

Accelerating Low Carbon Transition of Urban Mobility in Yichang
(P172388)

Environmental and Social Systems Assessment

World Bank
December 2023

Contents

1. INTRODUCTION.....	1
2. PROGRAM DESCRIPTION.....	3
2.1 Government Program	3
2.2 The PforR Scope	3
2.3 Institutional arrangement and experience	5
3. E&S IMPACT ASSESSMENT	7
3.1 E&S Exclusion	7
3.2 E&S Assessment Scope	8
3.3 Likely E&S Effects	8
3.3.1 E&S Benefits	8
3.3.2 Adverse E&S Impacts	8
3.3.3 Cumulative E&S effects	11
3.4 E&S Risk Rating	12
4. ENVIRONMENTAL MANAGEMENT SYSTEM ASSESSMENT	15
4.1 General Principles	15
4.2 EIA and Follow-up Management System	16
4.3 Pollution Control System	21
4.3.1 Vehicle emissions management	21
4.3.2 Traffic noise management.....	25
4.3.3 Other pollution management	26
4.4 Ecological Protection System	29
4.5 Safety Management System.....	30
4.6 Consistency with the WB’s Core Principles.....	34
5. SOCIAL MANAGEMENT SYSTEM ASSESSMENT	36
5.1 Correlation Analysis with the Bank’s Principles	36
5.2 Assessment of Social Regulations and Policies.....	39
5.2.1 Core Principle #1: Sustainable social risks management system	40
5.2.2 Core Principle #2: Cultural heritage management system	43
5.2.3 Core Principle #3: Public and worker safety management system	43
5.2.4 Core Principle #4: Involuntary resettlement management system	45
5.2.5 Core Principle #5: Management system for ethnic minorities and vulnerable groups	49
5.2.6 Core Principle #6: Social conflict management system.....	52
5.3 Assessment of Social Management Mechanism and Capacity.....	52
5.3.1 Social risk assessment management agencies.....	53
5.3.2 Cultural relic protection agencies.....	54
5.3.3 Land acquisition and house demolition Agencies.....	54
5.3.4 Public and worker health and safety, and emergency engagement agencies	57
5.3.5 Ethnic affairs management agencies.....	58
5.3.6 Vulnerable group protection agencies	59
5.4 Assessment of Social Effects of Implementation.....	60
5.4.1 Core Principle #1: Sustainable social risks management system	61
5.4.2 Core Principle #2: Cultural heritage management system	66
5.4.3 Core Principle #3: Public and worker safety management system	67
5.4.4 Core Principle #4: Involuntary resettlement management system	70
5.4.5 Core Principle #5: Management system for ethnic minorities and vulnerable groups	74
6. PUBLIC PARTICIPATION AND GRIEVANCE REDRESS MECHANISMS	78
6.1 Public Participation	78
6.1.1 Initial Participation Activities.....	78
6.1.2 Public Consultation on the ESSA	79

6.2	GRMs.....	79
7.	CONCLUSIONS, RECOMMENDATIONS, AND ACTION PLANS	80
7.1	Conclusions	80
7.2	Recommendations.....	80
7.3	Action Plan.....	81
8.	MANAGEMENT AND MONITORING.....	82
8.1	The Borrower	82
8.2	The World Bank	82
	APPENDIX 1: BOUNDARY OF GOVERNMENT PROGRAMS AND THE PFORR	83
	APPENDIX 2: ASSESSMENT OF E&S RISKS/IMPACTS OF THE PFORR ACTIVITIES	88
	APPENDIX 3: COMPARISON WITH THE BANK PFORR POLICY AND DIRECTIVE	94
	APPENDIX 4: STAKEHOLDER ANALYSIS	115
	APPENDIX 5: STAKEHOLDER ENGAGEMENT	117
	APPENDIX 6: FEEDBACK OF PUBLIC CONSULTATIONS ON THE DRAFT ESSA	119
	APPENDIX 7: FIELD VISIT RECORDS.....	126
	APPENDIX 8: GENERIC E&S MITIGATION MEASURES.....	129
	APPENDIX 9: RECORDS OF COMMUNITY CONSULTATIONS	134

Abbreviations and Acronyms

ARABs	Agriculture and Rural Affairs Bureaus
BRT	Bus Rapid Transit
CAB	Civil Affairs Bureau
COD	Chemical Oxygen Demand
CPC	Communist Party of China
CTB	Culture and Tourism Bureau
DLI	Disbursement-linked Indicator
DMS	Detail Measurement Survey
DPF	Disabled Person's Federation
DRC	Development and Reform Commission
EAPC	Environmental Audit at Project Completion
EEB	Ecology and Environment Bureau
EHS	Environmental, Health, and Safety
EIA	Environmental Impact Assessment
ELET	Environmental Law Enforcement Team
EMB	Emergency Management Bureau
EMS	Environmental Management System
ERAB	Ethnic and Religious Affairs Bureau
ERL	Ecological Redline
E&S	Environmental and Social
ESA	Environmental Sensitive Area
ESSA	Environmental and Social Systems Assessment
ETS	Emission Trading Scheme
FB	Finance Bureau
FGD	Focus Group Discussion
FLB	Forestry and Landscaping Bureau
FYP	Five Year Plan
GRM	Grievance Redress Mechanism
GSBDB	Government Services and Big Data Bureau
HC	Health Commission
HRSSB	Human Resources and Social Security Bureau
HURDB	Housing and Urban-Rural Development Bureau
IITB	Industry and Information Technology Bureau
LAR	Land Acquisition and Resettlement
MEE	Ministry of Ecology and Environment
MLS	Minimum Living Security
MNR	Ministry of Natural Resources
MRV	Monitoring, Reporting, and Verifying
MSB	Market Supervision Bureau
NDRC	National development and reform committee
NGO	Non-Governmental Organization
NIMBY	Not In My Back Yard
NRPB	Natural Resources and Planning Bureau
OBD	Onboard Diagnostic System
OHS	Occupational Health and Safety
O&M	Operation and Maintenance
PAP	Program Action Plan
PCPB	Public Complaints and Proposals Bureau
PDO	Program Development Objective
PforR	Program-for-Results
PIU	Program Implementation Unit
PLAC	Political and Legal Affairs Committee
PMO	Program Management Office
POM	Program Operational Manual

PSB	Public Security Bureau
PT	Public Transport
RA	Result Area
RRB	Rural Revitalization Bureau
SASAC	State-owned Assets Supervision and Administration Commission
SSRA	Social Stability Risk Assessment
TB	Transport Bureau
TOD	Transit-Oriented Development
TPT	Traffic Police Team
UDG	Urban Development Group
UMC	Urban Management Committee
VEI	Vehicle Emission Inspection
VEM	Vehicle Emission Maintenance
VOC	Volatile Organic Compound
WB	World Bank
YBG	Yichang Bus Group

1. Introduction

Background

1. The “Accelerating Low Carbon Transition of Urban Mobility in Yichang (P172388)” (hereinafter “the PforR”) aims to accelerate decarbonization of transport sector in Yichang and to create mechanisms to scale up effective decarbonization measures in Hubei Province.

Objectives and tasks of the ESSA

2. As per the “Bank Guidance Program-for-Results Financing Environmental and Social System Assessment”, this Environmental and Social Systems Assessment (ESSA) is prepared as an instrument to identify and analyse the environmental and social (E&S) risks and impacts of the PforR, assess the domestic E&S management systems, and recommend measures to improve any identified gaps under the systems to improve the management of the E&S risks associated with the PforR. The assessments and conclusions will be presented in the ESSA report and put in place during implementation. The main tasks of the ESSA include:

- Screen, identify, and assess the potential E&S impacts and risks of the PforR activities.
- Identify and assess the applicable national and local E&S laws, policies, and regulations.
- Identify and assess the institutional settings and implementation procedures of the provincial and local E&S management systems.
- Identify and assess the institutional capacity and performance of the E&S management authorities.
- Identify gaps under the E&S management systems.
- Propose recommendations and action plans.

Procedures and Methodologies of the ESSA

3. The ESSA is a common responsibility of the World Bank (WB) and the Borrower. The WB takes lead in the detailed work of the ESSA, while the Borrower provides information about the E&S management systems associated with the PforR and coordination in the E&S due diligence and public consultation, etc. This means the Borrower will cooperate with the WB in various assignments such as data collection, due diligence, and stakeholder engagement throughout the PforR cycle and complete the ESSA together with the WB.

4. At the **Identification Stage**, the ESSA team conducted initial screening of E&S risks, excluded the activities that have significant adverse E&S impacts, and carried out preliminary E&S impacts assessment and risks rating. At the **Preparation Stage**, the WB determines the PforR scope, accordingly the ESSA team conducted comprehensive E&S risk screening and assessment, fully evaluated the domestic E&S management systems in terms of framework, mechanism, institution, and performance, identified gaps in the E&S practices, and proposed recommendations and actions to fill the gaps. The draft ESSA report is consulted with relevant stakeholders such as government authorities, communities, and enterprises and improved based on the feedbacks. At the **Appraisal Stage**, the E&S risks will be reviewed and determined, the agreed E&S conclusions and actions will be incorporated into the Program Action Plan (PAP), and the final ESSA will be disclosed on the Bank and governments’ websites in due course.

5. To ensure a successful assessment, the ESSA team conducted information collection and stakeholder engagement in multiple ways. The districts of Yiling, Xiling, and Wujiagang are selected as sample areas for field investigation and interview.

- **Secondary information collection and analysis:** Secondary information like documents provided by government authorities at municipal and district levels, online public data, and published literatures were collected and analyzed to understand the legal framework, institutional arrangements and implementation procedures of domestic E&S management systems related to the PforR.
- **Primary information collection and analysis:** Primary information was also obtained in multiple ways, including consultations, discussions, interviews, and field visits, etc. In July 2023, the ESSA team conducted a series of on-site meetings with Yichang municipal government authorities and local counterparts of the three districts to understand the

management mechanisms of the E&S systems; and visited the sites of typical activities to learn the actual implementation effectiveness of the E&S systems.

- **Whole process stakeholder engagement:** Throughout the PforR cycle since the identification and training till the ESSA preparation and finalization, the ESSA team kept communicating with a variety of stakeholders at each step. During the preparation of this report, the ESSA team interviewed various relevant E&S government authorities at the municipal and district levels and consulted different representatives of potentially affected community leaders, residents, women, and vulnerable group by means of face-to-face meetings, interviews, WeChat communication, and phone calls, etc.
- **ESSA consultation:** From August to September 2023, the E&S team carried out consultations on the ESSA. The first version of the draft ESSA was sent out on 24 August 2023 to seek comments of the relevant authorities at municipal and district levels, and representatives of residents and enterprises. Written feedback has been provided to the ESSA team on 11 September. Afterwards, face-to-face consultation meetings plus online discussions were conducted by the ESSA team with the relevant governments and the representatives of residents and enterprises on 26 September 2023. The obtained feedbacks have been incorporated into the ESSA as listed in **Appendix 6**.

2. Program Description

2.1 Government Program

6. Hubei Province is a transport hub and growing economy in central China. The annual transport carbon emissions have been increasing driven by the province's economic growth, urbanization, and motorization. In 2021, the Hubei Provincial Government published the the "Hubei Comprehensive Transportation Development 14th Five-Year Plan" (hereinafter, the Hubei Transportation 14th FYP), emphasizing green transformation in transport sector with focus on shifting to greener transport modes for both passenger & freight transport and lower energy & carbon intensity, and aiming to support the Government's priorities in achieving carbon peak by 2030 and carbon neutrality by 2060. The medium-term decarbonization targets (2020-2025) of the Hubei Transport 14th FYP are to reduce carbon intensity in transport sector by 5% and increase the share of electric buses from 58% to 85% with \$2 billion investments.

7. In 2022, Yichang Government issued the "Yichang Municipality Transportation Development 14th Five-Year Plan" (hereinafter, the Yichang Transportation 14th FYP), aiming to build a safe, convenient, efficient, green, and economic transport system measured by a series of indicators such as reduction of CO₂ from vehicles by 5% and increase of motorized public transport to 60%. The main development areas of the Yichang Transportation 14th FYP include providing strategic support and guidance, improving infrastructure networks, upgrading transport services, accelerating smart transport, promoting green transport transformation, enhancing traffic safety, and building management capability (see **Appendix 1** for details). Meanwhile, the "Yichang Municipality Transport Carbon Peak Implementation Plan" (2022, hereinafter, the Yichang Transport Carbon Peak Plan) also proposes actions such as building green transport systems, improving energy efficiency of transport facilities, and strengthening accounting and evaluation of energy consumption and carbon emission, etc.

2.2 The PforR Scope

8. **Investment Boundary:** The PforR aims to support the Hubei Transportation 14th FYP, the Yichang Transportation 14th FYP, and the Yichang Transport Carbon Peak Plan, and other government programs on decarbonization in the transport sector of Yichang to develop and implement decarbonization-related policies and regulations, improve public transport infrastructure, improve bus services and operations, promote green travel, and accelerate carbon accounting and evaluation, etc. The total investment of the PforR is USD 852 million including USD 250 million IBRD loan from the Bank. The PforR implementation period is from 2024 to 2029.

9. **Geographic coverage:** The PforR will support activities in Hubei Province and 5 districts, 3 cities, and 3 counties of Yichang Municipality with major physical investments in three sample districts of Yiling, Xiling, and Wujiagang.

10. **Program development objectives and result areas:** The proposed Program Development Objective (PDO) of the PforR is to accelerate decarbonization of transport sector in Yichang and to create mechanisms to scale up effective decarbonization measures in Hubei province. It will be achieved through supporting the following three RAs, namely, RA1 - Manage Motorization and Motorized Travel Demand; RA2 - Facilitate Modal Shifts; RA3 - Incentivize Low-Carbon Choices; and RA4 - Enhance Institutional Capacity.

11. **Typical PforR activities and expected outcomes:** Each of the RAs will be supported by a series of typical activities and the implementation performance will be examined by the intermediated outcome indicators including disbursement-linked indicators (DLIs). The planned activities under the government programs were screened, and those that meet the PDO requirements and are not within the E&S exclusion list are included in the PforR scope as presented in **Table 2-1**. The program activities screening and PforR scoping are given in **Appendix 1**.

Table 2-1: PforR Activities, Expected Outcomes, and DLIs

Results Areas	Measures	Proposed Activities	DLIs
1. Manage Motorization and Motorized Travel Demand	1.1 Issue policies on vehicle emissions	1. Issue policy to encourage early retirement of heavy polluting trucks.	DLI 1.1 Strengthened management of heavy polluting freight vehicles. DLI 1.2 Strengthened parking management that captures demand management principles. DLI 1.3 Strengthen TOD and accessibility.
	1.2 Implement vehicle emissions polices	1. Develop a database for truck scrappage; 2. Implement truck scrappage program.	
	1.3 Issue new policies and regulations on parking	1. Issue new parking policy that captures demand management principles through price and quantity restrictions on private vehicle usage and applies to both private and publicly managed parking lots; 2. Review the new parking technical guidelines and address the parking standards for buildings.	
	1.4 Implementation of parking policies and regulations	1. Develop a parking implementation plan along bus rapid transit (BRT) corridors (existing + new); 2. implement the parking master plan.	
	1.5 Issue TOD (Transit-Oriented Development) policies and regulations	1. Include TOD principles along mass transit corridors (density, diversity, and design) in the spatial master plan; 2. Update the technical guidance on accessibility to include priority to access to transit.	
	1.6 Implement TOD and accessibility improvement investments	1. Prepare "last mile" accessibility improvement plan (walking) along the BRT corridor; 2. Prepare the cycling network improvement plan along the major corridors; 3. Accessibility improvement investments implemented along key transit corridors	
2. Facilitate Modal Shifts	2.1 Expand the network of bus priority/ exclusive lanes	1. Implement BRT Corridor 2+3; 2. Construct bus exclusive lanes on densely traffic corridors.	DLI 2.1 Public transport improvement.
	2.2 Improve the quality of bus services and operations	1. Based on the survey feedback, make plan to improve frequency, reduce transfers, increase speed, and route optimization; 2. operationalize improvements; 3. infrastructure improvement to support quality of service (terminals, interchange stations, & passenger transport hubs).	
	2.3 Extend the coverage of transit network accessible to the urban population	1.Prepare a plan to improve the population coverage of the PT network including providing commuter feeder bus services; 2. Implement the plan.	
	2.4 Improve intermodal connectivity between rail and waterway	1. Establish intermodal freight information platform for Inland waterway transport to railway transport, including software and hardware; 2. multimodal policy incentive to facilitate a shift to rail/water freight transport.	
3. Incentivize Low-Carbon Choices	3.1 Reform the subsidy mechanism for public transport operators	Complete subsidy reform for public transport in Yichang, including: 1. Prepare a new public transport operating subsidy program covering incentives for ridership increase and decarbonization; 2. Prepare the corresponding evaluation method for public transport operational performance.	DLI 3.1 Reform the public transport operator subsidy framework to include ridership and decarbonization as key
	3.2 Introduce carbon crediting mechanism for	1. Develop a transport carbon emission data platform; 2. Develop a Mobility as a Service (MaaS) platform and carbon credit mechanism.	

Results Areas	Measures	Proposed Activities	DLIs
	mobility service users		performance criteria.
	3.3 Pilot an emission trading scheme (ETS) for transport	1. Design an ETS for transit operators and logistics operators for Hubei Province. 2. Develop the Emission Trading Scheme for transit operators and logistics operators.	DLI 3.2 Pilot an emission trading scheme (ETS) for transport.
4. Enhance Institutional Capacity	4.1 Establish and maintain carbon accounting system and evaluation mechanism	1. Design a carbon accounting system for the transport sector; 2. Operationalize the system.	DLI 4.1 Develop a long-term decarbonization roadmap and develop emission modeling tools.
	4.2 Establish and maintain a MRV system to enable ETS	1. Design a monitoring, reporting and verification (MRV) system for enabling ETS; 2. Operationalize the system.	
	4.3 Develop a modeling tool to simulate policy effects on transport carbon emissions	1. Develop modelling tool to simulate the effects on carbon trajectories of alternate policy and program interventions. 2. Use the same to define the policies and programs to be included in the Transport Sector Carbon Peaking Plan for Yichang.	
	4.4 Capacity building and knowledge sharing	1. Prepare the Implementation Plan for Carbon Peaking in the Transport Sector of Yichang City; 2. Prepare the Development Strategy of Public Transport in Yichang including route network review, coverage expansion, service quality enhancement and optimization; 3. Organize domestic/ international study tours to learn best practices in transport decarbonization, ETS, MaaS platform construction and operation, public transport operation management, traffic demand management, etc.; 4. Organize workshops/ conferences/ materials to promote knowledge sharing on transport decarbonization including annual reporting and workshop with MOT on progress and lessons learned, and ES management capacity building; 5. Conduct public communication events on green mobility (car free day, green mobility champion) to popularize sustainable urban mobility.	

12. **Related external facilities/activities:** Based on the list of typical activities under the PforR, the ESSA team analyzed the possibility that may involve associated facilities/activities that would be required to meet the PDO but are not explicitly defined as PforR activities or included in the expenditure framework projects. The PforR will support scraping old trucks, so the scraped trucks will be collected and treated by downstream disassembly facilities. However, the amount of the old trucks to be scrapped under the PforR will be limited and scattered in the PforR areas, and there will be no need of construction/expansion of disassembly facilities to specifically support the PforR activities. Therefore, the PforR will only involve related external facilities/activities like scrapped vehicle disassembly instead of associated activities/facilities as defined by the Bank's policies.

2.3 Institutional arrangement and experience

13. The PforR will be implemented across various sectors at different levels to ensure efficient and effective supervision and coordination. Hubei set up a project leading group (PLG) at provincial level in 2022, which is chaired by the provincial Department of Transport and includes the provincial Department of Finance, Development and Reform Commission, and Department of Ecology and Environment. In August 2022, Yichang Government formally established a PLG at municipal level, which is chaired by the Vice Mayor in charge of transport and logistics. All directors of concerned

government authorities, including the municipal Development and Reform Commission (DRC), Public Security Bureau (PSB), Finance Bureau (FB), Ecology and Environment Bureau (EEB), Housing and Urban-Rural Development Bureau (HURDB), Transport Bureau (TB), Urban Management Committee (UMC), Government Services and Big Data Bureau (GSBDB), and Public Resources Trading Center, and Yichang Urban Development Group (UDG), are members of Yichang PLG to provide overall coordination and guidance for the PforR. Under Yichang PLG, a Project Management Office (hereafter Yichang PMO) was established in the TB to provide day-to-day coordination and management. The Yichang PMO has 16 full-time staff in charge of data collection, land acquisition and resettlement, project design, loan reimbursement, procurement, submissions, contract management, quality control, project progressing, completion acceptance, and commercial operation, respectively. There are specific personnel designated to manage E&S matters associated with the PforR. Other relevant government authorities at different local levels will be also involved in cooperation and coordination during the PforR preparation and implementation.

14. In the cooperation with international financial institutions from 1981 to 2022, Hubei Province has implemented more than 226 foreign loan/grant projects, with total loans/grants exceeding USD7.514 billion, involving in the sectors of industry, urban infrastructure, transport, water supply, sanitation, agriculture, forestry, water conservancy, education, and hygiene. To date, there are 20 foreign loan/grant projects under construction with total loans/grants about USD1.895 billion, and 13 potential projects with total loans/grants of USD1.65 billion. In the transport sector of Hubei, various foreign loan/grant projects are completed, ongoing or under preparation such as the GEF Efficient and Green Freight Transport Project (P159883), the WB Hubei Xiangyang Urban Transport (P119071), the WB Hubei Inland Waterway Improvement Project (P158717), the WB Hubei Xiaogan Logistics Infrastructure (P132562), the WB Hubei Yiba Highway (P101258), and the ADB Hubei-Yichang Sustainable Urban Transport Project (45023-002), etc. They have similar activities with the components of this PforR.

15. It's known from the previous projects, Hubei has rich experience and good track records in E&S management and monitoring complying with the Bank's policies, and their E&S management performance is satisfactory so far. Yichang PMO has designated specialized personnel to coordinate and manage the E&S issues associated with the PforR. **Chapter 8** of this ESSA discusses the organization, staffing, and responsibilities of the PMO and Project Implementation Units (PIUs). The E&S impacts/risks of the downstream activities/facilities to be triggered by the non-physical interventions under the PforR (e.g., developing and issuing policies and regulations, and establishing transport management mechanisms) will be managed by the relevant government authorities following E&S laws/regulations. **Chapter 4** and **Chapter 5** of the ESSA discuss the institutional arrangements at different levels in detail. Since this is the first time for Yichang to manage a transport PforR project, it's suggested that the Yichang PMO and the related government authorities get external support in terms of training, technology, and personnel to strengthen their capacity in E&S management.

3. E&S Impact Assessment

3.1 E&S Exclusion

16. **Purpose:** During the ESSA preparation, the Bank's core principles and requirements on E&S risk screening have been fully considered, and E&S screening has been conducted on the government program activities to (i) identify and exclude activities with high E&S risks; and (ii) define the scope of activities to carry out ESSA.

17. **Exclusion criteria for activities with high E&S risks:** Under the Bank PforR Policy, activities that are "judged to be likely to have significant adverse impacts that are sensitive, diverse, or unprecedented on the environment and/or affected people are not eligible for financing and are excluded from the Program." More specifically, following criteria are applicable to exclude activities with significant negative E&S impacts (including those associated with such activities):

- Significant conversion or degradation of critical natural habitats or critical cultural heritage sites.
- Air, water, or soil contamination leading to significant adverse impacts on the health or safety of individuals, communities, or ecosystems.
- Workplace conditions that expose workers to significant risks to health and personal safety.
- Land acquisition and/or resettlement of a scale or nature that will have significant adverse impacts on affected people or the use of forced evictions¹.
- Large-scale changes in land use or access to land and/or natural resources (e.g., ecological resettlement).
- Adverse E&S impacts covering large geographic areas, including transboundary impacts, or global impacts such as greenhouse gas emissions.
- Significant cumulative, induced, or indirect impacts.
- Activities that involve the use of forced or child labor.
- Marginalization of, discrimination against, or conflict within or among social (including ethnic and racial) groups².
- Activities that would (a) have adverse impacts on land and natural resources subject to traditional ownership or under customary use or occupation; (b) cause relocation of ethnic minority groups from land and natural resources that are subject to traditional ownership or under customary use or occupation; or (c) have significant impacts on ethnic minority cultural heritage.

18. **Excluded activities:** Following activities are excluded from the PforR based on the above-mentioned criteria:

- a) activities that involve new or significant expansion of large-scale transport infrastructure, particularly those requiring large-scale land acquisition or resettlement like physical resettlement of residents or business in urban areas, or having significant environmental impacts during implementation, e.g., construction or expansion of highways, expressways, urban metro systems, etc.
- b) activities that the site selection involves resettlement legacy issues.
- c) activities that involve heavy polluting processes or have high safety risks, e.g., scrapping and disassembly of old vessels, and purchase and use of hydrogen vehicles, etc.
- d) activities that involve acquisition of basic farmland.
- e) activities that require land use not compliant with the up-to-date overall national and local terrestrial and spatial planning.
- f) activities that have livelihood impacts arising from restriction of access or transfer of user

¹ In the context of this Bank Guidance on ESSA for PforR, resettlement includes physical relocation of individuals and communities as well as the acquisition of land for program purposes. It is not necessarily helpful to define fixed numerical thresholds for "large scale" because the significance of impacts depends very much on local contextual factors. The definition of significant resettlement impacts is closely related to the extent to which the borrower's systems align with the core principles and to the borrower's capacity to carry out land acquisition and resettlement in accordance with policy principles and requirements. The emphasis should be on the potential for significant impacts on affected people regardless of scale, as significant adverse impacts are not acceptable to the Bank even if they affect only a small number of people.

² Social groups refer to the Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities or ethnic or racial groups are potentially affected.

rights.

- g) other activities with potential significant E&S impacts, particularly those subject to full environmental impact assessment (EIA) reports under China's existing EIA system, etc.

3.2 E&S Assessment Scope

19. **Physical activities under the PforR:** After excluding the activities with high E&S risks, the PforR will support following types of physical works: (i) construction or rehabilitation of BRT corridors, bus exclusive lanes, bicycle lanes, and pedestrian walkways, etc.; (ii) construction or expansion of bus stops, bus terminals, bus depots, interchange stations, passenger transport hubs, etc.; (iii) construction or installation of small-scale facilities such as interchange facilities, street crossing facilities, bicycle parking sites, and traffic signals, etc.; (iv) adjustment and fully utilization of existing parking lots; and (v) scrapping of high-emitting old trucks, etc.

20. **Non-physical activities under the PforR:** Policy and regulation development, technical research, software development, training, study tours, and public consultation will also be supported by the PforR, including: (i) issue of policies on vehicle emissions; (ii) issue of parking policies and regulations; (iii) issue of TOD policies and regulations; (iv) reform of subsidy mechanism for public transport operators; (v) development of a Mobility as a Service (MaaS) platform and carbon credit mechanism; (vi) design of an Emission Trading Scheme (ETS) for transit operators and logistics operators; (vii) development of a carbon accounting system for the transport sector; (viii) establishment of monitoring, reporting and verification (MRV) system to enable ETS; (ix) development of modelling tool to simulate the effects on carbon trajectories of alternate policy and program interventions; and (x) capacity building and knowledge sharing, etc. Implementation of the non-physical activities would have minimal or no direct adverse E&S impacts, but the outputs of some non-physical activities may induce indirect downstream E&S effects.

21. **Related external facilities/activities:** As stated in Section 2.2, the PforR will not involve any associated facilities/activities as defined by the Bank's policies except for following external facilities/activities. The PforR-supported scrapping of old trucks will use existing disassembly facilities to deal with the scrapped vehicles. The disassembly activities are expected to have certain negative E&S impacts such as hazardous waste, ordinary industrial waste, noise, waste gas, wastewater, and OHS risks (see paragraphs 28-31 in Section 3.3.2 for details). These external facilities can independently operate without the PforR; and the PforR will not directly lead to construction or expansion of any such kind of facilities.

3.3 Likely E&S Effects

3.3.1 E&S Benefits

22. As defined by the PDOs, through improving transport decarbonization policies, promoting green travel mechanisms, upgrading public transport infrastructure, increasing public transport services, and scrapping high-emitting old trucks, the PforR is expected to bring significant E&S benefits in terms of resolving urban congestion, improving quality of bus operations, providing the public with travel convenience, reducing air pollution and carbon emission, improving ambient air environment, alleviating global warming, safeguarding people's health, accelerating social and economic development, and creating mechanisms and providing pilot demonstrations to scale up effective decarbonization measures in Hubei Province, etc.

3.3.2 Adverse E&S Impacts

23. Despite of the E&S benefits, implementation of the PforR activities will generate negative E&S impacts that are summarized in the following sections with specific E&S impacts of typical activities shown in **Appendix 2**. Specific E&S impacts of each subproject will be assessed in corresponding E&S instruments such as Environmental Impact Assessment (EIA) and Social Stability Risk Assessment (SSRA) during the PforR implementation.

Direct/indirect E&S impacts

24. Construction, operation, or implementation of various physical activities under the PforR will have different degrees of direct/indirect negative E&S impacts as described below, and the generic mitigation measures are given in **Appendix 8**.

25. **Key environmental impacts:**

- **Environmental pollution:** (i) Construction-related dust, noise, wastewater, and solid waste might cause potential pollution to the environment. However, the impacts are usually temporary, short-term, small-scale, and site-specific and can be properly mitigated by applying good construction techniques and management measures, and they will disappear right after the construction is completed. (ii) Vehicle emissions and traffic noise would be generated in the stage of operation and maintenance (O&M) of urban roads and bus depots/terminals; and stormwater runoff from surfaces of roads, depots and terminals might induce potential urban flooding hazards; and vehicle maintenance would generate pollution impacts such as hazardous waste, ordinary industrial waste, wastewater, waste gas, and noise, etc. However, these impacts are usually predictable and can be avoided or mitigated using demonstrated techniques and/or management measures, so they are unlikely to cause significant environmental risks.
- **Ecological impacts:** (i) The small-scale physical works under the PforR will be sited within the right-of-way along existing roads in urban cores that have been disturbed by human activities and dominated by artificial ecosystems. The project locations are unlikely to be in vicinity of any legally protected or customarily recognized critical habitats or other ecological sensitive areas. Only a small number of greenbelts might be occupied, which will be compensated by developing and implementing replanting plans following the requirements of local Forestry and Landscaping Bureaus (FLBs) and going through technical review and approval procedures, so it's unlikely to cause significant ecological impacts. (ii) Construction activities would take place in existing built-up areas with hardened ground surfaces, which is unlikely to cause significant soil erosion at or near construction sites. (iii) The PforR facilities are expected to have minor impacts on the ecosystems in the operational stage.
- **Safety risks:** There will be potential traffic accidents and public safety risks in road-occupying construction; there will be risks of traffic accidents in road operation; and there will be fire risks in operation of bus depots/terminals due to parking numerous buses, using flammable chemicals to repair buses, and generating flammable hazardous waste in bus maintenance and repair, etc. These safety risks are usually predictable and can be avoided or mitigated using demonstrated techniques and/or management measures.

26. **Key social impacts:**

- **Labor impacts:** For activities such as BRT, bus depots, bus terminals, bicycling lanes, non-motorized transport, there are health and safety risks for communities and workers during the construction and maintenance process. According to the survey, the construction of BRT, bus depot, bus terminal usually last for less than 1 year, and the duration of a single construction site of bicycling lane and non-motorized transport won't exceed 2 months. And the size of labor force for these activities are different from 30 to 200 persons around. Among which, up to 200 construction workers would be involved at the peak time of the construction of BRT, bus depots, bus terminals. Therefore, it is necessary to consider the diseases and epidemic prevention and control, construction safety management, and self-protection of workers, especially for activities where large size of labor force involved.
- **Occupational health risks:** In addition to the labor safety risks during the construction and maintenance of activities mentioned above, potential occupational health risks will be involved during the operation of scrapped vehicles disassembly company, such as noise, hazardous waste management, etc.
- **Community impacts:** Short-term inconvenience to residents' daily transport, travel and economic activities (e.g., business, shops, kiosks) may occur during the construction period, such as road occupation, road alterations, temporary closures or semi-closures of streets, and other disruptions, usually measures like access road, fences, etc. are set up to ensure residents' access and minimize the impacts on business operation. Additionally, the influx of external construction personnel into the local communities presents risks related to disease and health safety. The project's construction and operation may also have some impact on the community's living environment, and road safety. Furthermore, some TA activities like formulating policies to accelerate the phasing out of high-emitting vehicles, expand and improve public transit network, and regulate on-street parking spaces, like changes in parking fees may affect the daily lives of relevant entities and the general public,

like economic loss of truck drivers or increasing parking cost of private vehicles. Although there are referential subsidies policies for vehicle scrapped and parking fee standard in place, it is necessary to conduct extensive consultation with potential affected groups to gather their opinions and feedback, assess the social impacts and incorporate their needs in policy formulation.

- **Land use and involuntary resettlement:** During the preparation of this report, the activities with potential high E&S risks have been excluded from the PforR scope, e.g., activities involving large-scale land acquisition and house demolition. Most of the remaining activities will be implemented on the state-owned land in core urban area, no resettlement impact to individual residents or business will be involved, such as expand the network of bus exclusive lanes, construct a BRT corridor, bus service infrastructure improvements, extend transit network, etc. The construction of the BRT system will be implemented on the existing roads, but it may involve road widening in some areas to accommodate the BRT and other urban facilities' operational needs. Thus, some roadside facilities in the affected areas may need to be removed or relocated, such as urban greenbelts, road lamps, traffic lights, and underground utility lines. While some activities like bus depots and bus terminals may involve small-scale temporary land use and permanent land acquisition, with a scale of no more than 50mu. Proper arrangements, including compensation and restoration, shall be made to address these impacts. Given that the overall scale of permanent acquisition or temporary occupation of collective land is relatively small, and it can be effectively managed through the existing land use management system in China, the risk of involuntary resettlement is moderate.
- **Livelihood impacts:** The project may involve limited land acquisition. In general, it is not expected to cause significant livelihood impacts to local communities. However, it is still important to identify and manage any potential impacts that may arise.

E&S impacts of external facilities/activities

27. Scoping of the PforR activities (Section 2.2) also identified the scrapped vehicles disassembly as the external activities. The process of disassembly will usually generate hazardous waste (e.g., mineral oil, capacitors, batteries, asbestos, circuit boards, activated carbon, catalysts, etc.), ordinary industrial waste (e.g., metal, plastic, rubber, glass, etc.), oily wastewater, noise, dust, organic waste gas, and OHS risks, etc.

28. China developed relevant regulations to manage potential pollution from vehicle disassembly activities. (i) The "Construction Project EIA Classification Catalogue" (2021) classifies vehicle disassembly activities as Class B projects subject to preparation of EIA forms. (ii) The "Fixed-Source Pollutant Discharge Permit Classification Catalogue" (2019) defines vehicle disassembly enterprises as entities having moderate pollutant generation and subject to simplified pollutant discharge permitting management. (iii) The "Solid Waste Pollution Prevention and Control Law" (2020 Amendment) and the "Technical Policy for Vehicle Pollution Prevention and Control" (2017) stipulate that unqualified enterprises or individuals are prohibited from collecting and disassembling scrapped vehicles; activities of disassembling scrapped vehicles should have mitigation measures implemented to prevent pollution following relevant laws and regulations; and recycling of resources from scrapped vehicles should be promoted. (iv) Other regulations such as the "Management Measures for Scrap Vehicle Recycling" (2019), the "Implementation Rules for Scrap Vehicle Recycling Management Measures" (2020), the "Technical Specifications for Scrap Vehicle Recycling and Dismantling Enterprises" (GB 22128-2019), and the "Technical Specifications for Pollution Control of Scrap Vehicle Dismantling Enterprises" (HJ348-2022) require to manage the activities of disassembling scrapped vehicles as a special industry following a qualification mechanism.

