access to information (either printer or electronic materials). Public access to information will be through disclosure to UNDP and project websites.

Since the Project was categorized as Substantial Risk, draft ESMF will be disclosed 120 days prior to Project Appraisal Committee (PAC). Specifically, the SES (SES, Policy Delivery Process, para. 21) stipulates that, among other disclosures specified by UNDP’s policies and procedures, UNDP will ensure that the following information be made available:

* Stakeholder engagement plans and summary reports of stakeholder consultations
* Social and environmental screening reports with project documentation
* Draft social and environmental assessments, including any draft management plans
* Final social and environmental assessments and associated management plans
* Any required social and environmental monitoring reports.

As outlined in the SES and UNDP’s Social and Environmental Screening Procedure (SESP), the type and timing of assessments and management plans vary depending on the level of social and environmental risk associated with a project as well as timing of the social and environmental assessment.

This ESMF (and project SESPs) will be disclosed via the UNDP China website in accordance with UNDP SES policy. The subsequent project ESMPs or stand-alone management plan(s) will also be publicly disclosed via the UNDP China website once drafted, and finalized and adopted only after the required time period for disclosure has elapsed.

These requirements for stakeholder engagement and disclosure will be adhered to during the implementation of this ESMF, and the subsequent implementation of the resulting ESMPs and any stand-alone management plans.

# Accountability and Grievance Redress Mechanisms

## Project-level Grievance Redress Mechanisms

The FECO will establish and implement, as described in the Project Document, a transparent, fair and free-to-access project-level Grievance Redress Mechanism (GRM), approved by stakeholders, which will be put in place at the start of implementation[[5]](#footnote-6). Interested stakeholders may raise a grievance at any time to the Project Management Office, the Executing Agency, Implementing Agency (UNDP), or the GEF.

Table 13 - Grievance Redress Mechanism Outline

|  |  |  |  |
| --- | --- | --- | --- |
| **Engagement Method and Actions** | **Key Stakeholders** | **Main Responsible Agencies** | **Time** |
| Step 1: Provide contact numbers to the public | Project affected people, Indigenous Peoples, Users / User groups | Site project offices and Project Management Office (National Project Coordinator and National Project Director) | After inception workshop |
| Step 2: File grievance through complaint’s register | Any time during project implementation |
| Step 3: Figure out resolution | Two weeks after receipt of complaint |
| Step 4: Communicate with complainant and resolve issues | Two weeks after receipt of complaint |

Due diligence efforts will be made by the local project representatives to first resolve grievances locally, in a manner sensitive to local social and cultural norms. If the local process does not result in resolution of a grievance, the case will be upgraded to the PMO, with the process managed by the National Project Coordinator and National Project Director providing guidance and signing off on written responses to grievances.

## UNDP’s Accountability Mechanism

One of the objectives of UNDP’s Social and Environmental Standards is to ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from Project-affected people. The Standards are underpinned by an Accountability Mechanism with two key components:

* A Compliance Review to respond to claims that UNDP is not in compliance with applicable environmental and social policies; and
* A Stakeholder Response Mechanism (SRM) that ensures individuals, peoples, and communities affected by Projects have access to appropriate grievance resolution procedures for hearing and addressing Project-related complaints and disputes.

The Social and Environmental Compliance Unit (SECU) investigates alleged non-compliance with UNDP’s Social and Environmental Standards and Screening Procedures from Project-affected stakeholders and recommends measures to address findings of non-compliance. Stakeholder Response Mechanism is available to project stakeholders when Implementing Partner and UNDP project-level stakeholder engagement processes have not resolved issues of concern. It serves as a supplemental means of redress for concerns that have not been resolved through standard project management procedures. UNDP Country Office, with support from Regional Bureau and / or headquarters, will resolve outstanding concerns to the satisfaction of all parties.

Any person or community potentially affected by the Project may file a request for a response from the SRM, if they have previously raised their concerns with Implementing Partner and/or with UNDP through standard channels and have not been satisfied with the response. The request must include how the affected person or community has been adversely affected by the UNDP Project.

Affected people can either ask SECU to pursue a compliance review to examine UNDP’s compliance with UNDP social and environmental commitments, or they can attempt to resolve complaints and disputes through the SRM or they can simultaneously ask both for compliance review and resolution of their concerns.

Affected people can submit all SECU and SRM requests via the online webform located at [**https://undp.tnwreports.com/?lang=en-US**](https://undp.tnwreports.com/?lang=en-US). Affected people may also submit requests via telephone hotline, email or the post.

Table 14 - Contact Details for SECU and SRM Requests

|  |  |  |
| --- | --- | --- |
| **Mode of Communication** | **Details** | **Remarks** |
| Telephone | 001-844-595-5206 | Cost incurred by caller |
| Skype | 001-844-595-5206 | Caller needs to connect to wi-fi or should have mobile data plan |
| Email | [Project.concerns@undp.org](mailto:project.concerns@undp.org) | Submission of communication in any language. There is no strict format or language requirements. |
| Post | Attn: SECU/SRM, OAI, UNDP 1 U.N. Plaza, 4th Floor New York, NY USA 10017 | Submission of communication in any language. There is no strict format or language requirements. |

Affected people who will file complaints must include the following information:

* Name, address, telephone number, and other contact information.
* Whether the complainant(s) wish to keep their identity confidential, and if so, why.
* Name, location, and nature of the UNDP Project (if known).
* How the complainants believe they have been, or are likely to be, adversely affected by the UNDP-supported Project.
* If a third party, such as a civil society organization, is filing a complaint on behalf of an affected individual or community, the complaint should include evidence the third party is working on behalf of the individual or community.
* Although helpful, it is not necessary to cite specific UNDP standards or policies (such as the UNDP's Social and Environmental Standards).

# Budget for ESMF Implementation

Funding for implementation of the ESMF is included in the Project budget. The estimated costs are indicated in Table 15 below. Costs associated with the time of Project Management Unit Staff coordinating the implementation of this ESMF or UNDP support are not shown.

