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|  | Indigenous Peoples Planning Framework (IPPF) |  |

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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 | |
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| **Disclosure requirements:** This IPPF draft must be publicly disclosed 120 days before the Project Appraisal Committee Meeting (PAC). | | | |

**Acronyms**

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| ADSDPP  BDFE | Ancestral Domains Sustainable Development and Protection Plan  Biodiversity-Friendly Enterprises |
| BFAR | Bureau of Fisheries and Aquatic Resources |
| CBD | Convention on Biological Diversity |
| BMB  CENRO | Biodiversity Management Bureau  Community Environment and Natural Resources Office |
| CEPA  CP | Communication, Education and Public Awareness  Certification Precondition |
| ESMF | Environmental and Social Management Framework |
| ETP MW  FBI  FECO | Endangered, Threatened and Protected Marine Wildlife  Field Based Investigation  Foreign Environmental Cooperation Center of the Ministry of Ecology and Environment |
| FPIC  GAP | Free Prior and Informed Consent  Gender Action Plan |
| GEF | Global Environment Fund |
| GRM  ICC | Grievance Redress Mechanism  Indigenous Cultural Community |
| IE  IP  IPAF | Implementing Entity  Indigenous People  Integrated Protected Area Fund |
| IPRA  MEE | Indigenous Peoples Rights Act  Ministry of Ecology and Environment |
| MPA | Marine Protected Area |
| NFGA | National Forestry and Grassland Administration |
| NCIP  NGO  PAMB  PASu  PENRO | National Commission on Indigenous Peoples  Nongovernmental Organization  Protected Area Management Board  Protected Area Superintendent  Provincial Environment and Natural Resources Office |
| PMU | Project Management Unit |
| PO | People’s Organization |
| RCC | Rural Credit Cooperative |
| SDG | Sustainable Development Goals |
| SES | UNDP’s Social and Environmental Standards |
| SESP | UNDP’s Social and Environmental Screening Procedure |
| SWCG | Special Wildlife Coordination Group |
| UNDP  UNDRIP | United Nations Development Program  United Nations Declaration on the Rights of Indigenous Peoples |

Contents

[Executive Summary 5](#_Toc104510597)

[1. Introduction 9](#_Toc104510598)

[2. Global and National Frameworks on Indigenous Peoples’ Rights 10](#_Toc104510599)

[2.1 Global Framework on Indigenous Peoples’ Rights 11](#_Toc104510600)

[2.2 National Policies and Legal Framework 11](#_Toc104510601)

[2.3 UNDP’s Social and Environmental Standards and Guidance Note on FPIC Processes 12](#_Toc104510602)

[3. Description of Ethnic Minorities 13](#_Toc104510603)

[3.1 Ethnic minorities in the project demonstration landscapes 13](#_Toc104510604)

[4. Potential Impacts and Risks identified 20](#_Toc104510605)

[4.1 Risks of Potential Adverse Impacts 20](#_Toc104510606)

[4.2 Potential Positive Impacts 33](#_Toc104510607)

[5. Procedures for Screening, Assessment and Management 34](#_Toc104510608)

[5.1 Screening and assessment for Impacts on Indigenous Peoples 34](#_Toc104510609)

[5.2 Management Measures 38](#_Toc104510610)

[6. Participation, Consultation and FPIC Processes 39](#_Toc104510611)

[6.1 Free, prior and informed consent (FPIC) definition 39](#_Toc104510612)

[6.2 Participation and consultation during project preparation 40](#_Toc104510613)

[6.3 FPIC Processes 41](#_Toc104510614)

[6.4 Framework for ensuring meaningful FPIC consultations 43](#_Toc104510615)

[7. Appropriate Benefits 45](#_Toc104510616)

[8. Grievance Redress Mechanism 48](#_Toc104510617)

[9. Institutional Arrangement 48](#_Toc104510618)

[10.Monitoring, Reporting and Evaluation 50](#_Toc104510619)

[11. Budget and Financing 51](#_Toc104510620)

# Executive Summary执行摘要

This Indigenous Peoples Planning Framework (IPPF) has been prepared for the Global Environment Facility (GEF) funded Project, titled “Transformational wildlife conservation management in China”. Its purpose is to assist in the assessment of potential social impacts to Indigenous Peoples (the term “Ethnic Minorities” is widely used in China and interchangeably in the IPPF). The Framework forms the basis upon which an Indigenous Peoples Plan (IPP) will be developed during the project implementation, to ensure compliance with the requirements of UNDP’s Social and Environmental Standards. The United Nations Development Programme (UNDP) is the Implementing Agency and Foreign Environmental Cooperation Center of the Ministry of Ecology and Environment (FECO) is the Executing Agency. The proposed interventions will mainly be done in demonstration areas in Dali and Giant Panda National Park.

本《土著人民规划框架》（IPPF）是为全球环境基金（GEF）资助的“中国野生动物保护管理转型”项目而编制。其目的是协助评估对土著人民（中国多用“少数民族”一词表示土著人民，IPPF中两个词都可使用）的潜在社会影响。该框架构成了项目实施过程中制定《土著人民计划》的基础，确保符合联合国开发计划署（UNDP）的《社会和环境标准（SES）》要求。实施机构为UNDP，执行机构为生态环境部对外合作与交流中心（FECO）。拟议的干预措施将主要在大理和大熊猫国家公园的示范区内进行。

The Project will adopt and will be consistent with the following legal framework during implementation: UN Declaration on the Rights of Indigenous Peoples (UNDRIP), the UN Convention on Biological Diversity (CBD) also known as the Biodiversity Convention, Republic Act 8371, also known as the Indigenous Peoples Rights Act (IPRA) and the NCIP Administrative Order No. 3, series of 2012, titled “The Revised Guidelines on Free and Prior Informed Consent (FPIC) and Related Processes” of 2012.

本项目将采用并在实施过程中符合以下法律框架：《联合国土著人民权利宣言》（UNDRIP）、《联合国生物多样性公约》（CBD）（又称《生物多样性公约》）、第8371号共和国法（又称《土著人民权利法》（IPRA））和2012年国家土著人民委员会（NCIP）第3号行政命令，题为《自由和事先知情同意（FPIC）及相关程序的修订指导方针》。

Standard 6 of UNDP’s Social and Environmental Standards applies to all projects which may affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples/Ethnic Minorities. Minimum Standard 5 of the GEF’s Policy on Environmental and Social Safeguards requires Agencies to have the necessary policies, procedures, systems and capabilities to ensure that Free, Prior and Informed Consent (FPIC) of affected Indigenous Peoples/Ethnic Minorities is obtained.

UNDP的《社会和环境标准》（SES）第6条适用于所有可能影响土著人民/少数民族的人权、土地、自然资源、属地和传统生计的项目。全球环境基金（GEF）的《环境和社会保障政策》最低标准5要求各机构拥有必要的政策、程序、系统和能力，以确保获得受影响的土著人民/少数民族的自由、事先和知情同意（FPIC）。

FPIC has emerged as an international human rights standard that derives from the collective rights of indigenous peoples to self-determination and to their lands, territories and other properties. For the purposes of this guide it should be considered as a collective right of indigenous peoples to make decisions through their own freely chosen representatives and customary or other institutions and to give or withhold their consent prior to the approval by government of any activity that may affect the lands, territories and resources that they customarily own, occupy or otherwise use. As there are no traditional institutions and authorities entitled to legally represent each ethnic minority at village level, FPIC principles will be followed in the planning, formulation and implementation of project interventions as part of the Cross-sectoral strategy and action plan (output 1.2) and through community co-management agreement (output 2.2).

FPIC已经成为一项国际人权标准，源于土著人民的集体自决权和对其土地、属地和其他财产的权利。在本指南中，FPIC应被视为土著人民的一项集体权利，即通过他们自由选定的代表及习惯机构或其他机构作出决定，并在政府批准任何可能影响其习惯上拥有、占有或以其他方式使用的土地、属地和资源的活动之前给予同意或拒绝同意。由于在村一级没有有权合法代表每个少数民族的传统机构和当局，FPIC原则将作为跨部门战略和行动计划（产出1.2）的一部分，并通过社区共同管理协议（产出2.2），在规划、制定和实施项目干预措施时予以遵循。

Preliminary analysis and screening conducted during the project development phase via UNDP’s Social and Environment Screening Procedure (SESP) identified potential risks to ethnic minorities associated with project activities. Ethnic minorities are residing and depending on the natural resources in some of the project intervention sites. The project will ensure that stakeholder engagement is undertaken in a culturally appropriate manner so that the rights and interests of ethnic minorities are protected and their unique concerns and needs are identified and addressed.

在项目开发阶段，通过UNDP的社会和环境筛选程序（SESP）进行初步分析和筛选，确定了少数民族面临的项目活动相关潜在风险。少数民族在一些项目干预点居住并依赖自然资源。该项目将确保以适当的文化方式开展利益相关者参与，从而保护少数民族的权利和利益，并确定和解决他们的特有关切和需求。

Ethnic minorities are residing in most of the project NRs who are largely dependent on natural resources for their livelihoods. Furthermore, they participate in, contribute to and benefit from the project outcomes equitably.

少数民族居住在大多数项目的自然保护区（NRs）内，主要依赖自然资源维持生计。此外，他们平等参与到项目成果中，并为之做出贡献和受益。

There are 19 ethnic minorities living in the Giant Panda National Park, such as Tibetan, Qiang, Yi, Hui, Mongolian, Tujia, Dong, Yao, just name a few. For instance, Yi township is located in one of the demonstration areas, the Giant Panda National Park, the Yi ethnic minority is the main ethnic group in Liziping Township, accounting for 99% of the total population. Another demonstration area, Yunlong Tianchi National Nature Reserve and Caojian Forest Farm, Yunlong County, Dali, Yunnan Province, among the total population of 208,277, 24,953 are Han people, accounting for 11.98% of the total population. 183,324 people are ethnic minorities, accounting for 88.02%. Among whom, the Bai nationality has 150,700 people, accounting for 72.70% of the county's population. During PPG missions, preliminary consultation with these Ethnic Minorities were arranged to understand needs and challenges faced by township government and local villagers, nonetheless, due to the Covid outbreak it was not possible to officially engage with the affected communities in accordance with the FPIC process. Consultation included wildlife rangers at Menghuo Town Protection Station, Liziping Township Cadres and Lizi Villager Representatives in Giant Panda National Park, and technical staff, Yi women farmers, forest rangers, and members of local communities in Dali. Their views on opportunities of project interventions to support them to achieve sustainable natural resources management were collected.

大熊猫国家公园内生活着19个少数民族，如藏族、羌族、彝族、回族、蒙古族、土家族、侗族、瑶族等。例如，彝族乡位于示范区之一的大熊猫国家公园内，彝族是栗子坪乡的主体民族，占该乡总人口的99%。另一个示范区是云南省大理州云龙县云龙天池国家级自然保护区和漕涧林场，总人口208277人中，汉族24953人，占总人口的11.98%。少数民族183324人，占88.02%。其中，白族有150,700人，占全县人口的72.70%。在项目编制赠款（PPG）阶段，已经与这些少数民族进行了初步协商，以了解乡镇政府和当地村民的需求和面临的挑战，然而，由于新冠疫情，按照FPIC程序与受影响的社区正式接触已无可能。协商对象包括大熊猫国家公园内的孟获保护站野生动物巡护员、栗子坪乡干部和栗子村村民代表、大理市的技术人员、彝族女农民、护林员和当地社区成员。收集了他们对项目干预所带来的支持其实现可持续自然资源管理机会的看法。

Due to Covid restriction, it was not possible to officially initate the FPIC process during PPG. Nonetheless, preliminary consultations during PPG missions with some of the ethnic minority communities in the project intervention sites suggested that they are widely able to communicate in Mandarin Chinese; have similar cell phone penetration rates as their Han Chinese counterparts within the local communities; and most importantly, have a strong interest, particularly among the women, in the proposed livelihood improvement activities of the project. 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).