29. In practice, to start operations of disassembling scrapped vehicles, an applicant should provide such documents as land use certificate, property certificate, EIA approval, lists of facilities and equipment, operation specifications, safety regulations, and solid waste management plans to the Provincial Department of Commerce to get a Certificate of Eligibility after passing professional check for acceptance; and obtain a business license from local industrial and commercial authorities before starting the business. At present, there are four scrapped vehicle disassembly enterprises in Yichang, processing about 15,000 scrapped vehicles per year. During the due diligence investigation, the ESSA team visited the Yichang Wuchan Scrapped Vehicle Disassembly Company that started

operation in 2016 occupying 120 mu of land. As designed to process 30,000 vehicles a year, the enterprise disassembled 4,000 vehicles in 2022. It obtained a business license and a certificate of qualification and had an EIA form approved by Xiaoting District EEB. With a pollution discharge permit, it conducted quarterly monitoring of wastewater, waste gas, and noise as required. The enterprise also established a hazardous waste management system, taking records of hazardous waste generation and filling forms of hazardous waste transfer. The Soil Division under Yichang EEB organized the district Environmental Law Enforcement Teams (ELETs) to conduct regular inspections and spot checks as well as carried out joint inspections with relevant authorities such as commercial bureaus (CBs) and market supervision bureaus (MSBs) to inspect and supervise these enterprises on their performance in safe operation, environmental protection, hazardous waste management, and waste battery collection, etc.

30. In conclusion, the systems to manage the E&S impacts of the external facilities/activities associated with the PforR are thought effective, the E&S risks are controllable though they are substantial, and the external facilities/activities are unlikely to induce significant E&S issues.

E&S impacts of non-physical activities

31. Besides the above-mentioned physical works, the PforR will also support non-physical activities such as development of policies and regulations, establishment of traffic management platforms, capacity building and study tours, etc. They will help improve urban traffic management and decarbonization, strengthen institutional capacity, and promote public participation in the PforR areas, so the long-term E&S effects are positive. Except for the issues of labor, safety, and health associated with the research, implementation of these activities will have minimal or no direct adverse E&S impacts. Activities like capacity building and platform establishment will not trigger any downstream construction works, so they will not induce indirect E&S impacts and the overall E&S risk is rated low. However, for the activities of development of policies and regulations, once their outputs become effective, they may trigger downstream physical works or affordability issues and hence induce indirect E&S impacts, for example, formulation and implementation of the vehicle emissions policies and parking policies may cause economic loss of some truck drivers, increase parking cost of private vehicles, and involve E&S issues (construction nuisance, vehicle emissions, traffic noise, solid waste, and OHS risks, etc.) in procurement, construction, operation, and maintenance of new vehicles and new infrastructures, such as parking lots, etc. Even so, they are unlikely to create high E&S risks, because they are aiming to improve travel conditions, reduce carbon emissions, and protect public health, there are referential subsidies policies for vehicle scrapped and parking fee standard in place, and the research outputs would not recommend activities that will cause significant negative E&S impacts. The overall E&S risk is expected to be moderate to substantial.

32. In China, there is no legal requirement on conducting EIA and public consultation for non-physical activities such as development of policies and standards. However, preparing government programs/plans (on land use, regional development, basin/sea development, or industrial/sectoral development) should carry out Plan/Sectoral EIA and public consultation according to the “Environmental Impact Assessment Law” (2018), the “Government Programs EIA Regulations” (2009), and the “Methods for Public Consultation in EIA” (2019), etc. This PforR won’t support developing government programs/plans, so the related Plan/Sectoral EIA and public consultation would not be prepared by this PforR. It is noted that the Plan EIA for Yichang Transportation 14th FYP has been completed by Yichang Municipal Government, and it provides upstream fundamentals for formulating policies under the PforR. Based on the knowledge about the previous projects, planning and implementation of non-physical activities especially development of policies and standards, lack adequate considerations of potential downstream E&S risks/impacts and need enhance stakeholder engagement as well. Therefore, the ESSA suggests taking an action during the PforR implementation to include terms and conditions on E&S impacts/risks analysis and stakeholder engagement in the TORs; and fully consider the direct, indirect, and cumulative E&S impacts in the preparation and implementation and include the assessment and mitigation measures as well as the conducted stakeholder engagement in the outputs of this type of non-physical activities.

3.3.3 Cumulative E&S effects

33. Hubei province and Yichang Municipality have developed decarbonization programs in their

14th five year plans, and the PforR supports the Programs in 5 districts of Yichang Municipality . The vehicle emission policies, the TOD policies and regulations, the emission trading scheme, and other traffic decarbonization policies to be developed under the PforR will be implemented in the five districts of Yichang Municipality, and the created decarbonization mechanisms will be promoted and applied throughout Hubei Province. This means the PforR activities will have incremental effects considering other investments under the government programs, other WB projects, and other foreign funded projects on transport decarbonization in a broader region of influence. Therefore, in addition to the above-mentioned E&S impacts, the potential cumulative impacts are also considered as a part of the ESSA based on the information currently available and related to the government programs.

34. The PforR activities and other relevant developments will be carried out in different cities or counties, so it is unlikely to have many construction activities of transport infrastructure going on at the same time in the same place, and their site-specific E&S impacts are unlikely to become significantly cumulative (e.g. synergistic dust, noise, wastewater, solid waste, interference of migrant workers to local communities, price changes, etc.). All these transport activities, investments, and projects support public transport priority, green travel, and transport decarbonization. Therefore, the PforR, together with other developments, will promote the cumulative net E&S benefits by reducing carbon emissions, improving ambient air quality, increasing living standard, and enhancing management capacity in the region, which is reflected in the following aspects:

- **Mitigate climate change by reducing carbon emissions:** The PforR will contribute to regional decarbonization by implementing the policies and regulations on vehicle emission, TOD, and emission trading, improving networks of bus lanes and bicycle lanes, fully utilizing the existing parking lots, and scrapping high-emitting old trucks, etc. Meanwhile, together with the interventions such as green highways, green ports, and other green transport hubs supported by the government programs (e.g., the Hubei Transportation 14th FYP, the Yichang Transport 14th FYP, and the Yichang Transport Carbon Peak Plan) and the relevant foreign funded transport projects (e.g., the Hubei Inland Waterway Improvement Project (P158717), the Three Gorges Modern Logistics Center Infrastructure Project (P153473), and the Hubei Xiaogan Logistics Infrastructure Project (P132562)), the PforR will also contribute to mitigation of regional greenhouse effects by jointly reducing 5% of CO₂ emissions from transport in Yichang and Hubei compared with that in 2020.
- **Improve ambient air quality by reducing pollutant emissions:** The PforR will contribute to regional vehicle emissions by improving urban traffic conditions, using more buses and bicycles and less private cars, and promoting green travel, etc. Meanwhile, together with the interventions such as promotion of new-energy vehicles, enhancement of VEIM systems, and other green travel initiatives supported by the government programs and the relevant foreign funded transport projects, the PforR will contribute to reduction of regional vehicle emissions and mitigation of regional air pollution to produce cumulative environmental benefits in a large range of areas.
- **Increase living standards by improving public transport services:** The PforR will improve the public transport services and operations in urban cores, increase the efficiency of urban travel, improve the residents' living environment, and improve the social living standards. Meanwhile, improvement of interchange facilities at transport hubs, for example construction of the bus depot at Yichang North Railway Station, will provide interchange convenience for passengers to travel between urban districts, cities, and counties in Yichang, which will improve the transport networks, save passengers' travel time, increase their comfort in travel, and improve people's living standards in a larger range of areas.
- **Strengthen sector management capacity by implementing the PforR:** The non-physical activities such as development and implementation of transport decarbonization policies and regulations, implementation of pilot demonstrations, and promotion of capacity building and knowledge sharing under the PforR will gain rich experience in low-carbon transport management in Yichang, and create mechanisms with demonstrations to scale decarbonization measures in Hubei, which will strengthen the transport management capacity at the provincial level and thereby generate long-term positive benefits.

3.4 E&S Risk Rating

35. The E&S risks of the PforR activities have been rated applying four criteria: (i) likely E&S

effects, (ii) E&S contextual risks, (iii) institutional capacity and complexity risks, and (iv) political and reputational risks. The analysis concludes that these activities have different levels of E&S risk. A few that have potentially high risks have been excluded from the PforR, whereas others have substantial, moderate, or low risks that can be mitigated through proper E&S management measures. The following sections provide a general E&S risk rating, and the details are shown in Error! Reference source not found..

Likely E&S effects

36. Based on the PDO of the PforR and the above assessment of the E&S benefits and impacts, it's understood that implementing the activities under the PforR (e.g., development of transport decarbonization policies, promotion of green travel, improvement of public transport facilities, increasing of public transport services, and scrappage of old trucks, etc.) will generate significant E&S benefits such as the alleviated traffic congestion, improved transport conditions, increased travel convenience, reduced pollutant and carbon emissions, improved air quality, mitigated greenhouse effects, protected people's safety, and accelerated healthy development of society and economy, etc. However, the large varieties of the PforR activities will have diverse adverse E&S impacts (e.g., vehicle emissions, traffic noise, traffic accidents, fire risks at bus depots/terminals, vehicle maintenance pollution, stormwater runoff, and influence of old vehicle scrappage on the owners, etc.) in the five-year implementation, although the adverse E&S impacts are predictable and can be avoided or mitigated by applying demonstrated techniques and management measures under the domestic E&S management systems. Considering the diversity of the PforR activities and the widespread downstream E&S risks of the developed policies and regulations, the overall rating of the likely E&S effects is **Substantial**.

E&S contextual risks

37. The physical activities under the PforR will be only sited within urban cores that have been disturbed by human activities and dominated by artificial ecosystems and are unlikely to be in vicinity of any legally protected or customarily recognized critical habitats or cultural heritages. However, the extensive residential areas, schools, hospitals, offices, and other public spaces are the areas to be affected by vehicle emissions, traffic noise, and traffic accidents. There are no ethnic minority settlements within the urban area of Yichang where the PforR will be implemented. It is reported that there are no legacy issues on society such as related to resettlements and vulnerable people. Regarding the widespread geographical coverage of the PforR areas, the overall rating of the E&S contextual risks is deemed **Moderate**.

Institutional capacity and complexity risks

38. The E&S risks and impacts management will involve a variety of government authorities at municipal and district levels in Yichang, such as DRCs, FBs, TBs, Traffic Police Teams (TPTs) of PSBs, natural resources and planning bureaus (NRPBs), EEBs, HURDBs, UMCs, CBs, FLBs, emergency management bureaus (EMBs), human resources and social security bureaus (HRSSBs), health commissions (HCs), culture and tourism bureaus (CTBs), civil affairs bureaus (CABs), women's federation, etc. These authorities perform regular E&S management as per laws and regulations with sufficient institutional organization, staffing, and budgets, and they will fulfill their responsibilities for implementing the PforR and managing the related E&S issues under the overall guidance of governments at national, provincial, municipal, and district levels. The PforR activities are widespread in Yichang covering different regions and numerous sectors, so strong coordination and cooperation among relevant authorities are necessary to well manage the physical and non-physical activities and the associated E&S impacts/risks. Any of the authorities failing in sufficient coordination and cooperation would make the PforR and E&S management systems unable to operate effectively. This will be a challenge to Yichang who implements PforR investments for the first time. Therefore, the overall rating of the institutional capacity and complexity risks is **Substantial**.

Political and reputational risks

39. The PforR will help to accelerate decarbonization of transport sector through managing motorization and motorized travel demand, facilitating modal shifts, incentivizing low-carbon choices, and enhancing institutional capacity in selected regions of Yichang. The objectives of the PforR are consistent with national and local policies, programs, and plans with high political security. Local

people will largely benefit from the PforR and will make efforts to support it. There will be minimal or no political risk to the PforR, which has been demonstrated by a variety of similar projects that were implemented in the past. Therefore, the overall rating of the political and reputational risks is **Low**.

40. As a conclusion, the overall rating of the E&S risks associated with the PforR is **Substantial**.

4. Environmental Management System Assessment

4.1 General Principles

41. The WB's PforR ESSA Guidance provides six core principles for E&S systems assessment, of which the first three are associated with environmental management systems (EMSs):

Core Principle #1 is about environmental assessment and management: Program EMSs are designed to promote environmental sustainability in the program design; avoid, minimize, or mitigate adverse impacts; and promote informed decision-making relating to a program's environmental effects (social impact assessment and management will be described in Chapter 5).

Core Principle #2 is about natural habitat protection: Program EMSs are designed to avoid, minimize, or mitigate adverse impacts on natural habitats resulting from the program (physical cultural heritage protection will be described in Chapter 5).

Core Principle #3 is about health and safety management: Program EMSs are designed to protect public and worker safety against the potential risks associated with exposure to toxic chemicals, hazardous wastes, and otherwise dangerous materials under the program (other items on health and safety will be described in Chapter 5).

42. China has established effective EMSs to respond to the WB's core principles on PforR interventions. Since the "Environmental Protection Law" became effective in 1979, China has built up a legal framework for environmental protection and pollution control. This framework consists of more than 80 laws, 120 departmental bylaws, more than 1,000 technical guidelines and standards, and numerous local regulations. It is run under an institutional structure led by EEBs under the coordination and cooperation of multi-sectoral authorities. The "Environmental Protection Law" is the fundamental legislation on environmental protection and pollution control in China, stipulating basic requirements on ecological protection redlines (ERLs)³, ecology and biodiversity protection, EIA, "Environmental Three Simultaneousness" (ETS)⁴, pollutant discharge permitting⁵, environmental information disclosure, and public consultation, etc.

43. According to the WB's core principles and China's requirements on environmental management, the ESSA team classified the domestic EMSs that handle the environmental issues associated with the PforR activities into four groups: (i) EIA and follow-up management system, (ii) pollution control system, (iii) ecological protection system; and (iv) safety management system. The legal and regulatory framework, management mechanism, institutional arrangement, and implementation performance for each of the systems are reviewed, assessed, and compared with the WB's core principles to identify gaps to address in the PforR implementation. The EMSs that will serve the PforR activities are listed in **Table 4-1**.

Table 4-1: Domestic EMSs Applicable to the PforR

Bank's core principles	Environmental impacts	Domestic EMSs	Responsible authorities and main duties
1. Environmental assessment and management	Short-term and site-specific dust, noise, wastewater, and solid waste in construction stage; vehicle emissions and traffic noise on roads, road surface runoff issues, and pollution in vehicle maintenance in operation stage, etc.	EIA and follow-up management system	• EEBs: EIA review and approval, pollutant discharge permitting, and environmental audit at project completion, etc.
		Pollution control system (vehicle emissions, traffic noise, and other pollution management)	• EEBs: traffic noise monitoring, supervision of vehicle emission inspection (VEI) activities, supervision of vehicle maintenance pollution control, development of vehicle emission polices, carbon accounting,

³ China sets up ERLs in critical areas that have ecological significance, environmental sensitivity, or vulnerability and need strengthened protection.

⁴ ETS mechanism: Pollution control facilities of a construction project must be designed simultaneously, constructed simultaneously, and put into operation simultaneously with the main parts of the project.

⁵ Enterprises and public institutions subject to pollutant discharge permitting requirements should manage pollutant discharge following the specifications of their pollutant discharge permits and they are prohibited to discharge any pollutant without qualified permits.

Bank's core principles	Environmental impacts	Domestic EMSs	Responsible authorities and main duties
			etc. • UMCs: construction-related pollution management, etc. • HURDBs: urban runoff management • TBs: management of low-carbon travel, supervision of vehicle maintenance activities, etc.
2. Natural habitat protection	Activities will be undertaken within existing urban roads without relevance ecologically sensitive areas such as nature reserves; except that some works might occupy greenbelts.	Ecological protection system	• NRPBs: approval of land use, etc. • FLBs: approval and management of greenbelts occupation by constructing roads and other transport facilities, etc.
3. Health and safety management	Traffic safety risks in construction; and traffic safety risks on roads and fire risks at bus depots/terminals in operation, etc.	Safety management system (traffic safety management, and bus depots/terminals fire safety management)	• TBs: bus depots/terminals safety management, vehicle maintenance safety management, etc. • TPTs: traffic safety management, etc. • EMBs: overall emergency response to large traffic accidents and fire risks, etc.

4.2 EIA and Follow-up Management System

Legal framework

44. Based on the “Environmental Impact Assessment Law” and supported by a series of relevant regulations, standards and guidelines, China has established a comprehensive EIA and follow-up management system, providing a series of regulatory requirements on EIA, ETS, EAPC, and pollutant discharge permitting of construction projects. This system is under continuous development towards project life-cycle environmental management.

45. **Environmental Impact Assessment Law** (2018 Amendment): The law requires that when government programs/plans⁶ and construction projects are prepared, the potential environmental impacts should be identified and assessed, mitigation measures should be recommended, and follow-up monitoring and supervision should be conducted. It also raises the requirements on EIA classification and EIA approval authority and forbids any construction to commence without EIA approval. Entities, experts, and individuals are encouraged to take part in public consultation in EIA.

46. **Construction Project Environmental Protection Management Regulations** (2017 Amendment): It reinforces the requirements on EIA classification, EIA approval authority, ETS management, and EAPC implementation, etc.

47. **Pollutant Discharge Permitting Management Regulations** (2021): Enterprises, public institutions, and other entities are not allowed to discharge any pollutants into the environment unless they obtain a proper pollutant discharge permit.

48. **Measures for Public Consultation in EIA** (2018 Amendment): If a construction project or a government program is likely to have potential significant impacts on the environment, it is required to carry out public consultation in the EIA process.

49. **Construction Project EIA Follow-up Supervision Regulations** (trial, 2015): From EIA preparation till project commissioning, EEB should oversee whether mitigation measures are implemented as per EIA and approval comments. After project becomes operational, EEB should check whether environmental regulations are complied with and whether post EIAs are conducted.

50. **Regulations on Environmental Audit at Project Completion** (2017): The regulations are applicable to construction projects that are subject to preparation of EIA reports/forms and

⁶ Refer to land use plans; regional, river basin, and sea development plans; and sectoral plans for industry, agriculture, livestock, forestry, energy, water, traffic, urban, tourism, and natural resource development.

implementation of EAPC. PIU is responsible for undertaking EAPC, preparing an EAPC report, and disclosing it to the public. A construction project is not allowed to start commissioning until mitigation measures have been implemented, pollution control facilities have been put in place, and a pollutant discharge permit has been effective as required. A project is not allowed to start operation if EAPC is missing or unqualified.

51. **Construction Project EIA Classification Catalogue** (2021): The catalogue provides environmental screening and classification criteria for 173 types of projects in 55 sectors. It classifies a proposed project into one of three categories (Class A - significant impacts, Class B - moderate impacts, and Class C - minor impacts), depending on the type, scale, and sensitivity of the project.

52. **Fixed-Source Pollutant Discharge Permit Classification Catalogue** (2019): The catalogue provides classification criteria for 112 types of pollutant-discharging operations. It classifies an operation into one of three categories (focus management, general management, and registration management), depending on the pollutant generation, the pollutant discharge, and the impacts on the environment.

53. **Information Disclosure Mechanism in Project EIA Process** (2015): PIU is required to disclose project environmental information such as the text of EIA and the environmental status in site selection, construction, and operation throughout the project life cycle. EEB should disclose information about EIA review, approval, and supervision throughout the project life cycle.

54. **EIA Technical Guidelines**: China has developed more than 20 sets of EIA technical guidelines, including a "General Guidelines" and a series of specific guidelines on different environmental factors such as surface water, groundwater, soil, air, noise, and ecology, and a series of specific guidelines on different industries such as water engineering, hydropower, coal, pharmacy, and steel, etc. The "General Guidelines" provide fundamental guidance on EIA preparation in terms of alternatives analysis, positive and negative environmental impacts, long-term and short-term impacts, direct and indirect impacts, cumulative impacts, mitigation measures, cost estimates, and environmental management and monitoring plans, etc.

55. **Pollutant Discharge Permit Application and Issuance Guidelines**: China has developed more than 70 guidelines on how to apply and issue pollutant discharge permits, including a "General Guidelines" and a series of specific guidelines on main industries (e.g., non-ferrous metals, food processing, coal, pharmacy, steel, livestock and poultry farming, urban sanitation, and water and wastewater treatment, etc.). The guidelines instruct the pollutant discharge entities how to submit pollutant discharge information, conduct pollutant monitoring, keep environmental management track records, and prepare implementation reports. The guidelines also recommend good technical practices on how to treat wastewater, waste gas, odor, and solid waste, etc.

56. **Guidance on Managing Ecological and Environmental Zones under "Three Lines and One List" Mechanism** (Trial, 2021): The "Three Lines" means that ecological functions should be kept from degrading by applying ecological protection redlines; environmental quality should be protected from deteriorating by holding the environmental quality bottom lines; and natural resources should be conserved by keeping the utilization limit lines. The "One List" means that any construction or operation activities not conforming to the list of environmental entry criteria are prohibited to implement to prevent environmental pollution and ecological damage at source. The "Three Lines and One List" mechanism provides a strong fundament for implementing strategic EIAs, program EIAs, and project EIAs and a basis for other environmental work.

57. In addition, China developed other regulations such as the "14th FYP on EIA and Pollutant Discharge Permitting" (2022), and the "Opinions on Strengthening Construction Project EIA Follow-up Supervision" (2018), etc. Correspondingly, Hubei Province issued the "Hubei Adjusting Construction Project EIA Approval Authority" (2020), the "Hubei Enhancement of Construction Project Three Simultaneousness and Environmental Acceptance Check for Construction Completion" (2021), the "Hubei Pollutant Discharge Permitting Management Methods" (trial, 2018), etc., and Yichang developed the "Construction Project EIA Approval Authority" (2014), etc. These regulatory documents provide detailed procedures and requirements on project siting, EIA approval authority, pollutant discharge permitting, and other related issues. To manage E&S issues related to carbon emission trading, China issued a series of regulations in recent years, such as the "Integrating Carbon Emission Reduction in Processes of Environmental Impact Assessment (EIA) and Pollutant

Discharge/Emission Permitting” (2021), the “Piloting Carbon Emission EIA for Construction Projects in Key Industrial Sectors” (2021), and the “Technical Guidelines on Piloting Carbon Emission EIA for Construction Projects in Key Industrial Sectors (Trial)” (2021), etc. Accordingly, application of carbon emission EIA is piloted for construction projects in the sectors of power, steel, building materials, nonferrous metals, petrochemicals, and chemicals in demonstration provinces (Hebei, Jilin, Zhejiang, Shandong, Guangdong, Chongqi, and Shanxi). This mechanism is expected to be promoted for more types of activities in more sectors (e.g., transport) in broader geograareas in the near future.

Implementation mechanism and procedures

58. **Environmental screening and classification:** In China, a sound and comprehensive catalogue is established to screen environmental impacts and classify EIA processes proportional to project nature, location, scale, and environmental context, etc. Environmental impacts of construction projects are classified into three categories, namely Class A - significant impacts, Class B - moderate impacts, and Class C - minor impacts. Correspondingly, EIA instruments are divided into three categories, namely EIA report (Class A), EIA form (Class B), and EIA registration (Class C). With the environmental exclusion, the PforR will not include any Class A projects; some physical works under the PforR such as new bus depots/terminals might be subject to EIA form or EIA registration as per the “Construction Project EIA Classification Catalogue” (as indicated in **Table 4-2**); and other types of physical activities (e.g., bus lanes, bus stops, bicycle lanes, bicycle parking sites, pedestrian walkways, traffic signals, etc.) are not mentioned in this Catalogue and usually exempt from EIA. However, this section only gives an indicative EIA classification related to the PforR activities, and whether and what EIAs are required to individual subprojects will be finally determined by competent EEB in the PforR implementation.

Table 4-2: EIA Classification for the Key Physical Activities under the PforR

PforR activities	Sectors	EIA Classification	
		Class B - EIA form	Class C - EIA registration
Transport facilities & services	Bus hubs and parking sites	Involve environmentally sensitive areas	None
	Car wash stations	Stations that wash vehicles for transporting hazardous chemicals	None
	Vehicle/motorcycle maintenance workshops	Workshop with an operation area not less than 5000m ² and using solvent-based paints; or workshop with an operation area not less than 5000m ² and using non-solvent-based and low VOCs paints less than 10 tons/year	None
Urban roads	Urban road construction (excl. road maintenance, new branch way, and new pedestrian overpass/underpass)	New express way, new trunk roads, new urban bridges, and new tunnels	Other urban roads

59. **EIA preparation:** PIUs are responsible for the quality and conclusions of project EIAs, and EIA preparation agencies take certain responsibilities as well. Under the national EIA engineer qualification system, chief EIA engineers in charge of EIA preparation must be certified EIA engineers who have passed the national EIA exam and obtained EIA certification.

60. **EIA technical review:** In principle, EIA documents will go through technical reviews prior to EEB approval. The EIA report for a Class A project is usually reviewed by a panel of at least 3 or 5 independent experts who are randomly selected from EEBs’ expert database. The EIA form for a Class B project is reviewed by either an expert panel or EEB officials.

61. **EIA approval hierarchies:** EIA reports and EIA forms will be submitted to competent EEBs for approval, while EIA registrations will be done online by PIUs and checked by local EEBs. EIA instruments (reports and forms) will be approved by EEBs at national, provincial, municipal, and county levels proportional to nature and scale of the projects, magnitude of the environmental impacts, and sensitivity of the environmental context, etc.

62. **Public consultation and information disclosure:** In an EIA process, the PIU (or with the assistance of EIA agency) has a duty to conduct public consultation as required or as needed, generally by means of interview, meeting, questionnaire, etc. The PforR doesn’t include Class A

projects that are subject to mandatory public consultation. For other non-Class A projects, public consultation is not compulsory, but local EEB will usually suggest the PIU to conduct public consultation if the project is likely to have potential impacts on adjacent people (e.g., a new bus depot close to residential areas may have noise nuisance). In addition, project EIAs and approval comments are supposed to be open to the public as required.

63. **Environmental Three Simultaneousness (ETS):** Design, construction, and operation of environmental protection facilities supportive to a project must be carried out simultaneously with the project main parts. The project design report must include a specific chapter specifying detailed measures and cost estimates on pollution control and ecological protection. To ensure the environmental protection facilities be in place properly as designed, the PIU will include the work contents and quantity into civil contracts and ensure the construction/installing schedule and budget to be sufficient. The PIU will also implement other mitigation measures as recommended in the EIA and approval comments. A project is not allowed to start operation until all environmental protection facilities and mitigation measures have been accepted in the EAPC.

64. **EAPC:** When construction is completed for a project, the PIU (or with the assistance of qualified agencies) will carry out EAPC following regulatory requirements, by undertaking EAPC test or investigation, preparing an EAPC report, and seeking experts' comments. The PIU will disclose the EAPC report within 5 working days once the report is completed and keeps it open to the public for at least 20 working days. Within 5 working days after the disclosure is completed, the PIU should submit the project description, the EAPC review comments, and other basic information onto the national EAPC platform, and EEBs will disclose the information to the public and supervise the EAPC performance following the Dual Radom mechanism to randomly select inspection objects.

65. **EIA Follow-up supervision:** The follow-up supervision **during EIA** is to check whether an EEB's behaviors, procedures, and conclusions in EIA approval are compliant with laws and regulations; whether a technical review agency is competent and has provided rational comments in EIA review; whether an EIA agency has carried out an accurate EIA based on true data in a reliable manner; and whether a PIU has processed EIA and public consultation as required. The follow-up supervision **after EIA** is to check whether an EEB has undertaken appropriate ETS supervision; and whether a PIU has implemented all mitigation and management measures as per the EIA recommendations, the EIA approval comments, and the ETS requirements, etc.

66. **Pollutant discharge permitting:** A pollutant discharge entity will be classified to one of three categories based on the quantity of pollutants generated/discharged and the potential impacts on the environment: (i) an entity that generates or discharges a large amount of pollutants or causes significant environmental impacts is subject to focus management; (ii) an entity that generates or discharges a medium level of pollutants and causes moderate environmental impacts is subject to general management; and (iii) an entity that generates or discharges minimal pollutants and causes little environmental impacts is subject to online registration instead of permitting. Any entity that holds a pollutant discharge permit is required to strictly follow the permit specifications to discharge pollutants, monitor the effluents/emissions, establish proper archives, and submit regular reports to EEBs. An Entity subject to focus management will additionally install and maintain automatic monitoring devices as required and connect them with EEBs' online systems. Under the PforR, only vehicle maintenance activities are subject to pollutant discharge permitting requirements if the workshop has an operation area over 5000m² and apply painting processes, while other activities may not be subject to the permitting mechanism due to no or minor pollutant discharge. This section only gives an initial permitting classification, and specific types of permits applicable to the PforR activities will be determined by competent EEBs during the implementation.

Institutional organization and performance

67. EEBs are responsible for project EIA and follow-up management. The EIA and Pollution Control Department under the Ministry of Ecology and Environment (MEE) is responsible for overseeing EIAs and project life cycle environmental management at national level.

68. **Hubei Provincial EEB** has an EIA and Pollution Control Division responsible for approving EIAs of large-scale projects or cross-city projects in Hubei, usually in the fields of energy, transportation, raw materials, and radiation, etc. They also approve EIAs for government programs and policies and oversee pollutant discharge permitting management. The provincial Environmental

Assessment Centers provide coordination services to the provincial EEB in EIA approval. The provincial Environmental Law Enforcement Bureaus is responsible for organizing and guiding lower-level EEBs' work in EIA follow-up management, handling environmental disputes, and investigating significant environmental issues within the province etc. Under the provincial EEB, an Environmental Monitoring Division manages the ecology and environment monitoring networks; and its subsidiary monitoring center organizes supervisory monitoring exercises, manages monitoring data, and provides technical guidance and training to local monitoring teams.

69. **Yichang Municipal EEB** will be the key authority to oversee the EIA and follow-up management associated with the PforR. It has an EIA Approval Division (2 staff members) to approve EIAs based on the technical review of a panel of experts randomly selected from the EIA expert database. Under the EEB, an ELET (40 staff members) is responsible for guiding environmental law enforcement, managing construction-related environmental issues, supervising ETS and EAPC, and conducting daily inspection on enterprises' pollutant discharge, etc. Yichang EEB also has an Environment Monitoring Station (2 staff members) to organize environmental quality monitoring, pollution supervisory monitoring, and environmental emergencies monitoring at the municipal level.

70. **District-level EEBs** are the branches of Yichang Municipal EEB. For example, the Xiling, Yiling, and Wujiagang district-level EEBs have EIA Approval Divisions (1-3 staff members) that are usually authorized to approve EIAs for Class B transport projects. Under the district-level EEBs, there are Pollution Control Divisions (1-3 staff members) responsible for executing environmental law enforcement to local industrial and traffic pollution and organizing local authorities e.g., UMCs and HURDBs to conduct joint inspections on construction-related environmental issues. The district-level EEBs don't have environmental monitoring stations, and they usually engage third-part professional agencies to carry out environmental monitoring exercises as needed.

71. EEBs have been strengthening supervision on project environmental management. In recent years, Hubei and Yichang enhanced spot checks following the Dual Radom mechanism to crack down on illegal acts (such as starting construction without EIA approval and discharging pollutants without permits), improve the performance of ETS, EAPC, and pollutant discharge, and give strengthened supervision, stringent inspection, and severe punishment to projects or entities that break laws and/or regulations. The ESSA team studied a few sample transport projects implemented in Yichang based on the information obtained from official websites and the materials provided by Yichang PMO. It's found that these projects have generally fulfilled the EIA and follow-up management requirements and regulations. For example, the Jinxiao Road Rehabilitation Project was designed to construct and rehabilitate urban roads and build parking lots in Xiaoting District with a total cost of RMB 330 million; the EIA form was prepared in August 2017 and approved by Xiaoting District EEB in January 2018; the construction started in September 2019 and the EAPC was finished in November 2022. Another example, Yichang Bus Group invested RMB 3.16 million to implement the Yiling Avenue Maintenance Center Project that composed of an office building, a maintenance workshop, and a parking lot, and an EIA registration was completed online in February 2019 as required by local EEB.

72. EEBs provide diverse channels to disclose information to and have communication with the public on environmental management. The MEE established the "EIA Information Disclosure Platform", the "Pollutant Discharge Permit Management Platform", the "Pollution Source Monitoring Center", and the "Project EIA Registration System" to disclose EIA instruments and pollutant discharge information, and set up the "National Ecological and Environmental Complaint and Reporting Platform", the MEE minister's mailbox, the provincial EEB directors' mailboxes, the 12369 Environmental Hotline, the 12345 WeChat account, the 12345 Interaction Platform, and the 12345 Government Service Hotline for the public to report environmental complaints, track feedbacks, and voice their opinions. Hubei Province also established relevant platforms such as the "Hubei Pollution Source Monitoring Information Platform" and the "Hubei Enterprises Environmental Information Disclosure System" for local enterprises to submit pollutant discharge data and for the public to obtain environmental information. Yichang EEB also released the key divisions' contact numbers on the official website for the public to get more channels of communication.

Brief summary

73. The EIA and follow-up supervision system, in terms of EIA, ETS, EAPC, and pollutant discharge permitting has been implemented in China for decades and has kept improving towards project life cycle management. It is known from the environmental due diligence that the similar transport activities implemented in Yichang in the past few years have gone through proper EIA and follow-up management procedures as required. EEBs carried out various inspections to push the projects to implement proper measures to avoid, reduce, or mitigate negative environmental impacts. The system is deemed satisfactory and complies with the WB's core principles.

4.3 Pollution Control System

74. Based on the nature of the main activities under the PforR, this chapter focuses on management of vehicle emissions, traffic noise, and other transport-related pollution.

4.3.1 Vehicle emissions management

75. Using vehicles on the urban roads, parking lots, and bus depots/terminals under the PforR might introduce air pollution from vehicle emissions. China forbids vehicles to emit exhaust gas exceeding emission limits and hence has established a system to manage vehicle emissions.

Legal framework

76. **Air Pollution Prevention and Control Law (2018 Amendment)**: The Government promotes the application of energy saving, environmentally friendly, and new energy vehicles, and restricts the development of high fuel consumption or high-emitting vehicles. It encourages low-carbon and green travel, limit petrol-driven vehicles and push urban public transport development. Vehicles should not emit exhaust gas exceeding the emission limits. Manufacturers cannot sell new vehicles unless they have passed the emission inspection. In-use vehicles cannot run on road unless they have passed regular emission inspections done by professional agencies. The Government encourages and supports early scrappage of high-emitting vehicles.

77. **Hubei Air Pollution Prevention and Control Regulations (2018)**: Priority should be given to using clean energy vehicles in the fields of business, public transport, taxi, urban sanitation, postal services, commuting, and light-duty logistics, etc. Production, import, selling, and use of vehicles in Hubei should comply with the provincial vehicle emission standards. In-use vehicles in Hubei are not allowed to emit visible black smoke and should take compulsory VEI following relevant regulations.

78. **Technical Policies on Motor Vehicles Pollution Prevention and Control (2017)**: It's required to inspect emissions of all in-use vehicles; conduct spot checks on emissions of on-road vehicles; repair or replace in-use vehicles that the emissions exceed limits; and renew emission purification devices for buses, taxis, and other vehicles used for sanitation, mail, or logistics, etc.