* The scope of work for development of each of the three Ecological Corridors should include: (i) ESIA requirements as part of the Ecological Corridor Feasibility Assessment; (ii) an ESMP as part of the Ecological Corridor Management/Action Plan; (iii) an IPP for each Corridor (addressing all aspects of the interface with IPPs, not only economic displacement).
* The scope of work for each of the five Degraded Landscape Assessments should include an assessment of safeguards risks (consistent with the requirements for an ESIA) and the development of each of the five Restoration Plans should include relevant safeguards management measures (consistent with the requirements for scoped ESMPs).

Table 15 - Breakdown of project level costs for ESMF implementation

| **Item** | **Amount (USD)** |
| --- | --- |
| **Preparation Of Safeguards Documents** | |
| Incorporating SESA considerations, conduct baseline assessments and develop cross-sectoral strategies and action plans for primate conservation and sustainable management in Yunnan Province and Giant Panda conservation and sustainable management in Sichuan Province. | 105,000 |
| Participatory ecological corridor feasibility and rural assessments, compliant with ESIA requirements; screen risks according to SES procedures, ground-truthing, assess IP’s, initiate FPIC, evaluate potential for economic displacement; and Ecological Corridor Strategies and Action Plans compliant with ESMP requirements, with IPP and Livelihood Action Framework elements incorporated, FPIC obtained | 60,000 |
| Baseline habitat survey with ESIA considerations, compliant with ESIA requirements; screen risks according to SES procedures, ground-truthing, assess IP’s, initiate FPIC, evaluate potential for economic displacement; and Degraded Habitat and Restoration Plans Compliant with ESMP requirements, with IPP and Livelihood Action Framework elements incorporated, FPIC obtained | 75,000 |
| Business plans for nature-based livelihood development, fulfilling the requirements of a livelihood action plan | 50,000 |
|  |  |
| **Project Staff Salary and expenses** | |
| Full-time Safeguards-M&E-KM Officer | 236,770 |
| International Safeguards Consultant | 30,000 |
| Local Safeguards Consultants | 36,000 |
| **Capacity Building** |  |
| Training workshops, socializing the safeguards management plans among local communities | 10,000 |
| Other materials | 1,000 |
| **Safeguards Monitoring requirements** | |
| Local Safeguards Consultants | 18,000 |
| Annual Environmental, Social and Climate Change Performance Workshops | 5,000 |
| Travel expenses | 9,000 |
| **Total** | **635,770** |

# Monitoring and evaluation arrangements

Reporting on progress and issues in the implementation of this ESMF will be documented in the project quarterly reports and annual project implementation reports (PIRs). Until the ESMPs and stand-alone management plans are put in place, UNDP CO will be responsible for compiling reports on the implementation of this ESMF, for reporting to the Project Board. Key issues will be presented to the Project Board during each committee meeting.

Implementation of the subsequent ESMPs and stand-alone management plans (all projects, as required) will be the responsibility for the individual project management teams, and other partners as agreed upon and described in those future plans. UNDP Country Office will engage a safeguards Individual Contractor (IC) on a Long-Term Agreement or similar Medium-Term contractual modality to ensure compliance with UNDPs SESP in the whole Country Office Vertical Fund (VF) portfolio. Due to the precautionary substantial risk category applied to the project, particular attention shall be given to:

* Establish long-term monitoring plan to assess impacts on living standards of affected persons and whether objectives of action plans achieved
* Projects involving economic displacement are not considered complete until adverse impacts are addressed and plans fully implemented
* Utilizing independent experts, undertake completion analysis whether livelihoods and living standards were improved or at least restored and where necessary propose corrective actions
* Ensure meaningful collaboration of Ethnic Minorities in verifying that project designed and implemented per IP Standard.
* Transparent participatory monitoring will be placed whereby Ethnic Minorities jointly monitor project implementation

The ESMF monitoring and evaluation plan is outlined below in Table 16.