因受限于新冠疫情，在项目编制赠款（PPG）阶段不可能正式启动FPIC程序。然而，在此期间，与项目干预点的部分少数民族社区进行的初步协商表明，他们普遍能够用普通话交流；当地社区的手机普及率与汉族人相似；最重要的是，这些社区，尤其是妇女，对项目拟议的生计改善活动有强烈兴趣。借助《社会和环境风险筛选清单》（见ProDoc附件4）中详细列出的缓解措施，所确定的社会和环境风险影响整体可控。

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.

该项目在几个具有不同社会生态特征的景观中进行干预。为了确保差异化风险和缓解措施能够充分适应示范区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，如下表所示。

|  |  |  |  |
| --- | --- | --- | --- |
| **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性农村评估） | 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，如参与式生态走廊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 with an associated IPP (see outline in annex 2 in the ESMF) 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 of the ESMF) and the Degraded Habitat Restoration Plans (see outline in annex 4); these will serve as Environmental and Social Management plans (ESMP see outline in annex 6 of the ESMF) that will include all 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 broad scope of project activities and outputs is established. Adverse impacts will, as they are identified, be subject to further study and stakeholder consultation to identify and where possible quantify the magnitude and severity of such impacts on the individuals/communities affected. Measures to avoid, minimize, mitigate, or manage such impacts will be developed and implemented. The following activities will not be commenced until mitigation measures compliant to UNDP SES 6 on indigenous people are in place:

项目活动和产出的广泛范围已经确定。不良影响一经确定，将对其进一步研究并与利益相关者协商，以确定并尽可能量化其对受影响个人/社区的影响规模和严重程度。将制定和实施措施从而避免、减少、缓解或管理这些影响。在符合UNDP SES 6的土著人民相关缓解措施到位之前，不会开展以下活动：

* 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.
* 产出2.2.1：按照产出1.2.1制定的跨部门战略和行动计划，建立生态廊道以连接云南省大理白族自治州云龙县的主要灵长类栖息地。
* 产出2.2.2：按照产出1.2.2制定的跨部门战略和行动计划，建立两条生态廊道，加强大熊猫国家公园内各个孤立的大熊猫栖息地之间的连接。
* 产出2.3.1：在云南大理白族自治州云龙县恢复主要灵长类动物栖息地。
* 产出2.3.2：通过生物/生态工程和其他技术措施在大熊猫国家公园内恢复退化的大熊猫栖息地
* 产出2.4.1：生态产品和服务，包括自然旅游、认证计划和有机农业，为当地社区创造替代性收入来源。
* 产出2.4.2：在示范区建立和/或加强替代生计方面的社会化协会。

Some of the anticipated positive impacts of the Project on Ethnic Minorities include:

本项目对少数民族的预期积极影响包括：

* Helping local residents, especially Ethnic Minorities to develop ecological goods and services, including nature-based tourism, certification schemes and/or organic farming, in place to generate alternative income streams for local communities to increase their income.
* Support or strengthen existing alternative livelihood cooperatives or establish new cooperatives in the demonstration areas through partnership building, skills training, financial management training, etc.
* 帮助当地居民，特别是少数民族发展生态产品和服务，包括自然旅游、认证计划和/或有机农业，为当地社区创造替代性收入来源，增加其收入。
* 通过建立伙伴关系、技能培训、财务管理培训等，在示范区支持或加强现有的替代生计合作社，或建立新的合作社。

The project will entail multiple interventions that will be designed during the implementation phase. For that reason, Free, prior, and informed consent (FPIC) consultations were not carried out during the project preparation phase, and also the justification for adopting the framework approach outlined in this IPPF. FPIC consultations will be completed and reported as part of the Indigenous Peoples Plan associated to the Business Plans for Nature-Based Livelihood Development which will be carried out by independent experts in a participatory manner with ethnic minority stakeholders and will be cleared by UNDP before any intervention affecting ethnic minorities takes place.

该项目将涉及多种实施阶段设计的干预措施。为此，在项目准备阶段没有进行自由、事先和知情同意（FPIC）协商，也因此而采用本IPPF中概述的框架方法。完成并报告FPIC协商是《土著人民计划》的一部分，该计划与《基于自然的生计发展商业计划》相关。这一商业计划将由独立专家以参与性方式与少数民族利益相关者进行协商，并在影响少数民族的任何干预措施发生之前由UNDP批准。

The Project results, indicators and mid-term and end-of Project targets in the Project results framework, including implementation of environmental and social safeguards management plans such as the Indigenous Peoples Plan, will be monitored annually and evaluated periodically during the implementation of the Project. The main monitoring, reporting and evaluation instruments to be used include the Project Results Framework and independent qualitative reviews. The Project, through the Project Management Office will monitor the implementation of the Ecological Corridor Strategy and Action Plans (see outline in annex 3 of the ESMF) and the Degraded Habitat Restoration Plans (see outline in annex 4); these will serve as Environmental and Social Management plans (ESMP) (see outline in annex 6 of the ESMF)),), together with the Grievance Redress Mechanism and the Gender Action Plan. The Project will also undertake midterm and terminal evaluation reviews to determine the Project’s impacts on IPs/Ethnic Minorities.

项目成果框架中的项目成果、指标以及项目期中和期末目标，包括实施环境和社会保障管理计划（如《土著人民计划》），将在项目实施过程中每年进行监测并定期评估。所使用的主要监测、报告和评价工具包括项目成果框架和独立的质量审查。本项目将通过项目管理办公室监测生态廊道战略和行动计划（见ESMF附件3的纲要）和退化栖息地恢复计划（见附件4的纲要）的执行情况；这些计划将与申诉纠正机制和性别行动计划一起用作环境和社会管理计划（ESMP）（见ESMF附件6的纲要）。本项目还将进行中期和终期评估审查，以确定本项目对土著人民/少数民族的影响。

The estimated total budget for safeguards management, capacity building, consultation and stakeholder engagement and development and implementation of livelihoods support programme is $8488488,700 (including the IPPF, IPP(s) and FPIC).

用于保障管理、能力建设、协商和利益相关者参与以及制定和实施生计支持计划的总预算预计为8亿4884万8700美元（包括IPPF、IPP（s）和FPIC）。

# 1. Introduction

This Indigenous Peoples Planning Framework (IPPF) has been prepared for the Global Environment Facility (GEF) funded Project, titled “Transformational wildlife conservation management in China”. Its purpose is to set out the requirements of UNDP Social and Environmental Standards (SES) Standard 6 (Indigenous Peoples), organizational arrangements, and design criteria to be applied to project components that are not yet defined and will be prepared during project implementation. In China, the term “Ethnic Minorities” is widely used as an equivalent to indigenous peoples (IPs). In the IPPF, the term “Ethnic Minorities” is used interchangeably with IPs.

The Project has been screened vis-à-vis UNDP’s Social and Environmental Screening Procedure (SESP) and was categorized overall as “Substantial Risk”. This IPPF is developed to comply with relevant Chinese regulations, Standard 6 of UNDP’s Social and Environmental Standards (SES) and Minimum Standard 5 of GEF’s Policy on Environmental and Social Safeguards.

The six-year Project (2022-2028) will be implemented in Primate habitats in the Dali Bai Autonomous Prefecture, Yunnan Province and Giant panda habitats in and near the Giant Panda National Park. This project aims to safeguard key threatened and iconic wildlife in China through cross-sectoral engagement, community participation and innovative management technologies across landscapes. With the support of a cross-sectoral Special Wildlife Coordination Group (SWCG) in policy guidelines, restoration, and ecological corridor enhancement techniques at key sites, incorporating frontier technologies and knowledge management innovations in partnership with the private sector, academia and local communities will be the key approaches.

More specifically, the project focuses on four mutually supportive components:

* 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

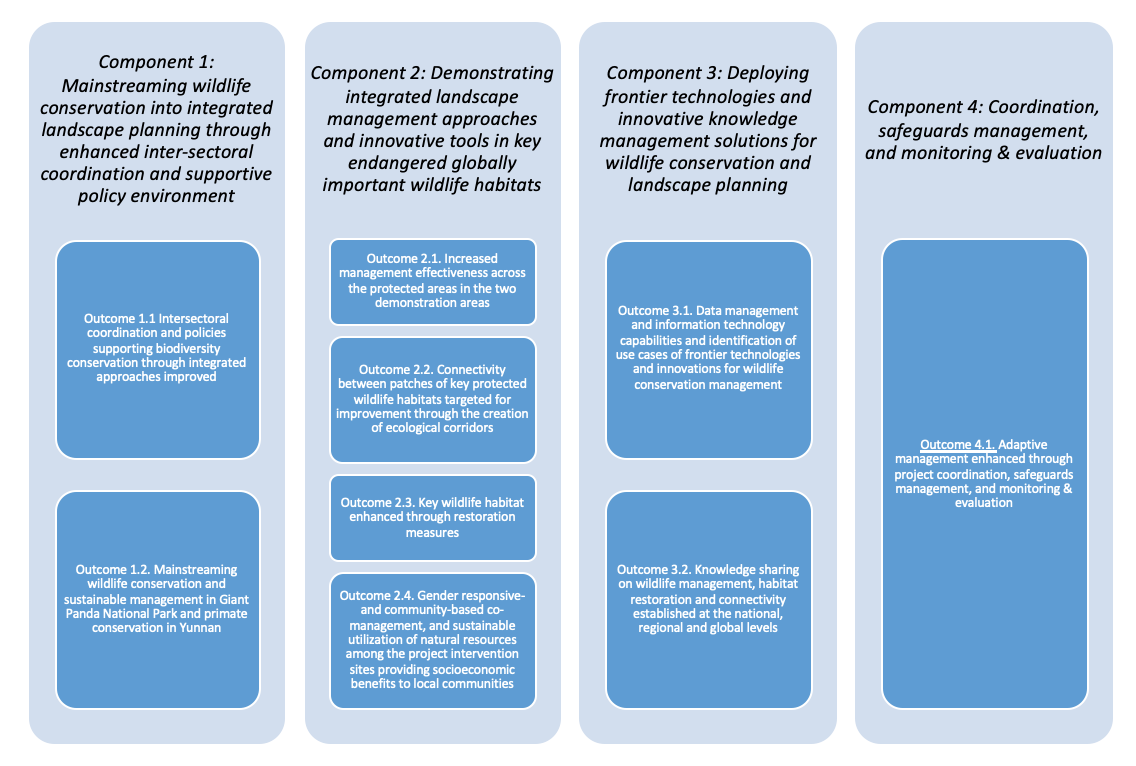


Figure 2 - Project components and outputs

# 2. Global and National Frameworks on Indigenous Peoples’ Rights

## 2.1 Global Framework on Indigenous Peoples’ Rights

The UN Declaration on the Rights of Indigenous Peoples (UNDRIP) was adopted by the General Assembly on 13 September 2007. The declaration specifically mandates the organs and specialized agencies of the United Nations system (including UNDP) to promote respect for and full application of the rights affirmed in UNDRIP. UNDP also follows the UN “Statement of Common Understanding” on Human Rights-Based Approaches to Development Cooperation providing that "human rights standards contained in, and principles derived from, the Universal Declaration of Human Rights and other international human rights instruments guide all development cooperation and programming in all sectors and in all phases of the programming process”.

The UN Convention on Biological Diversity (CBD) also known as the Biodiversity Convention, is an international treaty adopted in Rio de Janeiro in June 1992. The treaty aims to conserve the earth’s biological diversity, promote the use of resources, and promote equitable sharing of benefits from the use of resources. Parties of the CBD adopted decisions related to protected areas, ecosystem approach, education and public awareness, and indigenous and local communities. Article 8(j) of the CBD states that “Subject to its national legislation, respect, preserve and maintain knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biodiversity and promote their wider application with the approval and involvement of the holders of such knowledge, innovations and practices and encourage the equitable sharing of the benefits arising.”

## 2.2 National Policies and Legal Framework

There are a total of 56 ethnic groups identified in China, mainly based on their similarities such as common ancestry, language, society, and culture. Of the 56 ethnic groups, Han ethnicity is the ethnic majority, and the other 55 ethnic groups are considered ethnic minorities. The term “indigenous peoples” is not used in China.

**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. And in exploiting natural resources and building enterprises in the national autonomous areas, the State shall give due consideration to the interests of those areas. And 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)** 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 transform of thatched house and dilapidated house, and ecological migration. And all these activities are based on the residents’ willingness.