79. **Specification for motor vehicles periodic emissions inspection (HJ1237-2021)**: It aims to prevent and control air pollution from vehicle emissions, regulate vehicle emission inspection (VEI) activities, and improve VEI quality. It provides specifications on VEI systems and techniques, daily operation, data recording, and quality assurance, etc. It also raises detailed requirements on vehicle appearance inspection, onboard diagnostic system (OBD) inspection, and exhaust pollutant inspection. This regulation is to guide VEI stations to undertake regular VEI for in-use vehicles and registration VEI for new vehicles and to guide EEBs to supervise the performance of VEI stations.

80. **Notice on Establishing and Implementing Vehicle Emission Inspection and Maintenance Systems (2020)**: It is required to conduct regular inspections and spot checks on the emissions of in-use vehicles and carry out maintenance/repairs as needed to ensure the vehicle emissions satisfy relevant standards. VEI stations should take responsibility in VEI activities. They should hold qualified certifications, use verified VEI equipment, and follow relevant regulations in the VEI exercises. They should also connect with EEBs' networks to share real-time inspection data.

81. **Gasoline Vehicles Emission Limits and Measurement Methods (GB18285-2018)**: It's applicable to regulate VEI activities in check and registration of new gasoline vehicles, inspection of in-use gasoline vehicles, and inspection of vehicles with spark ignition engines. It provides emission limits and measurement methods to test pollutants (CO, HC, NO) from gasoline vehicles under idle, steady, transient, and short driving modes. It also specifies methods to check the appearance, OBD, and evaporative emission control system of gasoline vehicles.

82. **Diesel Vehicles Emission Limits and Measurement Methods** (GB3847-2018): The guideline is applicable to regulate VEI activities in check and registration of new diesel vehicles, inspection of in-use diesel vehicles, and inspection of other vehicles with compression ignition engines. It provides emission limits and measurement methods to test pollutants (CO, HC, NO) from diesel vehicles under free acceleration and lug down modes. It also specifies methods to check the appearance, OBD, and evaporative emission control system of diesel vehicles.

83. China also issued other national regulations and guidelines, such as the “Measures for establishing and managing vehicle emission maintenance (VEM) demonstration stations” (2023), the “Guidelines for establishing VEM demonstration stations” (2023), the “Technical specification for VEI data collection and transfer” (HJ1238-2021), the “Methods for testing unconventional pollutants from methanol fueled vehicles” (HJ1137-2020), the “Methods and specifications for testing pollutants from heavy-duty diesel vehicles and gas fueled vehicles using portable emission measurement system” (HJ857-2017), the “Methods and specifications for testing pollutants from in-use diesel vehicles using remote sensing technique” (HJ845-2017), and the “Guidance on managing vehicle pollution and controlling PM2.5” (2012), etc.

84. Hubei also issued related regulations such as the "Notice on taking provincewide actions to solve problems about VEI stations" (2023), the "Notice on applying national Phase VI emission standards for heavy diesel vehicles in Hubei" (2021), the "Opinions on establishing vehicle emission inspection and maintenance (VEIM) systems" (2020), and the "Hubei action plan on developing green transport" (2019), etc. Yichang also developed regulations like the "Yichang VEI stations marking measures" (2021), the "Notice on regulating diesel vehicle emissions" (2021), the "Notice on managing truck traffic in urban areas" (2021), the "Action plan on implementing VEIM system" (Trial, 2019), and the "Action plan on developing green transport in urban cores" (2019), etc.

85. These regulatory documents provide detailed and clear requirements and procedures to guide vehicle emission management in production, import, selling, and use of vehicles.

Implementation mechanism and procedures

86. **Promote green travel initiatives:** Use environmentally friendly and new energy vehicles, limit high-emitting vehicles, develop public transport, and take green ways to travel, etc.

87. **Implement VEIM mechanism:** In-use vehicles must take regular emission inspections and regulatory checks and those that emit excessive pollutants must take maintenance and repair. Hubei established a VEIM system as a main approach to manage vehicle emissions. Under this system, the provincial EEB set up a VEI information platform, and the provincial TB established a VEM information platform. VEI and VEM information of high-emitting vehicles must be uploaded to the two provincial platforms for data interaction. In 2019, Yichang officially launched the VEIM system, under which 24 VEI stations and 96 VEM stations have been recognized as the qualified agencies. The VEI stations undertake regular VEI exercises. The vehicles that fail VEI exercises must visit VEM stations to get maintenance/repair till they pass reinspection at the VEI stations.

88. **Scrap unqualified vehicles:** Vehicles that fail in reinspection after taking various VEM must be scrapped. In Yichang: (i) the owner submits application for scrapping vehicle to the Vehicle Management Office under Yichang TPT, and the office issues a Vehicle Scrapping Certificate to the owner; (ii) the owner sends or sells the vehicle to a qualified disassembly agency that holds a Vehicle Disassemble Certificate; (iii) the vehicle disassembly agency issues a Scrapped Vehicle Recycling Certificate to the owner; (iv) the owner applies to the Vehicle Management Office for deregistration; and (v) the vehicle disassembly agency takes records, disassembles the vehicle, collects recyclables, and disposes of wastes following regulations.

89. **Set up areas and periods to exclude high-emitting vehicles:** Based on local conditions of atmospheric environment and vehicle emission pollution, specific areas and time periods are defined to prohibit high-emitting vehicles from entering. No-entry signs are set up in these areas, and online systems are established to automatically identify high-emitting vehicles.

90. **Check pollutant emissions:** Conduct spot check on pollutant emissions from in-use vehicles stopping at centralized parking lots and maintenance sites; and conduct spot check through remote sensing on pollutant emissions from on-road vehicles without affecting normal traffic.

91. **Monitor ambient air quality:** Conduct regular monitoring exercises on ambient air quality to provide basis for vehicle emission pollution control.

Institutional organization and performance

92. Yichang TB, EEB, TPT, and other relevant government authorities implement a linkage mechanism to jointly push green travel, VEIM, and vehicle pollution control by means of regular consultations, information interactions, and joint supervisions, etc.

93. Yichang EEB has an Air Environment Division (1 staff member) to guide air pollution management throughout Yichang. It also has a Vehicle Emission Pollution Management Center (8 staff members) overseeing the VEI stations and take spot checks on vehicle emissions. Under each district-level EEB, there is a pollution control unit (1-3 staff members) supporting Yichang EEB to control vehicle emissions.

- **Supervise the VEI stations:** Yichang EEB, as the regulatory authority, oversees all VEI stations within Yichang to request them follow vehicle emission standards, conduct qualified VEI exercises, and upload VEI information to the provincial VEI information platform. When a vehicle is identified to have excessive emissions, the EEB will inform the driver/owner to take maintenance/repair. Yichang EEB also organizes joint supervisions on the VEI stations, in which, the EEB checks the VEI facilities, procedures, and results; the TB checks the technical inspection performance; and the MSB checks the business performance, etc. For example, in a site supervision to Yidu Good Luck VEI Company on 5 May 2023, it was found from the video records that the company issued VEI compliance reports to some vehicles that emitted visible smoke. Due to the violation of the Air Pollution Prevention and Control Law, the company was punished to pay a fine of RMB 100,000, return the illegal income of RMB1,350, and correct the illegal behavior in a timely manner.
- **Detect vehicle emissions through remote sensing:** Besides having a set of mobile infrared devices to detect vehicle emissions, Yichang EEB has 5 sets of fixed roadside infrared devices in Dianjun District (Jiangcheng Avenue and Dianjun Avenue), Yiling District (Yihuang Road), Wujiagang District (Dongzhan Road), and High Tech Zone (Xiazhou Avenue) to remotely detect emissions from on-road vehicles and capture vehicles that emit black smoke by cameras. Based on the detection results, Yichang EEB jointly with Yichang TPT disclose a list of high-emitting vehicles every month, require the drivers/owners to repair the vehicles within a given time, and forbid the vehicles to run on the road again until they have passed VEI. For example, 24 vehicles with high emissions and 19 vehicles with clearly visible black smoke were captured and disclosed in July 2023.
- **Spot check vehicle emissions:** Yichang EEB, with the cooperation of Yichang TB and TPT, also conducts spot checks on vehicle emissions in the areas with high traffic volumes every month to test pollutant emissions, OBD, pollution control devices, and portable environmental check list, etc. The results are presented on the spot, and the vehicles that fail the test should take punishment and get repaired.
- **Monitor ambient air quality:** The Environmental Monitoring Center under Yichang EEB undertakes regular air monitoring exercises. There are 6 state-controlled air monitoring sites in Yichang urban cores and 12 province-controlled sites in other 3 cities and 5 counties. They provide continuous 24-hour monitoring data on the parameters e.g., particulate matters (PM_{2.5} and PM₁₀), ozone (O₃), nitrogen dioxide (NO₂), sulfur dioxide (SO₂), and carbon monoxide (CO). The monitoring results are constantly uploaded to local official platforms such as the national Air Quality Release and the Hubei Environmental Air Quality for information disclosure and data sharing. Based on the Yichang Environmental Quality Annual Reports, the attainment days of Wujiagang, Yiling, and Xiling districts remained steady and accounted for 83% - 85.4% from 2020 to 2022, with PM_{2.5} as the primary pollutant. Based on the Yichang Environmental Statistics Bulletins, the PM emissions from vehicles in 2020 were 822.95 tons (about 6.38% of the total PM emissions), while it was only 209.09 tons (about 1.63% of the total) in 2021, indicating that the contribution of vehicle emissions to air pollution has declined under the strict management of vehicle emissions.

94. Yichang TB has a Comprehensive Transport Division (3 staff members), a Safety Supervision Division (3 staff members) and a Road Traffic Law Enforcement Team (6 staff members), responsible for guiding environmental protection, energy saving, and decarbonization in the transport sector of Yichang including implementing the TEIM mechanism and overseeing the VEM stations. Each district has a local TB, such as Yiling District TB (15 staff members) and Xiling District TB (10 staff members), supporting Yichang TB in the relevant work.

- **Promote bus priority and green travel:** Yichang TB implements a series of initiatives to push urban low-carbon travel, such as expanding the network of bus priority/exclusive lanes, improving the network of bicycle lanes, and introducing new energy buses, etc. One of the main physical interventions is the first BRT corridor project that was completed in 2016, which integrated 90% of Yichang urban cores into a “30-minute living circle”. Under the project, 108 new energy buses including 18 electric vehicles (EV) and 90 hybrid vehicles (HVs) were purchased, and 22.8km of bicycle lanes and 28 bicycle stops were built, which helped increase public transport coverage, cut down private car travel, and reduce vehicle emissions. In recent years, Yichang Bus Group has continuously increased the proportion of new energy buses. By the end of 2021, among 1177 buses in Yichang, 643 were new energy buses including 553 EVs and 90 HVs accounting for 55% of the fleet and increasing by 45% compared with 2017. In this way, the PM emissions are expected to decrease by 90% compared to that from traditional energy buses.
- **Supervise the VEM stations:** As the regulatory authority, Yichang TB uses the provincial VEM information platform to regulate the operational performance of VEM stations. These stations are required to conduct scientific diagnosis and reasonable maintenance/repairs on nonattainment vehicles with excessive emissions. After completing the maintenance/repairs, the VEM stations would issue completion certificates and upload the maintenance data onto the provincial VEM information platform in a timely manner. In 2022, a total of 22,624 nonattainment vehicles got repaired throughout the municipality. Yichang TB organizes regular inspections jointed by the MSB, the EEB and other relevant authorities to check the VEM stations on their qualifications, licenses, workshops, equipment, accessory parts, maintenance quality, records, waste gas treatment, hazardous waste management, and fire prevention, etc.
- **Manage bus emissions:** In Yichang, buses are operated by Yichang Bus Group, and the operation is supervised by Yichang TB. The buses also take regular emission inspections at the VEI stations like other vehicles, and nonattainment buses must take maintenance/repairs at qualified VEM stations. The Maintenance Branch under Yichang Bus Group does not have the qualification as a VEM station, but it undertakes all other maintenance/repair work for all buses except VEM.

95. Yichang TPT has an Order Management Division (7 staff members) to check high-emitting vehicles in traffic patrol; and a Vehicle Management Office (15 staff members) to process vehicle scrappage and deregistration. Each of the district-level TPTs, such as Yiling District TPT (150 staff members), Xiling District TPT (210 staff members), and Wujiagang District TPT (125 staff members), will send traffic policemen to support on-road inspections on high-emitting vehicles. District-level vehicle management offices do not have authority to process vehicle scrappage and deregistration.

- **Set up areas and periods to exclude high-emitting vehicles:** To alleviate traffic congestion and reduce vehicle emissions, Yichang implements traffic restriction policies. Yichang TPT set up restricted areas and periods to exclude high-emitting vehicles, and Yichang Government issued formal notice about it to the public. For example, all medium- and heavy-duty trucks, diesel vehicles that fail the national IV emission standards, and other high-emitting vehicles are prohibited to enter the inner ring areas all day long and the outer ring areas from 6:00 am to 22:00 pm. Yichang TPT set up traffic signs and 24-hour monitoring equipment on the restricted roads, to block old trucks, medium- and heavy-duty trucks, and slag trucks from entering especially in heavily polluted weather. If these types of vehicles must drive in the restricted areas or periods for special needs of urban construction, production, and daily life, they must obtain a temporary pass from Yichang TPT and travel in the given periods along the given routes.

- **Manage on-road vehicles with excessive emissions:** Yichang TPT, working with Yichang EEB, utilizes the 5 sets of fixed detection devices to conduct online monitoring to vehicles with excessive emissions and impose timely punishment; carry out regular on-road spot checks to find out nonattainment vehicles and process on-site punishment; and identify and handle vehicles with black smoke emissions in daily traffic patrol, etc.

Brief summary

96. Over the past twenty years, China has been developing the management system to inspect vehicle emissions and control related pollution and gradually updating the vehicle emission standards. This helps improve ambient air quality and reduce carbon emissions, which is compliant with the WB's PforR core principles.

4.3.2 Traffic noise management

97. Operation of the urban roads, parking lots, and bus depots/terminals/stops under the PforR will introduce traffic noise from vehicles because of engines, emission of exhaust, aerodynamic sources, and tire/pavement interaction, etc.

Legal framework

98. **Noise Pollution Prevention and Control Law (2021 Amendment):** When building, rehabilitating, or expanding roads that pass-through noise-sensitive areas, the PIUs should set up sound barriers or take other measures to reduce vibration and noise impacts. The O&M entities should strengthen roads maintenance and keep the vibration/noise-reduction facilities in well operation. Vehicles should be well maintained and repaired to reduce noise generation. Specific road sections and time periods can be designated to prohibit vehicles from entering and honking. For heavy pollution caused by traffic noise, investigation and assessment should be conducted to identify responsible parties who must develop and implement proper noise control plans.

99. **Technical Policy for Vehicle Pollution Prevention and Control (2017):** It's required to manage in-use vehicles that make noise; repair or replace mufflers with problems; and prohibit any entity or individual from changing or removing mufflers without permission.

100. **Technical Policy for Ground Traffic Noise Pollution Prevention and Control (2010):** Traffic management authorities should take measures to reduce traffic noise in sensitive areas and/or periods by limiting/prohibiting horns, restricting/prohibiting vehicles, limiting driving speed, and controlling traffic flow, etc. Road management authorities should properly maintain the roads and improve the smoothness of road surface to reduce traffic noise. EEBs should strengthen monitoring of traffic noise and propose suggestions to manage the noise from traffic facilities.

101. **The 14th FYP for Noise Pollution Prevention and Control (2023):** Vehicles management, roads maintenance, noise monitoring and control, and law enforcement should be strengthened.

102. **Hubei Action Plan for Noise Pollution Prevention and Control (2023-2025):** It's required to implement measures to manage noise from vehicles, vessels, and roads, by supervising vehicles especially medium- and heavy-duty trucks running at nighttime, controlling traffic noise in an integrated way, and strengthening roads maintenance, etc. Major cities in Hubei must set up national-level acoustic environment monitoring sites by 2023; establish automatic systems to monitor acoustic environment and connect them with the national networks by 2024; and start automatic monitoring from January 1, 2025.

103. In addition, China has also issued other regulatory documents such as the "Technical Guidelines on EIA - Acoustic Environment" (HJ2.4-2021), the "Technical Guidelines on Noise Monitoring - Urban Acoustic Environment" (HJ640-2012), the "Guidance on Strengthening Noise Pollution Prevention and Control to Protect Acoustic Environment in Urban and Rural Areas" (2011), the "Limits and Measurement Methods for Noise Made by Vehicles in Acceleration" (GB1495-2002), and the "Limits of Noise Made by Stationary Vehicles" (GB16170-1996), and annual China Noise Pollution Prevention and Control Reports, etc. Hubei also developed relevant documents such as the "Hubei Action Plan for Improving Acoustic Environment Quality" (2020), etc.

Implementation mechanism and procedures

104. **Supervise vehicles:** Set up restricted road sections and time periods to prohibit vehicles from entering and honking and establish traffic signs to inform the public about the restrictions. Regulate routes and time for medium- and heavy-duty trucks (e.g., slag trucks and garbage trucks) to pass at nighttime. Strengthen education and management of vehicle drivers. Investigate and punish illegal activities such as violation of no-honking regulations, use of illegally modified vehicles (e.g., removing/damaging mufflers or adding exhaust pipes), and other driving behaviours that make noise (e.g., roaring or speeding). Select electric vehicles to reduce driving noise.

105. **Maintain urban roads:** Enhance road surface maintenance and apply low noise pavement technology. Maintain noise reduction facilities e.g., barriers, and repair/replace the faulty ones.

106. **Improve noise monitoring:** Based on the target noise levels of different urban areas, all cities at municipal level in Hubei will establish environmental noise monitoring sites and include them into the national noise monitoring systems.

Institutional organization and performance

107. TPTs set up areas and times to block vehicles, limit speeds, and forbid horns for the purpose of controlling traffic flow and protecting acoustic environment. Since 2007, Yichang implements a 24/7 no horn policy to forbid all vehicles from honking in the urban cores, except for those with emergency tasks such as police cars, fire trucks, engineering rescue vehicles, and ambulances; and all vehicles that violate the regulations will be fined RMB50. Medium- and heavy-duty trucks such as slag trucks and garbage trucks must obtain transportation permits from local UMCs, obtain route permits from local TPTs, and then travel along the given routes in the given time.

108. HURDBs or UMCs are responsible for maintaining and rehabilitating urban road surface and updating manhole covers to reduce vibration and noise on the roads. In recent years, Yichang has replaced over 30,000 sets of old manhole covers with new wide-edge anti-settlement covers to prevent vehicles from making noise when they pass by these covers.

109. EEBs have been strengthening noise monitoring to ensure the quality of acoustic environment especially for the areas on both sides of urban roads and subject to national Class 4 standards. EEBs are equipped with specialized divisions and personnel to organize routine environmental noise monitoring. For example, the Integrated Management Division (2 staff members) of Xiling District EEB engaged third-party agencies to carry out traffic noise monitoring exercises and provide quantitative evidence for fulfilling law enforcement tasks or handling public complaints. Another example, there are three environmental noise monitoring sites in Wujiagang District including one site reflecting traffic noise influence; and Wujiagang District EEB, through its Pollution Prevention and Control Division (3 staff members), carries out 24-hour monitoring at these sites once a quarter; and when noncompliance occurs, the EEB would coordinate with relevant authorities to implement measures such as diverting traffic flow and/or installing sound barriers to reduce noise influence. Presently, Yichang is developing online monitoring facilities to get real-time noise data.

110. According to the Yichang Environmental Quality Annual Reports, the average daytime traffic noise level in Yichang urban cores was 67.4dB (A), 67dB (A), 67.8dB (A), and 68.7dB (A) in the years from 2019 to 2022, satisfying the Class 4a standard (70dBA) of the "Environmental Quality Standard for Noise" (GB3096-2008).

Brief summary

111. China, Hubei, and Yichang have been improving the traffic noise management system to protect urban acoustic environment. It's compliant with the WB's core principles.

4.3.3 Other pollution management

112. The physical activities under the PforR will be sited in the urban cores of Yichang, so the construction-related dust, solid waste, and noise might have impacts on the urban environment. In addition, the bus depots will include bus maintenance workshops or small repair facilities which will generate ordinary solid waste (e.g., metal, rubber, glass), hazardous waste (e.g., organic solvents, mineral oil, lead batteries, circuit boards, catalysts), oily wastewater, and organic waste gas, etc. The new or expanded sidewalks, bicycle lanes, BRT corridors, and bus depots/terminals may increase

impermeable ground surfaces and hence induce more runoff and potential urban flooding in rainy days; and the high-level pollutants in the initial stormwater may contribute to non-point source pollution. This section provides discussions on the management systems on these issues.

Legal framework

113. **Solid Waste Pollution Prevention and Control Law (2020 Amendment)**: Entities that generate industrial solid waste should establish effective pollution control systems to manage the generation, collection, storage, transportation, utilization, and disposal of the waste, and make proper records. Measures should be implemented in the storage of industrial solid waste following environmental protection regulations. Entities that generate hazardous waste should develop management plans, make records and implement specific transfer mechanism following regulations.

114. **Air Pollution Prevention and Control Law (2018 Amendment)**: Production or service activities that generate waste gas with volatile organic compounds (VOCs) should be conducted in enclosed spaces or devices and equip with pollution control facilities following regulations; and if the activities cannot be enclosed, proper measures must be implemented to reduce the emissions.

115. **Technical Policy for Vehicle Pollution Prevention and Control (2017)**: Vehicle maintenance enterprises should implement measures to control pollutants and protect air quality in vehicle maintenance by means of choosing water-based paints and installing waste gas treatment facilities, etc. They should strengthen management of wastewater and solid waste as well by adopting ultrasonic cleaning methods, recycling wastewater, sorting solid waste, and delivering hazardous waste (e.g., engine oil, waste batteries) to professional treatment agencies, etc.

116. **National Hazardous Waste Catalogue (2021)**: Wastes such as engine oil, brake oil, automatic transmission fluid, gear oil, asbestos, and gas purification catalyst generated in vehicle maintenance/repair are classified as hazardous wastes and included in this catalogue.

117. **Regulations on Urban Drainage and Wastewater Treatment (2013)**: Local governments should strengthen construction and rehabilitation of stormwater drainage pipelines, pumping stations, regulation and storage tanks, and discharge facilities based on stormwater drainage demand and urban land use. Construction, rehabilitation, or expansion of municipal infrastructure should design and build proper stormwater collection and utilization facilities by adding green spaces, sandy and gravel surfaces, permeable road surfaces, and natural surfaces to increase stormwater infiltration capacity. Existing buildings, parking lots, squares, and roads should be utilized to build stormwater collection and reuse facilities to reduce stormwater runoff and improve flood control capacity.

118. **Guidance on Promoting Sponge City Construction (2017)**: It's encouraged to build sponge roads and squares, change the traditional fast and direct drainage practices, improve roadside greenbelts' capacity of containing stormwater, expand permeable paving on bicycle lanes, sidewalks, parking lots, and squares, and promote collection, purification, and utilization of stormwater from roads and squares to reduce the pressure on municipal drainage systems.

119. In addition, China issued other regulatory documents such as the "Certification requirements for vehicle maintenance enterprises 1: major vehicle maintenance" (GB/T16739.1-2014), the "Certification requirements for vehicle maintenance enterprises 2: minor or special vehicle repair" (GB/T16739.2-2014), the "Standards for vehicle maintenance water pollutant discharge" (GB26877-2011), the "Standards for controlling pollution from ordinary industrial solid wastes storage and disposal sites" (GB18599-2001), the "Technical policies for controlling hazardous waste pollution" (2001), the "Standard for controlling hazardous waste storage pollution" (GB18597-2001), and the "Road drainage design guidelines" (JTG/TD33-2012), etc. Hubei and Yichang also developed regulations such as the "Hubei Government's opinions on pushing sponge city construction" (2020), the "Hubei water pollution control regulations" (2022), the "Yichang 14th five-year plan on solid waste and chemical pollution control" (2021), the "Yichang management methods for constructing sponge city in urban areas" (2020), and the "Yichang work plan for collection and management of hazardous waste from vehicle maintenance enterprises and vessels" (2019), etc.

Implementation mechanism and procedures

120. **Manage construction-related pollution**: PIU is the main party responsible for implementing proper measures to mitigate negative environmental impacts in project construction.

As per China's "Standard Construction Bidding Regulations", a bidding document must include a specific chapter on environmental protection to incorporate the mitigation measures that are recommended in the approved EIA. A standard civil work contract must include a specific chapter on environmental protection to clarify Contractor's duties on environmental management such as implementing the mitigation measures. After a civil contract is signed, the Contractor will develop construction implementation programs including environmental management plans that are reviewed and agreed upon by the PIU and the supervision engineer prior to construction commissioning. In the construction, the PIU and the supervision engineer have the duty to oversee the Contractor's implementation of the environmental management plans.

121. **Manage vehicle maintenance/repair pollution:** From technical perspectives, vehicle maintenance enterprises should choose water-based paints and install waste gas treatment facilities to control VOC emissions; use techniques of ultrasonic cleaning, oil separation, and wastewater recycling to reduce wastewater discharge; implement specific sorting, classification, storage, and transfer of hazardous waste (e.g., waste oil and batteries) following regulations; and undertake indoor operation and use sound insulation materials to reduce noise impacts, etc. From management perspectives, vehicle maintenance enterprises should go through the procedures of EIA, ETS, EAPC, and pollution discharge permitting following regulations, operate pollution control facilities, keep compliant discharge/emission of pollutants, and conduct regular environmental monitoring, etc.

122. **Manage stormwater runoff:** From technical perspectives, permeable paving techniques should be adopted in construction of new facilities such as bicycle lanes, sidewalks, parking lots, and squares to respond Yichang Government's call for sponge city construction; stormwater management structures/measures should be applied in rehabilitation of existing roads; stormwater collection and reuse facilities like rainwater tanks should be included in construction of large-scale infrastructure such as bus depots/terminals that have an area of over 20,000 m². From perspectives of project management, bidding documents should include the requirements of sponge city construction; design documents should include sections on sponge city design; any design without qualified stormwater management plans will fail in technical review and approval; and any physical works without completed stormwater management structures/measures will fail in completion acceptance and are not allowed to start operation, etc.

Institutional organization and performance

123. Construction-related pollution issues associated with urban projects are jointly inspected by Yichang municipal and district-level government authorities such as the UMCs, TBs, EEBs, and TPTs, etc. As the regulatory authorities for transport facilities, the TBs are responsible for managing the dust, solid waste, noise, and other construction-related issues in road construction; the UMCs supervise the management of the construction-related pollution; the TPTs establish special teams to investigate and punish illegal construction behaviors, slag truck leakage and overloading, and violations of traffic regulations; and the EEBs provide general coordination in construction-related pollution management. It's understood from the rich project experience in China that environmental protection has been regarded as a major part in construction management. PIUs designate specific personnel to supervise environmental management and carry out regular field inspections at construction sites; contractors allocate specific budget on environmental protection for at least 20% of total contract sum and implement pollution control measures as designed; and supervision agencies designate engineers to oversee contractors' performance in pollution control. It's concluded that the construction-related pollution management has been well implemented in practice.

124. Vehicle maintenance activities are under general inspection and supervision by Yichang TB who works as the regulatory authority and has a Safety Supervision Division (3 staff members) and a Road Traffic Law Enforcement Team (6 staff members) to undertake regular inspections on the vehicle maintenance enterprises. Yichang EEB conducts regular environmental supervision on the vehicle maintenance activities in terms of pollution control; while district-level TBs focus on supervising vehicle maintenance enterprises within their jurisdiction, for example, Yiling District TB (15 staff members) conducts more frequent supervisions and inspections on 11 vehicle maintenance enterprises in Yiling District. The EEBs usually obtain information about vehicle maintenance pollution from Dual Radom spot checks, joint inspections with other government authorities, or public complaints, and then investigate and handle the pollution issues of the related vehicle maintenance enterprises. The Maintenance Branch of Yichang Bus Group is responsible for maintaining and

repairing all buses operated by the Group and keeping the work conditions of all maintenance workshops through a mechanism of "fixed personnel at fixed positions fulfil fixed assignments at fixed time following fixed standards". After work is finished every day, a patrol person is sent to inspect each workshop to ensure that the site is kept clean. Hazardous wastes are stored in specific storage rooms, managed by specific personnel, recorded for generation and transfer, delivered to qualified agencies engaged by Yichang Bus Group, and registered on the EEB's official website. The ESSA team visited the Second Bus Maintenance Workshop that lies in the BRT bus depot. The project of the workshop together with the bus depot had an EIA form prepared in 2014 and approved by Yichang EEB, and it was put into operation in 2018. The workshop set up separate storage rooms for ordinary industrial waste and hazardous waste respectively. A hazardous waste management system was established with an emergency plan prepared. A dedicated person managed hazardous waste such as waste oil, waste oil filters, and waste oil containers, etc., kept records of the hazardous waste, and filled in specific forms every time when transferring the hazardous waste to Yichang Zhixiang Environmental Company for processing under a hazardous waste disposal agreement. The bus washing station within the depot was equipped with wastewater collection tanks and oil separation tanks, and the wastewater was treated prior to discharge into the municipal sewerage. The management of the pollution issues at this bus maintenance workshop were found sufficient.

125. Yichang Government has been making efforts to push sponge city construction, by integrating stormwater management into urban infrastructure projects (e.g., roads, parks, green spaces, urban development, and old city renovation) to prevent urban flooding and alleviate runoff pollution. For example, as early as 2012 when preparing the ADB Hubei-Yichang Sustainable Urban Transport Project, the government asked to apply colorful permeable pavement in building bicycle lanes along the 23.96km BRT Corridor. Another example is the Olympic Sports Center project, for which the construction was started in 2014 and completed in 2019, and seven tanks were built to collect the stormwater from roofs, squares, roads, and green spaces and use the collected stormwater for watering plants and roads. In 2020, Yichang issued the "Yichang Urban Sponge City Construction Management Measures" providing a strong legal framework to support the sponge city construction initiatives. Then, a joint meeting mechanism was set up and a leading group was established to coordinate sponge city construction activities. More than 20 government authorities such as the DRC, FB, NRPB, HURDB, TB, water bureau, UMC, and FLB constituted the leading group and took respective responsibilities in sponge city construction. Yichang HURDB has a Sponge Construction Office responsible for reviewing design schemes of stormwater management and organizing completion acceptance of stormwater management structures/measures under urban infrastructure projects. These institutional arrangements will help ensure that the activities like BRT corridors, bicycle lanes, sidewalks, and bus depots/terminals under the PforR could integrate stormwater runoff management considerations in project planning, design, and implementation to alleviate urban flooding and promote stormwater reuse.

Brief summary

126. China as well as Hubei and Yichang have established effective regulatory framework, implementation mechanism, institutional arrangement, and staffing on managing construction-related pollution, vehicle maintenance pollution, and stormwater runoff issues. It's compliant with the WB's PforR core principles and equivalent to the "Environmental, Health, and Safety (EHS) General Guidelines", the "EHS Guidelines for Water and Sanitation", and the "EHS for Waste Management Facilities" by covering good international industry practices (GIIP).

4.4 Ecological Protection System

127. The physical works under the PforR will be sited in the urban cores of Yichang to build or install small-scale transport facilities within the right-of-way along existing urban roads or to construct bus depots/terminals in urban construction land. The subproject locations are already disturbed by human activities, dominated by urban artificial ecosystems, and unlikely to be in vicinity of any legally protected or customarily recognized critical habitats or other ecological sensitive areas. Only a small number of greenbelts might be occupied in construction of bus/bicycle lanes or bus depots/terminals.

128. China developed regulatory documents such as the "Urban Greening Regulations" (2021 Amendment) and the "Classification Standards for Urban Green Spaces" (CJJ/T85-2017), and the "Guidance on pushing urban gardening and landscaping developments" (2012), etc. Hubei and

Yichang also issued relevant regulations such as the "Hubei Implementation Measures for Urban Greening" (1995), the "Hubei Management Measures for Protecting Ancient and Famous Trees" (2010), the "Yichang Implementation Measures for Urban Greening" (2022), the "Yichang Regulations on Protecting Main Green Spaces in Urban Areas" (2017), the "Yichang Reconstruction and Restoration of Main Green Spaces in Urban Areas" (Trial, 2022), the "Yichang catalogue of critical green spaces" (2022), and the "Yichang famous and ancient trees management measures" (1995), etc. These documents provide regulatory requirements on technical appraisal, public hearing, technical review, administrative approval, and information disclosure for occupying urban green spaces to implement public benefit projects. According to the "Yichang Implementation Measures for Urban Greening" (2022), all construction projects within the urban development boundary should build adequate green spaces, for example, transportation hubs/stations should have green spaces at least 15% of the construction area; unauthorized occupation of existing/planning green spaces is prohibited; if occupation of green spaces becomes unavoidable due to changes of urban development plans, it is necessary to build new green spaces in designated region for compensation.

129. Yichang municipal FLB oversees urban landscaping, greening, and ecological protection. It has an Urban Landscaping Management Center at municipal level and district-level FLBs to undertake detailed tasks. The roads and transport facilities under the PforR might occupy urban green spaces that may belong to critical green spaces (e.g., park green spaces, protective green spaces, square green spaces, ecological green spaces, etc.) or non-critical green spaces. The responsible PIUs need to submit application for occupying green spaces supported with replanting plans to competent FLBs at municipal or district levels prior to construction commissioning. The FLBs will then conduct on-site surveys to understand the real conditions. Occupation of critical green spaces should be approved by the municipal government, while occupation of non-critical green spaces will be approved by district-level FLBs. The PIUs must rebuild green spaces following the approved replanting plans. Once the road construction is completed and under completion acceptance, the associated greening works must be checked for acceptance by the FLBs at the same time. The PforR may also involve tree transplanting activities. A deciduous tree with a diameter over 20 cm or an evergreen tree with a diameter over 15 cm will be defined as a big tree. As needed by implementing an urban infrastructure project, if more than two big trees have to be cut down, or more than 10 big trees have to be transplanted or trimmed, or ancient and famous trees have to be relocated, professional demonstrations, public hearings, and information disclosure on the tree transplanting plans must be conducted in the project planning and design stages to seek expert comments and public opinions. Then the tree transplanting plans should be submitted to the competent district-level FLBs for approval; the tree transplanting activities will be implemented by the responsible PIUs following the approved plans; and the transplanted trees should be checked by the FLBs for acceptance.

130. The above-mentioned system for protecting urban green spaces has been implemented for decades, and it can help protect urban green spaces from being influenced by infrastructure projects. The activities under the PforR are expected to have minor impacts on the ecological environment and unlikely to cause significant degradation to critical or natural habitats or biodiversity. It's compliant with the WB's PforR core principles.

4.5 Safety Management System

131. This section only assesses the system to manage the activities that involve exposure to hazardous substances or dangerous situation such as traffic safety risks in road construction and operation, and fire risks at bus depots/terminals, etc. For other health and safety risks associated with the PforR facilities, China has established specific management systems (including OHS) as discussed in Chapter 5.