Table 16 - ESMF M&E Plan

| **Monitoring Activity & Relevant Projects** | **Description** | **Frequency / Timeframe** | **Expected Action** | **Roles and Responsibilities** |
| --- | --- | --- | --- | --- |
| Track progress of ESMF implementation | Implementation of this ESMF coordinated for each project, and with results reported to PB on an annual basis | Quarterly (until ESMPs and management plans are in place) | Required ESMF steps are completed in a timely manner. | Project Management Associate, with support from and PMO |
| Development of SESP, scoped impact assessment per and report, Scoped Feasibility and Degraded Habitat Assessments with ESIA considerations  and ESMPs | Carried out in a participatory manner, in-depth analysis of potential social and environmental impacts, as well as identification / validation of mitigation measures, drafted in participatory manner | Quarters 1 and 2 of project implementation | Risks and potential impacts are assessed with support of external consultants and participation of project team and stakeholders; management actions identified and incorporated into project implementation strategies. | External service providers on environmental and social with support from environment and social safeguards experts and guidance from PMO, UNDP, Project Board |
| Implementation of mitigation measures and monitoring of potential impacts identified in scoped assessment(s) per SESP and per the subsequent ESMP | Permanent and participatory implementation and monitoring of impacts and mitigation measures, in accordance with ESMP (to be prepared together with scoped assessment) | Continuous, once SCOPED ASSESSMENT(S) completed and ESMP(s) in place | Implementation of ESMP; participatory monitoring of scoped assessment findings (i.e. identifying indicators, monitoring potential impacts and risks); integration of ESMP into project implementation strategies. Monitoring of environmental and social risks, and corresponding management plans as relevant (tendered to national institute, local consultant, CSO or service provider) | Project Management Associate, Safeguards Officer, Pilot Coordinators, oversight by UNDP CO, PB |
| Development of scoped assessment on potential economic displacement and report, and livelihood action plan | Carried out in a participatory manner, scoped analysis of potential livelihood impacts associated with project activities in project landscapes/ enhanced management, as well as identification / validation of mitigation measures and livelihood action plans, drafted in participatory manner | Quarters 1 and 2 of project implementation | Potential impacts related to economic displacement around PAs are assessed with support of external consultants and participation of project team and stakeholders; scoped assessment report completed; if justified based on findings of scoped assessment, a livelihoods action plan will be developed; management actions will be identified and incorporated into project implementation strategies. | External service providers on environmental and social with support from environment and social safeguards experts and guidance from PMO, UNDP, Project Board |
| Implementation of management measures and monitoring of potential impacts identified in scoped assessment | Permanent and participatory implementation and monitoring of management measures, in accordance with findings of scoped assessment (and livelihoods restoration plan if developed) | Continuous, once assessment is complete and management plan is in place | Implementation of stand-alone management plans; participatory monitoring; integration of management plans into project implementation strategies | National Project Coordinator, Demo Area Coordinators, oversight by UNDP CO, PB |
| Learning | Knowledge, good practices and lessons learned regarding social and environmental risk management will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project. | At least annually | Relevant lessons are captured by the project teams and used to inform management decisions. | National Project Coordinator, Demo Area Coordinators, |
| Annual project quality assurance | The quality of the project will be assessed against UNDP’s quality standards to identify project strengths and weaknesses and to inform management of decision making to improve the project | Annually | Areas of strength and weakness will be reviewed and used to inform decisions to improve project performance | UNDP CO, Program Alignment Officer, with support from National Project Coordinator, environment and social safeguards experts, Safeguards Officer and Demo Area Coordinators |
| Review and make course corrections | Internal review of data and evidence from all monitoring actions to inform decision making | At least annually | Performance data, risks, lessons and quality will be discussed by the Project Board and used to make course corrections | Project Board |
| Annual project implementation reports | As part of a progress report to be presented to the Project Board and key stakeholders, analysis, updating and recommendations for risk management will be included | Annually | Updates on progress of ESMF/ESMP will be reported in the project’s annual PIRs. A summary of the avoidance and mitigation of potential social and environmental impacts will be included in the program annual report, sharing best practices and lessons learned across the program. | UNDP CO, UNDP-GEF RTA, National Project Coordinator |
| Project review | The Project Board will consider updated analysis of risks and recommended risk mitigation measures at all meetings | At least annually | Any risks and/ or impacts that are not adequately addressed by national mechanisms or project team will be discussed in the Project Board. Recommendations will be made, discussed and agreed upon. | Project Board,  National Project Coordinator |

# Annexes

# Annex 1 Indicative Outline of the Strategic Environmental and Social Assessment (SESA)

A **Strategic Environmental and Social Assessment (SESA)** is a systematic process for evaluating the environmental implications of a proposed policy, plan or programme and provides means to enhance cross sectoral coordination at policy level, and means to mainstream biodiversity into public policies and strategic action plans. It address biodiversity considerations at the earliest stage of decision making alongside economic and social considerations.

The SESA assesses the extent to which a given policy, plan or programme:

* provides an adequate response to environmental and biodiversity conservation–related challenges;
* may adversely affect the environment and social aspects, and
* offers opportunities to enhance the state of the environment and social inclusion, together with a low-carbon development.

Ideally, a SESA should be integrated into the policy, plan or programme preparation process **from its early stages** and the Government must have a **high degree of ownership**. **Public participation** is also essential for a successful SESA. SESA provides recommendations at a strategic level and allows a better control over interactions or cumulative effects.

The SESA study provides the more detailed analysis of key issues and comprises several stages, such as the definition of the environmental baseline, the identification of Biodiversity conservation constraints and opportunities, the identification and assessment of the potential environmental and social impacts, an analysis of performance indicators, an appreciation of the institutional capacities to address the wildlife conservation challenges identified, and conclusions and recommendations. Detailed Terms of references can be identified at the following link: <https://europa.eu/capacity4dev/public-environment-climate/documents/model-terms-reference-strategic-environmental-assessment>.

To develop the SESA, the following indicative outline has been developed:

1. Summary

*Part I: Background*

1. Scope and objectives
2. Background
   1. Description of the sector strategic document
   2. Alternatives under consideration
   3. Environmental policy, legal and planning framework for the SEA
   4. Key issues identified
3. Approach and methodology
   1. General approach
   2. Geographical or environmental mapping units
   3. Include assessments of Ethnics Minorities and the implication of environmental policies on their livelihoods as part of the strategic environmental and social assessment
   4. Assumptions, uncertainties and risks
4. Environmental and social objectives and indicators relevant to the sector
5. General environmental and social baseline

*Part II: Analysis of key issues*

1. Key Issue 1: …
   1. Rationale for the selection of the key issue (synthesis)
   2. Baseline (including institutional, policy and legal framework specific to the key issue)
   3. Analysis (including, as relevant, a discussion on how the state of the environment and/or climate change affect sector performance, potential significant impacts on the environment associated to sector strategy implementation, significant opportunities for the sector strategy to contribute to environmental sustainability, low carbon development and the green economy – the analysis should take into account aspects such as the appropriateness of the institutional and regulatory framework, institutional capacities, etc.)
   4. Analysis of alternatives
   5. Recommendations
2. Key Issue 2: …
   1. Rationale for the selection of the key issue (synthesis)
   2. Baseline (including institutional, policy and legal framework specific to the key issue)
   3. Analysis (including, as relevant, a discussion on how the state of the environment and/or climate change affect sector performance, potential significant impacts on the environment associated to sector strategy implementation, significant opportunities for the sector strategy to contribute to environmental sustainability, low carbon development and the green economy– the analysis should take into account aspects such as the appropriateness of the institutional and regulatory framework, institutional capacities, etc.)
   4. Analysis of alternatives
   5. Recommendations

*Part III: Conclusions and recommendations*

1. General conclusions
2. Recommendations for the improvement of intersectoral coordination and policies supporting wildlife conservation through integrated landscapes, including the implication on Ethnics Minorities from ecological corridor establishment.
3. Recommendations for mainstreaming wildlife conservation and sustainable management of wildlife

Annex 2. Indicative Outline for the Business Plans for Nature-Based Livelihood Development

The purpose of the Business Plans for Nature-Based Livelihood Development is to clarify key principles, organizational arrangements, and design criteria to be applied to project components (and subprojects where relevant) to be prepared during project implementation. Once the individual project components or subprojects are defined and the necessary information becomes available, such a framework will be expanded into a specific action plan (i.e. Livelihood Action Plan) proportionate to potential risks and impacts.