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 and farmlands. In the project landscapes, the collectively held land is appropriated to local communities, regardless of their ethnic group.

## 2.3 UNDP’s Social and Environmental Standards and Guidance Note on FPIC Processes

2.3.1 UNDP’s Social and Environmental Standards

Standard 6 of UNDP’s Social and Environmental Standards applies to all projects which may affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples. The Standard applies regardless of whether the project is located within or outside of lands and territories inhabited by the indigenous peoples in question, on whether or not title is possessed over lands and territories in question, or whether the indigenous peoples are recognized as indigenous peoples by the country in question. UNDP recognizes and fosters full respect for indigenous peoples’ human rights. UNDP also supports countries in their promotion and protection of indigenous peoples' rights. The Project will seek to secure free, prior, and informed consent (FPIC) from Indigenous Peoples where rights, lands, resources, territories, traditional livelihoods may be affected. Project activities that may adversely impact indigenous peoples cannot commence unless the provisions in the IPPF and preparation of Indigenous Peoples Plan (IPP) are carried out.

2.3.2 Guidance Note on UNDP SES Standard 6 (Indigenous Peoples) on Free Prior and Informed Consent (FPIC) Processes

The Guidance Note on UNDP SES Standard 6 on FPIC processes stipulates circumstances in which FPIC must be pursued and secured prior to proceeding with specified actions

* FPIC will be ensured on any matters that may affect the rights and interests, lands, resources, territories (whether titled or untitled to the people in question) and traditional livelihoods of the indigenous peoples concerned
* UNDP will respect, protect, conserve and not take or appropriate the cultural, intellectual, religious and spiritual property of indigenous peoples without their free, prior and informed consent.

Furthermore, the following standards requirements have been included in this IPP

* Recognize IPs have collective rights to own, use, develop, control lands, territories, resources, they have traditionally owned, occupied, otherwise used or acquired
* Develop action plan for achieving legal recognition of IP ownership of land for projects contingent on such legal status.
* No physical displacement of IPs from lands and territories.
* 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 developed through meaningful participation

# 3. Description of Ethnic Minorities

## 3.1 Ethnic minorities in the project demonstration landscapes

Ethnic minorities in the project intervention area are not represented by traditional institutions. Further assessment is required to understand which representatives adhere to the principles of inclusive consultation, participation and consent in their internal decision making processes.

Identified ethnics minorities are in general well integrated in the existing socio-economic context. They have livelihood strategies similar to those of the other rural populations, are not excluded from existing economic opportunities, are not discriminated, and have no distinct needs from the rest of the population. They are vulnerable not because belonging to an ethnic minority group, but because they live in poor and not well-developed areas. Government policies targeting rural poor and vulnerable households in Yunnan and Sichuan province do not differentiate based on ethnicity, but target based on poverty indicators. There are 7 proposed intervention sites, including five in Sichuan Province in the Giant Panda National Park (NP) and two in Yunnan Province, in Dali Bai Autonomous Prefecture. Among the seven intervention sites, local people could be affected in four of them. Three of the intervention sites in the Giant Panda NP are situated in remote areas inside the borders of nature reserves (NR) and local people will not be affected there because inside of the NR, local people are not allowed to carry out production activities. The risk for these 3 sites will be assessed again during implementation and before commencing any activities pertaining these communities. Outlined below the 7 intervention sites, including potential risks of economic displacement and affected ethnic minorities.

**Giant Panda National Park:** There are 19 ethnic minorities living in the GPNP such as Tibetan, Qiang, Yi, Hui, Mongolian, Tujia, Dong, Yao, just name a few. Among them, Aba Tibetan and Qiang Autonomous Prefecture in Sichuan province is the 2nd largest Tibetan and Qiang Autonomous regions in China. Wenchuan Qiang Autonomous County in Sichuan province is the only Qiang autonomous county in the country. With diversified ethnic customs and religious beliefs and colorful ethnic culture and traditional customs, there are quite a few ethnic cultural heritages listed in the national intangible cultural heritage catalogue.

**Liziping National Nature Reserve, Shimian County, within GPNA in Sichuan:** Corridor of 3,273 ha; two villages near the corridor; 99% of local people of Yi ethnic minority; less than 339 people estimated to be potentially impacted by the intervention. Most Yi communities are located in the mountains. Their traditional life and production style strive for a balance between human needs and sustaining natural resources and ecological environment. For example, when collecting firewood, the Yi people maintain a tradition of collecting them in autumn when the dead trees or dry branches are more prevalent, so as not to cut excessively. Similar tradition is also found in hunting, collecting bamboo shoots, and digging herbal medicines. Among the Yi communities located downhills near the areas with livestock grazing as their primary livelihood, they mostly apply techniques of rotation grazing and captive grass breeding. Striving for the fine balance with natural environment has become one of the most important cultural heritages of the Yi people in the areas.

**Daxiangling National Nature Reserve, Yingjing County, within GPNA in Sichuan:** Yingjing County has 4,900 ethnic minority people from 14 ethnic origins such as Yi, Tibetan, Hui, Miao, Tujia and Zhuang, etc. Yi people composed over 90% of them. Among the 2,500 residents in Niubeishan Township, only 120 people are ethnic minorities, accounting for less than 5%. They are Yi ethnic minority who engage in farming and animal breeding in high altitude mountains. They live in mixed community with the Han people.

**Baishuihe National Nature Reserve, Pengzhou City within GPNA in Sichuan:** A predominate majority of the population in Pengzhou City is Han. Among its 795,100 residents, only 8,185 are ethnic minorities who live in mixed communities with the Han people. According to the recent census, the largest group is Tibetan with over 2000 people, the 2nd largest group of Hui in number of over 1000. Other groups such as Yi and Miao are only in number of hundreds. There are no ethnic minority people in the Longmenshan intervention site.

**Baodinggou National Nature Reserve, Mao County within GPNA in Sichuan:** Among the total population in Mao County, there are 101,314 Qiang people, accounting for 92.7% of the total population. The breakdown of other ethnic groups is 4,282 Han people, 3.9%; 1,372 Tibetans, 1.3%; 2,200 Hui people, 2%. In addition, the county also live 119 other ethnic minorities, accounting for 0.1% of the total population. Mao County is the only Qiang autonomous county in China. About 1,000 people reside in three villages adjacent to the Tudiling Ecological Corridor Demonstration site. 95% of them are people of Qiang ethnic minority. A Corridor of 5,168.65ha is foreseen; 978 people estimated to be potentially affected by the intervention.

**Wolong National Nature Reserve, Wenchuan County within GPNA in Sichuan:** In Wenchuan County, there are 18,700 Tibetans, 36,412 Qiangs, 35,308 Hans, 949 Huis, and 313 other ethnic groups, accounting for 20.4%, 39.7%, 38.5%, 1.0%, and 0.4% of the total population, respectively. In Gengda Township, among the total population of 2870 people, 1885 are ethnic minorities of Tibetan, Qiang and Hui, accounting for 65.68% of the total population. In Wolong Township, Tibetan and Qiang ethnic groups make up more than 80% of the total population.

**Yunlong Tianchi National Nature Reserve and Caojian Forest Farm, Yunlong County:** Corridor and habitat restoration for 3,300 ha corridor and 500 ha restoration; six villages in and near the corridor; approx. 830 people estimated to be potentially affected by the interventions. Currently in Yunlong County, among the total population of 208,277, 24,953 are Han people, accounting for 11.98% of the total population. 183,324 people are ethnic minorities, accounting for 88.02%. Among whom, the Bai nationality has 150,700 people, accounting for 72.70% of the county's population. The Yi people are the second largest group with 13,699, 6.58%. The third group is Lisu, at the number of 11,866 people, 5.70%. Other groups include Achang, Miao, Dai and Hui people. According to the “Masterplan of Yunlong Tianchi Nature Reserve”, among the 74 natural villages around the reserve with a total population of 19,000, 96% are ethnic minorities such as Bai, Lisu, Yi and Dai. Bai is the largest one among them. About 15,000 people live near the intervention sites, over 95% of them are people of Bai, Lisu and Yi ethnic minorities. In the Caojian Forest Farm, it is expected to have a restoration area of: 200 ha; Caojian Village near the intervention site; 90% of local people of Li ethnic minority; approx. 285 people estimated to be potentially affected by the interventions

Characteristic of ethnic minorities in the project intervention regions are summarized as follow:

**Tibetan ethnic minority[[1]](#footnote-2)** - The Tibetans with a population of 4,593,100 mostly live in the Tibet Autonomous Region. There are also Tibetan communities in Qinghai, Gansu, Sichuan and Yunnan provinces.   
  
The Tibetan language belongs to the Tibetan sub-branch of the Tibetan-Myanmese language branch of the Chinese-Tibetan language family. According to geographical divisions, it has three major local dialects: Weizang, Kang and Amdo. The Tibetan script, an alphabetic system of writing, was created in the early 7th century. With four vowels and 30 consonants, it is used in all areas inhabited by Tibetans.   
  
The areas where Tibetans live in compact community are mostly highlands and mountainous country studded with snow-capped peaks, one rising higher than the other. The Qinghai-Tibet Plateau rising about 4,000 meters above sea level is run through from west to east by the Qilian, Kunlun, Tanggula, Gangdise and Himalaya mountain ranges. The Hengduan Mountains, descending from north to south, runs across the western part of Sichuan and Yunnan provinces.

**Qiang ethnic minority[[2]](#footnote-3) -** The Qiang ethnic minority has a population of 198,300 who mostly dwell in hilly areas, crisscrossed by rivers and streams, in the Maowen Qiang Autonomous Prefecture in Sichuan Province. A small number live with Tibetan, Han and Hui ethnic groups in such localities as Wenchuan, Dali, Heishui and Songpan.   
  
"Qiang" was a name given by ancient Hans to the nomadic people in west China. The Qiangs were not a single distinctive ethnic group then. According to historical records, a clan group made their homes in what is today's Sichuan Province. The Han Dynasty (206 B.C.-A.D. 220) court in the 2nd century had set up an administrative prefecture for the area. During A.D. 600 to 900 when the Tibetan Regime gradually expanded its rule over the region, some Qiangs were assimilated by the Tibetans and others by the Hans, leaving a small number unassimilated. These developed into the distinctive ethnic group of today. The Qiangs do not have a written script of their own. They speak a language belonging to the Tibetan-Myanmese language family of the Chinese-Tibetan system. Owing to their close contact with the Han people, many Qiang people speak Chinese, which is also the written form for this ethnic group.

For a long period before China's national liberation in 1949, the Qiangs lived in primitive conditions marked by slash and burn farming. A feudal landlord economy dominated production. Landlords and rich peasants, who accounted for only 8 per cent of the population, were in possession of 43 per cent of the cultivated land. Poor peasants and hired farm hands, accounting for 43 per cent of the population, had only 16 per cent of the land. Many poor peasants lost their land due to heavy rent coupled with usury. They became hired laborers, wandering from place to place to make a living.   
  
The Qiang area was liberated in January 1950. In July 1958 the Maowen Qiang Autonomous County was established. By relying on collective efforts, they carried out large-scale capital construction projects in their rocky region, where productivity used to be low because of backward local conditions and the shortage of men. Among the projects are tractor stations, reservoirs, hydroelectric stations and pumping and drainage facilities. Now more farm machinery is used and scientific farming methods have been introduced. Grain output increases every year.   
  
In the Qiang area, which had no industry and highways before, enterprises have sprung up and two concrete and 28 steel-chain bridges have been built over the Minjiang River. The area's total highway mileage has reached 260 kilometers. A postal route network covers every corner of the area.

Devastated by the 2008 Earthquake[[3]](#footnote-4) - An 8.0 earthquake on 12th May 2008 hit in the area inhabited by the Qiang, and its impact was devastating. It is thought that about 10 percent of the Qiang, about 30,000 people, were killed.