Legal framework

132. **Road Traffic Safety Law** (2011 Amendment): Motor vehicles apply registration, safety inspection, and mandatory scrapping mechanisms. Drivers should obtain a driving license and comply with laws/regulations when using vehicles. Unified traffic signs are used throughout the county, and all vehicles and pedestrians must follow the traffic signals. Bicycles and other non-motorized vehicles should run on non-motorized lanes or on the right side of roadways where there are no non-motorized lanes. If occupation or excavation of roads is unavoidable in urban

infrastructure construction, consent from local road management authorities must be obtained in advance. If the occupation or excavation of roads affects traffic safety, consent from local TPTs should be obtained as well. Contractors should carry out construction operations within the approved road sections and time periods; set up safety warning signs and take protective measures as per regulations; remove all obstacles on the roads to eliminate safety hazards after the construction is completed; and should not put the completed roads into operation until the traffic conditions satisfy acceptance requirements. For roads under construction that do not interrupt traffic, local TPTs should strengthen traffic safety supervision and maintain regular traffic order.

133. **Emergency Response Law (2007)**: O&M entities of public vehicles, public places, and other densely populated places should develop emergency plans, equip with alarming devices, provide rescue equipment, indicate evacuation routes, and ensure clear pass ways and exits. The entities should regularly check the alarming and rescue facilities and keep them in good conditions.

134. **Fire Prevention and Control Law (2021 Amendment)**: Design and construction of fire prevention and control facilities for construction projects must follow technical standards. Any project subject to fire control requirements must go through specific design review and completion acceptance on the involved fire prevention and control components. Production, storage, transport, selling, using, or destruction of flammable/explosive hazardous materials must comply with technical standards and management regulations on fire control. The responsible entities should establish a fire control accountability mechanism, implement fire control policies, follow fire-prevention operation procedures, and prepare fire extinguishing and evacuation plans, keep qualified fire-fighting facilities in place and effective, and organize regular fire inspections and drills, etc.

135. **The National 14th Five-Year Plan on Road Traffic Safety (2022)**: It recommends following measures: (i) improve road traffic safety management systems; (ii) enhance road traffic safety law enforcement; (iii) create safe road traffic environment; (iv) strengthen vehicle safety management; (v) increase participants' awareness on road traffic safety and civilization; (vi) improve road traffic emergency response and rescue mechanisms; and (vii) promote innovation and application of road traffic safety technology. Among them, to create safe road traffic environment, it is necessary to strengthen coordination and cooperation of various authorities such as HURDBs, TPTs, TBs, and FLBs, encourage grassroot organizations such as neighborhood committees to take part in traffic safety management, and improve slow traffic systems including sidewalks and bicycle lanes, etc.

136. **Technical Specification on Vehicle Operation Safety (GB7258-2017)**: It provides basic technical standards for new vehicle registration inspection, in-use vehicle regular inspection, accident damaged vehicle inspection, and other vehicle safety management. It also proposes specific technical requirements on keeping safety of entire vehicle, engine, motor, steering system, braking system, lighting, signal devices, driving system, and safety protection devices, etc.

137. **Specification on Vehicle Driver Safe Operation (GA/T1773-2021)**: Drivers are required to obtain a driving license, follow traffic signs in driving, ensure license plates are well installed and maintained, ensure vehicle's safety performance are regularly inspected, keep insurance in validity period, and remain the amount of passengers within authorized number, etc. This regulation also raises basic requirements on driver physical condition, use of equipment, skills of observation and parking, and traffic accident handling, etc.

138. **Certification Requirements for Vehicle Maintenance Enterprises (GB/T16739-2014)**: Vehicle maintenance enterprises should develop procedures for safely operating various types of mechanical and electrical equipment and present them at corresponding workplaces; implement protective measures and/or utilize protective facilities when handling toxic, flammable, combustible, or corrosive materials, wastes, and pressure vessels; and ensure workshops and parking lots to comply with relevant requirements on safe operation and fire prevention.

139. **Regulations on Hazardous Chemicals Safety Management (2013 Amendment)**: Entities that produce, use, store, sell, or transport hazardous chemicals should take responsibility for safety management, set up safe conditions that satisfy laws and regulations, and establish and implement safety management and accountability systems.

140. **Regulations on Urban Buses Management (2017)**: Bus operation enterprises are responsible for safe operation of buses. They should develop safe operation procedures, provide

safety training to drivers and attendants, undertake regular examination and maintenance to buses and accessory equipment, avoid use of buses with safety risks, designate security personnel, equip with security facilities, develop emergency plans, and conduct regular drills, etc.

141. **Regulations on Traffic Organization in Urban Road Construction** (GAT900-2010): Construction of urban roads should satisfy travel demand of adjacent residents and working staff. Effort should be made to reduce the influence of road occupation on the traffic. In construction activities by occupying roads, the remaining lanes or temporary access should have enough width for passengers to travel safely. Bus routes or bus stops should be adjusted as needed by road occupation, and temporary bus stops should be safe for passengers. Traffic emergency plans should be implemented to reduce traffic congestions in cases of traffic accidents or other emergencies.

142. In addition, China issued other regulations such as the “Regulations on Implementing the Road Traffic Safety Law” (2017), and the “Road Transportation Regulations” (2022 Amendment), the “Urban Buses and Bus Depots Safety Requirements” (GA1744-2020), the “National Hazardous Waste Inventory” (2021), the “Technical Policies for Hazardous Waste Pollution Prevention and Control” (2001), and the “Standards for Hazardous Waste Storage Pollution Control” (GB18597-2001), etc. Hubei and Yichang also developed the “Hubei Methods of Implementing the Road Traffic Safety Law” (2013), the “Hubei Road Transportation Management Regulations” (2021), the “Hubei Action Plans for Implementing the National 14th Five-Year Plan on Road Traffic Safety” (2022), the “Yichang Bus Rapid Transit Management Methods” (2015), the “Notice on Strengthening Traffic Management of Bus Lanes in Yichang Urban Areas” (2022), the “Yichang Transport System Emergency Plan” (Trial, 2021), and the “Guidelines on Reviewing and Approving Road Occupation or Excavation in Yichang Urban Areas” (Trial, 2020), etc.

Implementation mechanism and procedures

143. **Manage traffic safety in road construction:** Traffic organization should be implemented in road construction to: minimize the influence of road construction on traffic safety; ensure passage of pedestrians, bicycles, and buses; and strengthen traffic guidance supported with traffic regulation. For road construction that does not affect the traffic, local TPT should strengthen traffic supervision and keep traffic order. For road construction that occupies roads and affects the traffic, the PIU should obtain a road occupation/excavation permit from local UMC; the TPT will review and approve the traffic organization plan submitted by the PIU and conduct on-site supervision on traffic safety. The management mechanisms for occupying-road construction are shown in **Table 4-3**.

Table 4-3: Traffic Safety Management for Occupying-Road Construction

Entities	Main Duties
Contractor	(i) Prepare a construction organization plan (COP), a traffic organization plan (TOP), and a traffic emergency plan (TEP) and submit them to the PIU for review prior to construction commissioning; (ii) establish institutional arrangement with clear duties on traffic safety management; (iii) provide training to traffic safety management personnel; (iv) prepare detailed traffic safety management measures based on the approved TOP, and implement these measures; (v) record the implementation of these measures, and report recognized issues; and (vi) respond to traffic accidents in construction, etc.
PIU	(i) Review and approve the COP, the TOP, and the TEP; (ii) submit the improved plans to local TPT and apply for approval of road occupation/excavation; (iii) supervise traffic safety in construction; and (iv) respond to traffic accidents in construction, etc.
UMC	(i) Issue road occupation/excavation permit; and (ii) manage illegal construction activities that violate the permit, etc.
TPT	(i) Review and approve the road occupation/excavation application and the traffic management plans, and organize joint discussion and review on TOPs for large-scale projects; (ii) prepare traffic guidance schemes and disclose the information to the public; (iii) supervise traffic safety in road construction, and guide contractors to manage the traffic around the construction sites; and (iv) handle traffic accidents in construction, etc.
TB	(i) Participate in joint discussion and review on TOPs for large-scale projects; (ii) adjust bus stops or bus routes based on the approved TOPs, and disclose the information to the public; and (iii) respond to traffic accidents in construction, etc.

Entities	Main Duties
Yichang Bus Group, subdistrict offices, etc.	(i) Participate in joint discussion and review on TOPs for large-scale projects; (ii) provide cooperation and support in traffic management in road construction; and (iii) respond to traffic accidents in construction, etc.

144. **Manage traffic safety in road operation:** (i) Use online monitoring, big data, GIS, and other information technologies to improve traffic safety monitoring; (ii) establish traffic management procedures and enhance traffic safety management; (iii) strengthen vehicle safety inspection and maintenance to ensure safe operation of vehicles; and (iv) enhance supervision on and training to drivers to improve safe driving and reduce violations, etc.

145. **Prevent fire hazards at bus depots/terminals:** (i) Comply with the requirements on fire prevention design and completion acceptance in project implementation; (ii) implement fire safety accountability mechanism, keep firefighting facilities effective, organize fire risk inspections, and conduct firefighting drills; and (iii) well manage flammable and explosive hazardous chemicals that are used in bus maintenance and repair, etc.

Institutional organization and performance

146. The TPTs oversee urban road traffic safety. Yichang TPT has an Order Management Division (7 staff members), a Construction Management Division (3 staff members), a Safety Supervision Division (3 staff members), and an Information Command Team (20 staff members) to undertake detailed work of traffic safety supervision in Yichang. In addition, it has a subsidiary Vehicle Management Office responsible for verifying and issuing vehicle registration certificates, operation permits, and driving licenses, etc. Each district has a TPT responsible for urban road traffic safety management within its jurisdiction. For example, Wujiagang District TPT has a traffic order team (3 police officers and 4 auxiliary police officers) to guide urban traffic, an accident management team (5 police officers and 13 auxiliary police officers) to handle injury accidents, and a field work team (20 police officers and over 80 auxiliary police officers) to handle other traffic accidents.

- To manage traffic safety in road-occupying construction, Yichang TPT issued the “Guidelines on Reviewing and Approving Road Occupation or Excavation in Yichang Urban Areas (Trial)” in 2020. Accordingly, after receiving an application for road occupation, local TPT organizes field investigation and propose preliminary opinions. Afterwards, Yichang TPT reviews the preliminary opinions, provides comments, and issues traffic control notice. For road construction activities that have significant impacts on the traffic, Yichang TPT conducts joint field investigation with district TPTs, organize a joint review of the TOP, and establish a work group to discuss with local TBs, Yichang Bus Group, and related communities, etc. After the road-occupying construction starts, local district TPTs carry out field supervision, guide the contractors to strengthen traffic management, arrange safe access roads for schools and residential areas, stop construction once any violations are found, and report to Yichang TPT and UMC to handle the violations.
- To manage road traffic safety in operation period, Yichang TPT established a monitoring system at the Information Command Center, equipped with 80,000 sets of probes covering 95% of the roads in the urban cores. The system provides automatic traffic guidance by predicting traffic flow based on historical data and detecting real-time traffic through GIS systems. Once a traffic accident is discovered or reported, the information command team of Yichang TPT evaluates and handles the accident by cooperating with insurance companies. Different types of accidents are handled in different ways, and small accidents are usually dealt with immediately through online videos. Approximately 30 to 40 traffic accidents occurred every day in each district, resulting in about 30 deaths per year. Due to the high traffic volume, district TPTs have to send policemen to carry out on-site traffic guidance, manage illegal behaviors, and identify unqualified road facilities. Meanwhile, to ensure safe driving activities and reduce traffic accidents, the Vehicle Management Office of Yichang TPT conducts strict verification before issuing driving licenses and urges the drivers to receive training as needed.

147. TBs oversee vehicle inspection and maintenance, hazardous material management in vehicle maintenance, driver training, and safe operation of bus depots/terminals, etc.

- The Safety Supervision Division (3 staff members) and the Road Traffic Law Enforcement Team (6 staff members) under Yichang TB supervise the operation of buses, taxis, and online car hailing and push the operation entities to eliminate potential safety hazards and ensure safe vehicle operation. For example, on 29 September 2021, the Three Gorges Branch of Yichang Bus Group thoroughly examined over 100 buses on 8 routes to check the mechanical parts, circuits, water/oil/gas leakage, and safety facilities of the buses and deal with identified safety hazards in a timely manner.
- The Comprehensive Transport Division (3 staff members) and the Road Construction and Maintenance Center (8 staff members) under Yichang TB oversee driver training activities and push training agencies to improve their training services and ensure drivers to have technical qualification.
- The Safety Supervision Division, the Comprehensive Transport Division, the Road Traffic Law Enforcement Team, and the Road Construction and Maintenance Center are responsible for supervising and evaluating transportation enterprises on their dynamic vehicle monitoring performance. They promote widespread use of 4G visual monitoring systems in operational vehicles (e.g., buses, school buses, taxis, and online car-hailing services) to constantly monitor drivers' behaviors and reduce driving violations and traffic accidents. These authorities also carry out daily and special inspections on vehicle maintenance enterprises for their qualification, equipment and procedures, and service quality to ensure safe conditions of vehicles.
- Yichang TB, together with relevant municipal authorities such as the State-owned Assets Supervision and Administration Commission (SASAC), EMB, and EEB, conducts regular inspections on safe operation of bus depots/terminals and requires the operation entities keep their firefighting facilities qualified in acceptance check, enhance regular check on potential fire hazards, and carry out emergency drills. Accordingly, Yichang Bus Group checked all bus depots every month by inspecting the fire hose reels, extinguishers, and hydrants, replacing unqualified firefighting facilities, checking water pressure and flows, and keeping safety signs and boards complete and effective, etc. As the regular practices, the Bus Maintenance Branch adopted ultrasonic techniques to wash parts and used water-based paints to paint buses in enclosed workshops to avoid using traditional flammable liquids (e.g., gasoline, lacquer thinner); when they occasionally used a small amount of flammable gases (such as oxygen and acetylene) in welding operations, the workers would go through internal management procedures to get approval and certificate prior to the operations; and they have set up a hazardous waste storage room at each workshop with dedicated personnel to collect flammable hazardous waste (such as waste engine oil), store them in specialized containers, and transfer them to qualified agencies for professional treatment and disposal. The Three Gorges Branch conducted emergency drills every year, and during the fire emergency drill on 16 November 2021 in the parking lot of Yiling Passenger Station, nearly 100 employees completed emergency evacuation, personnel rescue, and firefighting exercises.

Brief summary

148. China as well as Hubei and Yichang have a sound system composed of regulatory framework, management procedures, and institutional organization on managing traffic safety risks in road construction and operation and fire risks in bus depots/terminals operation, etc. The system is consistent with the WB core principles.

4.6 Consistency with the WB's Core Principles

149. After assessing the four EMSs, namely the EIA and follow-up management system, the pollution control system, the ecological protection system, and the safety management system, the consistency with the WB's core principles is summarized below with details shown in Error! Reference source not found..

Principle #1 - EIA and management: Program environmental management systems are designed to promote environmental sustainability in the Program design; avoid, minimize, or mitigate adverse impacts; and promote informed decision-making related to a program's environmental effects. Other

aspects are analyzed in Chapter 5.

150. China has established a sound regulatory framework composed of laws, regulations, technical guidelines, standards, mechanisms, and procedures on EIA, follow-up environmental management, and pollution control. Under the framework, it's required to screen and classify environmental impacts at the early stage of the project preparation; and an EIA will include information on environmental impact identification, alternatives analysis, impacts assessment, mitigation measures design, institutional arrangements and responsibilities, environmental monitoring plans, public consultation, and information disclosure, etc. As the government authorities in charge of the EIA and follow-up management system, EEBs have been promoting environmental management reforms to change the focus from EIA approval to follow-up supervision towards project life-cycle environmental management. It's noted in the environmental due diligence that previous projects similar to the PforR activities have gone through environmental management procedures in terms of EIA, ETS, EAPC, pollutant discharge permitting, and pollution control; and EEBs under the coordination of other government authorities such as TBs, TPTs, HURDBs, and UMCs carry out regular inspections on project environmental management through random spot checks, special inspections, online supervision, and on-site investigations, etc. The government authorities push the relevant entities including the PIU, the contractor, and the O&M entity to implement environmental protection measures and manage the pollution in construction (dust, noise, wastewater, and solid waste, etc.) and operation (vehicle emissions, traffic noise, and solid waste, etc.). The EIA and follow-up management system is demonstrated sound by the findings of the site visits and the track records.

Principle #2 - natural habit protection: Program environmental management systems are designed to avoid, minimize, or mitigate adverse impacts on natural habitats resulting from the Program. Program activities that involve the significant conversion or degradation of critical natural habitats are not eligible for PforR financing. Other aspects are analyzed in Chapter 5.

151. The physical activities under the PforR will be sited in the urban cores of Yichang to build or install small-scale transport facilities within the right-of-way along existing urban roads or to construct bus depots/terminals in urban construction land. The subproject locations are already disturbed by human activities, dominated by urban artificial ecosystems, and unlikely to be in vicinity of any legally protected or customarily recognized critical habitats or other ecological sensitive areas. Only a small number of greenbelts might be occupied, which will be compensated by developing and implementing replanting plans following the requirements of the FLBs. The activities under the PforR are expected to have minor impacts on the ecological environment and unlikely to cause significant degradation to critical or natural habitats or biodiversity.

Principle #3 - health and safety: Program environmental management systems are designed to protect public and worker safety against the potential risks associated with exposure to toxic chemicals, hazardous wastes, and otherwise dangerous materials under the PforR. Other aspects are analyzed in Chapter 5.

152. To manage the traffic and fire safety risks in construction and operation of transport facilities, China as well as Hubei and Yichang have corresponding legal framework, implementation mechanism, and institutional arrangement in place. Yichang TPT, TB, UMC, EMB and other relevant authorities carry out supervision on the safe operation of roads and bus depots/terminals by means of advanced monitoring techniques, random spot checks, regular inspections, and cross-department cooperation. Related enterprises have established safety management systems, complied with laws and regulations in operations, and implemented measures to eliminate safety risks through vehicle safety inspection and maintenance, driver training and monitoring, fire hazards checking, and emergency drills, etc. The safety management system is deemed satisfactory to serve the PforR.

153. **Conclusion:** The comparison concludes that domestic EMSs in terms of legal framework, management mechanism, and institutional arrangement are well established, and the implementation performance are demonstrated substantially satisfactory. In general, the EMSs are consistent with the WB's PforR ESSA Guidance, the core principles, and the EHS guidelines. They are qualified to manage the environmental issues associated with the PforR activities. The ESSA team found in the due diligence that some transport infrastructure projects didn't go through sufficient public consultation in project preparation to understand and incorporate the needs (e.g., for travel convenience and safety) of different groups of people. Therefore, the ESSA recommends action

plans to enhance public consultation in project preparation (as presented in **Chapter 7**) to fill the gaps, and the EMSs are expected to be improved through the implementation of the PforR.

5. Social Management System Assessment

154. The Bank’s PforR ESSA Guidance lays down a set of principles and elements for assessing the borrower’s E&S systems systematically. This chapter identifies and analyzes China’s corresponding social management systems, and assess the relevant social management regulations, management mechanisms and capacity, and implementation performance based on the types of social risks and impacts, and against the six core principles and 13 elements stipulated in the Guidance and propose recommendations and an action plan for the identified gaps.

155. Chapter 3 shows that the social impacts and risks of the PforR activities fall into the following types: comprehensive social impacts (e.g., social conflict, fairness, transparency, NIMBY, etc.), tangible culture heritage, public and worker safety, land acquisition, restriction on land use and resettlement, and non-inclusiveness impacts on ethnic minorities and vulnerable groups.

156. The social risks management is achieved in China from the national to local levels by formulating and implementing a series of laws and policies and establishing and running appropriate management agencies and mechanisms. Social management systems consist of laws and regulations, management agencies and mechanisms, and management practices. In China’s social management systems, different social risks and impacts are managed by different government agencies (see **Table 0-1**).

5.1 Correlation Analysis with the Bank’s Principles

157. Generally, all the six core principles of PforR ESSA are relevant to the PforR social management system. See **Table 0-1** for a correlation analysis between China’s social management systems and the Bank policy.

Table 0-1: Correlation Analysis between the Chinese Social Management System and the Bank Policy

Social impacts and risks	Bank policy principle	China’s social impacts and risks management system	
		Relevant social laws and regulations	Social management agencies
Comprehensive social impacts, e.g., social conflict, fairness, transparency, NIMBY	Principle #1: social impacts and risks assessment and management system Principle #6: social conflict	Notice of the National Development and Reform Commission on Issuing the Interim Measures for the Social Stability Risk Assessment of Major Fixed Asset Investment Projects (NDRC [2012] No.2492) (2012.8.16)	State: National Development and Reform Commission (NDRC); Hubei: <ul style="list-style-type: none"> • Leading authorities: provincial DRC, provincial, municipal and district/county political and legal affairs committees (PLAC), public complaints and proposals bureaus (PCPB); • Assessors: municipal and district/county competent authorities (e.g., public transport authorities, TB, HURDBs and appointed third parties); • Registration authorities:
		Guiding Opinions of the General Office of the Central Committee and the State Council on the Establishment and Improvement of Social Stability Risk Assessment Mechanism of Major Decisions (Trial) (ZBF [2012] No. 2) (2012)	
		Notice of the General Office of the National Development and Reform Commission on Issuing the Outline for the Preparation of the Chapter on the Social Stability Risk Analysis of Major Fixed Asset Investment Projects and Assessment Report (Interim) (NDRCOI [2013] No.428)	
		Opinions on Strengthening Social Stability Risk Assessment for Major Decisions under New Circumstances (ZBF [2021] No.11) (2020.12)	
		General Office of Hubei Provincial Party Committee and Government "Implementation Opinions on Strengthening the Social Stability Risk Assessment of Major Decisions under New Circumstances" (2021.12.13)	

Social impacts and risks	Bank policy principle	China's social impacts and risks management system	
		Relevant social laws and regulations	Social management agencies
		Interim Regulations on Major Administrative Decision-making Procedures (2019.9.1) Regulations on Letters and Visits (2022.2.25) Regulation on Guaranteeing Wage Payment for Migrant Workers (2020.1.7)	provincial (cross-regional / cross-departmental projects), or municipal and district/county PLACs; <ul style="list-style-type: none"> • Decision-making authorities: municipal and district/county executive meetings of Communist Party of China (CPC) and government leaders; • Implementing agencies: assessors and entrusted operating units; • Supervising agencies: municipal and district/county governments and their grass-root agencies (e.g., township governments);
Tangible culture heritage	Principle #2: cultural heritage conservation	Cultural Relics Protection Law (2017 Amendment) Regulations for the Implementation of the Cultural Relics Protection Law (2017) Implementation Measures for the Law of the People's Republic of China on Cultural Relics Protection in Hubei Province (2017)	State: National Cultural Heritage Administration Hubei: provincial, municipal and district/county cultural relic protection authorities
Public and worker safety	Principle #3: labor and occupational health	Civil Code of the People's Republic of China (2021.1.1) Work Safety Law of the People's Republic of China (2021.6.10) Law of the People's Republic of China on the Prevention and Control of Occupational Diseases (2018.12.29) Guidelines on the Prevention and Control of Occupational Diseases for Employers (2010.8.1) Regulations on Workplace Occupational Health Management (2020.12.31) Occupational Health and Safety Management Systems—Requirements with Guidance for Use (2020.3.6) Classification and Catalogue of Occupational Diseases (2013.12.23) Catalogue for the Classified Management of Occupational Disease Hazards and Risks of Construction Projects (2021.3.12) Special Rules on the Labor Protection of Female Employees (Decree No.619 of the State Council) (2012.4.28)	<u>Public and workers' security</u> State: Ministry of Emergency Management Hubei: emergency management department at provincial, municipal and district/county level, production and operation entities, associations, work safety technical supporting agencies <u>Health of the public and occupational groups</u> State: National Health Committee (HC) Hubei: provincial, municipal and district/county HCs,

Social impacts and risks	Bank policy principle	China's social impacts and risks management system	
		Relevant social laws and regulations	Social management agencies
		<p>Notice on the Issuance of the National Plan for Occupational Diseases Prevention and Control (2021-2025) (NHC [2021] No. 39)</p> <p>Regulations on Work-related Injury Insurance (2010.12.20)</p> <p>Provisions of Hubei Province on Labor Protection of Female Employees (2009.2.5)</p> <p>Hubei Province "14th Five-Year Plan for Occupational Diseases Prevention and Control" (EWT [2022] No.8)</p> <p>Law on the Prevention and Treatment of Infectious Diseases (2020)</p> <p>Emergency Response Law of the People's Republic of China (2007.11.1)</p> <p>Regulations on the Prevention and Control of Geological Disasters (2004.3.1)</p> <p>Regulations on the Defense against Meteorological Disasters (2010.4.1)</p> <p>Regulations of the People's Republic of China on Flood Control (2005.7.15)</p> <p>Law of the People's Republic of China on Protecting against and Mitigating Earthquake Disasters (2009.5.1)</p>	<p>occupational diseases prevention and treatment agencies, occupational health technical service agencies, occupational health inspection and diagnosis agencies</p> <p><u>Labor management</u> State: Ministry of Human Resources and Social Security, All-China Federation of Trade Unions Hubei: provincial, municipal and district/county federations of trade unions, and industrial unions; trade unions of enterprises and public institutions</p>
Land acquisition, restriction on land use and resettlement	Principle #4: land acquisition, livelihood restoration and public participation	<p>Measures for the Administration of the Pre-examination on the Use of Land for Construction Projects (2017.1.1)</p> <p>Land Administration Law (2020.1.1)</p> <p>Regulations for the Implementation of the Land Administration Law (2021 Amendment)</p> <p>Regulations on the Expropriation of Houses on State-owned Land and Compensation (Decree [2011] No.590 of the State Council) (2011.1.21)</p> <p>Notice on Issuing the Measures for the Expropriation and Evaluation of Houses on State-owned Land (JF [2011] No.77) (2011.6.3)</p> <p>Civil Code of the People's Republic of China (2020.5.28)</p> <p>Guidelines on Improving the Compensation and Resettlement System for Land Acquisition (MLR [2004] No.238)</p> <p>Notice on Doing a Good Job in Employment Training and Social Security for Land-expropriated Farmers (SCO [2006] No.29)</p> <p>Notice of the Ministry of Labor and Social Security, and the Ministry of Land and Resources on Doing a Substantially Good Job in Social Security for Land-expropriated Farmers (MLSS [2007] No.14)</p> <p>Guiding Opinions of the General Office of the CPC Central Committee and the State Council on the Overall Delineation and Implementation of the Three Control Lines in National Spatial Planning (TZ [2019] No. 48)</p> <p>Notice of MNR, MARA and NFGA on Issues concerning Strict Control of Cultivated Land Usage (MNRP[2021] No.166)</p>	<p><u>Land acquisition</u> State: Ministry of Natural Resources (MNR) Hubei: provincial, municipal and district/county governments, and natural resources authorities</p> <p><u>Urban house demolition</u> Municipal and district/county governments, housing and urban-rural development bureaus (HURDBs), house demolition agencies</p> <p><u>Rural house demolition</u> Agriculture and rural affairs authorities, Natural resources authorities, township governments, village committees</p> <p><u>Livelihood restoration</u> State: Ministry of Human Resources and Social Security</p>

Social impacts and risks	Bank policy principle	China's social impacts and risks management system	
		Relevant social laws and regulations	Social management agencies
		<p>Notice of MNR, MEE and NFGA on Strengthening the Management of Ecological Protection Red Line (Trial) (MNR [2022] 142)</p> <p>Notice of Hubei Provincial Government on Releasing Block Comprehensive Land Prices of Hubei Province (2019.11.8)</p> <p>Measures for the Implementation of the Expropriation of Houses on State-owned Land and Compensation of Hubei Province (2015.7.6)</p> <p>Guidelines of Hubei Provincial Government on Basic Pension Insurance for Land-expropriated Farmers (HPPG [2014] No. 53)</p> <p>Notice of Interim Provisions on the Procedures for Land Acquisition in Hubei Province (HNRB [2020] No. 38)</p>	<p>Hubei: provincial, municipal and district/county human resources and social security authorities, district/county and township governments, community committees, village committees</p>
Ethnic minorities and vulnerable groups	Principle #5: ethnic minorities and vulnerable groups	Constitution (2018 Amendment)	<p>Ethnic minorities State: National Ethnic Affairs Commission Hubei: provincial, municipal and district/county ethnic affairs departments</p> <p>Women State: All-China Women's Federation Hubei: women's federations (WF) at different levels</p> <p>Children Functional authorities of governments at or above the county level, township governments, sub-district offices, community committees, village committees</p>
		Law of the People's Republic of China on Regional National Autonomy (2001 Amendment)	
		Several Provisions of the State Council on the Implementation of the Regional National Autonomy Law (2005.5.1)	
		Notice of the State Council on Issuing the 13 th Five-year Plan for Promoting the Development of Minority Areas and Smaller Ethnic Minorities (SC [2016] No.79)	
		The 14th Five-Year Plan of Hubei Province for High Quality Development of Ethnic Affairs (2022.1.1)	
		Law of the People's Republic of China on the Protection of Women's Rights and Interests (2018.10.26 Amendment)	
		Law of the Peoples Republic of China on the Protection of Minors (2020.10.17)	
		Opinions on Reforming and Improving the Social Assistance System (ZBF [2020] No.18)	
		Implementation Measures of Hubei Province for the Law of the People's Republic of China on the Protection of Women's Rights and Interests (2022.10.30)	
		The 14th Five-Year Plan of Hubei Province for the Development of Civil Affairs (2021.10. 29)	
		Strategic Plan for Countryside Revitalization of Hubei Province during 2018-2022 (2019.5.1)	
		Implementation Opinions of Hubei Provincial General Office of the CPC Central Committee and Government on the Reform and Improvement of the Social Assistance System (EBF [2021] No.37)	
		Plan of Hubei Province for Women's Development (2021-2030) (2021.12.25)	
		Plan of Hubei Province for Children's Development (2021-2030) (2021.12.25)	

5.2 Assessment of Social Regulations and Policies

158. China's legal framework consists of the following: 1) laws and regulations promulgated by the National People's Congress and the State Council; 2) regulations, standards and technical specifications promulgated by ministries and commissions; and 3) regulations promulgated by local people's congresses and governments. In general, regulations, standards and policies on land acquisition and resettlement, ethnic minority development, labor rights, public participation and consultation, grievance redress, etc. have been promulgated and implemented at the national, provincial, municipal and county levels to systematically manage potential social risks and impacts in the PforR lifecycle.

159. **Appendix 3** compares the Bank policy with the applicable social management regulations. This section compares the relevant social management regulations with the Bank policy based on the core principles and elements, then identifies gaps in social regulations and policies where applicable and proposes actions and recommendations for improvement.

5.2.1 Core Principle #1: Sustainable social risks management system ⁷

160. Core Principle #1 includes two elements, both are relevant to social regulations and policies. The consistency analysis is summarized as follows.

Element 1: The legal framework and management agencies can direct social assessment adequately at the PforR Program level.

161. **Social stability risk assessment (SSRA):** The Chinese government uses SSRA as a tool to systematically manage the social risks and impacts that may be involved in development of major projects, policies and reforms, and mitigates and manages social impacts actively by establishing and implementing a whole SSRA system, so as to promote scientific decision-making, and sustainable Program and social development.

- National development and reform committee (NDRC) promulgated the Interim Measures for the Social Stability Risk Assessment of Major Fixed Asset Investment Projects in 2012, stating that the project organization shall investigate and analyze social stability risks when conducting preparatory work, collect opinions from relevant people, identify risks, risk possibilities and risk impacts, and propose prevention and mitigation measures, and social stability risk ratings after such measures are taken.
- The General Office of the State Council promulgated the Guidelines on Establishing a Sound Social Stability Risk Assessment Mechanism for Major Decisions and Matters (Interim) in 2012, requiring that an SSRA shall be conducted on major decisions, projects and policies.
- In April 2019, the State Council promulgated the Interim Regulations on Major Administrative Decision-making Procedures, requires that the implementation of major administrative decisions with the potential to adversely affect social stability, public safety, and related aspects must undergo a risk assessment first. Major administrative decisions include: i) the formulation of significant public policies and measures related to public services, market regulation, social governance, environmental protection, etc.; ii) the development of crucial plans concerning economic and social development; iii) decisions concerning major public facilities within the administrative region; iv) decisions on other significant matters that have a substantial impact on economic and social development and public interests, etc..
- In December 2020, the General Office of the CPC Central Committee and the General Office of the State Council released the Opinions on Strengthening Social Stability Risk Assessment for Major Decisions under New Circumstances, requiring that an SSRA shall be carried out on major decisions including those on major construction projects. It specifies the contents, methods, procedures, and management of SSRA, and application of SSRA results, and underlines that the contents of SSRA are integral to the Program's feasibility study and application reports.

⁷ Chapter 5 of this report quotes the information related to social system analysis in the core principles and elements in the PforR ESSA Guidance for a consistent comparative analysis.

- The Guidelines on Establishing a Sound Social Stability Risk Assessment Mechanism for Major Decisions and Matters (Interim) promulgated by the General Office of the State Council in 2012 was succeeded by the Rules of Hubei Province for Implementing Social Stability Risk Assessment for Major Decisions (Interim), specifying requirements for the implementation of SSRA in Hubei Province. In December 2021, it was superseded by the Implementation Opinions on Further Strengthen Social Stability Risk Assessment for Major Decisions under New Circumstances (EBF [2021] No.35), which particularly stipulates the contents, methods, procedures, management and the use of results of SSRA for major decisions in Hubei Province.
- The Land Administration Law (effective from January 1, 2020) requires that a SSRA shall be conducted before land acquisition and house demolition.

162. **Assessment:** SSRA is an important procedural requirement in project application and feasibility study. Relevant policies, mechanisms, standards, and management procedures have been formulated and implemented at the national, Hubei provincial level to regulate SSRA. It is learned through the due diligence and assessment that the related municipal and county authorities take the SSRA seriously, and the conclusions and risk ratings of SSRA are the key reference for the governments in their decision-making. Therefore, the social regulations and policies are generally consistent with Element 1.

Element 2: Incorporate recognized elements of good practice in E&S assessment and management, including six aspects.

163. According to the social risk screening results (**Appendix 2**), the PforR activities do not involve any induced, cumulative or cross-border social impact. See Element 1 for a consistency analysis of social impact assessment. The consistency of Elements 2 and 5 is analyzed below.

164. **(i) Early screening:** During site selection and feasibility study of related projects, the relevant authorities (e.g., NRPB, cultural heritage bureau) shall be coordinated to conduct a joint survey, and risks and impacts screening. For example, the Measures for the Administration of the Pre-review on the Use of Land for Construction Projects (2017), and the Land Administration Law (effective from January 1, 2020) require that screening be conducted so that the construction project complies with the land utilization plan and avoids any acquisition of basic farmland. The Cultural Relics Protection Law (2017 Amendment) requires that a cultural relic survey shall be conducted before project site selection to minimize impacts on cultural relics. The Regulations on the Prevention and Control of Geologic Disasters (2004) require that the project area shall not be selected in disaster areas, and related disaster prevention and control requirements should be defined through a geological disaster assessment to reduce public security risks if any project to be constructed in the areas liable to geological disasters. The Opinions on Strengthening Social Stability Risk Assessment for Major Decisions under New Circumstances stipulates that SSAR must be carried out for all major decisions and matters directly affecting the interests of people and potentially posing significant impacts on social stability, public safety, and related aspects. The assessment shall investigate the legality, rationality, feasibility, and controllability of major decisions and matters. The scope of this investigation should cover stakeholders in the affected areas, ensuring the comprehensive collection of opinions from the public and various stakeholders. It entails a thorough and continuous screening and analysis of potential social stability risks.