*Project activities that will cause economic displacement will not commence until such specific plans have been finalized and approved by the UNDP, no plan entailing physical displacement will be approved by UNDP.*

Business Plans for Nature-Based Livelihood Development with an associated IPP framework covers the following elements:

1. Introduction
   * Purpose of the framework
   * A description of the process for preparing and approving specific action plans
2. Project Description
   * A brief description of the project and components for which land acquisition and/or access restrictions are required
   * A description of affected ethnics minorities and their locations, including:
   1. description of the community or communities constituting the affected peoples (e.g. names, ethnicities, dialects, estimated numbers, etc.);
   2. description of the lands, territories and resources to be affected and the affected peoples connections/ relationship with those lands, territories and resources; and
   3. an identification of any vulnerable groups within the affected peoples (e.g. uncontacted and voluntary isolated peoples, women and girls, persons with disabilities, elderly, others)
   4. Description of the outcome of the cross-sectoral strategies and action plans developed under Outcome 1.2.
   5. Description of the likelihood for long-term sustainability will be improved by engaging local communities through co-management agreements and emphasis on alternative income streams to reduce pressures on natural resources in sensitive landscape habitats.
   6. Description of the outcome of the multi-stakeholder local working groups developed under sub-activities 2.2.1.1 and 2.2.2.1, Including feedbacks and proposals from representation of women, ethnic minorities, and other vulnerable groups, to guiding the process of establishing the livelihood options.

3. Proposed business plans for nature-based livelihoods

4. Potential Impacts and Affected Persons

* + Estimated displacement impacts/losses associated with all project components/phases
  + Estimated numbers and categories of displaced persons, to the extent feasible
  + Include a summary of the findings and recommendations of the required prior social and environmental impact studies (e.g**.** scoped assessment, ESMF, SESA, as applicable) – specifically those related to ethnic minorities, their rights, lands, territories and resources. This should include the manner in which the affected ethnics minorities participated in such study and their views on the participation mechanisms, the findings and recommendations.
  + Where potential risks and adverse impacts to indigenous peoples, their lands, territories and resources are identified, the details and associated timelines for the planned measures to avoid, minimize, mitigate, or compensate for these adverse effects. Include where relevant measures to promote and protect the rights and interests of the indigenous peoples including compliance with the affected peoples’ internal norms and customs.

1. Legal Framework
   * A legal framework reviewing the fit between national laws and regulations and UNDP SES requirements and measures proposed to bridge any gaps between them
2. Key Compensation and Assistance Principles
   * Eligibility criteria for defining various categories of displaced persons and entitlements
   * An identification of the measures to be taken to ensure that indigenous peoples receive equitable social and economic benefits that are culturally appropriate, including a description of the consultation and consent processes that lead to the determined benefit sharing arrangements.
3. Organizational Arrangements
   * Procedures for delivery of compensation and other assistance, including the responsibilities of the key project partners (e.g. government, project developer, implementing partner, other actors)
   * Describe schedule and institutional arrangement responsibilities and mechanisms for carrying out the measures contained in the IPP, including participatory mechanisms of affected indigenous peoples. Describe role of independent, impartial experts to validate, audit, and/or conduct oversight of the project.
4. Time frame
   * Estimated time frame for preparation of action plans for various project components
5. Participation and Consultation and FPIC process
   * A summary of results of the culturally appropriate consultation and, where required, FPIC processes undertaken with the affected peoples’ which led to the indigenous peoples' support for the project.
   * A description of the mechanisms to conduct iterative consultation and consent processes throughout implementation of the project. Identify particular project activities and circumstances that shall require meaningful consultation through FPIC principles (consistent with section 4 of the Standard 6 Guidance Note).
   * Description of mechanisms for consultations with, and participation of, displaced persons in planning, implementation, and monitoring
6. Grievance Redress
   * A description of the procedures available to address grievances brought by the affected indigenous and affected peoples arising from project implementation, including the remedies available, how the grievance mechanisms take into account indigenous peoples’ customary laws and dispute resolution processes, as well as the effective capacity of indigenous peoples under national laws to denounce violations and secure remedies for the same in domestic courts and administrative processes.
7. Costs and Budget
   * A description of the arrangements for funding economic displacement and livelihood restoration (source of funds for project components)
   * Estimated budget
8. Monitoring
   * Include arrangements for monitoring and general reporting principles

# Annex 3. Indicative Outline for the Ecological Corridor Strategies and Action Plan

The Ecological corridor strategy and action plans shall be based on Guidelines for conserving connectivity through ecological networks and corridors, developed by IUCN in 2020 and available here: <https://portals.iucn.org/library/sites/library/files/documents/PAG-030-En.pdf>

The Ecological corridor strategies and Action plans covers the following elements:

* Introdction
* Fundamental principles
* set of objectives that concisely explain why the corridor is being designated and what the expected conservation outcomes are.
* Objectives
* A description of the process for preparing and approving specific action plans
* Ecological connectivity objectives: The most critical step in documenting an ecological corridor is defining its objectives for ecological connectivity. Connectivity can be established or maintained for any one or a combination of the following purposes, all of which depend on movements between habitat patches: (1) genetic exchange; (2) movement of individuals to meet life-cycle needs, including migration; (3) provision of habitat for daily to multi-generational movement; (4) maintenance of ecological processes; (5) movement and adaptation responses to global change, including climate change; (6) recovery and recolonisation after disturbance; or (7) prevention of undesirable processes, such as the spread of fire. An ecological corridor should have clear and measurable ecological objectives meeting at least one of the above purposes
* Contribution to an ecological network for conservation
* The contribution of an ecological corridor to the ecological network for conservation in which it is located should be documented. Such documentation can consider multiple metrics (genetic, demographic, community and ecosystem consequences) depending on the conservation objectives of the network.
* At minimum, documenting the existence of successful movement between protected areas is required. Quantitative estimates of the magnitude of connectivity should be provided. If possible, the contribution of connectivity to population and community metrics (e.g. genetic diversity, population size, species diversity) should be calculated. Evaluating the contribution of ecological corridors and connectivity to network performance should, when possible, include the performance of the network relative to a group of unconnected protected areas
* Social and economic values
* In establishing and managing ecological corridors, it is useful to consider a complete range of social and economic values. If they are to be part of the management plan, the interaction between them and the ecological objectives should be well understood. Any uses of a corridor that support social and economic values should not impair its connectivity.
* Delineation
* Clearly delineate the ecological corridors. they should have agreed boundaries demarcated by the entity or entities governing and managing it, whether on land, in inland waters, coastal or marine areas, or any combination of these
* Governance