**Yi ethnic minority[[4]](#footnote-5) -** The Yi ethnic group, with a population of 6,578,500, is mainly distributed over the provinces of Sichuan, Yunnan and Guizhou, and the Guangxi Zhuang Autonomous Region. There are more than one million Yis in Sichuan Province, and most of them live in an area south of the Dadu River and along the Anning River. Traditionally, this area is subdivided into the Greater Liangshan Mountain area, which lies east of the Anning River and south of the Huangmao Dyke, and the Lesser Liangshan Mountain area, which covers the Jinsha River valley and the south bank of the Dadu River. There are over a million Yis in the Liangshan Yi Autonomous Prefecture, which holds the single largest Yi community in China. Yunnan Province has more than three million Yis, most of whom are concentrated in an area hemmed in by the Jinsha and Yuanjiang rivers, and the Ailao and Wuliang mountains.

Most Yis are scattered in mountain areas, some in frigid mountain areas at high altitudes, and a small number live on flat land or in valleys. The altitudinal differences of the Yi areas directly affect their climate and precipitation.

The Yi areas are rich in natural resources. The Jinsha River running through Sichuan and Yunnan and its tributaries surging through the Yi areas in northern and north-eastern Yunnan are enormous sources of waterpower. The Yi areas are not only rich in coal and iron, but are also among China's major producers of non-ferrous metals. Gejiu, China's famous tin center, reared the first generation of Yi industrial workers. The Yi people have a glorious tradition of revolutionary struggle. In the recent 100 years or more the Yis waged powerful anti-imperialist and anti-feudal struggles as well as those against slave owners. Influenced by the Taiping Revolution (1851-1864), the struggles waged by the Yis and other nationalities against the Qing government lasted more than a decade.

The founding of the People's Republic of China in 1949 ended the bitter history of enslavement and oppression of the Yis and people of other nationalities in China. From 1952 to 1980, the Liangshan Yi Autonomous Prefecture of Sichuan, the Chuxiong Yi Autonomous Prefecture and the Honghe Hani and Yi Autonomous Prefecture of Yunnan were established one after another. Autonomous counties for the Yi or for several minority groups including Yi were founded in Eshan, Lunan, Ninglang, Weishan, Jiangcheng, Nanjian, Xundian, Xinping and Yuanjiang of Yunnan, Weining of Guizhou and Longlin of Guangxi.

The emancipated slaves took the socialist road most firmly and shortly after the democratic reforms formed advanced cooperatives in agricultural production. The democratic reforms inspired the emancipated slaves and poor peasants to reshape their land and expand agricultural production steadily. The Chuxiong Yi Autonomous Prefecture of Yunnan achieved a great success in increasing output of hemp, tobacco, cotton, peanut and other cash crops. The autonomous counties of Ninglang, Weishan and Eshan in the Honghe Yi Autonomous Prefecture built water conservancy projects, which have played a big role in farming.

Lack of transportation facilities was one of the factors contributing to the seclusion of the Liangshan Mountains. Construction of roads started right after liberation. In 1952, the highway connecting Sichuan and western Yunnan was reconstructed and opened to traffic. At the same time, trunk highways linking the Liangshan Autonomous Prefecture with other parts of the country were constructed. The Yixi Highway was opened to traffic in 1957, linking up the Greater and Lesser Liangshan Mountains for the first time in history. A highway network extending in all directions within the prefecture had been formed by 1961. By the end of 1981, the total length of highways in the prefecture had increased from seven km. before 1949 to 7,368 km. While there were only 18 push carts in the whole area before 1949, the number of vehicles in 1981 reached 11,000, of which 5,000 were motor vehicles.   
  
The local transportation department employed a total of 10,000 people. The Chengdu-Kunming Railway crosses six counties in the Liangshan Yi Autonomous Prefecture over a distance of 337 km., with 45 stations on the line.

**Hui ethnic minority[[5]](#footnote-6)** - With a sizable population of 8.61 million, the Hui ethnic group is one of China's largest ethnic minorities. People of Hui origin can be found in most of the counties and cities throughout the country, especially in the Ningxia Hui Autonomous Region and Gansu, Qinghai, Henan, Hebei, Shandong and Yunnan provinces and the Xinjiang Uygur Autonomous Region.   
  
The name Hui is an abbreviation for "Huihui," which first appeared in the literature of the Northern Song Dynasty (960-1127). It referred to the Huihe people (the Ouigurs) who lived in Anxi in the present-day Xinjiang and its vicinity since the Tang Dynasty (618-907). They were actually forerunners of the present-day Uygurs, who are totally different from today's Huis or Huihuis. During the early years of the 13th century when Mongolian troops were making their western expeditions, group after group of Islamic-oriented people from Middle Asia, as well as Persians and Arabs, either were forced to move or voluntarily migrated into China. As artisans, tradesmen, scholars, officials and religious leaders, they spread to many parts of the country and settled down mainly to livestock breeding. These people, who were also called Huis or Huihuis because their religious beliefs were identical with people in Anxi, were part of the ancestors to today's Huis. Earlier, about the middle of the 7th century, Islamic Arabs and Persians came to China to trade and later some became permanent residents of such cities as Guangzhou, Quanzhou, Hangzhou, Yangzhou and Chang'an (today's Xi'an). These people, referred to as "fanke" (guests from outlying regions), built mosques and public cemeteries for themselves. Some married and had children who came to be known as "tusheng fanke," meaning "native-born guests from outlying regions." During the Yuan Dynasty (1271-1368), these people became part of the Huihuis, who were coming in great numbers to China from Middle Asia.   
  
The Huihuis of today are therefore an ethnic group that finds its origins mainly with the above-mentioned two categories, which in the course of development took in people from a number of other ethnic groups including the Hans, Mongolians and Uygurs.

**Mongolian ethnic minority[[6]](#footnote-7)** - The Mongolians live mostly in the Inner Mongolia Autonomous Region, with the rest residing in Liaoning, Jilin, Heilongjiang, Xinjiang, Qinghai, Gansu, Ningxia, Hebei, Henan, Sichuan, Yunnan and Beijing. /Having their own spoken and written language, which belongs to the Mongolian group of the Altaic language family, the Mongolians use three dialects: Inner Mongolian, Barag-Buryat and Uirad. The Mongolian script was created in the early 13th century on the basis of the script of Huihu or ancient Uygur, which was revised and developed a century later into the form used to this day.

**Tujia ethnic minority[[7]](#footnote-8)** - They live in the Wuling Range of western Hunan and Hubei provinces, at elevations from 400 to 1,500 meters, including 5.72 million people called the Tujias. They live mainly in the Xiangxi Tujia-Miao Autonomous Prefecture, Exi Tujia-Miao Autonomous Prefecture and some counties in southeastern Hunan and western Hubei. In these areas, the climate is mild but rainy, and the land is well-forested. They also live in the Yunnan and Sichuan region. About 20,000-30,000 people living in remote areas such as Longshan speak Tujia, a language which is similar to that spoken by the Yis and belongs to the Chinese-Tibetan language system. But the large majority has come to speak the Han and Miao languages, now that the Tujias have been largely assimilated. Their clothing and customs are very much like those of the Hans. Old Tujia ways survive only in remote area.

**Dong ethnic minority[[8]](#footnote-9)-** Nestling among the tree-clad hills dotting an extensive stretch of territory on the Hunan-Guizhou-Guangxi borders are innumerable villages in which dwell the Dong people. They also live in the Yunnan and Sichuan region. The population of this ethnic group in China is 2.5 million. Situated no more than 300 km north of the Tropic of Cancer, the area peopled by the Dongs has a mild climate and an annual rainfall of 1,200 mm. The Dong people grow enormous numbers of timber trees which are logged and sent to markets. Tong-oil and lacquer and oil-tea camellia trees are also grown for their edible oil and varnish.   
  
The most favorite tree of the people of this ethnic group is fir, which is grown very extensively. Whenever a child is born, the parents begin to plant some fir saplings for their baby. When the child reaches the age of 18 and marries, the fir trees, that have matured too, are felled and used to build houses for the bride and groom. For this reason, such fir trees are called "18-year-trees." With the introduction of scientific cultivation methods, a fir sapling can now mature in only eight or 10 years, but the term "18-year-trees" is still current among the Dong people. Farming is another major occupation of the Dongs, who grow rice, wheat, millet, maize and sweet potatoes. Their most important cash crops are cotton, tobacco, rape and soybean. With no written script of their own before 1949, many Dongs learned to read and write in Chinese. Philologists sent by the central government helped work out a Dong written language on the basis of Latin alphabet in 1958.

**Yao ethnic minority[[9]](#footnote-10)** - The Yaos, with a population of 2.13 million, live in mountain communities scattered over 130 counties in five south China provinces and one autonomous region. About 70 per cent of them live in the Guangxi Zhuang Autonomous Region, the rest in Hunan, Yunnan, Guangdong, Guizhou and Jiangxi provinces.   
Historically, the Yaos have had at least 30 names based on their ways of production, lifestyles, dresses and adornments. The name "Yao" was officially adopted after the founding of the People's Republic in 1949.   
  
Half of the Yaos speak the Yao language belonging to the Chinese-Tibetan language family, others use Miao or Dong languages. As a result of close contacts with the Hans and Zhuangs, many Yaos also have learned to speak Chinese or Zhuang language. Before 1949, the Yaos did not have a written language. Ancient Yaos kept records of important affairs by carving notches on wood or bamboo slips. Later they used Chinese characters. Hand-written copies of words of songs are on display in the Jinxiu Yao Autonomous County in Guangxi. They are believed to be relics of the Ming Dynasty (1368-1644). Ancient stone tablets engraved with Chinese characters can be found in a lot of Yao communities.   
  
Most Yaos live in beautiful, humid mountain valleys densely covered with pines, firs, Chinese firs, Chinese cinnamons, tung oil trees, bamboos and tea bushes. The thickly forested Jianghua Yao Autonomous County in Hunan is renowned as the "home of Chinese firs." The places inhabited by the Yaos also abound in indigo, edible funguses, bamboo shoots, sweet grass, mushrooms, honey, dye yam, jute and medical herbs. The forests are teeming with wild animals such as boars, bears, monkeys, muntjacs and masked civets. Rich as they are in natural resources, the Yao mountain areas are ideal for developing a diversified economy.

**Bai ethnic minority[[10]](#footnote-11)-** The Bai are an ethnic group with a long and colorful history and tradition who live mostly in Yunnan. Unlike many other ethnic groups, they have long been sophisticated about business, education, and trade and built large complex ancient towns with advanced technology for their times. The word bai means white, and they like the color very much and often wear white clothes. Their preference might have something to do with their origins 1,000 years ago as explained below. Now, their regions and the region of their nearby ethnic relatives, the Naxi people, are Yunnan's favorite tourist areas. Tourists like to see their architecture and old cultures, and they enjoy their food and fine crafts and the mountain scenery of Yunnan

**Lisu ethnic minority[[11]](#footnote-12)** - The Lisu ethnic group numbers 574,600 people, and most of them live in concentrated communities in Bijiang, Fugong, Gongshan and Lushui counties of the Nujiang Lisu Autonomous Prefecture in northwestern Yunnan Province. The rest are scattered in Lijiang, Baoshan, Diqing, Dehong, Dali, Chuxiong prefectures or counties in Yunnan Province as well as in Xichang and Yanbian counties in Sichuan Province, living in small communities with the Han, Bai, Yi and Naxi peoples. The Lisus inhabit a mountainous area slashed by rivers. It is flanked by Gaoligong Mountain on the west and Biluo Mountain on the east, both over 4,000 meters above sea level.

**Miao ethnic minority[[12]](#footnote-13)** - With a population of more than seven million, the Miao people form one of the largest ethnic minorities in southwest China. They are mainly distributed across Guizhou, Yunnan, Hunan and Sichuan provinces and Guangxi Zhuang Autonomous Region, and a small number live on Hainan Island in Guangdong Province and in southwest Hubei Province. Most of them live in tightly-knit communities, with a few living in areas inhabited by several other ethnic groups.   
  
On the Yunnan-Guizhou Plateau and in some remote mountainous areas, Miao villages are comprised of a few families, and are scattered on mountain slopes and plains with easy access to transport links.