165. **(ii) Alternatives:** Options should be compared and analyzed during project site selection and feasibility study. The Administrative License Law of the People's Republic of China, and the Decision of the State Council on Establishing Administrative License for Administrative Review and Approval Items Really Necessary to Be Retained require that the feasibility study of a project shall compare E&S impacts of different options to avoid or minimize local negative E&S impacts. The Notice of the General Office of the National Development and Reform Commission on Issuing the Outline for the Preparation of the Chapter on the Social Stability Risk Analysis of Major Fixed Asset Investment Projects and Assessment Report (Interim) (2013) also stipulates, the PIUs and assessment agencies shall obtain the support of the local governments and related departments, grass-root organizations, Non-governmental Organizations (NGOs), etc. for the proposed project in terms of planning, land acquisition, house demolition, compensation, resettlement, environmental protection, etc., thereby selecting an option with acceptable social stability risks.

166. **(iii) Developing measures to avoid, minimize or mitigate social impacts:** The Notice on Issuing the Outline for the Preparation of the Chapter on the Social Stability Risk Analysis of Major Fixed Asset Investment Projects and Assessment Report (Interim) (2013) requires that plans and measures shall be proposed to prevent and mitigate risks. The Guidelines on Establishing a Sound Social Stability Risk Assessment Mechanism for Major Decisions and Matters (Interim) stipulate, if the assessment report thinks that if a high risk is present, a decision of non-implementation shall be made, or a decision be made after the plan is adjusted or the risk level reduced; if an intermediate risk is present, a decision of implementation shall be made after effective risk prevention and mitigation measures are taken; if a low risk is present, a decision of implementation may be made, but actions in terms of explanation and persuasion to the people affected shall be conducted, and appeals of relevant people handled properly. SSRA shall also address the legitimacy, rationality, feasibility and controllability of the proposed activities, and require that an appropriate contingency plan be developed. In the Interim Regulations on Major Administrative Decision-making Procedures, it also requires to develop mitigation measures for identified risks.

167. **(iv) Clear articulation of institutional responsibilities and resources to support implementation of plans:** The Guidelines on Establishing a Sound Social Stability Risk Assessment Mechanism for Major Decisions and Matters (Interim) requires for assessment that if the reasonability, fairness and timeliness of related compensation, resettlement or assistance measures offered are assessed, and if appropriate manpower, material and financial resources are available.

168. **(v) Public participation, information disclosure and grievance redress mechanism:** The SSRA policies of Hubei require that public consultation be conducted with all stakeholders involved in a plan to collect their opinions and suggestions, including advice, needs and directions of public opinion on the proposed project from mass, online, mobile and other emerging media. The Notice on Issuing the Outline for the Preparation of the Chapter on the Social Stability Risk Analysis of Major Fixed Asset Investment Projects and Assessment Report (Interim) (2013) stipulates, the PIUs and assessment agencies shall obtain supports of the local governments and related departments, grass-root organizations, NGOs, etc. for the proposed project, and the completeness of public participation shall be assessed as well, including if the procedural requirements of public participation, expert consultation and information disclosure are all well implemented. For any project involving land acquisition and house demolition, the Land Administration Law (effective from January 1, 2020) requires that once the land acquisition is approved in accordance with related law, the government at or above the county level shall disclose the key information, e.g. the purpose and boundary of land acquisition, current status, compensation rate, resettlement mode, social security, etc. in the township (town), village and village group for at least 30 days, to collect comments from the affected rural collective economic organization and its members, village committee and other stakeholders. Whereas parties concerned refuse to accept the decisions, the disputes may be brought to the courts within 30 days after the notification on the decision is received. No party shall change the status quo of the land before the disputes over ownership and use right are settled. Whereas a construction unit or individual refuse to accept the administrative punishment decisions on dismantling the buildings and other facilities, it may bring the case to the court within 15 days starting from the day when the decision is received. The MNR issued the Standard Guidelines for Grass-root Government Affairs Disclosure in Rural Collective Land Acquisition on June 27, 2019, making detailed provisions on project land acquisition policies, and the scope, time limit and channels of disclosure during preparation, approval and implementation. In terms of the government's price-setting behavior, the National Development and Reform Commission revised and issued the Measures for Hearings on Price Setting by the Government in December 2018, which requires that in the process of setting (including adjusting) government-guided prices, government-guided price levels, or pricing mechanisms in accordance with the law, the pricing authority shall take the form of hearings to solicit the opinions of the operators, consumers, and the relevant parties, and to argue for the necessity, feasibility, and rationale of the price setting. The Interim Regulations on Major Administrative Decision-making Procedures requires that the responsible party for decision implementation should adopt various approaches to conduct public participation to solicit opinions effectively. These approaches include focus group discussions, public hearings, on-site visits, written requests for input, public consultations, surveys, and public opinion polls, etc.

169. **Assessment:** The social impacts and risks are basically assessed and managed through regulations in terms of SSRA, land acquisition and house demolition in China and Hubei province.

There are clear mechanisms for impact early-stage screening, option comparison, and arrangements for measure defining on social risks (e.g., LAR, social stability risks) management. The regulations also defined the responsible agencies to manage specific impacts. Comprehensive system arrangements have been established in the regulations on social stability risk management, land acquisition and house demolition for information disclosure, public participation, and grievance redress. Therefore, the social regulations and policies are generally consistent with Element 2.

5.2.2 Core Principle #2: Cultural heritage management system

170. Elements 3 and 4 under Core Principle #2 define management requirements for natural habitats, which were discussed in Section 3. Only the consistency with Element 5 is assessed here.

Element 5: Take into account potential adverse effects on physical cultural property and provide adequate measures to avoid, minimize, or mitigate such effects.

171. **Cultural relic protection:** The PforR activities involve small civil works, such as the construction of bus lanes, BRT corridors, pedestrian walkways, urban greenways, non-motorized transport system, transfer hubs, bus terminals, bus depots, etc. According to the social impact screening (**Error! Reference source not found.**), the PforR Program is unlikely to affect any tangible culture heritage. China has established and implemented a sound cultural relic protection law to assess and manage potential cultural relic impacts of construction activities. The Cultural Relics Protection Law requires that At the time of site selection for a construction project, location where immovable cultural relics located should try to be avoided. No construction works or operations such as blasting, drilling and digging is allowed within the area of historical and cultural protection site. If a construction project is needed to be implemented, it should be approved by the people's government which approved and published the cultural relics protection site. Within the protection area or construction restricted area of a protected cultural relic, any facilities that may pollute such relic and its environment are not allowed to construct, and any activities that may affect its safety and environment are not allowed to conduct. Any such facilities already existed in the area shall be disposed within a specific time limit. Before launching a large-scale infrastructure construction project, the construction unit shall firstly apply to the provincial cultural relic authority for arranging a unit engaged in archaeological excavations to conduct archeological investigation at places where cultural relics may be buried underground within the project area.

172. **Assessment:** The Cultural Relics Protection Law and the Regulations for the Implementation of the Cultural Relics Protection Law give full consideration to potential impacts on cultural relics to protect cultural relics from construction. The regulations on tangible culture heritage protection of China and Hubei province are consistent with Element 5.

5.2.3 Core Principle #3: Public and worker safety management system

173. Element 7 under Core Principle #3 defines requirements for toxic and hazardous substances, and pest control related to environmental system analysis. The consistency with the public security and labor safety requirements in Elements 6 and 8 is assessed here.

Element 6: Promote adequate community, individual, and worker health, safety, and security through the safe design, construction, operation, and maintenance of Program activities; or, in carrying out activities that may be dependent on existing infrastructure, incorporate safety measures, inspections, or remedial works as appropriate.

174. **Worker safety management:** Program activities inevitably involve health and safety risks of workers, including the occupational health management of bus depots and its' workers, worker health and safety management during the construction of BRT corridors and affiliated facilities, bus terminals and depots, pedestrian walkways, non-motorized transport system. China has established and implemented a system to manage labor safety:

- The Labor Law (2018 Amendment), and the Civil Code make provisions on child labor, discrimination, forced labor, etc. For example, employers shall not recruit minors (under 16 years); special protection shall be given to female and underage (16-18 years) workers; workers shall not be discriminated against on the basis of ethnic group, race, gender or religion; women shall enjoy the same employment rights as men; forced labor shall be prohibited.

- The Work Safety Law requires that production and operation entities must establish a sound work safety responsibility system, and relevant rules and regulations, and improve work safety conditions to ensure work safety. It also requires that reporting information be disclosed to the public for public supervision.
- The Civil Code requires that work safety and health facilities of construction, reconstruction and expansion works shall be designed, constructed and put into operation along with these works.
- The Regulations on Work-related Injury Insurance (2010 Amendment) requires that all employers in China shall participate in work-related insurance system in line with the law and purchase work-related injury insurance for all employees.
- In 2020, the National Health Commission of PRC issued the "Regulations on Workplace Occupational Health Management," which requires employers to strengthen the prevention and control of occupational diseases. Employers are mandated to provide employees with a working environment and conditions that comply with the relevant laws, regulations, rules, national occupational health standards and requirements. Employers shall take effective measures to ensure the occupational health of workers. Health authorities responsible for public health are obligated to supervise and inspect employers' compliance related to the prevention and control of occupational diseases.
- The Occupational Health and Safety Management Systems—Requirements with Guidance for Use promulgated in 2020 require that enterprises shall identify and control potential occupational health and safety hazards systematically, and eliminate safety accidents at the beginning, thereby protecting worker's health and safety. Enterprises may apply for "occupational health and safety management system" certification, and establish a normative management system, realizing the source identification and whole-process control of hazards, and continual improvement. However, the occupational health and safety management system is not a mandatory requirement.

175. **Assessment:** A whole set of regulations on worker's health and safety has been established in China and Hubei to fully protect worker rights. The regulations also require that appropriate safety measures, inspections or remedial works should be taken during design, construction and operation to ensure community, individual and worker safety. The regulations on public and labor safety are basically consistent with Element 6.

Element 8: Include adequate measures to avoid, minimize, or mitigate community, individual, and worker risks when the PforR Program activities are located in areas prone to natural hazards such as floods, hurricanes, earthquakes, or other severe weather or affected by climate events.

176. **Disaster safety management mechanisms:** The PforR is located in Yichang city of Hubei province and the main PforR activities will be implemented in the urban cores, the possibility of involving areas prone to natural disasters is quite low, such as floods, lightning and landslides. During implementation, the flow of migrant workers may lead to disease spreading. For urban-rural planning and major project construction, the Regulations on the Defense against Meteorological Disasters require that governments at or above the county level shall fully consider meteorological factors and natural disasters and propose measures to avoid or mitigate disasters. In addition, the Regulations on the Defense against Meteorological Disasters require that lightning protectors of newly constructed, reconstructed or expanded buildings (structures), places and facilities shall be designed, constructed, and put into operation along with these works. The Regulations of the People's Republic of China on Flood Control make systematic arrangements for floods in terms of organization, flood prevention preparation and implementation, rescue, follow-up work, funding, reward, and punishment, etc. The Regulations on the Prevention and Control of Geologic Disasters make systematic arrangements for the investigation, prevention, and management of geologic disasters, such as prevention, emergency response, governance and legal liabilities. The Law of the People's Republic of China on Protecting against and Mitigating Earthquake Disasters requires that newly constructed, reconstructed or expanded construction works shall meet seismic design requirements, and makes specific provisions on seismic safety assessment and earthquake protection. The Law on the Prevention and Treatment of Infectious Diseases (April 2020) stipulates, governments at or

above the county level shall develop and implement infectious disease prevention and control plans, and establish a prevention, treatment and supervision management system; news media shall conduct public welfare publicity on infectious disease prevention and control, and public health education.

177. **Assessment:** The regulations on natural disaster prevention and control measures are consistent with Element 8.

5.2.4 Core Principle #4: Involuntary resettlement management system

178. Element 9 under Core Principle #4 manages Program LAR in six aspects, all of which are related to the social regulations and policies applicable to The PforR. Consistency is analyzed as follows.

179. **(i) Minimizing negative impacts related to land acquisition:** For example, the analysis of “early-stage impact screening” under Element 2, the Measures for the Administration of the Pre-examination on the Use of Land for Construction Projects (2017), the Land Administration Law (effective from January 1, 2020), and the regulations on SSRA require that projects and enterprises shall utilize existing construction land, and avoid any occupation of farmland (especially permanent basic farmland) where possible, and reduce LAR impacts through design optimization, thereby reducing social stability risks. At the preparation stage, natural resources authorities will participate in the survey to confirm the land to be used for the project, and the feasibility study will compare different options for LAR impacts. The government authorities will check if the land use plan is rational during land use review and feasibility study. Meanwhile, the MNR published the Notice of MNR, MARA and NFGA on Issues concerning Strict Control of Cultivated Land Usage (MNRP [2021] No.166) in 2021, requiring that strictly prohibit the approval and use of land in violation of the law. It is prohibited to occupy permanent basic farmland through unauthorized adjustment of county and township land spatial planning; it is required to manage the application for construction land strictly that construction should be carried out in accordance with the approved use, location and standard, and it is strictly prohibited to use the land before approval, approve less and occupy more, and/or approve land A but occupy land B; it is required to strictly manage temporary land use that land users shall apply for temporary land use in accordance with legal procedures, and where permanent basic farmland is temporarily occupied, engineering and technical measures such as stripping and reutilizing the soil of the tillage layer of cultivated land shall be taken to reduce the damage to land fertility. The land restoration plan prepared shall be reviewed and approved by the competent authorities of natural resources at city/prefecture level and approved by the competent authorities of natural resources at the county level before occupation. Upon expiration of the temporary land use period, land users shall promptly restore the land to original planting conditions and shall not exceed the time limit for long-term illegal use. For all kinds of unapproved or non-compliant occupying cultivated land and permanent basic farmland by construction projects, temporary land use and other activities, it shall be dealt with seriously in accordance with the law and ordered to restore the original planting conditions within a certain period of time. At the provincial level, Hubei province issued the Notice of the Provincial People's Government on the Implementation of the Strictest Cultivated Land Protection System (HPG [2020] No. 3), of which, the relevant provisions are basically consistent with those at the national level. In term of the state-owned land to be used for building urban infrastructure and for public welfare undertakings, it is stipulated in Article 54 of the Land Administration Law that land may be obtained through government allocation with the approval of the people's governments at and above the county level according to law.

180. **(ii) Identifying and addressing economic and social impacts arising from land acquisition or loss of access to natural resources:** The Land Administration Law (effective from January 1, 2020) stipulates, “Owners or users of the land to be acquired shall, within the time limit specified in the announcement, go to fill the compensation registration form with holding its assets ownership certificate. The people’s government at or above the county level shall organize the department concerned to estimate the relevant costs and make them fully available...For those who engage in unauthorized planting or construction after the date of land acquisition pre-announcement, compensation shall not be provided.” The land acquisition compensation measures of Hubei province make systematic arrangements for land acquisition compensation and resettlement in accordance with the Land Administration Law, including for those lacking legal title. During land acquisition, affected people shall confirm the results of detailed measurement survey (DMS), and

the land acquisition agency shall enter into compensation and resettlement agreements with landowners and users before submitting application for project approval. In terms of the potential roadside business affected by the PforR activities, the Civil Code stipulated in Article 291-296 that “A person entitled to the real rights in immovable property shall provide necessary convenience to the persons entitled to an adjacent right who have to utilize his land for passage, and the like; where a person entitled to the real rights in immovable property has to utilize the adjacent land or building for constructing or maintaining a building, or for laying electrical wires, cables, or the pipelines for water, heating, gas, or the like, the person entitled to the real rights in the adjacent land or building shall provide the necessary convenience...may not obstruct the ventilation, lighting, or sunlight of the adjacent buildings...may not endanger the safety of adjacent immovable property...shall spare no effort to avoid causing damage to the person entitled to the real rights in the adjacent immovable property.” Therefore, the PIU and construction contractors shall make a full consideration about potential negative impacts and take mitigation measures proactively to avoid or minimize the impacts within reasonable constraints. In addition, a whole set of grievance redress mechanisms for land acquisition compensation has been established from village or community level to townships governments level, and/or to the county level or above. If any affected person is dissatisfied with the DMS result, and/or the compensation or resettlement, he/she may file a grievance with the village head or village committee, or with the township or county / municipal government. According to the Regulations on Letters and Visits (2022), Party committees and relevant departments of the government at or above the county level shall perform such duties as acceptance, transmitting, assigning, coordination, handling, supervision and inspection. If a complainant is dissatisfied with the results of settlement, he/she may settle the dispute through litigation to protect his/her lawful rights and interests.

181. **(iii) Compensation and transition subsidy to be fully paid at replacement cost before land use:** The Land Administration Law (effective from January 1, 2020) defines compensation policies, rates, principles, flows, schedules, etc. for different types of land use. Article 47 stipulates, fair and reasonable compensation shall be granted for land acquisition to ensure that the living standard of the affected farmers is not reduced, and their long-term livelihoods are secured; in case of land acquisition, the land compensation fees, resettlement subsidy, and compensation fees for rural residential houses, other ground attachments, young crops, etc. shall be paid timely and fully according to the law, and social security costs for the affected farmers be disbursed accordingly; the rates of land compensation fees and resettlement subsidy for acquired agricultural land is determined based on the block comprehensive land price formulated and disclosed by provinces, autonomous regions and municipalities, which shall be adjusted or reissued at least every three years; compensation rates for acquired land other than agricultural land, ground attachments, young crops, etc. shall be developed by provinces, autonomous regions and municipalities. For rural residential houses, fair and reasonable compensation shall be provided on the principle of compensation before relocation and residential condition improvement by such means as reallocating housing land for house construction, offering resettlement houses, or granting cash compensation, and relocation, temporary resettlement and other costs resulting from acquisition shall be compensated for in order to protect the lawful residential and property rights of rural residents.

182. Compensation rates for land acquisition are usually adjusted every two to three years based on local economic development and market conditions in Hubei province, Yichang city and each project district/county. For example, the compensation rates for land acquisition in Hubei Province were last adjusted by the Notice of Hubei Provincial Government on Releasing Block Comprehensive Land Prices of Hubei Province promulgated in November 8, 2019, stipulating that 60% of the block comprehensive land price is the resettlement subsidy and 40% is the land compensation fee; local compensation rates for attachments and young crops on acquired land shall be determined by concerned municipal (prefecture) governments based on local economic development and market conditions and registered by the provincial natural resources department within three months after its promulgation. In addition, the new Land Administration Law requires that compensation should be paid before land occupation or land use.

183. The compensation and resettlement mode for expropriated houses on state-owned land is that a compensation and resettlement agreement be signed through third party market appraisal. The state has promulgated the Regulations on the Expropriation of Houses on State-owned Land

and Compensation (Decree [2011] No. 590 of the State Council) and the Notice on Issuing the Measures for the Expropriation and Evaluation of Houses on State-owned Land (JF [2011] No.77), etc. to make systematic arrangements for land appraisal, process management, public participation, compensation payment, resettlement policies, etc. Provincial, municipal and district/county governments also offer such supporting measures as relocation subsidy, transitional subsidy, and compensation for production/business suspension/shutdown losses based on local conditions. Before making decisions regarding property expropriation, municipal and county-level governments should, in accordance with the law, organize relevant departments to investigate, verify and record the property ownership, location, area, usage, etc. of properties to be acquired, including unregistered buildings within the expropriation area. Legally constructed buildings and temporary structures within the approved timeframes should be eligible for compensation. Conversely, no compensation shall be paid for buildings identified as illegal or temporary structures that exceed the approved timeframes. For example, according to Article 17, Articles 25 to 27 of Measures for the Implementation of the Expropriation of Houses on State-owned Land and Compensation of Hubei Province (2015.7.6), a compensation plan shall be disclosed to the public for comments before expropriation. The compensation plan shall include the information of legal framework of compensation, basic information of houses to be expropriated, compensation standard, payment channel, basic information and delivery timeline of houses for property swap, compensation standard for business suspension and shutdown, transitional period, relocation and transitional ways, subsidies, awards, etc.; The compensation for houses to be expropriated and houses for property swap shall be appraised by qualified real estate appraisal agencies. The cutoff date is the date when the decision on the expropriation is announced in accordance with the measures for expropriation and evaluation of houses on state-owned land; The appraisal shall be conducted in accordance with China's technical standards and evaluation procedures and with reference to the market prices of real estate similar to the house expropriated; Agencies, individuals and panels of experts responsible for real estate appraisal shall conduct independent, objective and impartial evaluation and appraisal of the expropriated house without being distracted by any organization or individual; and municipal and county real estate authorities shall release the catalogue of legally registered real estate appraisal agencies with grade three or above qualifications and without bad credit records in public on a regular basis so that affected people make a choice as needed.

184. **(iv) Policy arrangements for livelihood restoration:** The Land Administration Law (2020) requires that the living standard of the affected farmers shall not be reduced, and their long-term livelihoods shall be secured. In general, five main resettlement modes are available to land-expropriated farmers: agricultural production, reemployment, equity participation, non-local resettlement (Guidelines on Improving the Compensation and Resettlement System for Land Acquisition (MLR [2004] No.238), and endowment insurance (Article 48 of the Land Administration Law (2020), etc.). In addition to the above five modes, state policies, such as the Notice on Doing a Good Job in Employment Training and Social Security for Land-expropriated Farmers (SC [2006] No.29), also requires that local government shall establish a social security system suited to the characteristics and needs of land-expropriated farmers, secure employment training and social security funds, promote land-expropriated farmers to get employed and be incorporated into urban society, and ensure that the living standard of land-expropriated farmers is not reduced due to land acquisition, and their long-term livelihoods are secured. For eligible land-expropriated farmers, employment and startup supporting policies shall be implemented, occupational training should be further strengthened, and public employment services should be improved to promote their employment and startup. For example, according to the Guidelines of Hubei Provincial Government on Basic Endowment Insurance for Land-lost Farmers (HPPG [2014] No. 53), land-lost farmers shall have access to the basic endowment insurance if: 1) their contracted land is legally acquired by governments at or above county level; 2) they have the Rural Land Contract or the Certificate of Contractual Right of Rural Land in hand when their land is acquired; 3) they are registered permanent residents at the place where the acquired land is located; 4) the area of cultivated land per capita is 0.3 mu or less after the land acquisition; and 5) they are 16 years old or older. Below are compensation rates for basic endowment insurance of land-lost farmers in Hubei Province: governments at or above county level provide land-lost farmers with one-off compensation no less than three times the annual per capita net income of rural residents in the city or prefecture where the land is acquired; land-lost farmers who are 60 years old or older are entitled to such one-off compensation in full amount; for land-lost farmers under the age of 60 (16 to 59 years old), the

amount of compensation shall be 1% lower than the aforesaid full amount for every 1 year of difference between their actual age and the baseline age (60 years old).

185. In terms of expropriation of house on state-owned land, the following measures are developed to ensure their livelihood: 1) cash compensation or property swap. If affected people choose property swap, the municipal or county level government shall provide houses reconstructed on or nearby the occupied state-owned land before the delivery of houses using for property swap, the housing expropriation department shall pay the temporary resettlement fee or provide a swing house to the affected people; 2) government-subsidized housing will be provided to those who meet the conditions of urban affordable housing security in priority; 3) if the building area of the expropriated house is less than the local minimum compensation building area and is the only housing of the affected people, compensation shall be made not less than the value of local minimum compensation building area; 4) the compensation for losses caused by business closure due to the expropriation of houses can be determined through negotiation between the housing expropriation department and the affected people or market appraisal. If the expropriated property has a leasing relationship, compensation for losses caused by business suspension and compensation for the value of indoor decoration shall be distributed to the business operator according to the agreement between property user and the property owner. In terms of the potential roadside business affected by the construction of public transport system in urban areas, the Civil Code stipulated in Article 238 that where a real right is infringed upon and damage is thus caused, the right holder may, in accordance with law, request the infringing person to pay damages or near other civil liabilities. In addition, it is stipulated in Article 1186 that where neither the victim nor the actor is at fault for the occurrence of the damage, losses shall be shared by both parties in accordance with the provisions of law. Thus, the construction of public transport system benefits the general public and the roadside business owners are obliged to stand the short-term disturbance and provide necessary cooperation. However, if the business is seriously affected, the business owner may request compensation according to law.

186. **(v) Policy arrangements for infrastructure restoration:** For potential infrastructure impacts arising from land acquisition and house demolition, the Land Administration Law and the Regulations for the Implementation of the Land Administration Law stipulate, after the land acquisition plan is approved and announced, the county government shall organize a land details measurement survey within the range of land acquisition and disclose the results to the public for at least 30 days. Article 47 of the new Land Administration Law (2020) stipulates, "For rural residential houses, fair and reasonable compensation shall be provided on the principle of compensation before relocation and residential condition improvement,"

187. **(vi) Information disclosure, public participation and informed decision-making:** Public participation runs through the whole project lifecycle and is an important measure to ensure the success of LAR activities. The MNR issued the Standard Guidelines for Grass-root Government Affairs Disclosure in Rural Collective Land Acquisition in June 2019 and the Hubei NRPB issued the Notice of Interim Provisions on the Procedures for Land Acquisition in Hubei Province (HNRB [2020] No. 38) in December 2020, sorting out matters to be disclosed, regulating the disclosure process, and improving modes of disclosure to protect the people's rights of information, participation, expression, and supervision practically. The main objectives of public participation at different stages of LAR are as follows:

- During option argumentation and comparison, the project owner and design agency shall conduct meaningful consultation with affected people and other stakeholders and improve the engineering measures and determine the range of land use based on feedback, thereby evading sensitive objects and minimizing LAR impacts.
- Participation at the DMS stage includes land acquisition announcement, DMS publicity, participation in the DMS, and confirmation, disclosure and review of DMS results.
- At the SSRA stage, meaningful consultation will be conducted with stakeholders to assess potential major social risks arising from land acquisition and house demolition, including other major risks that are not directly related to but may materially affect the project.

- During the drafting of the compensation plan, the plan should be disclosed to collect comments from affected people, and a public hearing held when necessary.
- Public participation at the implementation stage mainly includes information disclosure about livelihood restoration, living arrangements, allocation and utilization of compensation funds, etc., and actively seeking and soliciting the opinions of affected people, negotiations, and reaching agreements.

188. **Assessment:** China has established a complete legal framework and policy system on land acquisition, house demolition, resettlement, and compensation. The implementation of rural land acquisition and house demolition is based mainly on the Land Administration Law (2020), the measures for the implementation of the Land Administration Law of Hubei province, and relevant compensation rates. Urban house demolition is based mainly on the Regulations on the Expropriation of Houses on State-owned Land and Compensation (2011). The Land Administration Law that was amended on August 26, 2019, and came into effect on January 1, 2020 has substantively coordinated the practices of land acquisition and house demolition in rural and urban areas. The new Land Administration Law defines the scope of land acquisition for public welfare undertakings, strengthens preparatory risk management for land acquisition, and emphasizes information disclosure and public participation (including public hearings) in land acquisition and house demolition, and requires that an agreement shall be signed with the landowner and user before application for land approval, and compensation and resettlement funds should be arranged in advance. The new law requires that land acquisition compensation rates shall be determined based on block comprehensive land prices, and adjusted or reissued at least every three years, and that fair and reasonable compensation shall be granted for land acquisition to ensure that the living standard of the affected farmers is not reduced. Therefore, the new Land Administration Law will protect the rights and interests of affected persons, ensure sustainable livelihoods and improve living conditions more effectively. In general, the LAR regulations are consistent with the requirements of Core Principle #4 and Element 9.

5.2.5 Core Principle #5: Management system for ethnic minorities and vulnerable groups

189. The three elements under Core Principle #5 are related to the social regulations system of The PforR Program. Consistency is analyzed below.

Element 10: Undertake meaningful consultations if the ethnic minorities are potentially affected (positively or negatively), to determine whether there is broad community support for the PforR Program activities.

190. **Policy requirements for ethnic minority consultation:** Hubei province is a multi-ethnic co-inhabited province with many ethnic minorities. According to the seventh national census in 2020, there were 2.7711 million ethnic minority people in Hubei Province, accounting for 4.8% of the total population, mainly include the long-dwelling ethnic minority groups like Tujia, Miao, Hui, Dong, Man, Mongolian and Bai living in the southwest autonomous areas of Hubei, Wushan city, and Jinzhou city. The PforR program is located in the core urban area of Yichang city, where ethnic minorities are living in a scattered and mixed manner with the Han. There will be no ethnic-concentrated areas involved. China's Constitution stipulates that all ethnic groups of China are equal. The Law of the People's Republic of China on Regional National Autonomy stipulates, in dealing with special issues concerning the various nationalities within its area, the organ of self-government of a national autonomous area must conduct full consultation with their representatives and respect their opinions; the organ of self-government of a national autonomous area shall guarantee that citizens of the various nationalities in the area enjoy the rights of citizens prescribed in the Constitution and shall educate them in the need to perform their duties as citizens. On this legal basis, when minority residents are affected similarly by land acquisition and house demolition, they will not only enjoy the same rights as citizens, but also be subject to free, prior and informed consultation in a culturally appropriate manner organized by local governments when necessary. In addition, ... the organ of self-government of a national autonomous area shall make independent arrangements for local capital construction projects in the light of local financial, physical and other conditions within the framework of national plans. When developing resources or carrying out construction projects in a national autonomy area, the state shall protect its interests, make arrangements favorable to its economic development, and local minority residents' production and livelihoods. On the other hand,

according to the regulations on SSRA, at the feasibility study stage of a project, the PIU (or through an entrusted specialized agency) shall conduct a SSRA to identify impacts, propose mitigation measures, and prepare a SSRA report; if a government at or above the county level applies for land acquisition, a current status survey and a SSRA should be conducted. Each municipal or county government has formulated local policies according to the applicable regulations, such as the Opinions on the Implementation of Measures to Strengthen Social Stability Risk Assessment for Major Decisions under New Circumstances of Hubei Province promulgated by Hubei Provincial Committee of the CPC in December 2021.

191. **Assessment:** Comprehensive ethnic minority development policies have been established in China and Hubei province to respect minority opinions, ensure ethnic equality, and respect minority customs. The acquisition of ethnic minorities' contracted land must be carried out with the consent of each household and a written agreement must be signed with each household. It is consistent with Core Principle #5 and Element 10.

Element 11: Ensure that ethnic minorities can participate in devising opportunities to benefit from exploitation of customary resources and indigenous knowledge, the latter to include the consent of ethnic minorities.

192. **Policy basis for ethnic minority development:** The Law of the People's Republic of China on Regional National Autonomy stipulates, when developing resources or carrying out construction in a national autonomy area, the state shall protect its interests, make arrangements favorable to its economic development, and local minority residents' production and livelihoods, and include major ecological balance and environmental protection projects in the local national economic and social development plan. From the perspective of public consultation, the Interim Regulations on Major Administrative Decision-making Procedures stipulate, when developing major economic and social development plans, and determining major local infrastructure projects, prior public participation shall be conducted, and also make systematic provisions on the schedule, form, process, recording, etc. of public participation. Based on the above regulations, five-year development plans for ethnic minority programs have been prepared in Hubei province. For example, the 14th Five-Year Plan of Hubei Province for High Quality Development of Ethnic Affairs (2022.1) was promulgated in January 2022, setting 18 concrete objectives of 4 categories (including promoting ethical values, achieving common prosperity and development, creating a good life for all, and advancing exchanges and integration between different nationalities) and specifying 8 key projects to enhance the sense of community of the Chinese nation, promote integrated and innovative development of green industries in ethnic minority areas, offer key support to rural revitalization, and construct a big data management platform for ethnic and religious affairs.

193. **Assessment:** Both central and Hubei governments make top-down systematic planning and arrangement in ethnic minority development to create job opportunities for minority residents and improve their living standard and it's required to conduct prior public consultation for relevant plans and projects in accordance with the Interim Regulations on Major Administrative Decision-making Procedures. This is consistent with Core Principle #5 and Element 11.

Element 12: Give attention to groups vulnerable to hardship or discrimination, including, as relevant, the poor, the disabled, women and children, the elderly, ethnic minorities, racial groups, or other marginalized groups; and if necessary, take special measures to promote equitable access to PforR Program benefits.

194. **Poverty and poverty reduction systems:** China has achieved an all-round poverty alleviation in 2020 and currently focus on those who are at risk of returning to poverty due to various reasons, like household who just have been out of poverty, general farmers, and those in difficulties due to sudden increasing of rigid expenditure or reduce of income caused by emergencies. Correspondingly, the General Office of the CPC Central Committee and the State Council issued the Opinions on Reforming and Improving the Social Assistance System (ZBF [2020] No. 18) in August 2020, requiring developing the social assistance system in a coordinated manner to consolidate our achievements in poverty alleviation, and safeguarding the bottom line of people's basic livelihood. Minimum living subsidies (MLS) shall be provided to the family whose per capita income of family members living together is lower than the local minimum standard of living security and conforms to the provisions of property status. Assistance and support subsidies for persons in extreme poverty

shall be provided to elderly people, disabled people and minors in urban and rural areas who are unable to work, have no source of income, and cannot appoint the obligatory persons to support and raise them, or whose statutory obligatory persons are incapable of performing their obligations. At the same time, corresponding medical, housing, education, employment and other special social assistance shall be provided according to the actual needs. For example, special social assistance such as medical care, housing, education and employment or other necessary assistance measures shall be provided to low-income families that do not qualify for subsistence allowances or subsistence allowances and families that have serious difficulties in basic living due to high rigid expenditures. emergency social assistance shall be provided to families or individuals suffering from emergencies, accidental injuries, serious diseases, affected by public health emergencies such as infectious diseases, or other special reasons that lead to temporary difficulties in basic life, as well as people who are temporarily stranded or homeless. In case of natural disasters, assistance shall be given to the victims. On such a basis, provincial implementation opinions were promulgated in Hubei province. Urban and rural MLS standards and subsidy standards for people in extreme hardship are fixed by local governments at or above the county level and vary from place to place. In 2022, the average urban MLS standard is 700 yuan per month per person, and the average rural MLS standard is 6,236 yuan per annum per person, the subsidy for urban extreme poor people in urban and rural area is 16,807yuan/person/year and 11,990yuan/person/year respectively in Hubei Province.

195. The 14th Five-Year Plan of Hubei Province for the Development of Civil Affairs (2021.10.29) requires that high-quality development of civil affairs commensurate with economic and social development of Hubei Province shall be achieved by 2025: 1) basic living standards of the people shall be significantly improved by promoting the tiered and classified social assistance system underpinned by basic living assistance, social assistance for special purposes and temporary assistance in emergencies and disasters with the support of private sectors, upgrading assistance management services, putting policies in place effectively to protect orphans and de facto orphans, and further enhancing mechanisms concerning living subsidies for the financially-challenged disabled population, nursing care allowances for the severely disabled and social welfare for the elderly; and 2) the quality of basic social services shall be improved markedly by coordinating home-based and community elderly service providers, promoting the integration of medical and health care for the elderly, optimizing the supply structure and quality of elderly care services, improving the social care service system, strengthening government purchase of social services, engaging more private professional market players, improving the quality and efficiency of comprehensive marriage services, and further standardizing adoption of children. Below are the key objectives to be achieved by 2025: the annual growth rate of MLS in rural areas shall be no lower than that of per capita consumption expenditure of the previous year; the MLS standard in rural areas accounts for more than 75% of that in urban areas; living subsidies are provided to all financially-challenged disabled people; nursing care allowances are offered to all severely disabled people; trans-provincial marriage registration is fully achieved; all vagrants and beggars with known identity information are returned to their homes; nonprofit cremains burying (storage) facilities are available in all counties; at least 60% of beds in elderly care institutions meet requirements for nursing care; comprehensive elderly care institutions are accessible in 60% of townships (sub-districts); minor protection centers are available in 50% of townships (sub-districts); the number of social service professionals stands at 80,000; volunteer service centers account for 80% of comprehensive community service facilities; the area of comprehensive community service facilities accessible by every 100 residents tops 30 square meters; and the number of full-time employees of social organizations reaches 400,000.