Governance arrangements should be clearly articulated in the documentation. This include describing:

* Governance by government (at various levels);
* Shared governance (sometimes called ‘co-management’), including:  
   o Transboundary governance (formal arrangements between one or more sovereign States or Territories;  
   o Collaborative governance (through various ways in which individuals and institutions work together;  
   o Joint governance (e.g., through a pluralist board or other multiparty governing body);
* Governance by private individuals, organizations or companies; and
* Governance by Indigenous Peoples and/or local communities
* Documentation of legal or other effective mechanisms
* Documentation of the legal or other effective mechanisms that pertain to management of an ecological corridor should describe the governing authority and the legal or customary mechanisms that establish the area’s tenure(s)
* Management required to achieve objectives
* The plan for an ecological corridor should describe management actions required to retain, restore or enhance ecological connectivity. The allowable activities within a corridor should relate directly to its purpose and therefore will be context specific.
* Structural needs
* Are there structural ecological elements that are important to retain or enhance to ensure the corridor meets its objectives? Examples might include maintenance of a percentage of tree cover, restoration of a coral reef, implementation of riparian setbacks or maintenance of in-stream habitat components such as shaded areas.
* Planned management actions should describe practices that achieve sustainable levels of structural ecological elements.
* Human activity management
* The management plan should prevent human pressures and threats that would increase fragmentation or undermine restoration efforts undertaken to achieve connectivity
* list prohibited or permissible activities and describe any restoration needed to achieve connectivity
* Monitoring, evaluation and reporting requirements
* include a monitoring and evaluation plan, along with a strategy for securing resources to implement it.
* Environmental and Social Management Plan

Refer to the UNDP SES [Guidance Note on Assessment and Management](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final_UNDP_SES_Assessment_and_Management_GN_-_Dec2016.pdf) for additional information.

An ESMP is prepared as part of the Environmental and Social Impact Assessment (ESIA) report or as a stand-alone document.[[6]](#footnote-7) The content of the ESMP should address the following sections:

**(1) Mitigation:** Identifies measures and actions in accordance with the mitigation hierarchy that avoid, or if avoidance not possible, reduce potentially significant adverse social and environmental impacts to acceptable levels. Specifically, the ESMP: (a) identifies and summarizes all anticipated significant adverse social and environmental impacts; (b)describes – 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; (c)estimates any potential social and environmental impacts of these measures and any residual impacts following mitigation; and (d) takes into account, and is consistent with, other required mitigation plans (e.g. for displacement, indigenous peoples).

**(2) Monitoring:** Identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed in the environmental and social assessment and the mitigation measures described in the ESMP. Specifically, the monitoring section of the ESMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.

**(3) Capacity development and training:** To support timely and effective implementation of social and environmental project components and mitigation measures, the ESMP draws on the environmental and social assessment of the existence, role, and capability of responsible parties on site or at the agency and ministry level. Specifically, the ESMP provides a description of institutional arrangements, identifying which party is responsible for carrying out the mitigation and monitoring measures (e.g. for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training). Where support for strengthening social and environmental management capability is identified, ESMP recommends the establishment or expansion of the parties responsible, the training of staff and any additional measures that may be necessary to support implementation of mitigation measures and any other recommendations of the environmental and social assessment.

**(4) Stakeholder Engagement:** Summarizes and links to project Stakeholder Engagement Plan or outlines plan to engage in meaningful, effective and informed consultations with affected stakeholders. Includes information on (a) means used to inform and involve affected people in the assessment process; and (b) summary of stakeholder engagement plan for meaningful, effective consultations during project implementation, including identification of milestones for consultations, information disclosure, and periodic reporting on progress on project implementation. Require documentation of consultations (summaries including presentations, key points raised and responses provided, participation lists). Include information on project grievance mechanism (below) and on UNDP Accountability Mechanisms (SRM, SECU).

**(5) Grievance redress mechanism:** Describes effective processes for receiving and addressing stakeholder concerns and grievances regarding the project’s social and environmental performance.

Describe mechanisms to provide stakeholders and potential affected communities avenues to provide feedback or grievances, and receive responses, with regard to the implementation of specific activities, policies, or regulations.

* **(6) Implementation action plan (schedule and cost estimates):** For all four above aspects (mitigation, monitoring, capacity development, and stakeholder engagement), ESMP provides (a) an implementation

# Annex 4. Indicative outline for the Degraded Habitat Restoration Plans

Ecological restoration as the process[[7]](#footnote-8) of assisting the recovery of an ecosystem that has been degraded, damaged, or destroyed. The degraded habitat restoration plan shall include the following elements

1. Introduction
2. Planning and design

* Vision, targets, goals and objectives. Clear and measurable targets (outcome of the project) goals (desired states of the ecosystems over the medium to long-term) and objectives (desired changes to reach project targets) based on a common understanding of the project vision should be described in this section.
* Describe baseline inventories which are required to document extent and effects of degradation regarding key ecosystem attributes: physical conditions, species composition, structural diversity, ecosystem function, external exchanges and absence of threats.
* Identify reference ecosystem(s) and reference models based on a confrontation of historical and current information: status of current abiotic conditions and pressures and biotic values (habitats, species) as well as their historical context and future threats.
* Stakeholder engagement should include relevant authorities, owners, managers and local community representatives at the initial planning and throughout the project lifespan. Information of affected communities for all 7 sites should be ground-thruthed
* Analyse and prioritize logistics and restoration measures, regarding limited resources, risk management, permissions etc.
* Restoration treatment prescription. Clearly state treatment prescriptions, describing what, where and by whom treatments will be undertaken.