Before 1949, textiles, iron forging, carpentry, masonry, pottery, alkali making and oil pressing were the only industries in the area. After the birth of the People's Republic of China, many factories and hydroelectric stations were built. Now electricity is widely used for lighting, irrigation and food processing. In mountainous areas, the Miaos have built reservoirs, dug canals and created new farmland. They have also developed a diversified economy according to local conditions. As a result, grain production as well as oil, fiber and starch crops and medicinal herbs have all flourished. This has helped to open up new sources of raw materials and supplies for industry and commerce, and improved the Miao people's living standards.

**Li ethnic minority[[13]](#footnote-14)** - Hainan is the main home of the Li ethnic group with a population of about 1.11 million. Most of them live in and around Tongze, capital of the Hainan Li-Miao Autonomous Prefecture, and Baoting, Ledong, Dongfang and other counties under its jurisdiction; others live among people of the Han and Hui ethnic groups in other parts of the island. They also live in the Yunnan and Sichuan region. The Lis have no written script. Their spoken language belongs to the Zhuang-Dong Austronesian of the Chinese-Tibetan Phylum. But many of them now speak the Chinese language. A new Romanized script was created for the Li ethnic group in 1957 with the help of the central government, but most Lis still use the Chinese characters.

The Li ethnic group consists of five branches: the Qi, Ha, Run, Sai and Meifu. Their ancestors can be traced back to the Luoyue people -- a branch of the ancient Baiyue tribe who once lived in southern China. Before the Qin and Han periods (221BC-220AD), ancestors of Li ethnic group immigrated into Hainan Island from Guangxi and Guangdong provinces. In the Song Dynasty (960-1129), "Li was formally used to address them in historical documents. Having inhabited Hainan for over 3,000 years, they were believed to be the earliest settlers of Hainan. The Li nationality lives mainly on agriculture. Situated in subtropical zone with fertile land and abundant rainfall, the Li area is a tropical paradise for agriculture. The area is also the country's major producer of tropical crops such as rubber, palm oil, coconut, areca, sisal hemp, lemon grass, cocoa, coffee, cashews, pineapples, mangoes and bananas.

Farming taboo on the day of offering sacrifices to the ancestors[[14]](#footnote-15): The family members are not to do farm work on the day of offering sacrifices (the day when one of their members passes away) in three consecutive years after one of their family members passes away. If the one who dies is "Mutou" that is in charge of organizing and leading a certain area of land, then the people who work on that area of land must observe this taboo (The Li people keep note of the days and the months of the year by the twelve Shengxiao namely, the Mouse, Cow, Tiger, Rabbit, Dragon, Snake, Horse, Goat, Monkey, Chicken, Dog, Pig, so there is an offering sacrifices every twelve days). The regions that still remain the "System of Collective Mu"do not do farm work on the days of Chicken, Cow, Dragon, and Horse. Men do not plough their field on the day of Cow. Women do not pull out and transplant rice seedlings on the day of Chicken. What's more, women do not transplant rice seedlings and twist paddy on the days of Horse and Dragon.

# 4. Potential Impacts and Risks identified

## 4.1 Risks of Potential Adverse Impacts

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. The local people in the communities affected by the intervention sites are predominately composed of ethnic minorities. Ethnic minorities are well represented in local governments, in fact the demonstration area in Yunnan Province is situated in the Dali Bai Autonomous Prefecture. And the Baodinggou NR is situated in the Ngawa Tibetan and Qiang Autonomous Prefecture. The 8 potential risks identified in the SESP are summarized in the table below, out of them only Risk 1, 5 and 6 have direct implication on ethnic minorities, and will be further assessed in this IPPF. Risks and Management Measures not directly affecting Ethnic Minorities are described in the ESMF.

Table 1 - Social and Environmental Assessment Procedure Summary

|  |  |  |
| --- | --- | --- |
| Risk Title | Risk Rating | Relevance for Ethnic Minorities |
| *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) | Substantial | YES |
| *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) | Moderate | YES |
| *Risk 3*: Poorly designed or executed project activities could have inadvertent impacts to environmentally sensitive areas, generate construction waste and affect community health.  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) | Moderate | YES |
| *Risk 4:* 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.  Project-Level Standard:  Standard 2: Climate Change and Disaster Risks (Questions 2.1 and 2.2) | Moderate | YES |
| *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) | Moderate | YES |
| *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)Standard 6: Indigenous Peoples (Question 6.9) | Moderate | YES |
| *Risk 7:* 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.  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) | Moderate | YES |
| *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 | Moderate | YES |

***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.***

**Risk Level: Substantial**

**Risk Assessment:** In the context of improving the wildlife conservation effort, most of the project’s socially derived impacts are expected to be largely positive. Nonetheless, there is a potential risk for economic displacement associated with the four of the proposed seven intervention sites which including ecological corridors and habitat restoration (two in Sichuan and two in Yunnan).

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). Ethnic minorities are well represented in local government, in fact the demonstration area in Yunnan Province is situated in the Dali Bai Autonomous Prefecture, and the Baodinggou NR is situated in the Ngawa Tibetan and Qiang Autonomous Prefecture. Under the current conditions, 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.

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 the landscape profiles attached to the PRODOC, and shows foreseen 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. |

The 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 during PPG, intervention in three other remote sites (Wolong NR, Daxiangling NR, Baishuihe NR) are not expected to affect local people as the closest villages are located several km away from the edge of the Natural Reserves, further details are available in table 3 here.

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 (including participatory rural assessment of affected communities) 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 consultation was conducted in some of the communities but not all, details of preliminary consultation with ethnic minorities undertaken during PPG is available in annex 8 of the ProDoc. Due to Covid restriction, FPIC did not start during PPG Phase. The potential economic displacement to the ethnic minorities in these nearby areas is of grave concern to UNDP and is a contextual risk that must be monitored closely.

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 ethnic minorities 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 Environment and Social Assessment developed under component 1) that must be applied during the development of the project-supported legal and policy amendments, influencing the said amendments, 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, Regulation and policies.

Downstream risks for project sites will be further assessed in Component 2, The Participatory Ecological Corridor Feasibility Assessments and the Baseline habitat survey (including participatory rural assessment of affected communities)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

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. This Indigenous People Planning Framework has been prepared including details of the process for assessing risks (section 5) and ensure FPIC implementation (section 6) 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 provided by the Strategic Environmental and Social Assessment, and will be included in the design of restoration and corridors in the intervention sites.

Risk of Economic displacement will be addressed by the Plans for Nature-Based Livelihood Development (Outputs 2.4.1 and 2.4.2). 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 and Action Plans and the Degraded Habitat Restoration Plan (See annex 3 and 4 of the ESMF respectively), which will respectively serve as Environmental and Social Management Plans (ESMPs) 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 actual 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.

FPIC consultations will be made as part of the degraded habitat and Ecological Corridor Plans with an associated IPP, but the process of informing and obtaining consent will start before, through the participatory Ecological Corridor Feasibility Assessments and the baseline surveys.

The associated IPP shall also ensure the following 4 sub-risks and mitigation measures are also take on board.

Table 4 - Sub Risk to be addressed by the site specific IPP

|  |  |  |
| --- | --- | --- |
| Sub Risk on Ethnic Minorities | Risk Assessment | Management Measures |
| **Sub Risk 1.1: Possible interference with the rights to autonomy, self-determination and property if the representative organizations/persons of the ethnic minorities are ignored in the FPIC processes** | Some ethnic minorities may feel the imposition and violation of their fundamental rights recognized in international instruments. They may argue that their representation reflects the imposition of a governance structure alien to their traditions and governance structures. For this reason, carrying out consultations with a government representative, and not with the representative coming from the governance structures of the ethnic minorities, would violate their rights to autonomy, self-determination, property and FPIC principles over their territories, lands and natural resources, recognized in international law.    The problem of a lack of official organization representing affected ethnic minorities has been relieved by the stakeholder consultation during PPG phase. | Output 2.4.2. will specifically ensure that alternative livelihood social associations are established and/or strengthened in the demonstration areas. |
| **Sub Risk 1.2: Possible discrimination or marginalization of women in decision-making** | The proposed alternative livelihoods for ethnic’s minorities could exacerbate situations of discrimination and marginalization of women in decision-making regarding the ecological goods and services, (including nature-based tourism, certification schemes and/or organic farming) in place to generate alternative income streams for local communities (see Output 2.4.1).  This is because the consultations only or primarily with government and village representative may not incorporate the voices of women's groups from the ethnic minorities. In addition, the participation of women in decision-making spaces may be limited, and this includes the scant participation of women in consultation activities. | Activity 2.4.2.4. will specifically deliver targeted trainings to women’s groups, organized in collaboration with existing programmes, e.g., implemented by the All-China Women’s Federation. |
| **Sub Risk 1.3: Potential undermining of the equitable distribution of benefits within the community** | Ethnic minorities might face restrictions in access to resources due to the project’s activities, and anticipated livelihood benefits to local people (including ethnic minorities) might not materialize as planned, potentially leading to economic displacement. The threats analysis completed during project preparation includes descriptions of some local communities in the project landscapes engaged in unauthorized livestock grazing, agriculture activities within the protected areas, as well as harvesting wood and forest resources, such as mushrooms, traditional herbal medicines, and burning crop residue. | The participatory rural assessments and market analyses completed in Output 2.4.1, will develop sustainable livelihood business plans for strengthening and/or establishing local social associations, yet these could result in the benefiting only certain groups or activities within the demonstration area.  This is because the partnerships between business enterprises and local communities (activity 2.4.2.2), together with the sustainable livelihood business plans, and the technical and investment assistance to local associations (activity 2.4.2.5) would be allocated to the activities prioritized by the government representative, while this representative would not necessarily represent the various groups and interests of the demonstration area. This would imply a possible undermining in the equitable distribution of benefits, by limiting or excluding groups of the community from the benefits. |
| **Sub Risk 1.4: Possible lack of transparency in accountability** | Accountability mechanisms may not be robust enough to ensure transparency and probity in the distribution of benefits. On the other hand, these mechanisms may not respond to the cultural practices or expectations of the forms of governance of the ethnic minorities. This would entail the risk of a loss of confidence in the Foreign Environmental Cooperation Center of the Ministry of Ecology and Environment (FECO). In addition, it could lead to the misuse or misappropriation of funds. |  |

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.

***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.***

**Risk Level: Moderate**

**Risk Assessment**: The multi-stakeholder approach promoted on the project is predicated on participatory processes, including physical meetings, field and classroom trainings, learning exchanges, seminars, etc.

Based on the continued spread of the COVID-19 pandemic globally at the time when this assessment was carried out (Aug 2021), this risk is considered “very likely” to occur. But because of the general success China has had in suppressing the epidemic and the adaptive measures adopted on other UNDP-GEF projects since the onset of the pandemic, the risk can be managed through a Covid-19 Action Framework.

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. The project’s COVID-19 Action Framework also includes measures that address opportunities, e.g., increasing awareness associated with human-wildlife conflicts, increasing involvement of stakeholders in production sectors (e.g., agriculture, transportation, tourism, etc.) in conservation of wildlife and other biodiversity resources.

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

**Risk Level: Moderate**

**Risk Assessment**: The four ecological corridors planned in the wildlife project are situated in areas where the local people are predominately (>85%) composed of ethnic minorities. There are cultural heritage sites within the earmarked corridors. Introducing and/or strengthening nature-based tourism is one of the proposed alternative livelihood options for reducing pressures on wildlife habitats within the corridor areas. Increased number of visitors could have inadvertent impacts, including on cultural heritage sites. The cumulative extent of the three corridors (11,742 ha) is limited in scale, considering the vast size of the Giant Panda NP and the protected area system in Yunnan. Changes in their traditional grazing patterns and lifestyles of local people may affect the cultural heritage and livelihoods of ethnic minorities.

The Participatory Ecological Corridor Feasibility Assessments, an Environmental and Social Impact Assessment for the proposed ecological corridors will include an assessment of cultural heritage sites and evaluate specific risks and specific safeguard measures will be formulated, e.g., such as restricted access by tourists or lack 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. The development of the corridor plans will be a participatory, multi-stakeholder process, including representation of the ethnic minority groups.