196. **Protection of women's rights and interests:** As for gender equality and women's development, the Law of the People's Republic of China on the Protection of Women's Rights and Interests (2018 Amendment) requires that women's lawful rights and interests shall be protected, and gender equality promoted, and defines the state shall ensure that women enjoy the same labor and social security rights as men. For example, this law stipulates that woman enjoy the same rights as men in rural land contracting, distribution of the income of collective economic organizations, compensation for land acquisition or land occupation, and housing plot land, etc. No organization or individual is allowed to infringe on women's rights in the rural collective economic organizations due to non-married, marriage, divorce and widowers. In September 2022, the State Council promulgated the Outline for Women's Development in China (2021-2030), specifies the following goals: gender

equality is practically put in place as a basic state policy to advance innovation in systems and mechanisms of promoting gender equality and women's all-round development shall be improved; women shall be entitled to all-round, whole-lifecycle health services to improve their health level continually; women enjoy equal rights of education to continually improve their quality and ability; women enjoy equal economic rights to steadily improve their economic status; women enjoy equal political rights to gradually improve their participation in the management of state and economic, cultural and social affairs. Women enjoy multi-level and sustainable social security as equals, and their treatment level be steadily improved. The system of laws and regulations supporting family development be more completed to widely promote the new fashion of socialist family civilization. The concept of gender equality should be greater popularized to improve the development environment for women. A more sound legal framework is established to effectively protect women's legitimate rights and interests; and women's sense of gain, happiness and security is increased significantly.

197. The Plan of Hubei Province for Women's Development (2021-2030) (2021.12.25) explicitly specifies main goals of women's development by 2030 and makes explicit provisions on assessment indicators and supporting measures in 8 aspects such as health, education, economy, participation in decision making and administration, social security, family development, environment, and law.

198. **Child protection:** The Law of the Peoples Republic of China on the Protection of Minors (2020 Amendment) stipulates that minors shall enjoy all rights equally in accordance with the law, regardless of the nationality, race, gender, household registration, occupation, religious belief, education level, family status, physical and mental health of themselves or their parents or other guardians. The law makes detailed provisions on family, school, social, network, government and judicial protection for the minors. The Plan of Hubei Province for Children's Development (2021-2030) (2021.12.25) specifies main goals of child development by 2030 and supporting measures in health, safety, education, welfare, family, environment, and legal protection, etc., and establishes the annual monitoring, mid-term evaluation, and final evaluation mechanism for the achievement of such goals.

199. **Assessment:** Based on the above analysis, there are systematic plans, measures and institutional arrangements on the development, and rights and interests protection of vulnerable groups, women and children in China and Hubei province, ensuring that all relevant groups participate in the project equally, and benefit from projects fairly. Therefore, the policies on vulnerable groups and women are consistent with Core Principle #5 and Element 12.

5.2.6 Core Principle #6: Social conflict management system

200. **Element 13** requires that conflict risks be considered, including distributional equity and cultural sensitiveness, and is not related to the PforR in general. In addition, based on the analysis of Core Principle #1 and Element 1, China manages social risks and impacts comprehensively through social stability risk analysis. Therefore, the PforR will not exacerbate local social conflict.

5.3 Assessment of Social Management Mechanism and Capacity

201. Elements 1 and 2 under Core Principle #1 in the PforR ESSA Guidance propose principled requirements for the responsibilities and capacity of the social agencies of the PIUs, which requires the responsible agencies to commit all necessary resource inputs and appropriate measures to manage social risks (**Element 1**). On the other hand, it is also required that impact assessment and management requirements should establish clear requirements on organizational responsibilities and resources, thereby supporting the implementation of relevant plans (**Aspect V under Element 2**).

202. As shown in **Error! Reference source not found.**, the provincial, municipal, and district/county authorities in Hubei province have established clear management agencies for different social risks, which have been equipped with qualified staff. This section analyzes the organizational setup of the social management system and assesses if the organizational settings are rational and needs for improvement. It is discussed through two levels: First, the organizational settings of each social management system; second, the rationality and capacity of each social management system against the requirements at Elements 1 and 2 under Core Principle #1. Where gaps identified, actions and recommendations will be proposed. This section will assess the roles

and responsibilities of each administrative agency, working regulations/procedures, staffing and capacity, cross-departmental coordination, etc. through adequate consultation. It is observed the number of staffing is tens of staff for provincial, municipal and district/county level department. The staff number of departments are not exactly the same in different areas and decided through official documents and procedures to allocate/maintain human and other resources for meeting the dynamic demand. For different social risks, the corresponding organizations or organizational groups are assessed and analyzed in this section. Table 4-1 in **Error! Reference source not found.** sets out detailed stakeholder analysis conclusions, including the responsibilities of different government authorities involved in different types of activities, and results of authority interviews under the social management system.

5.3.1 Social risk assessment management agencies⁸

- **Provincial DRC:** approving major fixed asset investment projects based on social stability risks and other documents relevant (attaching the SSRA report and review comments when applying for FSR approval). Formulating pricing policies and standards of public services.
- **Provincial PLAC:** coordinating, supervising and directing SSRA. Instructing the subjects of decision making and assessment to convene different political and legal affairs committees, and authorities for cross-regional / departmental projects.
- **District/county government:** conducting district/county-wide social stability risk assessment, decision-making, implementation, and supervision, and it is where the SSRA report is discussed and approved in the meeting of the standing committee of the district/county CPC, the meeting of government executive committee, or the meeting of the Party and the government leadership team.
- **District/county DRC:** formulating local pricing policies of public service under the framework of provincial pricing policies.
- **District/county PLACs:** reviewing and registering the SSRA report, and supervising the work of the subjects of assessment.
- **Assessor:** conducting or appointing an independent appraisal agency to conduct SSRA, and implementing SSRA measures.
- **Independent appraisal agency:** attending SSRA training and reviews organized by NDRC and getting registered at the provincial PLAC in advance.

203. For example, the **Wujiagang PLAC in Yichang city** has established a social stability supervision office (1 staff), and the **Yiling PLAC in Yichang city** has established a social stability guidance office (3 staff), responsible for directing subjects of assessment to conduct SSRA on major decisions and construction projects, providing policy advice and guidance, and supervising subjects of assessment to implement risk mitigation measures which formulated in the SSRA reports, coordinating and handling of major issues which may affect social stability, preventing and resolving social conflicts and incidents with potential social stability risks, investigating contradictions, regularly analyzing social stability situations and stability maintenance evaluation mechanism, studying and putting forward countermeasures. The assessment subjects and third-party institutions shall carry out SSRA of major decisions according to the requirements of related laws and regulations, and accurately classify the risk levels of projects; The assessment subject shall review the assessment report and procedures strictly, and issue a letter of application for record after confirming the risk assessment results, sign it by the person in charge of the local unit and submit it to the Municipal Political and Legal Committee for record. After reviewing the content of SSRA, the Municipal Political and Legal Committee shall make a record and issue a letter of confirmation.

204. **Assessment:** The state and local regulations clearly stipulate responsibilities for the agencies concerned and their manning quotas, and the related authorities of Hubei province (PLAC) require that staff concerned should attend relevant training. In addition, sufficient budgets should be available during SSRA to ensure that relevant measures can be implemented. although the project

⁸ This section summarizes the responsibilities of the relevant agencies related to program social risk management, which may not be all responsibilities of the government authorities concerned.

risk control measures are implemented by the assessor and supervised by the district/county authorities, various authorities are involved for different social risks. For example, the natural resources authority supervises land acquisition and house demolition compensation and resettlement in rural areas only, the HURDBs supervise the house demolition in urban areas, while for other social risks, such as public participation in site selection, is supervised by another agency, like the PCPBs. Therefore, the SSRA mechanisms of Hubei province are effective, and consistent with the Bank policy.

5.3.2 Cultural relic protection agencies

- **Provincial culture and tourism department (Provincial cultural heritage bureau):** coordinating and directing cultural relics investigation, protection and utilization, archeology, and major project implementation through the cultural relics protection division.
- **Municipal, district/county government:** responsible for the territorial management of cultural relics safety.
- **Municipal, district/county cultural relics authority:** coordinating and directing cultural relics protection, conducting administrative law enforcement for cultural relics, assisting the competent authority in reviewing projects involving cultural relics protection, supporting the superior cultural relics and archeological authority in conducting cultural relics investigation and exploration, and archeological excavation. where any cultural relics burial area cannot be avoided in site selection, the provincial cultural heritage bureau shall organize the archeological excavation agency to conduct cultural relics investigation and exploration at the expense of the project owner.
- **Municipal, district/county development and reform commission:** organizing feasibility study review for construction projects and seek opinions from cultural heritage bureau, to ensure the project design does not affect cultural relics.
- **NRPB:** defining the range of cultural relics protection and construction control area during the national land spatial planning and integrating into the “one-map” of national spatial planning; seeking the opinions of the cultural relics authorities in accordance with the law and regulations during the formulation of local planning and project site selection.

205. For example, in **Yiling District of Yichang City**, the Yiling District Cultural and Tourism Bureau (Yiling District Cultural Heritage Bureau) is responsible for the protection of intangible and tangible cultural heritage throughout the district. They also provide guidance and management for cultural relics and museums in the entire district. This bureau includes a Cultural Relics Division (1 person) and a Cultural Relics Management Office (8 persons). If cultural relics are found during the project construction, the construction unit will report to the district cultural relics authorities, which will, in turn, further report to the Cultural Relics Division of the Yichang municipal CTB (3 staff), and then the municipal CTB will coordinates with the Yichang Museum for on-site handling and the development of cultural relic protection measures. Xiling and Wujiagang districts do not have separate cultural relics offices because they are located in the core urban area of Yichang city, and the Cultural Relics Division of the municipal CTB is responsible for the protection of the relevant cultural relics.

206. **Assessment:** For potential adverse impacts on material cultural heritage, there are state and local regulations to avoid or minimize such impacts. The existing state and local authorities are capable to manage cultural relic risks effectively, consistent with Core Principle #2.

5.3.3 Land acquisition and house demolition Agencies

- **Land use approval agencies:**
 - **MNR:** reviewing project-specific basic farmland and ecological conservation redline acquisition, supervising the management of national land.
 - **Provincial NRPBs:** reviewing project-specific permanent acquisition of collective land (except basic farmland and ecological conservation redline);
 - **Municipal and District/County NRPBs:** accepting land use applications for construction projects, directing the PIUs to prepare necessary land approval application documents, and

submitting such documents to the competent government.

- **People' Government at and above the County Level:** approving land use within corresponding authority.
- **Land acquisition**
 - **County or above NRPBs or land acquisition and house demolition authority:** implementing the applicable laws and regulations, drafting the local land utilization plan, directing land users to submit land use application materials, and reviewing and submitting such materials to the higher level authority; establishing a leading group for land acquisition and house demolition compensation and resettlement; entrusting the land and house expropriation department to take the lead, and local township people's governments and communities to cooperate with the third party to carry out SSRA and survey and mapping, especially land status survey, household visits, policy publicity, resettlement measures discussion, grievance handling, etc.; disclosing relevant land acquisition pre-announcement; drafting a compensation and resettlement plan at the municipal or county level; organizing public hearings on land acquisition and house demolition; signing land acquisition agreements with affected persons or entities, and disclosing land acquisition announcement, conducting land acquisition, compensation and resettlement after obtaining approval.
 - **Township government and village committee:** participating in and supporting land acquisition and house demolition, especially DMS, door-to-door visit, policies publicity and communication, resettlement measure discussion, grievance redress, etc.
 - **District/county HRSSBs:** Population with a per capita cultivated area below the specified level after LA will be subject to social security. Usually, the application for covering by social security is raised by the expropriated farmers, discussed by the village collective economic organization, verified by township government or sub-district office and publicized for seven days, reviewed by the natural resources department in conjunction with the public security department, approved by the local government, then the subsidy funds will be allocated by the local finance bureau, and finally registered by the HRSSB. Land-expropriated farmers may cover basic endowment insurance for urban workers, or basic endowment insurance for urban and rural residents voluntarily.
 - **Third-party appraisal agency:** A qualified real estate appraisal agency will be appointed by the affected village or community under the direction of the natural resources authority to appraise house compensation rates, where relevant.
 - **Finance bureau:** preparing necessary budgetary funds according to the resettlement budget submitted by the NRPBs and land user.
 - **Audit bureau:** auditing resettlement costs regularly according to the statutory process and giving opinions.

207. **For example, in Xiling District, Yichang City,** the Land Use Control Office (4 staff) of the district NRPB is responsible for collective land acquisition. Regarding to land and ground attachments acquisition for a specific project, the Land Use Control Office forms a land acquisition management team jointly with the competent authority, township government and village committee. For example, when the TB is in charge of a bus terminals or bus depots which involves permanent land acquisition of collective land, the TB would be the competent authority and the representatives of township government and village committee where the bus terminals or bus depots located would be members of the team. Such team usually has 5-10 staff members, depending on project size. If house demolition is involved, the Land Use Control Office will engage a third-party real estate appraisal agency to appraise the house value and issue an appraisal report. The whole LAR procedure is: the PIU entrusts the land acquisition task to NRPB first, then the NRPB issues a land acquisition announcement, conducts a detailed measurement survey and appraisal, starts the SSRA, discloses the DMS results and verifies per requests received, and finally re-discloses the DMS results. The land compensation and resettlement plan would also be disclosed at the stage. After that, pre-land acquisition agreement negotiation and signature can be initiated. when all the above activities completed, submits relevant documents to Provincial NRPB for approval. After getting approval, the PIU disburses funds to the county finance bureau (land compensation fee), and

HRSSB (endowment insurance) according to the agreement for further disbursement to the affected households, and the HRSSB will proceed endowment insurance for the affected households.

■ **Temporary land use**

- **National and provincial NRPBs, and Agricultural and Rural Affairs Bureaus (ARABs):** studying and formulating TLU management policies, deploying TLU supervision and random inspection.
- **Municipal NRPBs, and ARABs:** examining, approving and managing the TLU when cultivated land and permanent basic farmland involved.
- **District/county NRPBs, and ARABs:** responsible for the approval and routine supervision of other TLU without cultivated land and permanent basic farmland being involved, supervising the land users to perform land restoration according to law, uploading TLU related information and documents like approvals, agreements, location, photos of current land status onto the TLU data system, disclosing the TLU information to the public and timely updating the TLU restoration information in the system.
- **Rural collective economic organization:** supervise whether the TLU applicants use the land and fulfill the responsibility of land restoration in accordance with the agreement.

■ **State-owned land allocation**

- **Municipal, district/county government:** review and approve the decision on state-owned land allocation.
- **Municipal, district/county NRPBs:** issue the construction land use planning permit and state-owned land allocation notice.

208. **Assessment:** China has established a sophisticated organizational structure for land acquisition, TLU and state-owned land allocation management from county level to township and village level with responsibilities clearly defined. The Land Administration Law requires that land occupied or used for projects shall be compensated for before occupation or use, and the finance and audit bureaus shall review the budget regularly. In addition, during the survey, it's found that the competent authorities implement or participate in land acquisition or occupation, TLU, compensation and resettlement for several different types of projects every year, and they have rich experience to implement and manage land acquisition and compensation, consistent with Core Principle #4.

■ **Livelihood restoration**

- Livelihood restoration measures are flexible, including agricultural resettlement, reemployment, shares resettlement with assets, relocation, social security, property swap, etc., which involve different management agencies. Specifically, **agricultural resettlement** is usually conducted by the village collective economic organization based on the land status and villagers opinions, which may decide to allocate undistributed collective land to households affected by land acquisition, or conduct land reallocation if no undistributed collective land is available; **reemployment** is chosen by affected households based on their own needs, where free training and employment support are provided by the county labor and employment authority; **shares resettlement** is determined by the PIU in consultation with affected households; **relocation** is requested by the affected households for new land farming at other areas, and decided by local governments after assess and consult with the host village collective economic organizations; **social security for land-expropriated farmers** is implemented by the county human resources and social security authority with the support of the township government and village / community committee. **Property swap** is chosen by the affected households which are physically displaced based on their own needs where there is an option of resettlement housing provided by local government. For temporary economic loss caused by the construction of public facilities, it's negotiated between the affected people and PIU for compensation or suit to court. Livelihood restoration will be discussed in detail in Section 5.4.4, including case sharing, based on field visit and consultation results.

209. **Assessment:** Livelihood restoration is part of LAR. Different livelihood restoration

measures involve different implementing agencies, such as village collectives, social security authorities, employment authorities, and enterprises, which have clearly defined responsibilities. Public finance supports the implementation of these measures. In addition, different livelihood restoration measures have different funding sources. For example, in terms of shares resettlement, it is determined through the agreement reached between the land user and the village committee or villagers. Livelihood restoration measures can be well implemented in practice due to rich experience and sound regulations on measures, organizational structures and fund arrangements, consistent with Element 9 under Core Principle #4.

5.3.4 Public and worker health and safety, and emergency engagement agencies

1) Worker health and safety

- **National Health Commission and Disease Control and Prevention Department:** preparing, adjusting, and disclosing classes and catalogs of occupational diseases, and supervising national occupational disease prevention and treatment.
- **Provincial Health Commission:** formulating and implementing policies and standards related to occupational health and radiological health, carrying out monitoring of key occupational diseases, special investigations, occupational health risk assessment and health management of occupational populations, and coordinating the prevention and control of occupational diseases.
- **Provincial Prevention and Treatment Institute for Occupational Diseases or Disease Control and Prevention Center:** providing technical guidance, training and quality control for the province's prevention and control work.
- **Municipal, district/county HCs:** supervising, managing, and implementing the work related to local occupational health prevention and treatment, and ensuring that workers receive occupational health and safety rights according to law.
- **Municipal, district/county HRSSBs:** managing work-related injury insurance, establishing a tripartite mechanism in labor relations with trade unions and enterprises to solve relevant major issues.
- **Occupational health review agency:** obtaining a practicing license and registering in the provincial health commission, where medical practitioner and nurses for registered types and items of occupational health review should be equipped and at least one licensed physician with occupational disease diagnosis qualification is required.
- **Trade union:** directing workers and employers to enter into and perform employment contracts and establish a collective bargaining mechanism to protect the lawful rights and interests of workers.
- **Women's federation:** women's federation at or above the county level is responsible for the work of women and children affairs and coordinating competent authorities to protect women's rights and interests.

210. HCs of different districts have a similar organizational structure. For example, in Yichang City, three organizations under the health commission are responsible for health management: 1) integrated supervision and occupational health office of Health Commission; 2) supervision section IV of integrated supervision and law enforcement brigade of Health and Family Planning Commission; 3) disease prevention and control center. The total staff number of occupational health supervision team is about 40 persons. At the same time, public medical institutions qualified for occupational health examination are set up in Yichang city, including Jiahe Hospital and Yiling Hongren Treatment Hospital.

- **Integrated supervision and occupational health office (2 staff):** formulating and implementing policies and standards related to occupational health and radiation health in the city; carrying out key occupational disease monitoring, special investigation, occupational health risk assessment and working groups health management; coordinating and carrying out the prevention and control of occupational diseases.
- **Supervision section IV of integrated supervision and law enforcement brigade (4 staff**

members): supervising and inspecting the implementation of management measures by the employer where occupational-disease-inductive factors exist; supervising and managing the occupational-health inspection institutions, occupational-disease-diagnosis institutions and occupational-health technical service institutions within the jurisdiction; investigating and handling occupational-disease-inductive accidents and occupational health violations; and publicizing laws and regulations on occupational health management.

- **Disease prevention and control center:** classifying corporate hazards into five categories (pneumoconiosis, chemical, biological, physical, and radioactive factors), and providing necessary technical supports to enterprises annually; monitoring of occupational disease hazards in the workplace, monitoring of key occupational diseases, occupational health examinations, etc.
- **Jiahe Hospital and Yiling Hongren Treatment Hospital:** providing pre-job, on-the-job and post-job occupational health examinations for relevant workers of enterprises with toxic and hazardous factors and taking measures accordingly. If there is a health problem, the enterprise and the employee shall be informed in writing and the enterprise shall not set the post, or if the employee is sick on the post, the enterprise shall transfer his position and provide treatment.

2) Safety Management

- **Production / operation entity:** The key leader, e.g., the legal person, is responsible comprehensively for its work safety, and the trade union shall supervise work safety.
- **Hazardous chemicals production / operation / storage agency:** setting up a work safety management agency or appointing full-time work safety staff.
- **Emergency Management authority:** instructing local departments to respond to emergencies cases such as production safety and natural disasters, and to work on comprehensive disaster prevention, reduction, and response, being responsible for the comprehensive supervision and administration of production safety.

211. In both Hubei province and Yichang city, a work safety mechanism is in place, featuring the leadership of production and operation entities, participation of by workers, supervision by the government and public, and self-discipline by the industry. Safety education covers all people, and work safety trainings are provided to each level of government official.

3) Natural disaster emergency engagement

- **Provincial disaster reduction commission:** It is the natural disaster rescue and response agency of the provincial government, established at the provincial emergency management department, with members being the provincial emergency management department, finance department, and other competent authorities, such as the ARABs, NRPBs, HURDBs, EEBs, statistics bureau, meteorological bureau, earthquake bureau, HCs, broadcast and television bureau, red cross, communication bureau, and fire brigade. The provincial disaster early warning and response system is launched based on assessment, and after it is launched, the provincial disaster reduction commission starts its working mechanism immediately to organize and coordinate emergency warning and response activities, such as post-disaster relief and reconstruction, including transitional living assistance, winter and spring relief, recovery and reconstruction of damaged houses, etc.
- **Municipal, district/county government:** When a natural disaster occurs, the local disaster early warning and response system is launched based on assessment. For natural disasters that may affect several areas, the provincial disaster reduction office will make an analysis and assessment based on the disaster monitoring and forecast information provided by relevant departments and the natural conditions, population and social and economic conditions of relevant areas, and decide to launch a provincial-level disaster early warning and response.

212. **Assessment:** For natural disaster management, Hubei province, Yichang city and each district/county have defined departmental responsibilities, and can manage sudden natural disasters effectively, consistent with Element 8 under Core Principle #3.

5.3.5 Ethnic affairs management agencies

- **Provincial ethnic affairs authorities:** developing the provincial minority development plan as required by the provincial government, protecting the lawful rights and interests of minority residents, and supervising relevant work of protection of ethnic minorities' rights and interests. coordinating and promoting relevant departments to perform their duties related to ethnic affairs, promoting the implementation and integration of ethnic policies in the fields related to economic development and social affairs; formulating and supervising the implementation of special plans for ethnic minorities affairs, participating in drafting development plans for ethnic minorities and ethnic minority areas in economic and social fields; promoting the establishment and improvement of a comprehensive evaluation and monitoring system for the development of ethnic minority affairs; studying the problems of economic and social development of ethnic minorities and ethnic minority areas and developing special policy suggestions, participating in the coordination of scientific and technological development, economic and technological cooperation in ethnic minority areas, participating in drawing up plans for the talent training of ethnic minorities, and assisting relevant departments in the training, education and employment of ethnic minority officials.
- **Municipal ethnic affairs authorities:** implementing policies, laws and regulations, and provincial and municipal decisions on ethnic and religious work; drafting local regulations on ethnic and religious affairs; formulating relevant policies and plans, and supervising their implementation; directing and improving the institutional construction for the implementation of national regional autonomy to protect the lawful rights and interests of minority residents; drafting development plans for minority officials and talents, and studying, managing and directing relevant policy advices.
- **District/county ethnic affairs authorities:** identifying district/county minority population, applying for ethnic minority development projects, cultivating minority officials and developing the annual target indicators for minority officials training.

213. **Assessment:** Departmental responsibilities for economic and social development, and minority official training in minority areas have been defined at the provincial, municipal and district/county levels, consistent with Core Principle #5.

5.3.6 Vulnerable group protection agencies

214. Rural revitalization bureaus (RRB), women's federations, and civil affairs bureaus (CAB) have been established, and poverty reduction and vulnerable groups supporting policies and plans developed at the national, provincial, municipal and district/county levels to plan and manage low-income people assistance, women and children's development, the disabled, left-behind old people and minors, etc. in a unified manner. All authorities have appropriate staff and budgets, and evaluation mechanism for their performance.

- **Civil Affairs Bureau:** managing affairs related to old people and left-behind (distressed) minors needing assistance, including conducting survey, statistics, filing and recording, establishing a local management mechanism for left-behind (distressed) minors and a local old-age care mechanism, and securing funds.
- **Women's federation:** guiding women to play a unique role in production and life, and protecting the lawful rights and interests of women and children, providing assistance to aggrieved women and children, building family civilization, etc.
- **Disabled persons' federation (DPF):** protecting the civil rights of the disabled, collecting their opinions and needs, mobilizing the public to understand, respect, care for and support them, and eliminate discrimination and obstacles, assisting the government in developing outlines for disabled persons' programs, promoting their rehabilitation, education, employment, rights protection, culture, sports, social security, IT application, disability prevention, etc. and improving the environment and conditions for their accessing to social life.
- **Rural Revitalization Bureau:** strengthening poverty alleviation outcomes, and preventing

re-improvement or additional improvement.

- **Township government and village / community committee:** A supervisor of left-behind (distressed) minors is appointed at the township level and a director for minors affairs is assigned at the village/community committee level, and a regional old age care service center and a women's federation office established at the township level, and a children's director appointed, and an old age care service station and women's federation chairman mechanism established in each village / community.

215. In Yichang city, the municipal Civil Affairs Bureau integrates government and social forces to comprehensively support and protect vulnerable groups such as the elderly, women and children. The social affairs and elderly care section, the elderly care service section, the social affairs and children welfare section or community welfare section are responsible for work on left-behind old people and minors, with 2-6 staff members. For example, in Wujiagang District of Yichang City, a social affairs and elderly care section has been established in CAB with responsibilities of implementing child protection policies and assistance standards, and the guidance of welfare and services for the elderly throughout the district, including formulating plans, policies and standards of welfare subsidy system and elderly care service system, coordinating and promoting the service for old people left behind in the rural areas, guide the management of old-age service and welfare institutions and extreme poor people assistance institutions in the district, distributing living subsidies, make adoption registration for orphans and virtually unsupported children and conduct left-behind children caring activities, and leading the protection of minors work in the district. By the end of 2022, there were 59,200 above 60 years and 40,600 people over 65 years in the district, among which, 52 of them were disabled or semi-disabled and in financial difficulties and 5 of them were left-behind old people in rural areas. There were 47,700 minors in the whole county, 5 of them were left-behind minors, 2 of them were orphans, 18 of them were children without sponsors. In addition, a leading group for the protection of minors was established by Xiling CAB to implement social work services for the care and protection of children in difficulties, left-behind children, and extracurricular specialties trainings; procurement of social service to carry out trainings to children's workers and awareness-raising services for the protection of minors throughout Xiling District, including specialized knowledge and practical skills trainings to children's supervisors and children's directors; working together with the township governments and community/village committees, where each of the 58 communities and 8 villages in 7 sub-districts has at least one official responsible for left-behind old people and minors, e.g., children welfare supervisor and director.

216. In each district/county, RRB is responsible for consolidating and expanding the efforts to effectively link the achievements in poverty alleviation with rural revitalization, with about 3-5 staff members. To improve the capacity of the rural revitalization system, Yichang City formulated an education and training plan for rural revitalization officials, including staff of the rural revitalization system, first secretaries and team members of the work team in villages, leaders of local party and government, industry departments, grass-roots officials in poverty-alleviation areas, secretaries of village party organizations, and heads of the party organizations of rural collective economic organizations and farmers' cooperatives, etc. In 2022, 418 trainings were provided, more than 4,464 person-times officials of rural revitalization system, 46,483 first secretaries and team members of the work team in villages, and 16,103 other village leaders were trained.

217. **Assessment:** There are competent authorities to manage different vulnerable groups in governments at all levels, such as poverty reduction offices or RRBs for poverty issues, DPF for disabled people, civil affairs bureaus for the left-behind old people and minors, and women's federations for women. These authorities are flexibly staffed and may engage extra staff as necessary in addition to their regular staff and secured with funds. Therefore, the state and local governments have clearly defined responsibilities in the rights protection of vulnerable groups, and their management capacity complies with Core Principle #5.

5.4 Assessment of Social Effects of Implementation

218. The assessment of social effects of implementation is mainly based on the information obtained from Yichang municipal and district government authorities and the investigation and understanding of the social risk management process and effects of previous similar typical activities. During the site survey, interviews were conducted with key stakeholders in all the districts visited to

cross-examine their attitudes toward and satisfaction with the implementation of related activities. Special attention was paid to analyzing the implementation of policies consistent with the World Bank's principles to assess whether the objectives set out in the core principles and elements can be met. Therefore, this section provides analysis and assessment against the six core principles and elements of social relevance.

5.4.1 Core Principle #1: Sustainable social risks management system

Element 1: Operate within an adequate legal and regulatory framework to guide E&S impact assessments, mitigation, management, and monitoring at the PforR Program level.

219. As discussed in detail in Section **Error! Reference source not found.**, there is a complete legal framework for social risk identification and assessment from national to provincial and city/county level. This includes the "Opinions on Strengthening the Construction of Social Stability Risk Assessment Mechanisms for Major Decisions in the New Situation" (ZBF [2021] No. 11) issued by the General Office of the CPC Central Committee and the General Office of the State Council at the national level, which is an updated version of (ZBF [2013] No. 17); the implementation opinions were formulated at provincial level based on national policy, for example, the General Office of Hubei Provincial Party Committee and Government issued the "Implementation Opinions on Strengthening the Social Stability Risk Assessment of Major Decisions under New Circumstances" (HG[2021] No.35), requiring that SSRA shall be conducted for any major decisions, engineering projects and events. Yichang City and its districts and counties are responsible for the specific implementation of the policy. In this regard, Yichang City has set up a municipal-level expert pool for SSRA of major decisions, which consists of representatives of the competent authorities of various industries, universities and research institutes, and public utilities, to enhance the socialization, specialization and scientific level of SSRA in Yichang City.

220. According to the PLAC of Yichang City and sample districts, the SSRA is usually conducted by the specific project implementation unit. As the project implementation unit, it usually hires a qualified consulting firm to conduct a SSRA and invites relevant industry experts to review the assessment report. In determining which projects require SSRA, the management requirements of relevant industry authorities or the indicators of major activities can be considered. Only SSRA reports that have passed expert review can be approved by county and municipal PLAC. For example, Yiling District approved SSRA reports for a total of 112 engineering projects between 2020 and 2022, and Xiling District approved SSRA reports for a total of 26 projects in 2021 and 2022, among which, two were transport related.

221. The PforR includes both physical civil works, such as 1) construction of bus lanes, 2) new construction of BRT corridor, 3) new construction and reconstruction of pedestrian walkways and urban greenways, 4) new construction of non-motorized transport system, and 5) new construction/reconstruction of transfer and connection hubs, bus terminals, and bus depots, etc., and non-physical activities, such as 1) promulgation of relevant policies and standards at provincial and local levels, 2) upgrading and optimization of public transport operation and service, 3) subsidy mechanism of public transport operation. According to the related policies and consultation with Yichang municipal and district level PLACs, SSAR is mandatory for physical activities that 1) involving land acquisition and house demolition, 2) has a significant impact on the ecological environment such as space, water bodies; 3) construct in densely populated areas and having a certain impact on the business and life of surrounding residents; and 4) other projects that may cause social instability. And SSAR is mandatory for any major administrative decisions, like policies and measures related to public services, market regulation, social governance, environmental protection, economic and social development plans, decisions on public facilities and other matters that have a substantial impact on economic and social development and public interests. The SSRA should be a separate report. Some activities that not required to conduct SSAR but FSR prepared, SSRA or social assessments usually presented as a chapter in the FSR report or equivalent design documents.

222. With regard to physical civil works under the PforR, through the survey of previous similar projects in sample districts of Yichang City, SSRAs have been carried out adhered to the relevant legal and regulatory frameworks, such as construction of major transport projects, comprehensive resources utilization facilities, and other related engineering projects. For instance, a dedicated

SSRA was conducted for the Yichang section of the Shanghai-Chongqing Expressway in 2023, approved by the Yiling District PLAC (refer to Fig 25 in Appendix 7). For projects not involving permanent land acquisition or housing demolition, or in cases where policy requirements did not explicitly necessitate a social impact and risk assessment, such as pedestrian walkways, urban greenways, and non-motorized transport system, assessments were either conducted in accordance with the technical specifications for SSRA or were analyzed during the project evaluation phase through feasibility studies or project designs. Specific management plans were then formulated accordingly. For example, in 2022, the Yichang City Urban Construction Project Management Center conducted a SSRA for the pedestrian overpass project at the Yichang City Central Hospital. This assessment encompassed a thorough investigation and analysis of potential social impacts and risks, as well as feedback from community residents associated with the project, including aspects like transport, safety, and economic losses. The levels of impact and risk were carefully assessed, and measures for risk mitigation and control were devised based on empirical investigation and residents comments to ensure the potential social risks are identified and managed.

223. For non-physical activities like policy formulation, significant administrative decisions on public services and public facilities, following introductions from Yichang City and selected sample districts, SSRA is mandatory. For example, in 2019, the Road Parking Management Center of Yichang municipal UMC commissioned a third-party to conduct SSRA for a project of re-charging temporary parking fee within the urban area of Yichang City. This assessment entailed an examination of the current parking situation in Yichang City, as well as opinions from various relevant industry regulatory bodies and representatives of neighboring residents regarding their perspectives on the project. Detailed analysis was performed concerning risks such as residents' objection, impracticality of temporary parking spaces, challenges in project initiation and operation, and deficiencies in the parking management regulatory framework. Mitigation measures were subsequently proposed.

224. However, activities that are normally with low social risks and not fall into the category of major project, major decisions, nor involving land acquisition or house demolition, or not required for a FSR, SSRAs are not required according to law. For example, small-scale civil works or non-administrative decisions, e.g., bus routes optimizing, bus service improvement, establishment of bus exclusive lanes (on existing bus routes), cycling lanes, social assessment is quite tentative depends on the project owner that some may conduct and some may not. According to the practice in the past, there were no SSRAs or no relevant contents of social impact assessment in project designs within the involved districts.

225. **Assessment:** According to site surveys and consultations in Yichang, in anticipation of potential social impacts associated with significant physical or non-physical projects, Yichang City and each district/county have formulated implementation plans and guidelines in accordance with national and local regulations, including SSRA and land use management systems, to ensure effective control of the corresponding risks. During the project preparation phase, project implementation units identified, screened, and evaluated potential social impacts and risks in the project construction and operational stages, as delineated in feasibility studies, SSRAs, or other relevant assessment documents. Corresponding plans for social impact and risk management and monitoring were developed. However, for some activities that not required to conduct SSRA, or FSR, lack adequate social impact assessment.

226. **Recommendation:** Carry out meaningful public consultation and information disclosure during the preparation and implementation stages of all activities under the PforR in diverse channels and at proper time and location, identify and assess potential social impacts and risks, incorporate mitigation measures in subproject planning, design and implementation, and record and document the process of public consultations and information disclosures and grievance redressing.

Element 2: Incorporate recognized elements of good practice in E&S assessment and management.