1. Implementation

* Describe application of treatments, which should be undertaken in a manner that is responsive to natural processes and that fosters and protects potential for natural and assisted recovery.
* Adaptive management is applied, informed by the results of monitoring. This practice anticipates unexpected ecosystem responses and corrective changes in activities in accordance with the previous practice.

1. Monitoring, documentation, evaluation and reporting

* Describe monitoring arrangements of specific targets, measurable goals and objectives identified during planning and design.
* Describe reporting arrangements and disseminating progress and evaluation results to key stakeholders and a broader public.
* A description of the arrangements for funding economic displacement and livelihood restoration (source of funds for project components)
* The Plan should be consistent with the ESMP outlined provided in the Annex 6 of the ESMF)

1. Post-implementation maintenance

* the management body is responsible for ongoing maintenance and carrying out post-completion monitoring. Comparison to an appropriate reference model should be ongoing, including surveillance and communication.

1. Environmental and Social Management Plan

Please refer to the UNDP SES [Guidance Note on Assessment and Management](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final_UNDP_SES_Assessment_and_Management_GN_-_Dec2016.pdf) for additional information.

An ESMP is prepared as part of the Environmental and Social Impact Assessment (ESIA) report or as a stand-alone document.[[8]](#footnote-9) The content of the ESMP should address the following sections:

**(1) Mitigation:** Identifies measures and actions in accordance with the mitigation hierarchy that avoid, or if avoidance not possible, reduce potentially significant adverse social and environmental impacts to acceptable levels. Specifically, the ESMP: (a) identifies and summarizes all anticipated significant adverse social and environmental impacts; (b)describes – 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; (c)estimates any potential social and environmental impacts of these measures and any residual impacts following mitigation; and (d) takes into account, and is consistent with, other required mitigation plans (e.g. for displacement, indigenous peoples).

**(2) Monitoring:** Identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed in the environmental and social assessment and the mitigation measures described in the ESMP. Specifically, the monitoring section of the ESMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.

**(3) Capacity development and training:** To support timely and effective implementation of social and environmental project components and mitigation measures, the ESMP draws on the environmental and social assessment of the existence, role, and capability of responsible parties on site or at the agency and ministry level. Specifically, the ESMP provides a description of institutional arrangements, identifying which party is responsible for carrying out the mitigation and monitoring measures (e.g. for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training). Where support for strengthening social and environmental management capability is identified, ESMP recommends the establishment or expansion of the parties responsible, the training of staff and any additional measures that may be necessary to support implementation of mitigation measures and any other recommendations of the environmental and social assessment.

**(4) Stakeholder Engagement:** Summarizes and links to project Stakeholder Engagement Plan or outlines plan to engage in meaningful, effective and informed consultations with affected stakeholders. Includes information on (a) means used to inform and involve affected people in the assessment process; and (b) summary of stakeholder engagement plan for meaningful, effective consultations during project implementation, including identification of milestones for consultations, information disclosure, and periodic reporting on progress on project implementation. Require documentation of consultations (summaries including presentations, key points raised and responses provided, participation lists). Include information on project grievance mechanism (below) and on UNDP Accountability Mechanisms (SRM, SECU).

**(5) Grievance redress mechanism:** Describes effective processes for receiving and addressing stakeholder concerns and grievances regarding the project’s social and environmental performance.

Describe mechanisms to provide stakeholders and potential affected communities avenues to provide feedback or grievances, and receive responses, with regard to the implementation of specific activities, policies, or regulations.

**(6) Implementation action plan (schedule and cost estimates):** For all four above aspects (mitigation, monitoring, capacity development, and stakeholder engagement), ESMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the ESMP. These figures are also integrated into the total project cost tables. Each of the measures and actions to be implemented will be clearly specified and the costs of so doing will be integrated into the project's overall planning, design, budget, and implementation.

# Annex 5. Indicative Outline for the Scoped Environmental and Social Impact Assessment – to be included in, the development of the Baseline habitat survey (including participatory rural assessment of affected communities)and participatory Ecological Corridor Feasibility Assessments

Please refer to the UNDP SES [Guidance Note on Assessment and Management](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final_UNDP_SES_Assessment_and_Management_GN_-_Dec2016.pdf) for additional information.

(1) Executive summary: Concisely discusses significant findings and recommended actions.

(2) Legal and institutional framework: Summarizes the analysis of the legal and institutional framework for the project within which the social and environmental assessment is carried out, including (a) the country's applicable policy framework, national laws and regulations, and institutional capabilities (including implementation) relating to social and environmental issues; obligations of the country directly applicable to the project under relevant international treaties and agreements; (b) applicable requirements under UNDP’s SES; and (c) and other relevant social and environmental standards and/or requirements, including those of any other donors and development partners. Compares the existing social and environmental framework and applicable requirements of UNDP’s SES (and those of other donors/development partners) and identifies any potential gaps that will need to be addressed.

(3) Project description: Concisely describes the proposed project and its geographic, social, environmental, and temporal context, including any offsite activities that may be required (e.g., dedicated pipelines, access roads, power supply, water supply, housing, and raw material and product storage facilities), as well as the project’s primary supply chain. Includes a map of sufficient detail, showing the project site and the area that may be affected by the project’s direct, indirect, and cumulative impacts. (i.e. area of influence).

(4) Baseline data: Summarizes the baseline data that is relevant to decisions about project location, design,

operation, or mitigation measures; identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions; assesses the scope of the area to be studied and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences; and takes into account current and proposed development activities within the project area but not directly connected to the project.