**Management measures:** The IPPF provide 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.

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 Stakeholder Engagement Plan provides guidance for ensuring effective consultation and engagement with key stakeholders, especially beneficiaries. 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.

## 4.2 Potential Positive Impacts

The project strategy has a strong emphasis on strengthening the livelihood opportunities for local communities, introducing or expanding sustainable alternatives and facilitating genuine collaborative arrangements between local communities, cooperatives, and PA management entities.

With reference to outcome 1.1 and 1.2 representatives of ethnic minorities will be invited to join the ~~SWCGs~~ Intersectoral coordination mechanisms or as an observer; concerns from ethnic minorities will be incorporated into the cross-sectoral strategy and action plans;

Under outcome 2.1 and 2.2 Incorporating the notion of “social inclusion of ethnic minorities” into the “participatory” landscape approaches and ensure equitable participation of ethnic minorities; will conduct meaningful consultations with women and ethnic minorities affected and incorporate inputs into the strategy and action plan before implementation

Facilitating genuine participation of the local communities in the proposed habitats and ecological corridor restoration interventions is a key part of the project strategy. The project will work with landscape level stakeholders in strengthening existing and/or identifying new close-to-nature income generating schemes for local communities, and how existing incentive mechanisms can be better utilized to benefit the livelihoods of local people. In some cases, existing, unsustainable activities, such as unauthorized livestock grazing or harvesting of forest resources, may be curtailed as part of the wildlife conservation and management plans or nature reserve protection regulations enforcement. The livelihood activities are aimed at addressing potential economic displacement associated with newly introduced management measures, but also recognizing sustainable wildlife conservation management in PAs require broad stakeholder consultation and participation, first and foremost by people whose livelihoods are dependent on the natural resources and services of these ecosystems.

Some of the positive impacts of the Project on ethnic minorities include the following:

Livelihood action measures are integrated into the project design, particularly under Outcome 2.4. Ensure any consultation with local communities include adequate representation of ethnic minority women and men; Ensure ethnic minority people’s equal participation and benefit from all income generation activities; Leadership skills training, management skills training, micro-enterprise skills training for ethnic minorities to lead and manage cooperatives, ensuring training content could use their own language and culturally appropriate according to their needs, etc.

Under outcome 3,1 and 3.2, will include equitable percentage of ethnic minority people in needs assessment, capacity building, training and user feedback processes at all levels and in language of their own and being culturally appropriate and sensitive. And make sure equivalent right to access to frontier technology.

The project will deliver skills development capacity building and financial management training. Low-value investment assistance will also be delivered to facilitate strengthening of local livelihood initiatives.

# 5. Procedures for Screening, Assessment and Management

## Screening and assessment for Impacts on Indigenous Peoples

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, 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 SESA will provide guidance on incorporating social and environmental considerations into any policy support activity related to project, including the assessment of implications for ethnic minorities in component 1. 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 ethnic minorities and will be included into the respective Indigenous people plan.

| **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 |

Other than the SESA, all studies will be developed as part of Output 2: Connectivity between patches of key protected wildlife habitats targeted for improvement through the creation of ecological corridors. The process for developing scoped assessment will be implemented simultaneously in the two provinces, specifically output 2.2.1 for Yunnan province, and 2.2.2 for Sichuan.

With respect to management of downstream risks associated with ethnic minorities, a framework approach has been concluded most appropriate, considering that consultations have not yet been conducted with each of the communities where the project interventions are planned.

The ESMF completed for this project during project development phase will be used as the basis of this scoped assessment. Project-affected stakeholders will be consulted on the scope and parameters of the assessment processes and their findings, including proposed mitigation and management measures. Fit-for-purpose consultations will be conducted, as necessary, to ensure that marginalized or disadvantaged groups and individuals affected by the project have the opportunity to participate. This section describes the procedures for screening, assessment and proposed management of social and environmental impacts on ethnic minority peoples, for the following:

* Known potential impacts on ethnic minority peoples, which are currently identified in the SESP, based on broad scope of project outputs and activities;
* Currently unknown impacts on IPs/Ethnic Minorities from project activities that is not fully specified at this stage.

During project implementation phase, scoped or focused social and environmental screening assessments will be undertaken, this includes:

| **Output** | **Demonstration area / intervention site** | **Output deliverable** | **Integrated safeguard instruments** |
| --- | --- | --- | --- |
| 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 |

The Participatory Ecological Corridor Feasibility Assessment and the Baseline habitat survey with ESIA considerations will therefore provide further information on:

1. number, types and operational extent of wildlife habitat restoration and ecological corridors construction interventions
2. community groups that might be affected;
3. Project’s impact on indigenous people/ethnic minority people’s human rights, Cultural Heritage and traditional livelihoods;
4. 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.
5. Proposed community co-management agreement

This 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 reported as part of The Project will seek to secure on a continuous basis free, prior, and informed consent (FPIC) from IPs/Ethnic Minorities their rights, waters, resources, territories or traditional livelihoods may be affected by the project activities. The FPIC will be obtained by the FECO, through local NGO with oversite from the safeguards officer and cleared by UNDP and in case problems arise (NO FPIC OBTAINED) the issue will be taken to the project board for resolution. Once obtained, the FPIC process will be reported into the Business Plans for Nature-Based Livelihood Development (see section 6.3 below) with an associated IPP to manage the case of specific impacts on ethnic minorities.

The findings of this process will be included into the participatory Degraded Habitat Restoration Plan. FPIC principles will be ensured and results recorded as an integral part of the process (see section 6 below). Degraded Habitat Restoration Plan and Corridor interventions will not commence prior to conducting FPIC in the intervention sites (list of activities outlined in section 6.4 - Framework for ensuring meaningful FPIC consultations).

Through consultations with stakeholders, the SESP has identified that, within the context of each Business Plans for Nature-Based Livelihood Development, an Indigenous Peoples Plan will have to be developed (indicative outline available in the ESMF annex 2) to ensure that impacts to Ethnic minorities are adequately incorporated. The Objective of the IPP plan is to further assess and mitigate the following risks:

* The significance of impacts on ethnic minorities,
* activities adjacent to cultural heritage sites
* possible interference with the rights to autonomy, self-determination and property if the representative organizations/persons of the ethnic minorities
* Possible discrimination or marginalization of women in decision-making
* Potential undermining of the equitable distribution of benefits within the community
* Possible lack of transparency in accountability
* In order to reduce pressures on critical habitats through unsustainable activities, land use restrictions will be applied. There is a need to identify alternative livelihood opportunities for local communities. Proposed activities under Outputs 2.4.1 and 2.4.2 include Market Assessments for potentially viable sustainable livelihood options for local communities.

Considering that consultations have not yet been conducted with each of the communities where the project interventions are planned. This IPPF (section 6.3) provides guidance on the timing for further assessments and free, prior, and informed consent (FPIC) consultations and describes roles and responsibilities and budgeting.

5.1.2 Currently Unspecified Project Activities

During the course of the project, additional activities and outputs, which are not yet included in the existing SESP, the details of which are currently unspecified, may or will be proposed and developed to achieve project objectives. These proposed activities may affect IPs/Ethnic Minorities, and will require screening using the SESP as part of the The Participatory Ecological Corridor Feasibility Assessment to ensure the identification of impacts and their significance (impacts and likelihood of occurrence) established, and required management measures are developed.

## Management Measures

To ensure better integration of ethnic minorities besides the FPIC from affected parties, consultation and participation of Ethnic minorities has been streamlined in all project outputs, Specifically:

* In output 1, by Inviting representatives of ethnic minorities to join the Special Wildlife Coordination Group and by Including assessments of Ethnics Minorities as part of the strategic environmental and social assessment
* in output 2 by including Ethnic minorities in the in multi-stakeholder local working groups, more specifically:
  + Output 2.4.2. will specifically ensure that alternative livelihood social associations are established and/or strengthened in the demonstration areas.
  + Activity 2.4.2.4. will specifically deliver targeted trainings to women’s groups, organized in collaboration with existing programmes, e.g., implemented by the All-China Women’s Federation.
* in output 3 by including equitable percentage of ethnic minority people in needs assessment, capacity building, training and user feedback processes at all levels and in language of their own and being culturally appropriate and sensitive

Several other management measures are described in Section 7. Additional benefits.

The National Project Coordinator and Gender-Safeguards specialist in the PMO, with support from external targeted assessment specialist, will be responsible for Business Plans for Nature-Based Livelihood Development with an associated IPP to address risks of economic displacement for ethnic minorities and FPIC. and develop fit-for-purpose management measures that will be included in the Environment and Social Management Plan and in the Ecological Corridor Strategies and Action plans and the Degraded Habitat Restoration Plans. Assessment reports and adoption of management measures must be completed, disclosed, and discussed with stakeholders prior to initiation of any project activities that may cause adverse social and environmental impacts.

The development of management measures will follow the mitigation hierarchy (anticipate and avoid, minimize or reduce, mitigate, and offset or compensate). Aside from the management measures identified in the SESP, Project Management Team will incorporate the management measures for planned activities and other risks and impacts that have not been identified during the PPG phase, in each of the degraded habitat and Ecological Corridor Plans an associated Indigenous Peoples Plans (one for each intervention site), that will be developed prior to the implementation of the Ecological Corridor Strategies and the degraded Habitat restoration plans. The IPP to be developed aims to avoid adverse impacts and to provide ethnic minorities with culturally appropriate social and economic benefits. The IPP also aims to:

Respect ethnic minorities’ rights, including their rights to Free, Prior and Informed Consent (FPIC);

Involve ethnic minorities in the design of the Project, receive culturally appropriate benefits that are agreed upon with affected persons and / or communities;

Avoid or address potential adverse impacts trough a participatory and consultative approach; and

Monitor the Project implementation, the IPPF, and implementation of project benefits.

incorporate a gender approach. This approach will include the involvement of women's organizations, as well as tools to strengthen the capacities of women to participate in decision-making processes related to the Business Plans for Nature-Based Livelihood.

identify and document which are the representative governance structures of each Ethnic Minorities.

The project will ensure compliance with the **Free, Prior and Informed Consent (FPIC)** principles (described in the next section) with ethnic minority peoples consistent with United Nations Development Programme (UNDP) Social and Environmental Standard on Indigenous Peoples (IPs). Additionally, affected ethnic minorities will also be consulted and engaged in the development of management measures as described in Table 2 – Seeking FPIC at the implementation stage.

# 6. Participation, Consultation and FPIC Processes

## 6.1 Free, prior and informed consent (FPIC) definition

Ethnic minority communities’ decision-making processes must be respected and allowed to operate in an open and transparent manner. The right of these communities to choose how they want to live will be respected. If consent compliant with all the below principles and definitions is not given, this shall be respected without exception.

Both the GEF and the UNDP recognize the importance of incorporating indigenous (and ethnic minority) peoples into the formulation and implementation of projects in a manner that is consistent with their rights and cultural values. This recognition serves to ensure that project activities do not have adverse impacts on these communities and that they are considered as stakeholders during the formulation and implementation of the Project. This is to be achieved by recognizing traditional management practices, as well as identifying those communities whose identity and culture are linked to the land, territories and natural resources on which they depend.

No activities that may adversely affect ethnic minority communities, their lands, resources, or cultural heritage will be permitted without explicit agreement of the potentially affected communities. Such agreement must adhere to the following definition of Free, Prior, and Informed Consent (FPIC) in order to be sufficient to permit the relevant activities to take place. FPIC is the acronym of Free, Prior and Informed Consent and for the purposes of this project it is defined as follows:

**Free** means the process will be self-directed by the collective landowners from whom consent is being sought, unencumbered by coercion, expectations or timelines that are externally imposed. The process:

* will be free from coercion, bias, conditions, bribery or rewards;
* will ensure that the decision-making structure is determined by stakeholders;
* will give information transparently and objectively;
* meetings and decisions will take place at locations and times and in language and formats determined by the stakeholders; and
* all community members will be free to participate regardless of gender, age or standing.

**Prior** means that no project activity implementation takes place before a decision by the collective landowners and local communities has been made. The process will ensure that enough time is provided to collective landowners to understand, access, and analyse information on the proposed activities.