227. (i) **Early screening:** according to the documents provided by the natural resources departments of Yichang city and sample districts as well as the site investigations, it is confirmed investigation and verification are implemented jointly at pre-construction stages. Land preliminary assessment for those projects involve land use are mandatory. The feasibility study reports are

required to be appraised through the panels of related professionals under the organization of local development and reform commission, and the result of site selection that must be compliance with local land use plan.

228. The NRPB of Yiling district and Xiling district introduced the project site selection process. Concerning facilities such as the bus terminals and bus depots that involving land acquisition, the natural resources department requires the project implementing unit to furnish several documents before accepting their commission. These include approvals from the Development and Reform Commission (DRC) concerning project feasibility study report (including approvals for land use pre-examination and site selection), land acquisition boundary maps, land classification tables for acquired land, and the social stability risk assessment report, etc. Only when the risk level is categorized as moderate or lower, or when risk mitigation measures are employed to reduce the risk level to moderate or lower, can the social stability risk assessment report undergo expert review. In terms of policy formulation, according to information provided by the Yichang City-level DRC, in the case of government-pricing projects related to key public utilities and public services, upon receiving an application from the project owner, the DRC's Price Control Management Department and Cost Survey Division jointly conduct a cost survey. They seek opinions from various societal groups, including the media, experts, various departments, community representatives, citizens, and business operators. Subsequently, the DRC's Legal Affairs Division carries out a legality review. Only upon approval by the DRC's internal Price Review Committee can the price be determined.

229. In addition, the functional departments are invited to participate in the review and evaluation of the project documents like feasibility study report and project design, including the screening and identification of project impacts and risks, and the development of management plans. For example, the urban planning experts provides opinions on design of urban roads, pipeline and culverts, the EEB's requirements on environmental protection and management during construction, and the cultural relics management authorities' opinions on whether any cultural relics affected. Fig 26 of Appendix 7 shows the approval form and approval document for the construction project of the temporary bus stop for Route 63 in Huanghua township, Yiling district.

230. It reveals that the screening and assessment of social risks have been effectively implemented and managed through the operation of relevant mechanisms in the course of implementation.

231. **(ii) Alternatives:** During the project preparation stage, relevant project assessment reports, such as the project feasibility study report, should propose several principles for project site selection, and compare them among different alternatives, including compliance with land use policies, economic analysis, and environmental and social impact analysis, and recommend a certain option based on this. For example, in the feasibility study report of the Canal-Yiling Section Ecological Environment Comprehensive Rehabilitation and Affiliated Facilities Construction Project, five principles were proposed for the project alternatives: i) guaranteeing the integrity of the regional ecosystem, ensuring the provision of sustainable ecological services to a diverse ecological network; ii) adopting a people-centric approach with a focus on involuntary resettlement and vulnerable groups; iii) emphasizing the enhancement of local cultural characteristics to showcase historical and cultural significance; iv) thoroughly considering current conditions and the practicality of construction, with due regard for engineering feasibility; v) ensuring that the implementation of the project will not have adverse effects on riverside water-related projects and flood emergency response efforts. In the design and selection of greenway solutions, a holistic evaluation was conducted, like technical requirements, land occupancy, and construction costs. During the review process of feasibility study report, reviewers particularly underscored the need of adding more alternative solutions within the project design.

232. **(iii) Avoidance, Minimum and Reduction of Impacts and Risks:** The SSRAs and FSRs of previous projects in sample districts were reviewed. The results showed that the SSRAs of the two provinces all referred to the requirements of the Notice of the General Office of the National Development and Reform Commission on Printing and Distributing the Social Stability Risk Analysis Chapter and the Outline for the Preparation of the Assessment Report (Trial) of Major Fixed Assets Investment Projects (FGBTZ [2013] No. 428), and included a basic framework of identifying, analyzing, preventing, and resolving social risks. For example, in the Chapter of SSRA of the feasibility study report for the Canal-Yiling Section Ecological Environment Comprehensive

Rehabilitation and Affiliated Facilities Construction Project, risks related to unreasonable labor use, wage arrears, and construction-related disturbances during project construction were identified. Preventative and mitigation measures were recommended, including the requirement for the construction unit to effectively manage the project timeline, implement proper labor management practices, ensure timely and full payment of project funds and salaries, enhance management of workers' recreational activities, and maintain the project while implementing clear construction signage, standardized operations, and measures to eliminate construction-related disturbances. In the SSRA report for the Yichang City Central Hospital Pedestrian Overpass Project, potential risks such as inconveniences to residents' daily life and even harm to their interests during the construction process were acknowledged, and corresponding preventative and mitigation measures were proposed, including the sub-districts and communities involved shall cooperate actively with relevant regulatory bodies, construction unit and design agency to conduct in-depth engagement with affected residents, organizations, and businesses. This process requires extensive data collection and solicitation of opinions. Reasonable requests shall be addressed, while unreasonable ones shall be clarified; during the construction phase, enhanced project management shall be enforced to reduce the impact on neighboring residents, including measures to minimize noise, dust, and the discharge of wastewater and solid wastes.

233. **(iv) Institution and Budget:** The activities related to the PforR are primarily overseen by municipal-level departments in Yichang City. For example, transport-related policy, planning and standards, such as vehicle emission standards, fall under the purview of the TB and the Ecological Environment Bureau of Yichang city; the establishment of mechanisms related to transport carbon emissions is managed by the TB; the formulation and implementation of parking-related regulations are the responsibility of the UMC and UDG; the development, operation and service, subsidy mechanisms of the public transport network are overseen by the TB and the Bus Group; the construction of public transport infrastructure, including the BRT corridors in core urban area, is under the jurisdiction of the HURDB, while bicycle lane construction also involves the FLB. After a specific project is listed in a national or local investment plan, it needs to undergo overall project evaluation (such as comprehensive approval of the FSR), specific evaluation (such as site selection approval, land use approval, SSRA, etc.), among which, the project investment estimation and fund-raising plan needs to be jointly reviewed and approved by the financial department and other relevant departments to ensure that the project has a clear and sufficient budget source and management organization, etc. Each district/county government department promotes its work under the unified coordination of the municipal government. The arrangement of the district/county level administrative departments for project approval and planning is generally consistent with the municipal level. The project preparation, construction, and operation of each unit should receive daily guidance and supervision from departments such as EEB, NRPB, HRSSB, HC, FB, and audit to ensure that environmental and social risks management measures are implemented.

234. **(v) Public Participation, Information Disclosure and Grievance Redress Mechanism (GRM):** It's found through the investigation of three sample districts in Yichang city and the analysis of the SSRAs of sample projects that public consultations were conducted as required during the SSRA process of each project. For example, in the SSRA for the Yichang City Central Hospital Pedestrian Overpass Project, during the SSRA phase, consultations were held with 15 stakeholders, including the Yichang Bus Group, the Jianshe Community Committee of Wanshouqiao sub-district in Wujiagang District, Yichang City Central People's Hospital, businesses located on the northern side of the proposed pedestrian overpass, and residents from surrounding communities. The survey revealed a 93% support rate for the project, while one business expressed objection due to concerns about potential negative impacts. In response, the project owner and design agency conducted explanations to address the concerns. In the SSRA report for the project of Recharging Temporary Parking Fee in the Urban Area of Yichang City," discussions with relevant departments were held and 6,000 public survey questionnaires were distributed with 5,052 responses received. The SSRAs for all local projects were reviewed by expert panel and subsequently approved by the government. In terms of parking fees, information disclosure was implemented strictly adherence to a fee disclosure system. Prior to charging parking fee, prominent disclosure signs were placed at parking areas, clearly indicating the entity of charging, scope of areas, rates, policy basis, service, and contact information for reporting, etc.

235. It is confirmed by the NRPBs that according to the Land Management Law revised in 2020,

the land acquisition and demolition process also includes the whole process of information disclosure and detail measurement survey. As introduced by Xiling district and Yiling district, the NRPB, after obtaining the authorization of the implementation agency and confirming the necessary legal procedures, should publicize the land acquisition announcement to the local affected areas, then carry out land status survey and DMS, and initiate SSRA and corresponding household consultation simultaneously; After the completion of the DMS, the DMS results should be disclosed locally, and the disputes on data raised by the affected farmers should be verified and resolved; formulate a land acquisition compensation and resettlement plan based on the DMS results and disclose it to the affected communities; sign a land acquisition and compensation agreement with the affected farmers; apply to the people's government and the NRPB at or above the provincial level for approval of converting agricultural land to construction land after all agreements are signed; after getting the approval, a formal land acquisition announcement should be publicized to the local community, and compensation should be paid to the affected farmers.

236. Departmental interviews and focus group discussions with community representatives in three districts indicated there is still room for improvement in the public consultation process. The main issues in public participation include: 1) public consultations may or may not be conducted for projects and activities where there is no explicit requirement for SSRA or feasibility study. Some representatives even never participated in any related public consultation activities; 2) information of some projects, activities or policies were disclosed for public comments through the government website where mass of news and information displayed. Residents seldom proactively checked the government website updates or public notices without being informed in advance. 3) some information disclosed was too long and technical to read, needs to be simplified in an easy-understanding manner. 4) information of some projects and activities was disclosed while the construction had been started rather than before construction implemented. 5) public consultation methods were too limited to meet the needs of different groups of people. 6) inappropriate time and location of public consultations. They suggested to conducting in-depth community survey in the early stages before policy and project design, especially policies, services and facilities affecting the daily transport of the general public. For example, in decisions like the bus routes and the design of bus stops, they recommended to actively seek input from the public, especially from vulnerable groups such as low-income families and people with disabilities, as they have higher demands for public transport. Representatives from Xiling District highlighted some issues during interviews, including inadequate bus services on certain routes, resulting in long waiting times, sometimes up to half an hour. A representative with mobility challenges mentioned the inconvenience faced by disabled people when using public transport, particularly on rainy days. He expressed a desire for bus stops to be equipped with rain shelters and seating facilities suitable for disabled and elderly people and emphasized the importance of designing bus stops to facilitate boarding and alighting for disabled people, noting that BRT facilities did a good job in this aspect compared to regular bus routes.

237. The investigation to the sample districts in Yichang confirmed that local government departments implemented the Regulation on Letters and Visits, and there was a complete set of grievance redress mechanisms. Taking Wujiagang district as an example, the community grievance mechanism includes three levels: first, directly report the situation to the relevant implementation units and seek solutions; the second is to reflect and seek solutions through village committees or neighborhood committees to report to and coordinate by township governments or sub-district offices; the third is to handle complaints through the PCPB of the county government or the county head's hotline/mailbox. The process includes the mechanism of collection, record and transfer within 1 day, acceptance within 4 days, closure within 15 days and re-check within 3 days after closure or starting within 7 days, and processing and feedback within 2 months. Sample of acknowledgment letters and SMS notifications can be found in Fig 27 of Appendix 7, and sample of opinions on petition processing results are available in Fig 28 of Appendix 7. In 2021 and 2022, the Yichang PCPB received a total of 17 complaints related to transport. These complaints primarily concerned issues such as the introduction of public transit services to new residential areas, optimization of bus routes, and the quality of services. In the same period, the Yiling District received and processed 210 petition cases related to transport, including road closures causing inconvenience to travel, road safety hazards, and public transport-related concerns. In addition, residents can also resolve major disputes through civil litigation in the court. Overall, the grievance redress mechanism is sound and effective.

238. **Assessment:** The field survey to Yichang and sample districts shows that relevant assessments for the constructions activities or government decisions have been implemented and approved as required in the early stage of the project like major transport projects, charging of parking fee, etc. The screening process of social risks like SSRA, FSR and alternatives comparison and selection were also conducted. Public consultation and information disclosure were carried out during the relevant assessments. The review opinions of relevant departments and reasonable suggestions from public participation were fully considered in the project design. Overall, various stakeholders have expressed satisfaction with the management system and operational status regarding social risks. However, in the case of certain project activities where there is no requirement for social stability risk assessment or the preparation of feasibility study reports, such as the optimization of bus services and/or the design, optimization, and construction of bus routes and affiliated facilities, there were no meaningful public consultations conducted during the project preparation phase, or if such activities were conducted, there were no corresponding records and documentation maintained. Therefore, there is still a room for improvement.

239. **Recommendation:** Carry out meaningful public consultation and information disclosure during the preparation and implementation stages of all activities under the PforR in diverse channels and at proper time and location, understand the needs (e.g., for travel convenience and safety) of different groups of people, especially vulnerable groups and directly affected people, incorporate public opinions in subproject planning, design and implementation, and record and document the process of public consultations and information disclosures and grievance redressing..

5.4.2 Core Principle #2: Cultural heritage management system

Element 5: Take into account potential adverse effects on tangible cultural heritage and provide adequate measures to avoid, minimize, or mitigate such effects.

240. During the communication with the NRPBs and cultural relics management authorities of Yichang city and sample districts, it was learned that a purple line plan has been formulated for the existing local cultural relics protection units, i.e. the control line for the protection of various types of historical and cultural heritage and scenic resources. The planning department consulted and listened to the opinions of the cultural relics management authorities when formulating and updating the local land use planning, including obtaining the regional cultural relics distribution data, and integrating the cultural relics census results into the local land use planning. As introduced by the CTBs of Yichang city and sample districts, the function of cultural relics compensation is set only in the municipal CTB, while the CTB of districts in core urban area don't set a separate office for cultural relics protection. Involving work related to cultural relics protection, the district and county reported to the municipal departments to deal with. According to the introduction of Yichang CTB, there are 18 national cultural relics protection unit, 75 provincial cultural relics protection units, 125 municipal cultural relics protection units in the whole city, while there are 60 cultural relics protection units in the core urban area of Yichang (including Yiling district), including 5 national cultural relics protection unit, 19 provincial cultural relics protection units and 36 municipal cultural relics protection units in the whole city. At the preliminary examination and site selection stage of the project, the project site selection shall comply with the local overall land use planning, which ensures that no other construction activities, e.g., blasting, drilling, excavation, and other operations, are allowed within the protection scope of the cultural relic protection units required by the Law on the Protection of Cultural Relics. At the project review stage, the local development and reform commission would invite experts from the cultural relics authorities to participate in the project FSR review. If the selected site of the relevant construction project is within the specified scope of cultural relics protection units, it is necessary for the cultural relics authorities to entrust qualified cultural relics exploration institutions to implement cultural relics protection measures and conduct land transfer or transaction after archaeology.

241. For construction projects in other areas with unknown cultural relics, it is necessary to conduct cultural relics exploration first, confirm by qualified units for archaeological investigation and exploration, and report to the municipal cultural relics authorities for approval; If cultural relics are not discovered before project construction but found during excavation, the cultural relics authorities shall entrust a qualified cultural relics exploration institution to implement cultural relics protection measures. Once discovering cultural relics, the construction unit will promptly report to the county level cultural relics authorities in accordance with the provisions of the Cultural Relics Protection Law,

then the county level cultural relics authorities will report to the provincial cultural relics authorities level by level to organize archaeological excavation units to conduct archaeological investigation and exploration of the places where cultural relics are buried within the project area. When encountering national key cultural relics protection units, provincial cultural relics protection units, municipal and county level protection units, and generally immovable cultural relics during the project site selection, it is necessary to change the project site; for projects may involve underground cultural relics project, it is necessary to provide the project site selection documents to the cultural relics authorities for review and the project can be implemented only after being verified by and investigated by the drilling and archaeological department.

242. The cultural relics authorities of the sample districts confirmed that reconstruction projects usually don't involve cultural relics protection units and don't require review by cultural relics authorities; comments from cultural relics authorities is required but approval is not mandatory depending on the circumstances for expansion projects; while approval from cultural relics authorities is mandatory for new construction projects. There is no need to conduct cultural relics exploration for projects that do not break ground. Fig 29 in Appendix 7 shows the "Reply to the Planning Site Selection and Land Use for the Expansion and Reconstruction of S276 - Hujiabao to Wenfan Section in Yiling district" issued by the CTB of Yiling district, which reflects the effectiveness of the cultural relics protection system in project site selection.

243. **Assessment:** In the process of project management, all relevant departments fully considered the potential impact on cultural relics resources according to the requirements of cultural relics protection laws and regulations and avoided the impact on cultural relics as much as possible through optimization of project designs. For unavoidable impacts, strict management plans need to be formulated and approved before implementation.

5.4.3 Core Principle #3: Public and worker safety management system

Element 6: Promote adequate community, individual, and worker health, safety, and security through the safe design, construction, operation, and maintenance of Program activities; or, in carrying out activities that may be dependent on existing infrastructure, incorporate safety measures, inspections, or remedial works as appropriate.

244. As mentioned in Chapter 5.2 and 5.3, a workers management system for the whole process from design to construction and operation and maintenance has been established by government at all levels, including related laws and regulations, and corresponding management institutions, such as labor safety management system, occupational health management system, labor contract management system, bidding and procurement system, emergency response mechanism, community and labor grievance mechanism, etc.

245. **Occupational health and safety management:** Field investigations conducted also showed that previous and ongoing projects in various regions have basically complied with the requirements of laws and regulations. During the design phase, projects usually carried out EIA, SSRA, safety assessment, and occupational health assessments based on project characteristics, project location, and surrounding natural and living conditions, technical requirements, and legal requirements, and developed various management plans, including emergency response plans, community engagement mechanisms, and employee grievance redress mechanisms, etc. The safety risks of specific project related communities and workers have been identified through these assessments, and corresponding management measures have been developed. For example, in the EIA report for the Urban Transport Comprehensive Improvement Project of Yichang City, the sixth chapter predicted the environmental impacts during the construction and operational phases, including the impacts of day and night noise on the surrounding communities once the BRT put into operation. The eighth chapter proposed environmental protection measures. In the social stability risk assessment report for the Yichang City Central Hospital Pedestrian Overpass Project, the fifth chapter identified and analyzed safety and occupational health risks during the construction process, while the sixth chapter presented corresponding risk prevention and mitigation measures. During the project construction phase, safety and occupational health protection provisions were incorporated into the construction contract, along with budget allocations. Safety measures were implemented in conjunction with the main project, often accompanied by environmental monitoring and project supervision to ensure the effective implementation of these measures. For example, during the

bidding stage of the Yichang Dongshan Avenue BRT System Transformation Project, specific requirements were imposed on the construction unit regarding safety management. These requirements included adherence to safety regulations, compliance with the "Three Simultaneities" principle (simultaneous construction of safety facilities with the main project), timely establishment of safety management organizations and personnel, and strict implementation of daily safety management and supervisory measures. These measures aimed to ensure civilized construction in the local community and the safety and health of the community and workers. In the EPC contract for the Yichang Yanjiang Avenue Tianranta Park Pedestrian Underpass Project, Section 7.7 of Part 2 specifically outlined the responsibilities and obligations of the contractor regarding the occupational health and safety of construction workers (see Fig 30 in Appendix 7). In the labor subcontract agreement for the Guojiawan bus depot, Party A and Party B signed a dedicated safety agreement, requiring Party B to ensure the safety and health of workers on the construction site (see Fig 31 in Appendix 7). Additionally, the recruitment of engineering supervision units enabled monitoring of the entire construction process, including the implementation of safety measures, management practices, and on-site civilized construction, as well as safety maintenance. The Yichang Wuchan Vehicle Disassembly Co., Ltd. conducted a pre-evaluation of workplace occupational hazards before commencing operations, and conducted evaluation of occupational diseases current status every three years. This assessment primarily focused on evaluating the hazards associated with noise and hazardous wastes (such as oil contamination, chemical solvents, welding fumes and used batteries) during the vehicle disassembling process. Specified management measures were formulated, including the development of hazardous waste management systems and classification management measures.

246. During the site survey, the consulting team visited various sites, including the Yichang Bus Group, Dashuwan bus depot, Guojiawan bus depot, UDG, Wuchan Vehicle Recycling and Dismantling Co., Ltd, etc., examined the company's labor management system (including health and safety management), labor contracts, annual employee training plans, safety precautions, and daily safety management logs, and also communicated with company management personnels and employees. Overall, each of these sites has established labor management, workplace safety, and occupational health protection-related systems and measures. These systems were implemented throughout the construction and operational phases of the projects. For example, during the construction of bus depots, contractors provided group accident insurance for all construction workers (see Fig 32 in Appendix 7); Yichang Bus Group regularly conducted safety training for staff of bus depots (see Fig 33 in Appendix 7) and provided employees with free annual health examination. There were no issues about forced labor or child labor identified during the site survey.

247. According to information obtained from the Yichang Municipal Health Commission and health departments in the sample districts, relevant enterprises are required to conduct specialized health and safety assessments at the preparation stage, self-declare on the government's "Occupational Health and Safety Management System", conduct continuous self-assessments and monitoring annually, and update the information within the "Occupational Health and Safety Management System". For positions involving occupational health hazards, employees must undergo necessary training and wear personal protective equipment. Relevant employees are also required to undergo regular health examination at designated hospitals with qualifications for occupational health examinations. Local health departments have set up specialized occupational health supervision office to conduct irregular inspections of enterprises. Due to the fact that routine inspections by health departments occur at unscheduled intervals and cover various entities, and considering that there are numerous enterprises involving occupational health hazards in each district/county, the focus of health department inspections primarily targets key industries with significant occupational health hazards, such as mines and cement production. Smaller-scale enterprises or those classified with a lower level of occupational health hazards are often not covered by the health management system of local government. Based on data provided by the Yichang Municipal Health Commission, a total of 278 inspections were conducted in 2021, while 493 inspections were conducted in 2022. The Health Commission at municipal and the sample district/county level indicated that there was relatively less attention paid to occupational health in new road construction and expansion projects. This is due to the relatively short construction periods of such projects, the lack of fixed construction sites, and a high level of personnel mobility. Additionally, construction projects are primarily associated with safety risks, while occupational

health hazards are typically lower. Consequently, few enterprises voluntarily declare about occupational health hazards in system. Generally, inspections were initiated in response to complaints or reports from sub-district governments or village communities regarding potential occupational health hazards in specific construction projects (e.g., noise, drinking water, dust, etc.). Health departments then conducted random inspections of the projects mentioned in the complaints or reports. Regarding the "Automobile and Motorcycle Repair and Maintenance" industry, which is classified as having a "severe" level of occupational disease hazard risk, occupational health coordinators from district and county health commissions conducted at two inspections of relevant enterprises each year.

248. **Labor dispute settlement mechanisms:** Labor dispute settlement mechanisms have been established at three levels from enterprises to county governments, including the corporate internal settlement mechanism, township labor dispute mediation center, and county labor dispute mediation center. Workers can choose to resolve labor disputes through mediation and arbitration, or lawsuit to the court or negotiation. For example, the Xiling District Labor and Personnel Dispute Arbitration Institute is responsible for mediating and arbitrating labor and personnel disputes throughout the district. They handle labor and personnel dispute cases in accordance with the law and provide guidance to employers on regulating human resources management in compliance with legal requirements. In the year 2021, a total of 313 labor mediation and arbitration cases were lawfully accepted, while in 2022, there were 449 such cases. These cases primarily revolved around disputes related to unlawful termination of labor contracts by employers, labor relationship determinations, disputes concerning compensation for workplace injuries, as well as issues related to wages (including overtime pay) and commission payments. About 90% of the disputes can be resolved through the mediation center and the rest 10% disputes need to be resolved through arbitration or court. In addition, local HRSSBs said that the labor union is also one of the channels to solve labor safety and labor disputes, and the labor union can help employees obtain rights and interests in terms of safety training, health examination, working environment and living needs. The HRSSB of Xiling district introduced about the labor dispute settlement mechanisms in detail: when a labor or personnel dispute arises, worker can seek help from the labor inspection and enforcement authorities of the labor authority, or it can directly submit to labor disputes arbitration. The labor inspection and enforcement authorities investigate and determine whether to file a case within five days after receiving the complaint and requires the case that meet the acceptance principle (e.g., the violation occurred within two years, etc.) to be closed in two months. It can be extended to 30 working days for complicated cases upon approval. If the worker is not satisfied with the result, he/she can resort to labor disputes arbitration within six months. The application for labor arbitration is valid for a period of one year. The labor arbitration consists of two levels, including mediation and arbitration. Usually, labor mediation is recommended as the priority, and the mediation will be completed within 15 days since receiving the application. If the mediation is successful, the labor and management will sign a mediation agreement, and if not, the worker may apply for labor arbitration. The cases subject to arbitration by an arbitral tribunal shall be ended within 45 days after the arbitration committee accepts the application for arbitration. If an extension is required due to the complexity of the case, it may be extended and notified in writing to the parties upon approval of the chairman of the arbitration committee, but the extension period shall not exceed 15 days. If the arbitration decision has not been made within the time limit, the worker may bring a lawsuit to the people's court concerning the labor dispute. The results include pre-case mediation, case acceptance, and no acceptance. If not accepted, a written explanation should be provided to the applicant. For example, on 28 February 2022, 39 migrant workers raised a complaint to the Xiling District Labor Inspection Brigade, alleging that they were owed unpaid wages totaling 540,000 yuan after working on a certain project. The Xiling District Labor Inspection Brigade recorded and accepted the case on the same day. Upon investigation, it was confirmed that the wage arrears were truly happened. On 1 March 2022, the Xiling District HRSSB issued a "directive for taking corrective action within a specified time limit" to the employer in accordance with the law. Subsequently, on 14 March 2022, they issued an "Administrative Decision" and a "Decision to Include in the Joint Punishment List for Defaulting on the Payment of Wages to Migrant Workers." Finally, the company settled all outstanding wages for the workers on 30 March 2022.

249. **Assessment:** it is found during the site survey of Yichang city and sample districts that the relevant facilities can fulfill the requirements of workers' health and safety management in

accordance with the laws and regulations during the project construction and operation stages, which is consistent with the World Bank PforR requirements.

Element 8: Include adequate measures to avoid, minimize, or mitigate community, individual, and worker risks when the PforR Program activities are located in areas prone to natural hazards such as floods, hurricanes, earthquakes, or other severe weather or affected by climate events.

250. The implementation area of this PforR primarily lies within the core urban area of Yichang city, where the likelihood of located in the areas prone to natural disasters is relatively low. Activities such as constructing dedicated bus lanes, BRT corridors, pedestrian walkways, and non-motorized transport system in the core urban area pose minimal natural disaster risks, with low potential risks to construction workers and the surrounding communities. Regarding facilities like bus depots and terminals located on the outskirts of the core urban area, it's found through data collection and site survey that feasibility study reports or project designs included chapters specifically analyzing geological hazards or specialized geological hazard assessments were conducted at the project assessment phase. These assessments identified potential impacts and risks of natural disasters during both the construction and operation phases of the project and developed management plans. During the construction phase, construction contracts were signed with reference to the conclusions of feasibility studies and specialized assessments, outlining the responsibilities and obligations of the construction unit in managing community and workers health and safety. Throughout construction, various safety management positions and responsible persons, including safety supervisors, were established, ensured the implementation of health and safety management measures at the construction site in accordance with the requirements of the management plan. During the project operational phase, each unit developed various forms of rules and regulations or an "Employee Management Handbook" based on relevant assessment findings and management plans. They also carried out related training, registration, and supervision systems. For example, during the preliminary design of BRT Line 1, geological surveys of the construction site were conducted, investigating terrain, landforms, geological structures, lithology, adverse geological phenomena, and hydrogeological conditions.

251. **Assessment:** With regard to the natural disasters, a systematic assessment was carried out at the project design stage, and prevention and control measures were proposed. Necessary management is also implemented during the construction, operation and maintenance phases.

5.4.4 Core Principle #4: Involuntary resettlement management system

252. In terms of land use, the PforR Program doesn't support any activities involving large-scale land acquisition and house demolition. Most of the activities will be implemented within the core urban area of Yichang city. The main land use type include:

- a) Limited temporary land use. it refers to the occupation of a small area of land temporarily during the construction phase, such as camps, storage yard of construction materials.
- b) Limited permanent land acquisition. the construction and expansion of some bus terminals and bus depots may involve a certain scale of land acquisition and resettlement impact. However, through the investigation of relevant facilities in sample districts, it is confirmed that the land acquisition area of such facilities is limited, generally ranging from 10-30 mu.
- c) Transfer or allocation of state-owned land. For the projects like BTR corridors and affiliated facilities, new bus stops and affiliated facilities, new construction and reconstruction pedestrian walkways, urban greenways, bicycle lanes, most of them are located in the core urban area of Yichang city, and are about to upgrade on existing road or green belts without additional land acquisition or occupation.

253. The negative impacts of each type of land use are managed by different system. The six aspects under Element 9 are analyzed as follows.

(i) Minimizing negative impacts related to land acquisition

254. The engineering project activities supported by this PforR must undergo the basic processes of preliminary evaluation, design, approval by government departments, monitoring or supervision of construction process, and completion acceptance. According to the requirements of laws and regulations related to project permitting and management, the preliminary evaluation

results of the project need to be reviewed by the NRPB for compliance, including reviewing whether the project land meets national and local land use planning, whether the land type meets policy requirements, and whether the project site selection follows the principle of avoiding or minimizing land occupation (especially not occupying basic farmland). For example, the project of terminal of bus route No.2 at east railway station in Wujiagang district, after the project site was determined in the preliminary evaluation stage, it submitted land use pre-examination application to the Yichang municipal-level NRPB, which gave an approval (as shown in Fig 34 of Appendix 7), confirming and clarifying four information in the document: 1) The land use conforms to the land spatial plan and land usage, 2) the scope of land use, and 3) all the land to be used are state-owned land. It is found through this case that avoiding and minimizing land acquisition is an important principle for project site selection in the early evaluation and design stages of each project, which is also one of the important measures to avoid and minimize the negative social impacts of the project. The investigation and analysis of project cases in this regard has been described in detail in Section 5.4.1.

(ii) Identifying and addressing economic and social impacts arising from land acquisition or loss of access to natural resources

255. Consultations with the NRPBs at Yichang municipal level and sample districts level revealed that, during the early stages of land acquisition or land use, land user, local governments, and NRPBs conducted DMS in accordance with regulatory requirements. All properties of affected individuals and entities within the red line of land acquisition were registered and confirmed with the signatures of affected people. The DMS results served as the basis for later compensation and resettlement. The DMS results were also disclosed in the affected villages and communities. The signing of land acquisition/use agreements could only commence after the public notice period ends without objections. In cases where villagers had objections to the DMS results, double checks and corrections were carried out. Once the agreements were signed, and the relevant land use approvals were obtained, the approval department could specify in the approvals that the land user must compensate fully for any losses caused by land acquisition according to the land acquisition compensation and resettlement plan or similar compensation basis. For example, in the approval for the construction land use of Yichang Dongshan Fourth Road (Phase II) Project, it explicitly required the Yichang city government to promptly pay compensation fees, implement resettlement measures, arrange for the production and livelihoods of the land-lost farmers, ensuring their original living standards are not reduced and their long-term livelihood are guaranteed (see Fig 35 of Appendix 7). For temporary land use, compensation fees must be paid. Before returning the temporary used land to affected people, land restoration must be carried out as required, and compensation for soil fertility loss must be provided. With regard to the potential economic and social impacts on the residents or business caused by the construction of public infrastructure in the urban area, the PIUs and construction contractors identified the potential impacts through information disclosure and public consultation at the project preparation stage, set up temporary access road, fences and other measures at the construction stage to ensure resident's access and minimize the adverse impacts on the business operation.

256. During site survey, it's learnt from the engagement with village representatives that they generally expressed satisfaction with the implementation process of land acquisition compensation and resettlement, as well as the compensation payments. In the implementation process, affected people could raise their concerns to the village committees or the project implementation agency smoothly. Villagers interviewed indicated that these issues have been successfully addressed. The residents representatives interviewed expressed that the short-term inconvenience caused by construction of public transport system is acceptable, because the project aims to improve the public transport services, reduce pollution and improve the environment, benefits the public. In addition, a systematical GRM has been established from grass-root rural village committees or community committees to township government, county-level government and above. Please see section 6.2 for the details about GRM.

(iii) Compensation and transition subsidy to be fully paid at replacement cost before land use

257. According to consultations with relevant implementing units, NRPBs, and other departments in Yichang and sample districts, land acquisition compensation standards are adjusted

every 3-5 years based on overall economic development and market conditions. The most recent adjustment was in October 2019 with the " Notice of Block Comprehensive Land Prices for Land Acquisition in Hubei Province," which included comprehensive land price standards for urban areas in Yichang city and each project district/county. The compensation fee for land acquisition accounts for 40%, while the resettlement subsidy accounts for 60%. Each district/county, taking into consideration its specific circumstances, promulgated compensation standards for crops and ground attachments on collectively owned land. For example, the People's Government of Xiling district issued a Notice on Announcing Compensation Standards for Crops and Ground Attachments on Acquired Land" (YXFF[2020] No.1), and the People's Government of Yiling district issued a Notice on the Issuance of Compensation Measures for Land Acquisition and Relocation in Yiling District" (YZF[2018] No.3). For the demolition and compensation of houses on collectively owned land and within urban planning areas of each district/county, the compensation was determined based on market appraisal to ensure that compensation standard align with market replacement costs. For example, in the land acquisition and compensation agreement for the Yichang Biological Industry Park Management Office (Dongshan Forth Road), details were clearly outlined regarding land acquisition compensation and resettlement policies, the area of land acquisition, and the details of affected crops and ground attachments, compensation standards and amounts of total compensation fee (see Fig 36 in Appendix 7). Additionally, other compensations such as relocation fees, compensation for loss of working time, compensation for loss in relocation, living subsidies or temporary rental fees for transitional period, and compensation for production and business interruption were specified. For example, in the case of the Yichang Shanzhou Avenue construction project, of which, 14 households in the Hehushan Village of Yiling district were affected by house demolition. Among them, 13 households opted for property swap that the government built a resettlement community. During the transition period, the government paid living subsidies at a rate of 8 yuan/m² for the first year, 10 yuan/m² for the second year, and 12 yuan/m² for the third year and beyond, until the affected households moved into the resettlement community. A sample of payment record of transitional period living subsidies for the Shanzhou Avenue construction project is provided as Fig 37 in Appendix 7. It is confirmed by sample districts during the survey that the funds for project land acquisition must be in place first, and compensation must be made before using land. Otherwise, local governments and villagers would oppose the use of land, and land cannot be provided.

(iv) Livelihood restoration

258. As described in Section 5.1.4, livelihood restoration mechanisms are included in the domestic social management system: For example, the Land Management Law (2020) requires that living standard of farmers whose land have been expropriated should not be reduced and their long-term livelihoods should be guaranteed. After excluding the activities involving large-scale land acquisition, the land acquisition and land use scale of activities supported by the PforR Program are limited. According to site survey, there were systematic arrangements for the livelihood restoration and development of farmers, especially those affected by land acquisition. For example, for farmers affected by land acquisition, first of all, cash compensation according to policy standards should be paid, followed by a combination of social insurance resettlement, employment support, and other resettlement measures to ensure that the livelihood of farmers affected by land acquisition won't be reduced; For farmers who are not affected by land acquisition but temporary land use, land adjustment, facility agricultural land use, etc., they may only be affected in the short term, and the relevant impacts will usually be compensated, or sustained returns will be obtained through land rent. Upon reaching the land use period, the land will be returned to the contracted farmers. Secondly, farmers can also participate in work during the land lease period to obtain secondary benefits, thereby promoting the development of livelihoods.

- **Cash compensation:** as mentioned in paragraph (iii) above, compensation standard for land acquisition were formulated by professional institutions and personnel based on on-site research and taking into account the land original usage, land resource conditions, output value, location, supply-demand, population, and socioeconomic development status. In 2023, the compensation rate is ranged from 56,300 yuan/mu to 797,00yuan/mu for the core urban area of Yichang city, and ranged from 47,400 yuan/mu to 66,100 yuan/mu for Yiling district. The relevant compensation must be paid before using land.