(5) Social and environmental risks and impacts: Predicts and takes into account all relevant social and environmental risks and impacts of the project, including those related to UNDP’s SES (Overarching Policy and Principles and Project-level Standards). These will include, but are not limited to, the following:

1. Environmental risks and impacts, including: any material threat to the protection, conservation, maintenance and rehabilitation of natural habitats, biodiversity, and ecosystems; those related to climate change and other transboundary or global impacts; those related to community health and safety; those related to pollution and discharges of waste; those related to the use of living natural resources, such as fisheries and forests; and those related to other applicable standards.[[9]](#footnote-10)
2. Social risks and impacts, including: any project-related threats to human rights of affected communities and individuals; threats to human security through the escalation of personal, communal or inter-state conflict, crime or violence; risks of gender discrimination; risks that adverse project impacts fall disproportionately on disadvantaged or marginalized groups; any prejudice or discrimination toward individuals or groups in providing access to development resources and project benefits, particularly in the case of disadvantaged or marginalized groups; negative economic and social impacts relating to physical displacement (i.e. relocation or loss of shelter) or economic displacement (i.e. loss of assets or access to assets that leads to loss of income sources or means of livelihood) as a result of project-related land or resource acquisition or restrictions on land use or access to resources; impacts on the health, safety and well-being of workers and project-affected communities; and risks to cultural heritage.

(6) Analysis of alternatives: Systematically compares feasible alternatives to the proposed project site, technology, design, and operation – including the "without project" situation – in terms of their potential social and environmental impacts; assesses the alternatives’ feasibility of mitigating the adverse social and environmental impacts; the capital and recurrent costs of alternative mitigation measures, and their suitability under local conditions; the institutional, training, and monitoring requirements for the alternative mitigation measures; for each of the alternatives, quantifies the social and environmental impacts to the extent possible, and attaches economic values where feasible. Sets out the basis for selecting the particular project design.

(7) Mitigation Measures: Summary of (with attachment of full) Environmental and Social Management Plan (ESMP) (see indicative outline of ESMP below.) The ESMP identifies mitigation measures required to address identified social and environmental risks and impacts, as well as measures related to monitoring, capacity development, stakeholder engagement, and implementation action plan.

(8) Stakeholders. Summarizes and links to project Stakeholder Engagement Plan or ESMP that includes plan for consultations. Includes summary of consultations undertaken for development of ESIA (see appendices).

(9) Conclusions and Recommendations: Succinctly describes conclusion drawn from the assessment and provides recommendations. Includes recommendation regarding the project’s anticipated benefits in relation to its social and environmental risks and impacts.

(10) Appendices:

(i) List of the individuals or organisations that prepared or contributed to the social and environmental assessment;

(ii) References – setting out the written materials both published and unpublished, that have been used;

(iii) Record of meetings, consultations and surveys with stakeholders, including those with affected people and local NGOs. The record specifies the means of such stakeholder engagement that were used to obtain the views of affected groups and local NGOs, summarizes key concerns and how these concerns addressed in project design and mitigation measures;

(iv) Tables presenting the relevant data referred to or summarized in the main text; (v) Attachment of any other mitigation plans;

(vi) List of associated reports or plans.

# Annex 6. Draft terms of references for the Social and Environmental Safeguards Officer

A. BACKGROUND

The Global Environment Facility in its 7th replenishment (GEF-7), with a view to safeguard key threatened and iconic wildlife in China through cross-sectoral engagement, community participation and innovative management technologies across landscapes has developed the Transformational wildlife conservation management in China project (Wildlife Project). The project seeks achieve this objective through below components: 1) Mainstreaming wildlife conservation into integrated landscape planning through enhanced intersectoral coordination and supportive policy environment; 2) Demonstrating integrated landscape management approaches and innovative tools in key endangered globally important wildlife habitats; 3) Deploying frontier technologies and innovative knowledge management solutions for wildlife conservation and landscape planning. The project will be managed by the Project Management Office (PMO) set up within the FECO which shall be responsible for the implementation of the ESMF.

B. OBJECTIVES OF ASSIGNMENT

The Environment and Social Safeguards Officer (ESSO) will work for PMO, which has been established to support the implementation of the project. The ESSO will work closely with the Project Component Coordinators and s/he will report to the Project Board on the following responsibilities.

1. Provide overall environmental management oversight during the implementation of the project, supporting and advising the PMO in addressing a variety of environmental issues at all the stages of the implementation of the Project and in environment related training/awareness raising and coordination activities.

2. Implement environment related activities as outlined in the Environmental and Social Management Framework (ESMF) of the project.

3. Prepare necessary documents, such as environmental guidelines and tools in consultation with stakeholders and help the client in commissioning and managing additional and/ or special studies/ assessment, baseline studies, if necessary.

4. Coordination with (i) PMO staff including Monitoring and Evaluations Officer,

Procurement Officer and Financial Management Officer; and (ii) Establish and ensure efficient and satisfactory progress in implementing the Environment and Social

Management Framework against the indicators established in the project action plans.

5. Reporting to the Project Board and UNDP on the overall environment and social performance of the project as part of PMO’s periodic progress reporting all aspects of the project throughout the duration of the project.

C. OVERALL RESPONSIBILITY

The overall responsibilities of the Environment and Social Safeguards Officer (ESSO) include, but are not limited to the following:

1. Ensuring that each subproject and activities under the project is subjected to the Project Environment and Social Management Framework (ESMF) process and procedures.

2. Prepare guidelines, tools and notes for use in the project based on relevant environmental

policies, acts and regulations/ directives of the FECO/MEE and relevant safeguard policies of UNDP as outlined in the ESMF;

3. Carry out environmental and social screening of subprojects and activities, and help to prepare subproject or activity specific Environment and Social Management Plans.