**Informed:** Information will be provided in a manner that is accessible, clear, consistent, accurate, and transparent. It will be:

* delivered in appropriate language and format (including video, graphics, radios, documentaries, photos, etc.);
* given to the landowner communities about their rights as relevant to the project and possible impacts;
* objective, covering both the positive and negative potential of activities and consequences of giving or withholding consent;
* complete, covering the spectrum of potential social, financial, political, cultural, environmental impacts, including scientific information with access to original sources in appropriate language;
* delivered in a manner that strengthens and does not erode indigenous or local cultures;

**Consent** is:

* made by the collective landowners through their collective decision-making process.
* a freely given decision that may be a “Yes” or a “No”, including the option to reconsider if conditions agreed upon are not met, there are changes in the proposed activities or if new information relevant to the proposed activities emerges;
* a collective decision determined by affected people in accordance with their forms of decision making (e.g. consensus, majority, etc.);
* based on full understanding of opportunities and risks associated with the proposed activity;
* given or withheld in phases, over specific periods of time for distinct stages or phases of the project.

Consultation is an important feature throughout the entire project cycle. The project will apply a participatory approach to ensure that local communities are engaged in project implementation through customized approaches, e.g. by making use of local languages or hiring local experts as part of the management team. Experience also shows that a continuous consultation process is required during implementation, as initial consultations with sample communities are not sufficient. For example, community plans, aspirations and customary practices for resource management are often not available in writing. Moreover, it takes time to generate the trust needed to establish genuine partnerships.

## 6.2 Participation and consultation during project preparation

Ethnic minorities are residing in or near most of the project NRs who are largely dependent on natural resources for their livelihoods. Following the common practice of official and uniform administration system in China, most affairs at the community level are officially managed by villagers’ committees in administrative villages. The project engagement approach with affected communities and agro-businesses will be based on informed consultations to ensure that particular livelihood strategies of the different ethnic groups are taken into account.

Table 5 - Summary of Preliminary Consultations with affected Ethnic Minorities

|  |  |
| --- | --- |
| Consultation | Date |
| Shimian County Ethnic & Religious Affairs Bureau | 18 April 2021 |
| Yi and Tibetan community members in Shimian County, Sichuan | 19 April 2021 |
| Yi and Bai community members in Yunlong County, Yunnan | 22 April 2021 |
| IPs/Ethnic Minorities in Don Marcelino, Davao Occidental | 23 April 2021 |
| Village, Haicang Village Committee, Gongguoqiao Township, Yunlong County | 24 April 2021 |

Details of preliminary consultation with ethnic minorities undertaken during PPG is available in annex 8 of the ProDoc. Initial consultations with some of the ethnic minority communities during PPG phase suggested that they share the same written language with the official language mandarin in China, predominantly are able to communicate in mandarin Chinese with people from outside the villages; have similar cell phone penetration rates as their Han counterparts within the communities **and more importantly, they have as strong interest, particularly women, if not stronger, in the livelihood improvement activities in the project as their Han counterparts.** Main points The Yi people, both women and men consulted in Sichuan and Yunnan and the Bai people in Yunnan consulted revealed that they are less frequent as their Han counterparts to migrate to cities to find cash-earning jobs due to different cultural traditions. Some Yi female farmers consulted Baofeng Protection and Management Station in the Yunlong Tianchi National Nature Reserve were concerned that restricted land use and access to nature-based resources, such as picking mushrooms and herbal medicines in the forests would lead to increased financial losses to their families. Due to lack of market information and marketing skills, they feel they always fall behind market cycle which is another constraint to their livelihood’s improvement. All female Yi and Bai farmers interviewed had bank accounts and had prior experience of buying and selling online and make on-line payments transactions.

The township veterinary services are easily accessible and give good services according to ethnic minority farmers consulted. During the consultation, one female Yi villager in Yunlong County said that she had negative experience borrowing and returning a loan from the local rural credit cooperative (RCC) some years ago. Another woman thought local RCC would not lend money to her because she did not have enough guarantee. But all three Yi women villagers expressed interest in taking a loan if the investment could bring more income to the family.

During the PPG phase, female and male Yi, Tibetan community members in Liziping Nature Reserve in Sichuan province, and female and male Bai, Yi and Achang villagers from Yunlong Tianchi Nature Reserve in Yunnan province, were consulted in April 2021 during the PPG mission in the two provinces.

## 6.3 FPIC Processes

The action plan to obtain follow FPIC principles during project implementation are anticipated in table 2 - Seeking FPIC at the implementation stage. This process will be further refined as needed during the preparation of the IPPs.

Table 6 - Seeking FPIC at the implementation stage

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| What | Present to participants at the start-up workshop | Conduct consultations leading to FPIC | Formalize consent agreement | Assess FPIC implementation |
| When | At start-up workshop | After start-up workshop | Before start of any activity.  As part of the Participatory ecological corridor Feasibility Assessment and the Degraded habitat restoration plan | Implementation support/joint review/ mid-term review missions |
| How | * Confirm/revise FPIC implementation plan at start up workshop * Conduct sociocultural and land tenure assessment * Identify decision-making institutions * Conduct preliminary consultations with the community and explain the nature of the proposed project * Allow time for communities to discuss and decide on their representatives for the consultation process leading to FPIC * Clarify responsibilities of representatives Agree on the process leading to FPIC * Identify signatory parties for the consent agreement | * Share objectives and scope of the project with the representatives identified by the communities and identify project component(s) requiring FPIC * Inform them on the actors financing and implementing the project and their respective responsibilities * Provide clear and transparent information on the benefits and risks of the project * Share the findings of the sociocultural, land tenure and environmental assessment | The format for a consent agreement to include:   * Respective expectations * Proposed project duration, expected results and activities * Community co-management agreement * Participatory monitoring and verification plan and procedures * Identification of grievances procedures and mechanisms * Terms of withdrawal of consent * Record of process through means and languages accessible to all stakeholders and parties involved | Engage experts in joint review missions to analyse:   * quality of project target group engagement and feedback; * Implementation of FPIC processes; * SES requirements for implementation; and * inform corrective/adaptive measures, and learn lessons for subsequent dissemination and uptake in other projects   Engage with national agencies in charge of Ethnic minorities consultations such as State Ethnic and Religious Affairs Commission. |

## 6.4 Framework for ensuring meaningful FPIC consultations

FPIC consultations will be conducted in accordance with the requirements and guidelines contained in UNDP SES Standards 6 on Indigenous Peoples.

When initiating the development of landscape level strategies and establishment of the participatory, multi-level, multi-stakeholder landscape mechanisms under, the project team will identify the officials or groups representing ethnic minorities and ensure they are included in the mechanism. In order to ensure legitimacy the project will pursue that FPIC be obtained from **the representative institutions of local communities**. Understanding how communities make decisions is an important step in the FPIC process. There may be a need to go beyond traditional institutions – for example, to ensure participation of women, youth and people with disabilities in decision-making. Representative institutions must strive to adhere to the principles of inclusive consultation, participation and consent in their internal decision-making processes.

**The elaboration of the decision-making processes** of the respective parties is a fundamental process. FPIC is not just a means to obtain consent to a particular project; it is also a process in itself, and one by which indigenous peoples and local communities are able to conduct their own independent and collective discussions and decision-making. They do so in a culturally appropriate way, on matters affecting their rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (tangible and intangible). An early agreement must be reached with the ethnic minorities/local communities on the modalities of the consultations, which should be undertaken in the respective village where they may feel more able to express themselves, and where they have the support of their community. This includes the right to privacy in negotiations and deliberations for them to discuss and decide freely.

When conducting consultations in ethnic minority communities as part of these assessments, the project team will ensure that the processes **are culturally appropriate**, e.g., conducted in local languages. It is fundamental to respect the traditional and customary protocols, including social norms, for both verbal and non-verbal communication. The latter can include body language, personal space and eye contact. The consultations will be facilitated by local safeguards consultants, who are experienced and familiar with local customs and practices. Specific trainings on raising awareness on the right to consent have been developed in the last decade, particularly by indigenous peoples’ organizations and non-governmental organizations (NGOs)[[15]](#footnote-16),[[16]](#footnote-17),[[17]](#footnote-18) .

The consultations will be documented in the IPP and should Involve protocols for COVID-19 for work with ethnic minorities with the aim of generating safe and participatory spaces that do not obstruct the voices and criteria of sectors. Protocols for monitoring the FPIC consultation (letters of interest in participating, admissibility to participate) and possible approach strategies for ethnic minorities according to information workshops where forms of participation should be identified.

The key information contained in the assessment reports will be made available in local languages in abbreviated, easy to understand forms and made accessible according to practical methods locally, e.g., posted on village and/or township office walls, disseminated during village and/or township meetings, etc.

Affected ethnic minorities will also be informed of the project GRM and made aware that grievances can be made in local languages or verbally.

Special attention will be given to the format for documenting the agreement. There is no universal way of documenting consultation, participation and consent. However, the main guidance for documenting the FPIC process are as follows:

- Keep records of consultations undertaken: how participants were selected; their roles or accountability links to their communities; how they were invited; which consultations they participated in; what documentation/information they received beforehand and in which language; who participated; what was discussed. The stakeholder report should be updated regularly.

- Document FPIC agreements: Often FPIC is expressed as an agreement between the designated project management unit and the concerned local communities. These agreements should clearly articulate: what has been agreed (e.g. issues, commitments, time frames, budgets, roles, responsibilities); who entered into the agreement (clearly identifying the individuals involved as well as their title and role); and what mechanisms have been set up to maintain dialogue and address disagreements.

FPIC consultations (where representative of Ethnic Minorities will be invited as part of the cross sectoral strategy, and that they will be given the opportunity to participate) will be conducted as part of the following activities in Component 1:

* 1.1.1. Intersectoral coordination mechanisms for biodiversity conservation strengthened, also facilitating collaborative actions related to the Post-2020 Global Biodiversity Framework
* 1.1.1.4. Facilitate improvements to the provincial level multi-sectoral coordination mechanisms in Yunnan and Sichuan provinces, respectively
* . In addition to coordinating and decision-making functions, the provincial coordination mechanisms will supervise the guidance and application of integrated landscape planning approaches to the conservation and management plan of target wildlife species and their habitats, focusing on the formulation and implementation of specific conservation strategies and action plans in Outputs 1.2.1 and 1.2.2.
* 1.1.3.4. Following free, prior and informed consultation, document biodiversity-friendly normative measures based on the traditional knowledge and practice, including but not limited to the Qiang, Tibetan and Yi ethnic groups.
* 1.2.2.5. Initiate and advocate the implementation of the cross-sectoral Conservation and sustainable management plan by regularly reviewing and disseminating the lessons from the establishment and operationalization of the ecological corridors under Outcome 2.2.

All activities around output 2.2 Connectivity between patches of key protected wildlife habitats targeted for improvement through the creation of ecological corridors, together with specific outputs in 2.3. and 2.4. Specifically FPIC will be obtained as part of 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)

* 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/or 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.

Component 3: Output 3.1.1: Enabling technologies identified and applied to support dynamic real-time wildlife monitoring, data collection, and data analysis for informed and timely management decision making

# 7. Appropriate Benefits

Proposed project activities benefitting ethnic minority communities and providing capacity support are outlined in the matrix below. These activities will be further tailored to preferences of potentially affected persons through meaningful consultations made during project implementation and FPIC processes. Activities that cannot start until the procedures in Section 6 of this IPPF have been carried out are marked with an asterisk (\*).