4. Organize environmental orientation & awareness, and training for Project staff on safeguards

5. Coordinate and execute, if necessary, any other studies/assessment. Prepare environmental and social information materials and help the donor in disseminating the information to the relevant stakeholders;

6. Provide overall policy and technical direction for safeguards management under the Project, as defined by the project environment and social safeguards instruments, including ensuring FPIC principles are applied throughout the project;

7. Co-ordinate closely with the technical officers in the Implementing Parties (PIP) in planning and managing project implementation as per the safeguard’s instruments;

8. Provide necessary technical assistance to facilitate the implementation, management and monitoring of environment and social safeguards including conducting baseline studies

9. Ensure environment and social due diligence is carried out for each sub-project as soon as conceptual technical design and scope have been defined, as outlined in the safeguard’s instruments;

10. Closely coordinate with the PMU and PIP technical officers for timely preparation of Environment/Social Assessments/Management Plan;

11. Coordinate with the PIPsfor hiring technical assistance, where necessary, and for review and endorsement of these safeguard documents

12. Ensure consistency of safeguard documents with national environment regulations;

13. Obtain necessary clearances from local authorities for sub-projects, where applicable;

14. Prepare terms of references to undertake Environment and Social assessments and obtain necessary clearances from the UNDP and/or designated project approving agencies;

15. Manage the consultants hired to undertake environmental and social assessments, where applicable, and provide coordination support with implementation agencies and

individuals;

16. Review draft and final environment and social assessments for quality and obtain necessary clearances as per the safeguard’s instruments;

17. Ensure that applicable measures in the Environment and Social Management Plans (ESMPs) are included in the design, and conditions on compliance with

ESMPs is included in the bidding documents liaising closely with the procurement team of the PMO and IAs;

18. Develop, organize and deliver environmental and social training programs and workshops for the Implementing Agencies at the field level, contractors, field supervision staff and other implementing agency officials as needed, on safeguard requirements and their management;

19. Ensure compliance with ESMPs during the construction period and maintain close coordination and cooperation with the technical teams of the IAs; to monitor the operations and maintenance during the operation of the project;

20. Prepare additional technical guidelines, if necessary, to support the safeguards instruments in order to strengthen the implementation of environmental and social safeguards;

21. Ensure adequate public consultation during the preparation of safeguards instruments as defined by the Environmental and Social Safeguard frameworks and PRODOC;

22. Ensure public complaints relating to sub-project implementation are addressed with corrective action and adequately documented;

23. Hold regular review meetings with the technical officers of the IAs and visit selected project sites to monitor implementation of the safeguard’s instruments;

24. Prepare routine monitoring reports, in collaboration with the IAs as set forth in the safeguard’s instruments;

25. Liaise closely, where technical guidance is required, with the environmental and Social Specialists of UNDP task team.

26. Promote community participation in the process of planning, management and monitoring of environmental/social impacts of sub-projects; provide guidelines on community participation in environmental/social monitoring to the IAs

27. Conduct social/environmental audits for all project components and obtain clearances;

28. Review and comment on audit reports, take necessary actions to address audit issues raised and obtain comments from UNDP.

D. QUALIFICATIONS AND EXPERIENCE

1. Bachelor’s Degree in Environment/Social Sciences or related fields preferably

Environmental Conservation with minimum 5 years of work experience.

2. Work experience in Government or donor funded projects and other relevant institutions will be an added advantage; work experience as environmental specialist in/ with UNDP/GEF funded activities will be an asset;

3. Demonstrates good oral and written communication skills in substantive and technical areas described in Section A. Thorough knowledge or demonstrated ability to rapidly acquire knowledge regarding environmental assessments, research processes, procedures for performance monitoring and evaluation;

4. Excellent writing, editing and analytical skills and capability of working independently.

Fluent in written and spoken English and Chinese;

5. A high level of computer literacy is required with familiarity in Word, Excel and PowerPoint.

6. The successful individual must be willing to work for extended periods without direct supervision and travel to the field within the project area.

7. Demonstrates openness to change and ability to manage complexities

8. Should have strong and proactive interpersonal communicative skills, experience in participatory management.

The short-listed candidate will be requested to participate in personal interviews and submit the names and contact details of personal referees who can attest to their ability.

The successful candidate must understand the objectives and delivery mechanisms of the project. S/he must be willing to work in a team, be flexible to emerging or changing conditions, and undertake initiative to overcome challenges.

1. https://www.ecologic.eu/sites/default/files/publication/2021/B1\_Restoriation-measures.pdf [↑](#footnote-ref-2)
2. https://www.ecologic.eu/sites/default/files/publication/2021/B1\_Restoriation-measures.pdf [↑](#footnote-ref-3)
3. https://www.ecologic.eu/sites/default/files/publication/2021/B1\_Restoriation-measures.pdf [↑](#footnote-ref-4)
4. https://www.ecologic.eu/sites/default/files/publication/2021/B1\_Restoriation-measures.pdf [↑](#footnote-ref-5)
5. , When sub-projects are implemented by co-financing institution, a common agreement will be reached on the approach to address sub-project related grievance redress, including specific accountability in case a complaint may arise. [↑](#footnote-ref-6)
6. This may be particularly relevant where contractors are being engaged to carry out the project, or parts thereof, and the ESMP sets out the requirements to be followed by contractors. In this case the ESMP should be incorporated as part of the contract with the contractor, together with appropriate monitoring and enforcement provisions. [↑](#footnote-ref-7)
7. https://www.ecologic.eu/sites/default/files/publication/2021/B1\_Restoriation-measures.pdf [↑](#footnote-ref-8)
8. This may be particularly relevant where contractors are being engaged to carry out the project, or parts thereof, and the ESMP sets out the requirements to be followed by contractors. In this case the ESMP should be incorporated as part of the contract with the contractor, together with appropriate monitoring and enforcement provisions. [↑](#footnote-ref-9)
9. For example, the Environmental, Health, and Safety Guidelines (EHSGs), which are technical reference documents with general and industry-specific statements of Good International Industry Practice. The EHSGs contain information on industry- specific risks and impacts and the performance levels and measures that are generally considered to be achievable in new facilities by existing technology at reasonable cost. Available at [www.ifc.org/ehsguidelines](http://www.ifc.org/ehsguidelines). [↑](#footnote-ref-10)