Table 7 - Proposed project activities in ethnic minority communities

|  |  |
| --- | --- |
| Project Output | Indicative activities |
| Output 1.1.1. Multi-sectoral coordination mechanisms for biodiversity conservation strengthened , also facilitating collaborative actions related to the Post-2020 Global Biodiversity Framework | * Invite representatives of ethnic minorities to join the SWCG as members or as observers; * Include assessments of Ethnics Minorities as part of the strategic environmental and social assessment (SESA, see outline in annex 1 of the ESMF) |
| Output 1.1.3. A comprehensive set of guidelines and monitoring protocols for conservation measures, e.g. ecological corridors developed based on domestic and international best practices | * Include multi-stakeholder consultation and social inclusion approach as part of the wildlife conservation planning guidelines based on international experience; * Ensure the strategic environmental and social assessment (SESA, see outline in annex 1 of the ESMF) includes implication on Ethnics Minorities from ecological corridor establishment. |
| Output 1.1.4. A capacity building plan on applying integrated approaches and implementing evaluation indicator systems developed and delivered | * Training content include a section on how to do stakeholder consultation with ethnic minorities, principles of FPIC as wildlife conservation strategy and planning; and alternative livelihood for ethnic minorities. |
| Output 1.2.1. Cross-sectoral strategy and action plan for primate conservation and sustainable management in Yunnan developed and implemented. | * Include including representatives of ethnic minorities or relevant Ethnic and Religious Affairs Commission/Bureau into the cross-sectoral strategy and action plan; * re-imagine the notion of “Sustainable management” and include a dimension of evolving women and ethnic minorities into the community-based co- management and participatory approach and natural resources management * Include assessments of Ethnics Minorities as part of the strategic environmental and social assessment (SESA, see outline in annex 1 of the ESMF) |
| Output 1.2.2. Cross-sectoral Conservation and sustainable management plan of Giant Panda National Park developed and implemented. |
| Output 2.1.1. Improved capacity for PA managers to effectively engage and support participatory, multi-level, cross-sectoral landscape approaches to conserve globally-threatened and iconic wildlife. | * Incorporating the notion of “social inclusion of ethnic minorities” into the “participatory” landscape approaches and ensure equitable participation of ethnic minorities; * The capacity building of PA managers also includes their capacity in involving ethnic minorities into wildlife conservation and eco-compensation. |
| 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.\*. | * Conduct meaningful consultations with women and ethnic minorities affected as part of the Indigenous Peoples Plan, including Resettlement and Livelihood Planning Framework and ensure results are adequately incorporated into the Participatory Ecological Corridor Feasibility Assessments * Pursuing equal opportunity policy during recruitment of community labour for habitat restoration or ecological corridor construction |
| 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.\* | * Conduct meaningful consultations with women and ethnic minorities affected as part of the Indigenous Peoples Plan, including Resettlement and Livelihood Planning Framework and ensure results are adequately incorporated into the Participatory Ecological Corridor Feasibility Assessments * Pursuing equal opportunity policy during recruitment of community labour for habitat restoration or ecological corridor construction |
| Output 2.3.1. Restoration of key primate habitat undertaken in Yunlong County, Dali Bai Autonomous Prefecture, Yunnan. \* | * Conduct meaningful consultations with women and ethnic minorities affected as part of the Indigenous Peoples Plan, including Resettlement and Livelihood Planning Framework and ensure results are adequately incorporated into the Baseline habitat survey (including participatory rural assessment of affected communities) * Pursuing equal opportunity policy during recruitment of community labour for habitat restoration |
| Output 2.3.2. Degraded panda habitats undergoing restoration in the Giant Panda National Park through biological/ecological engineering and other technical measures\* | * Conduct meaningful consultations with women and ethnic minorities affected as part of the Indigenous Peoples Plan, including Resettlement and Livelihood Planning Frameworkand ensure results are adequately incorporated into the Baseline habitat survey (including participatory rural assessment of affected communities) * Pursuing equal opportunity policy during recruitment of community labour for habitat restoration |
| 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. \* | * Conduct meaningful consultations with women and ethnic minorities affected as part of the Indigenous Peoples Plan, including Resettlement and Livelihood Planning Framework * Include a gender-safeguard expert in the participatory needs assessment; * Ensure ethnic minority people’s equal participation and benefit from all income generation activities; |
| Output 2.4.2. Alternative livelihood social associations established and/or strengthened in the demonstration areas.\* | * Leadership skills training, management skills training, micro-enterprise skills training for ethnic minorities to lead and manage cooperatives, ensuring training content could use their own language and culturally appropriate according to their needs. * Any training and capacity building activities in this output should involve equitable representation of the ethnic minorities |
| Output 3.1.1. Enabling technologies identified and applied to support dynamic real-time wildlife monitoring, data collection, and data analysis for informed and timely management decision making. | * Include equitable percentage of ethnic minority people in needs assessment, capacity building, training and user feedback processes at all levels and in language of their own and being culturally appropriate and sensitive |
| Output 3.1.2. A robust data management platform developed and enabling machine learning and artificial intelligence, towards effective decision support and comprehensive wildlife management (i.e. giant panda genetic diversity database). |
| 3.2.1 National and global public awareness campaigns, workshops, collaborations and dissemination of project information to enhance awareness and knowledge of wildlife protection. | * In public awareness campaigns – making sure ethnic minority people are also a target group; * In workshops – disseminate information experiences and learnings on “multi-stakeholder consultation” with a focus on consultation and participation of minority people; |

# 8. Grievance Redress Mechanism

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. Interested stakeholders may raise a grievance at any time to the Project Management Office, the Executing Agency, Implementing Agency (UNDP), or the GEF.

Table 8 - 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 (Project Manager 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 Project Manager and National Project Director providing guidance and signing off on written responses to grievances.

# 9. Institutional Arrangement

Effective implementation and supervision of the ethnic minority peoples mitigation measures and monitoring activities can only be achieved through a suitable institutional mechanism involving stakeholders of the project, with a particular attention with the involvement of the State Ethnic and Religious Affairs Commission. A broad institutional mechanism for environment and social safeguards associated with the project, roles and responsibilities of various agencies and parties for implementation, including that for ethnic minorities, are provided below:

**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 on several other UNDP-GEF projects. The FECO is responsible for:

* Ensuring that the required assessment (scoped assessments, as above) and assessment report and the required management plans, including IPP, and disclosed for public consultation and approved, and management measures are adopted and integrated during project implementation;
* Project planning, coordination, management, monitoring, evaluation and reporting.
* 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 including Standard 6 (Indigenous Peoples) and national regulatory/policy frameworks and relevant international standards have been addressed (e.g. mitigation of identified adverse social and environmental impacts).

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

**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 Project Board. 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 channelled through UNDP’s accounts, and undertake appropriate measures to address any shortcomings;
* Verify and document that all UNDP SES requirements have been addressed;
* In case FPIC is not obtained, coordinate resolution through the Project Board

**Project Management Office:**

* Supervise and manage implementation of measures defined in the IPP;
* Assign specific responsibilities for implementation of management plans, including IPP, and 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 risks to ethnic minorities concerned, including updated SESPs, impact assessments, a log of grievances together with documentation of management measures implemented;
* Report to the Implementing Partner, the Project Steering Committee, and UNDP CO on the implementation plans, including IPP;
* Ensure that all service providers are informed of their responsibilities for the day-to-day compliance with management plans, including IPP.

As noted above, the projects’ subsequent management plans 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.

Diagram

Description automatically generated with low confidence

Figure 3 - Project institutional mechanism

# Monitoring, Reporting and Evaluation

The implementation of the IPPF will be monitored and evaluated through the 6-year project timeframe. Details will be captured in project reports, meeting memorandums and through various knowledge products. Adaptive management measures will be put in place, as needed, to adjust the plan to current circumstances and according to the findings of monitoring and evaluation efforts. The monitoring plan will also ensure that

* long-term monitoring plan to assess impacts on living standards of resettled persons and whether objectives of action plans achieved is established
* Projects involving resettlements are not considered complete until adverse impacts are addressed and plans fully implemented
* independent experts are utilized, and 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
* Monitoring and evaluation of the implementation of the IPPF are part of the project M&E plan, and co-financing contributions are included.

The IPPF monitoring and evaluation plan is outlined below.

Table 9 - M&E plan for implementation of the IPPF

| **M&E Activity** | **Description** | **Timeframe** | **Responsibility** |
| --- | --- | --- | --- |
| Track progress of IPPF implementation | Ensure implementation of the IPPF is coordinated and completed in a timely manner, with results reported to the Project Board and shared among the project landscapes. | Continuous | National Project Coordinator, Gender-Safeguards Consultant |
| Learning | Knowledge, good practices, and lessons will be reviewed and used to inform decisions on improving project performance and inclusiveness. | At least annually | National Project Coordinator, Gender-Safeguards Consultant |
| Annual project implementation review (PIR) reports | Include description of progress of IPPF and IPP, as warranted, in the annual PIR reports, including a summary of avoidance and mitigation of potential impacts, sharing lessons and good practices across the landscapes | Annually | National Project Coordinator, Gender-Safeguards Consultant |

# Budget and Financing

The estimated budget for safeguards management, capacity building, consultation and stakeholder engagement and development and implementation of livelihoods support programme is **USD** **488,705[[18]](#footnote-19)** This financing figure will be confirmed during Project implementation. Details are indicated below.

Table 10 - Breakdown of project level costs related to general Safeguard package, including

|  |  |  |
| --- | --- | --- |
| 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 ~~Feasibility and Degraded Habitat Assessments 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 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 |

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.

Costs associated with the time of National Project Coordinator, Project Management Associate, the full-time M&E-Knowledge Management Officer for coordinating the implementation of the IPPF and UNDP safeguards Individual Contractor are not included in the above budget breakdown.

Co-financing contributions will also support the implementation of the IPPF and IPP, specifically the Demonstration Area Coordinators, Field Officers and Gender Focal Points, which will be funded by the subnational governmental partners in each of the two demonstration areas. The Demonstration Area Coordinators will assist in communicating and socializing the project to landscape level stakeholders, and in engaging with ethnic minority groups. The Gender Focal Points will assist in monitoring progress towards achievement of gender mainstreaming objectives, including those involving ethnic minority women.

1. s://www.fmprc.gov.cn/mfa\_eng/ljzg\_665465/3584\_665493/t17918.shtml [↑](#footnote-ref-2)
2. <https://www.fmprc.gov.cn/mfa_eng/ljzg_665465/3584_665493/t17911.shtml> [↑](#footnote-ref-3)
3. https://www.chinahighlights.com/travelguide/nationality/qiang.htm [↑](#footnote-ref-4)
4. <https://www.fmprc.gov.cn/mfa_eng/ljzg_665465/3584_665493/t17925.shtml> [↑](#footnote-ref-5)
5. <https://www.fmprc.gov.cn/mfa_eng/ljzg_665465/3584_665493/t17889.shtml> [↑](#footnote-ref-6)
6. <https://www.fmprc.gov.cn/mfa_eng/ljzg_665465/3584_665493/t17904.shtml> [↑](#footnote-ref-7)
7. <https://www.fmprc.gov.cn/mfa_eng/ljzg_665465/3584_665493/t17920.shtml> [↑](#footnote-ref-8)
8. <https://www.fmprc.gov.cn/mfa_eng/ljzg_665465/3584_665493/t17881.shtml> [↑](#footnote-ref-9)
9. https://www.fmprc.gov.cn/mfa\_eng/ljzg\_665465/3584\_665493/t17924.shtml [↑](#footnote-ref-10)
10. <https://www.chinahighlights.com/travelguide/nationality/bai.htm> [↑](#footnote-ref-11)
11. <https://www.fmprc.gov.cn/ce/ceee/eng/zggk/mz/t109302.htm> [↑](#footnote-ref-12)
12. <https://www.fmprc.gov.cn/mfa_eng/ljzg_665465/3584_665493/t17902.shtml> [↑](#footnote-ref-13)
13. <http://en.chinaculture.org/library/2008-02/05/content_23984.htm> [↑](#footnote-ref-14)
14. <https://www.chinatravel.com/guide/li-ethnic-minority> [↑](#footnote-ref-15)
15. Asia Indigenous Peoples Pact (AIPP) Training Manual for Indigenous Peoples on Free, Prior and Informed Consent, 2014 Development for whom? Safeguard Policies and Projects of International Financial Institutions Affecting Indigenous Peoples in Asia, 2014 Handbook: extractive industries and free, prior and informed consent of indigenous, 2019 <https://aippnet.org/asiaindigenous-peoples-pact-aipps-handbook-extractive-industries-free-prior-informed-consent-indigenous/> [↑](#footnote-ref-16)
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18. Note that ESMF and IPPF budgets are one and the same as all budget items have implications for ethnic minorities [↑](#footnote-ref-19)