- **Social insurance:** Land-lost farmers can choose to participate in different types of social security systems based on their actual needs, e.g., 1) basic endowment insurance for urban and rural residents and 2) basic endowment insurance for urban employees. When land-lost farmers reach retirement age, the local government provide a once-off payment of basic endowment insurance compensation to their individual account of endowment insurance, and then the HRSSB pays pensions to them on a monthly basis. In 2023, the minimum standard for basic endowment insurance for Yichang urban and rural residents was 145 yuan per person per month and the average standard for basic endowment insurance for urban employees in Yichang city was 2,400 yuan/month. For those who haven't reached the retirement age and are willing to work, priority are provided to them in government employment services and focused assistance, like skill training and job referrals. It is found during the consultation with HRSSBs in each district/county that land-lost farmers can choose the type of insurance they wish to participate in. After selecting a specific type of social security resettlement, land-lost farmers will submit relevant application documents for process under the joint support and guidance of the village committee, township government, NRPB, and HRSSB, and then the fees for social security will be paid in a timely manner as required.
- **Livelihood support:** All land-lost farmers have been covered by employment assistance, making them eligible for various benefits such as free job introduction services, skill training subsidies, subsidies for public welfare positions, subsidies for social insurance, etc. During the construction period of BRT Line 1, the contractor for civil works employed a total of 1,469 workers, of which 1,277 were local residents, including 370 women. The Xiling HRSSB provided various training subsidies for land-lost farmers, such as those who attended job skills training or entrepreneurship training at designated training institutions in the city for a minimum of 42 class hours, successfully completed the training and obtained a vocational qualification certificate were eligible for training subsidies ranging from 200 to 2,000 yuan/person. In 2020, the Yiling HRSSB, collaborated with the Dongcheng Pilot Zone Administration Committee and the Development Zone Administration Committee, organized a "point-to-point" job fair for land-lost farmers in Guojiawan community, offering over 1,200 job positions and attracting more than 500 job seekers. During the job fair, more than 340 individuals reached initial employment agreements with employers. In 2023, the Dagongqiao sub-district of Wujiagang district gave priority consideration to land-lost farmers and other disadvantaged job seekers during the recruitment of personnel for public welfare positions.

(v) Policy arrangements for infrastructure restoration

259. As confirmed by the NRPBs at different level, any potential social impacts and risks caused by land acquisition and house demolition to infrastructure were identified and evaluated by professional agencies during the land investigation and DMS, and related management plans were developed accordingly. Moreover, the SSRA should be carried out at the preparatory stage to identify all relevant social impacts and risks may arise from the Program, which involves the solicitation of public opinions and suggestions. These measures are meant to ensure that infrastructure and community services affected by the Program are protected, or restored as soon as possible, or improved in the light of public opinions.

(vi) Information disclosure, public participation, and informed decision-making

260. As introduced by NRPBs of Yichang and sample districts, public hearing is mandatory for land acquisition and house demolition, because the records of public hearing are one of the necessary materials of land use application materials. If the affected parties are unwilling to participate in the public hearing, a written document about not to participate in public hearing shall be issued by the village/community committees. In terms of the requirements on public participation, it has been discussed in the second part of the section.

261. It's learnt from the communication with representatives of villagers during the site survey that villagers are generally satisfied with the process and compensation of land acquisition and resettlement. During the implementation process, affected people can raise their complaints to village committees or project implementation units. As confirmed by villagers that their complaints can get a satisfied resolution.

262. **Assessment:** For land acquisition and resettlement in Yichang city, a systematic legal

system has been established. Mature impact control principles, identification process, compensation, resettlement, and livelihood restoration mechanisms have been established, and specialized implementation agencies and financial support have been arranged. These mechanisms and their effective operation ensure that the impact of land use can be properly managed.

5.4.5 Core Principle #5: Management system for ethnic minorities and vulnerable groups

Element 10: Undertake meaningful consultations if the ethnic minorities are potentially affected (positively or negatively), to determine whether there is broad community support for the PforR Program activities.

263. In Yichang city, there are two Tujia autonomous counties, Changyang and Wufeng, one ethnic-concentrated township, namely Panjiawan Tujia Township in Yidu city, and three ethnic-concentrated villages, namely Chexi Tujia village in Tucheng township of Dianjun district, Hejiaping Tujia village in Gaoqiao township of Xingshan county, and Shizhu Tujia village in Jiuhuaxi township of Zigui county. According to data from the seventh national population census, there are 48 ethnic minority groups in Yichang, with a total population of 422,700, accounting for 11.24% of the city's total population. Among them, 406,600 are the Tujia people, 4,264 are the Miao, 2,985 are the Hui, 1,561 are the Zhuang, 1,152 are the Manchu, and 1,015 are the Dong people. The population of each remaining 42 ethnic minorities are below 1,000. The physical engineering activities of the PforR are mainly located in the core urban area of Yichang city, where the ethnic minority residents live in a scattered and mixed manner, with no involvement in ethnic minority concentrated communities.

264. It is learned in the interviews with the municipal, district/county ethnic affairs authorities that the Program impacts on ethnic minorities are effectively managed in two ways. On the one hand, in accordance with the Constitution and relevant ethnic affairs management laws and regulations, the representatives of affected ethnic minorities are fully consulted on special issues to ensure that their opinions are respected. The organ of self-government in the national autonomous area is also responsible for safeguarding minority citizens' constitutional rights. On the other hand, public consultations are carried out in accordance with the relevant requirements for assessment of general construction projects. In each district/county, development plans and projects for the development of ethnic minority areas and cultural protection were formulated and implemented. It's acknowledged from the Ethnic and Religion Affairs Bureau (ERAB)s that economic development projects in ethnic minority areas are usually proposed based on the specific village/community or township development needs. In each year, the village/community committee conduct diversified public consultation activities through generally accepted methods like villager meetings to collect resident's opinions from bottom and submit the proposals to township government; then the township government will submit the project construction application to ERAB or other competent departments at county level; after receiving the applications, the ERAB and other competent departments would conduct site investigation for verification, classify the projects based on its necessity and urgency, submit the project lists to upper management authorities in batches and apply for funds to implement. It can be seen that the project is constructed based on the actual needs of ethnic minority areas. Opinions of ethnic minority areas are fully considered and respected and support of a wide range of ethnic minority residents are obtained. When implementing a specific Program activity in ethnic minority areas, existing management mechanisms are applicable, for example, feasibility study at project preparation stage, SSRA, etc. Systematic public consultations and negotiations has been included in the assessments and evaluations to ensure ethnic minority people's opinions being respected.

265. **Assessment:** It's learnt from the municipal and district/county level management system that fully consultation and negotiation with ethnic minority residents can be implemented when dealing with ethnic minority related affairs through existing ethnic minority management system. When implementing projects in ethnic minority areas, the interests of ethnic minority are fully protected according to law and the right to be informed are guaranteed. The efficient implementation of these management systems will ensure the Program receives broad support from residents in ethnic minority areas. Thus, the social practice effects are consistent with the bank policy.

Element 11: Ensure that ethnic minorities can participate in devising opportunities to benefit from exploitation of customary resources and indigenous knowledge, the latter to include the consent of ethnic minorities.

266. According to the investigations, local minority groups and the Han people show almost no difference in language, manners and customs and no tangible cultural heritage of special concern is found. In addition, ethnic minority development funds are available at national, provincial, municipal, and county levels every year. For example, Wujiagang district received the provincial ethnic minority development fund totaling 100,000yuan, municipal funds of 180,000yuan and district funds of 40,000yuan in 2021. Yiling district received funds of 60,000yuan in 2021 and 100,000yuan in 2022 for ethnic minority development. The funds were fully used for the infrastructure improvement, ethnic culture protection and development in ethnic minority areas. For example, Yiling district used the funds to upgrade the places of ethnic and religious activities, develop industry for ethnic minority people to solve the bottleneck problem of the development of ethnic areas, and also construct some education and publicity bases of ethnic culture. For example, the Yichang Municipal ERAB, in collaboration with the Yichang Bus Group, created a "National Unity" themed BRT station, incorporating ethnic elements into an area of over 300 square meters of pathways, fences, lightboxes, and grilles. It vividly narrates stories of ethnic unity and progress closely intertwined with Yichang's history. On a daily basis, it attracts nearly 2,000 passengers who pause to watch this cultural showcase.

267. **Assessment:** Despite varying cultures in ethnic minority areas involved in the Program, plans and relevant protective projects are put in place every year to protect the cultures of ethnic minorities. The implementation of the Program will not destroy or negatively impact the cultures of ethnic minorities.

Element 12: Give attention to groups vulnerable to hardship or discrimination, including, as relevant, the poor, the disabled, women and children, the elderly, ethnic minorities, racial groups, or other marginalized groups; and if necessary, take special measures to promote equitable access to PforR Program benefits.

268. According to law, the protection of women's rights and interests is part of the routine management work of all departments and units, which is mainly implemented through women's federations at all levels and women's affairs management departments within enterprises and units. Projects and funds for the protection of women's rights and interests and women's development are prepared by governments and women's federations at all levels and the internal management departments of enterprises arrange every year. At the same time, local women's federations have also set up specific department like rights and interests department, family and children department, women's development department, organizational building and propaganda department for the protection of women's rights and interests, family, children, women's development, health, gender equality, etc. Women's federation at district/county level is also responsible for guiding the establishment and division of responsibilities of grass-root women's federations. For example, the arrangement of grass-root women's organizations in Wujiagang district include one chairman, one full-time vice chairman and several executive committee members at district, township and village level. Among which, the chairman of women's federation shall be a female member of the Party Committee, the chairman of the village women's federation shall be a female member of the village/community committee. In 2023, there were 5 chairmen of the township women's federation, 65 chairmen of the village women's federation and several executive committee members in Wujiagang district. There are no gender discrimination issues identified according to the site survey. Women and men enjoy equal rights in terms of their societal status and job benefits. Both government departments and enterprises prioritize women's rights and their health and safety. In 2021, various levels of women's federations across the city jointly conducted over 500 legal education and publicity activities, distributing more than 100,000 promotional materials. In 2022, these efforts were amplified with over 600 legal education and publicity events, with the distribution of over 80,000 promotional materials. Women's federations in all districts/counties also guided different entities to conduct regular health examination for women, including genetic screenings for pregnant women. These mechanisms encompass the departments and related projects supported by this PforR, ensuring the protection of women's rights. For example, Yichang Bus Group, in order to effectively safeguard the health and rights of female employees, provided each of its female employees an insurance for accident and health and annual health examination. Female Employee Special Contract has been established to protect the unique rights of female workers. It also arranged outdoor activities to alleviate work and life-related stress. Regarding the safety of women in transport, measures have been taken, like setting up designated seats for pregnant women and

mother-infant rooms in public transport facilities (see Fig 1 in Appendix 7), designating women-only parking spaces in large shopping malls, and all women within the city are entitled to take bus for free on 8 March of each year.

269. The civil affairs bureaus and disabled person's federations at each county are responsible for information collection and assistance for orphans, minors and old people left-behind, disabled persons and extremely poor persons within the administrative areas. As of the end of 2022, Yichang City had a total of 15,472 urban and rural people in extremely hardship, 3,910 households with 10,018 members on the verge of receiving MLS, 32,108 PWDs in hardship receiving living subsidies, 51,201 several PWDs receiving treatment subsidies, 2,914 left-behind children, and 2,464 rural left-behind elderly residents. In response to the needs of these vulnerable populations, the government allocates dedicated financial resources each year to ensure the protection of their rights and interests. For example, a comprehensive support system for the elderly has been established, including: 1) basic living support for individuals aged 60 and above through social security and medical insurance systems; 2) additional subsidies ranging from RMB 50 to 500 yuan/person/month for those aged 80 and above; 3) MLS for the elderly people with difficulties, with RMB 800 yuan/person/month in urban areas and RMB 600 yuan/person/month in rural areas in 2023; 4) assistance and subsidies for people in extremely hardship. In 2023, the subsidies for scattered urban and rural people in extremely hardship is twice the urban and rural MLS, while the subsidies for concentrated people in extremely hardship is twice the urban MLS in principle. In the case of people with disabilities, monthly living subsidies of RMB 70 yuan/person are provided for those with moderate disabilities, while those with severe disabilities receive a nursing subsidy of RMB 100 yuan/person/month. As the end of 2022, Disabled and semi-disabled people in extremely hardship had been fully covered by facilities and services; 204 community-based home care service facilities and 813 rural mutual assistance care stations had been established; 1,915 households received home-based aging adaptation renovations; There were 14,853 nursing beds in elderly care institutions, accounting for 58% of the total. These mechanisms follow a universal approach, making these benefits available to all eligible elderly people. Regarding various categories of disadvantaged children, in 2022, Yichang city allocated RMB 4.5059 million yuan of living allowance for orphans and RMB 6.3478 million yuan of living allowances for registered children without parental care. Orphans, children without parental care, and children with AIDS have been included in the price subsidy protection scope, with an allocation of RMB 116,800yuan price subsidies. The PforR will also benefit to the elderly, children, people with disabilities, and others. For example, priority labels and services for the elderly have been established at bus terminals and stations. Residents aged 65 and above and children under 1.2 meters can taking bus for free, students aged 6-17 and people with disabilities are eligible for discounted fares, disabled military personnel, and retired military personnel can take bus for free up to 1,440 times per year with valid identification cards. Active-duty military personnel and firefighting rescue personnel can also take bus for free with proper documentation.

270. It's learnt from the site survey that rural revitalization departments at all levels are the competent authorities for consolidating and expanding the efforts to effectively link the achievements in poverty alleviation with rural revitalization. At the district/county level, a complete database of the low-income people and families has been established by the rural revitalization bureau. Although all regions have been lifted out of poverty in 2020, the local governments still track and record the names and family conditions of the people who have been lifted out of poverty in each village. At the same time, the governments still implement the "four measures" for households lifted out of poverty, namely, responsibility, policies, assistance, and supervision. For example, in Yiling district, the local government still adhere to the management system of poverty alleviation regarding to each of the four measures: 1) ensuring the command system at district/county, township and village/community level remain unchanged; 2) Implementing policies, including national and provincial funding, education and medical assistance policies; 3) providing assistances through assigning the first secretary and task team to the village; 4) supervision, a monitoring mechanism has been established for those who are unstable in poverty alleviation, close to the poverty line and being in difficulties due to emergencies. Special personnel have been assigned to take charge of monitoring, recording, regularly tracking the situation of each household. In general, the governments expect to take five years transition period to consolidate and expand the achievements of poverty alleviation and provide a smooth transition period for poverty-lifted rural households to become self-reliant and self-improvement through orderly adjustment. In an effort to support rural revitalization and considering

the needs of county-level economic development, urban-rural development plan, and the transport needs of the local population, Yiling District initiated the "Rural Roads + Public Transport" project. This initiative vigorously promotes the urbanization of transport services in towns and villages, aiming to comprehensively enhance the quality and standard of transport services for rural residents. Throughout the district, there is one rural comprehensive transport service station, 78 waiting pavilions, 22 transport hubs, 73 rural transport routes, and 126 rural road passenger vehicles. As a result, every township, administrative village, and even remote areas of the district have achieved full passenger transport coverage, with a 100% connectivity rate.

271. **Assessment:** In terms of women's development and protection of women's rights and interests, it can be fully guaranteed through women's federations, women's organizations in enterprises and grass-roots women's organizations. For left-behind minors and old people, the government has established relevant databases mainly through civil affairs departments and provided timely assistance through towns governments and villages/communities. In terms of the support to the low-income families, the national and local governments have established a complete system and mechanism from policies, budgets to institutional arrangements, which can not only protect the legitimate rights and interests of the low-income families in various projects, but also effectively manage the support and development of the low-income families.

6. Public Participation and Grievance Redress Mechanisms

6.1 Public Participation

272. Stakeholder engagement is an important aspect of this ESSA and a requirement of the Bank policy. During the ESSA, stakeholders have been identified subject to the impacts of activities, interest in the activities and power of influence on decisions, mainly including government authorities at different levels, communities, activity implementation agencies, women's federations, other social organizations, and affected persons (see **Appendix 4** for details). During the ESSA preparation, extensive stakeholder engagements were conducted with municipal and district authorities of Yichang from June to July 2023 by means of virtual and in-person consultation meetings; and consultations on the ESSA report with relevant stakeholders were carried out in September 2023.

6.1.1 Initial Participation Activities

273. At the preparation stage, the Bank team and ESSA consulting team engaged with relevant authorities of the Yichang municipal and sample district/county-level governments from June to July 2023, covering the Bank's PforR provisions, E&S policies, implementation management practices, operating processes, assessment document preparation, etc.

274. From July 2023, extensive public participation has been conducted in Yichang to prepare and improve the ESSA report (see **Appendix 5** for details), including consultation meetings of municipal authorities, involving TB, HURDB, UMC, EEB, NRPB, CB, TPT/ PSB, CAB, ERAB, CTB, WF, UDG, etc. At the district/county level, Xiling, Yiling and Wujiagang district were visited, and focus group discussions (FGDs) held with government authorities with over 60 participants cumulatively, including representatives from TBs, TPTs of PSBs, HURDBs, UMCs, EEBs, NRPBs, CABs, WFs, etc. In addition, information was also collected from project districts of Xiling, Yiling and Wujiagang for further confirmation. In the various surveys and FGDs as mentioned above, exchanges were made with government authorities, relevant enterprises (Yichang Bus Group, scrapped vehicles disassembly company, vehicle inspection site), etc., and sites of BRT corridors, pedestrian walkways, non-motorized transport system, bus depots, bus terminals and affiliated facilities, transport hubs visited. These activities cover the following items:

- Responsibilities and organizational setup of each authority.
- Prevailing main sectoral policies and regulations.
- Scope of implementation, policy requirements, implementation progress, effects and main issues related to BTR corridors, pedestrian walkways, non-motorized transport system, bus depots, bus terminals, parking lots and affiliated facilities, transport hubs, scrapping of end-of-life truck and other activities.
- Enterprise scale, recruitment mode, worker benefits, safety and skills training, occupational health hazards and inspection, availability of protective equipment, facility land approval, EIA, SSRA, safety assessment, geological disasters, management, etc.
- Parking lots construction, operation, charging, issues, and suggestions.
- Public transport network layout, monitoring, and effectiveness.
- Residents' use of public transport facilities, collection of residents' opinions and suggestions on BRT corridors, buses, parking lots and other projects.

275. On 6 July 2023, the ESSA team conducted a visit to the Tieluba Community in Yichang's Xiling District. During this visit, discussions were held with more than ten persons, including community committee officials and resident representatives, to gain insights into the potential impacts of the PforR on the local community, the benefits accrued, and the basic livelihoods, culture, information disclosure, public participation, and grievance mechanism of the community residents. The feedbacks from the consultation indicated that the project has won extensive support from the community residents. Furthermore, it was affirmed that the PforR activities would not have any adverse effects on the community. For example, the construction of the BRT corridors occurs within the existing road infrastructure, and the development of pedestrian walkways and non-motorized transport system takes place on public spaces or green belts adjacent to existing roads. This development will not involve any collective land requisition or demolition of houses on state-owned land. The construction of roads and transport facilities will not cause significant pollution or safety to

communities. Simultaneously, the enhancement and renovation of public transport and associated facilities will contribute positively to the convenience of residents' travel (see **Appendix 9** for details).

6.1.2 Public Consultation on the ESSA

276. The draft ESSA was provided to Yichang PMO for public consultation on 24 August 2023. The PMO then shared the draft report with all relevant government authorities at municipal and district levels and representative communities and enterprises to seek their comments. The ESSA team received the written feedbacks on 11 September. Afterwards, the Yichang PMO organized relevant stakeholders to have consultation meetings with the ESSA team on 26 September 2023. The participants include the officials from the municipal authorities such as TB, TPT, HURDB, UMB, NRPB, EEB, FLB, HRSSB, CAB, WF, and HC, the relevant district-level government authorities, the representative enterprises such as UDG, YBG, and scrapping vehicle disassembly company, and the representative residents, etc. At the meetings, the PforR and the draft ESSA report were introduced, including the purpose, scope, methods, conclusions, and recommendations of the ESSA. The main concerns of the meetings include:

- 1) Whether the laws and regulations quoted in the ESSA are accurate and relevant.
- 2) Whether the analysis of the laws and regulations is pertinent.
- 3) Whether the description of the organizational setup in the report is accurate, and whether the assessment of institutional capacity is appropriate.
- 4) Whether the conclusions of this report are acceptable; in particular, whether the gaps identified between domestic ESMSs and the Bank's PforR policy are correct, and if the recommendations proposed are feasible and acceptable.

277. At the meetings, the participants gave positive opinions on the ESSA report, accepted the recommendations, and provided valuable comments on revision, such as validity of some policies, latest institutional arrangements, and organizational responsibilities, etc. The ESSA team listened to, recorded, and studied the comments carefully, and revised the report accordingly. The written feedbacks from the stakeholders and the responses made by the ESSA team are presented in **Appendix 6**.

6.2 GRMs

278. **Existing Program-Level of GRMs** usually include village/community-level and enterprise-level GRMs. The village/community-level grievance redress mechanism (GRM) consists of three levels: firstly, grievances are reported directly to the relevant PIUs to seek a solution; second, grievances are reported to the village or community committee and resolved by grass-root government, which usually take two weeks; thirdly, grievances are reported to the district/county PCPBs or the district/county head's hotline/mailbox, etc., which includes a mechanism of collection, initiation within 7 days, and solving within two months. In addition, residents can resolve more serious disputes through civil actions at court. An enterprise-level GRM basically has two aspects: one is workers' grievances: Workers' grievances are handled through a three-tier labor dispute resolution mechanism, namely, the enterprise labor disputes and redressing mechanism, the township government's labor dispute mediation center and the district/county government's labor mediation center. On the enterprise level, workers can seek a solution through the enterprise/factory manager mailbox, or the trade union. If any dispute cannot be addressed satisfactory, the worker can go through the government mediation mechanism, or seek solution by labor arbitration (see Principle #3 under Element 8 in Section 5.4). Second, the enterprise sets up an external relations department, and assigns a contact and a telephone number to collect complaints and suggestions from the public.

279. **Assessment:** Based on interviews with village/community committees and villager/resident representatives, village/community-level GRMs are sophisticated in general, and most grievances can be solved effectively at the village/community-level, with very few solved through civil litigation. GRMs for labors of enterprises are quite normative and can solve worker grievances.

7. Conclusions, Recommendations, and Action Plans

7.1 Conclusions

280. The PforR aims to expedite the decarbonization process within Yichang's transport sector while establishing operational mechanisms for the effective dissemination of decarbonization measures across Hubei Province. Overall, the PforR will significantly enhance the region's public transport infrastructure, promote eco-friendly travel, reduce carbon emissions, improve environmental air quality, and enhance the well-being of the community residents, although it will have some short-term, site-specific, small-scale, and mitigatable adverse impacts during the implementation. Since the activities with high E&S risks have been excluded from the PforR, the ESSA found that the existing E&S systems are effective and the PforR will not have significant negative E&S impacts. Considering that a large variety of activities will be supported in a broad coverage of Xiling, Yiling and Wujiagang districts in Yichang, that the non-physical activities would induce diverse E&S impacts in a wider range of areas, and that coordination and collaboration among multiple government authorities and extensive public participation will be involved in policy formulation and implementation and physical work construction and operation, the overall E&S risk of the PforR is categorized as "Substantial".

281. It's identified in the ESSA that proper E&S management systems have been established in China as well as Hubei and Yichang to identify, assess, avoid, mitigate, manage, and monitor the E&S impacts/risks related to the PforR activities, including (i) a complete regulatory system, including applicable laws, regulations, policies, standards, and technical guidelines at the national and local levels; (ii) clear implementation mechanisms, including administrative procedures, institutional arrangements and responsibilities, and necessary staffing and financial resources to manage E&S impacts and risks; and (iii) satisfactory performance of the E&S management systems. The random surveys on the past cases in the sample districts show that the E&S management measures have been implemented effectively. Based on the assessment, the E&S systems related to the PforR are deemed generally consistent with the requirements of the Bank's PforR policy and guidance.

282. The ESSA has also identified the following areas for improvement:

- 1) Some activities especially those with minor E&S impacts and exempt from EIA, SSRA, and/or feasibility study as per Chinese regulations didn't go through sufficient public consultation in the project cycle. For instance, in designing/optimizing bus routes and supporting facilities, there were no meaningful public consultation undertaken during the project preparation and implementation to understand and incorporate the needs (e.g., for travel convenience and safety) of different groups of people, especially the vulnerable groups and directly affected people; or public participation activities were carried out but lacked corresponding records and documentation.
- 2) Planning and implementation of non-physical activities in the existing regulatory framework lack adequate considerations of potential downstream E&S risks/impacts and lack sufficient stakeholder engagement as well.

7.2 Recommendations

283. Against the above-mentioned E&S issues, following recommendations have been proposed:

- 1) **Recommendation 1:** Carry out meaningful public consultation and information disclosure during the preparation and implementation stages of the activities under the PforR, especially those with minor E&S impacts and exempt from EIA, SSRA, and/or feasibility study as per Chinese regulations, in diverse channels and at proper time and location, identify and assess potential E&S impacts and risks, understand the needs (e.g., for travel convenience and safety) of different groups of people, especially vulnerable groups and directly affected people, incorporate mitigation measures and public opinions in subproject planning, design and implementation, and record and document the process of public consultations and information disclosures and grievance redressing.
- 2) **Recommendation 2:** Incorporate E&S considerations in non-physical activities planning (ToR development) and implementation (control of the quality of results) through E&S risk screening & assessment and stakeholder engagement to avoid or mitigate the potential downstream E&S impacts/risks associated with the targeted deliverables.

7.3 Action Plan

284. To effectively execute the above recommendations, following E&S actions should be included in the PAP and taken during the PforR implementation.

Table 0-1: E&S Action Plans

No.	Action	Responsibility	Timing	Completion Measurement
1	Carry out meaningful public consultation and information disclosure during the preparation and implementation stages of the activities under the PforR, especially those with minor E&S impacts and exempt from EIA, SSRA, and/or feasibility study as per Chinese regulations, in diverse channels and at proper time and location, identify and assess potential E&S impacts and risks, understand the needs (e.g., for travel convenience and safety) of different groups of people, especially vulnerable groups and directly affected people, incorporate mitigation measures and public opinions in subprojects planning, design and implementation, and record and document the process of public consultations and information disclosures and grievance redressing.	Yichang PMO; local relevant government authorities; PIUs	Semi-annually during the preparation and implementation of relevant subprojects	Contents of public consultation and information disclosure should be included in subproject assessment or design documents with consideration of needs of different groups; the semi-annual program progress report should include the information on all completed public consultations, information disclosures, and grievance redressing together with the progress of subprojects. These information should be properly recorded and documented, including time, location, targeted groups, methods, topics, comments received, actions taken, grievance received and redressed.
2	Incorporate E&S considerations in non-physical activities planning (ToR development) and implementation (control of the quality of results) through E&S risk screening & assessment and stakeholder engagement to avoid or mitigate the potential downstream E&S impacts/risks associated with the targeted deliverables.	Yichang PMO; local relevant government authorities; PIUs	Semi-annually during the preparation and implementation of relevant non-physical subprojects	For the non-physical activities involving potential downstream E&S risks, the PMO should develop the TORs to include terms and conditions on E&S impact screening & assessment and stakeholder engagement, which should be submitted to the Bank for review; the approved TORs should then be incorporated into the corresponding contracts or work descriptions; and the relevant deliverables should include downstream E&S risk assessment and stakeholder engagement records.

8. Management and Monitoring

285. As per the Bank PforR Policy⁹ and the agreements between the Bank and the Borrower, the two parties will manage and monitor the PforR implementation from different perspectives.

8.1 The Borrower

286. The Borrower is responsible for implementing the PforR, monitoring the implementation progress, evaluating the indicators, performing relevant commitments as per the legal documents including the PAP. The Borrower should also keep the E&S management systems effective, implement E&S monitoring plans, and identify and solve E&S issues in a timely and effective manner. In details, the Borrower should:

- Prepare and implement the E&S risk management measures defined as the Program Operational Manual (POM¹⁰).
- Implement the agreed E&S actions as per the PAP and maintain the E&S management systems and the implementation capacity as recommended by the ESSA.
- Submit semiannual monitoring reports on the PAP implementation to prove continuous compliance with the applicable E&S management mechanism. The monitoring reports should include the E&S risk identification, screening, management, and documentation etc.
- Evaluate and audit the system performance regularly as necessary.
- Review the performance of GRMs (both community level and enterprise level), procedures, and results regularly, and include specific grievance cases in the progress reports.
- Consult the Bank for any change made to the E&S systems during implementation.

287. Yichang PMO is responsible for overall management and implementation of the PforR activities. Other government authorities at district level engaged in the PforR may include DRC, PSB, FB, EEB, HURDB, TB, UMC, GSBDB, etc., and they are also responsible for implementing the proposed E&S actions. The PIUs should have specific divisions and staff to implement the E&S actions, report to Yichang PMO, and provide information to Yichang PMO and the Bank for supervision and monitoring.

8.2 The World Bank

288. The Bank is to provide supports to the implementation of the PforR and oversee the E&S management performance against the ESSA requirements especially the PAP. The Bank will monitor the Borrower's commitment to compliance with E&S risk management, including actions to strengthen institutional capacity. The Bank will evaluate the PforR performance based on the risk assessment conducted at the preparation stage and hence help the Borrower handle expected and unexpected risks and give recommendations to manage the risks. The Bank will also conduct field visits and provide supports to the PIUs and stakeholders and review audit and progress reports. The Bank team will submit memorandum to the Bank management group to report the PforR implementation performance regularly, by the way of document review, consultation with the PIUs and stakeholders, field visits, etc. The main activities include:

- Verify the implementation of agreed actions, including any agreed capacity building activity and any designated E&S mitigation measure.
- Conduct regular monitoring to ensure that the Borrower's ESMS performance at the implementation stage is accepted by the Bank.
- Identify any extra management measure that may be taken to underperformance or any unexpected challenge during implementation.
- Ensure the effective operation of the GRMs through semiannual reports.
- The Bank will conduct field visits regularly as a supplement to the self-supervisions of the PIUs, and provide other support agreed on between both parties.

⁹ As per the Bank's PforR Policy (paragraph 12), the Borrower is responsible for preparing and implementing the PforR Program. The PforR Program's scope and objectives and the Borrower's contractual obligations to the Bank are set out in the legal agreements with the Bank. These obligations include the requirement to carry out the PforR Program with due diligence, and to maintain appropriate monitoring and evaluation arrangements (including credible disbursement-linked indicator verification protocols), fiduciary and E&S PforR Program Systems, and governance arrangements.

¹⁰ The POM is a stand-alone document prepared by the PMO after the ESSA is finalized. It will specify E&S issues and corresponding actions, dedicated organization and person-in-charge, training plan, budget required, and timeline, etc.

Appendix 1: Boundary of Government Programs and the PforR

Government Programs			Activities included in the PforR	Related result areas of the PforR	Reason for non-inclusion
Development Areas	Categories of interventions	Main activities			
Hubei Transportation 14th FYP					
Build green transport systems	Save energy, decarbonize, and control pollution	Pilot low-carbon demonstrations, such as: (i) design an Emission Trading Scheme (ETS) for transit operators and logistics operators for Hubei Province; and (ii) develop the ETS for transit operators and logistics operators, etc.	Same as the left column	RA3-Incentivize low-carbon choices: 3.3 pilot an ETS for transport	
Yichang Transportation 14th FYP					
1. Provide strategic support & guidance	Strengthen transport strategy	Build Yichang transport intelligence center, promote city cluster integrated development, support rural revitalization, etc.	None	None	Not a PforR priority
2. Improve transport infrastructure networks	Upgrade transport hubs	Improve Yichang urban passenger transport infrastructure to increase quality of service, such as: (i) upgrade 32 bus interchange stations (incl. platforms, ramps, gates, guiding systems, and electronic boards, etc.); (ii) rehabilitate 111 passenger transport hubs (incl. shelters, seats, guiding systems, etc.); (iii) rehabilitate interchange facilities at Three Gorges Passenger Transport Station (inc. transfer facilities, parking lots, etc.); and (iv) build 6 bus depots and 2 bus terminals (incl. bus parking lots, and facilities for water supply, power supply, firefighting, and greening), etc.	Same as the left column	RA2-Facilitate modal shifts: 2.2 improve the quality of bus services and operations	
		Improve passenger transport system and strengthen connectivity among deferent modes of passenger transport, such as: (i) establish intermodal freight information platform for inland waterway transport to railway transport, including software and hardware; and (ii) develop multimodal policy incentive to facilitate a shift to rail/water freight transport, etc.	Same as the left column	RA2-Facilitate modal shifts: 2.4 improve intermodal connectivity between rail and waterway	
		Build tourist interchange stations at the Three Gorges Scenic Area and other scenic spots, and rehabilitate or upgrade passenger transport stations at city and county levels in Yichang, etc.	None	None	Not a PforR priority
	Improve other transport facilities	Build or improve railways, waterways, highways, national and provincial trunk roads, rural roads, civil aviation facilities, pipelines, etc.	None	None	Not a PforR priority
3. Improve the quality of transport services	Improve passenger transport services	Facilitate urban user-friendly passenger transport by promoting traffic congestion control, public transport (PT) development, and bus lanes and stations improvement, such as: (i) build a 26.7km long new BRT Corridor costing RMB 1.455 billion (incl. road rehabilitation, bus stops, signal systems, supporting facilities, etc.); and (ii) construct bus exclusive lanes with a total length of 166.4km (incl. bus lane marking, traffic signals, traffic signs, monitoring devices, isolation facilities, etc.)	Same as the left column	RA2-facilitate modal shifts: 2.1 expand the network of bus priority/ exclusive lanes	

Government Programs			Activities included in the PforR	Related result areas of the PforR	Reason for non-inclusion
Development Areas	Categories of interventions	Main activities			
		Facilitate urban user-friendly passenger transport by optimizing bus routes, such as: prepare and implement a plan to improve the population coverage of the PT network including providing commuter feeder bus services (incl. 8 new community micro-bus routes, partial community roads rehabilitation, and 56 new bus stops with supporting facilities, etc.)	Same as the left column	RA2-Facilitate modal shifts: 2.3 extend the coverage of transit network accessible to the urban population	
		Facilitate integration of urban and rural passenger transport by combining suburban bus stops and highway passenger stops, such as: (i) make plans to improve frequency, reduce transfers, increase speed, and route optimization; and (ii) operationalize improvements (1-3 optimized or new bus routes, 44 new bus stops, etc.)	Same as the left column	RA2-Facilitate modal shifts: 2.2 improve the quality of bus services and operations	
		Promote intercity passenger intermodal transport and international passenger direct transport, etc.	None	None	Not a PforR priority
	Enhance transport management	Strengthen the management of vehicles, vehicle maintenance, driver training, and new transport modes, etc.	None	None	Not a PforR priority
4. Accelerate smart transport construction	Promote Mobility as a Service (MaaS)	Advocate the MaaS concept and provide "one-stop" information services for public travel, such as: (i) develop a transport carbon emission data platform; and (ii) develop a MaaS platform and carbon credit mechanism, etc.	Same as the left column	RA3-Incentivize low-carbon choices: 3.2 introduce carbon crediting mechanism for mobility service users	
		Promote integrated green PT services in Yichang, such as: conduct public communication events on green mobility (car free day, green mobility champion) to popularize sustainable urban mobility, etc.	Same as the left column	RA4-Enhance institutional capacity: 4.4 capacity building and knowledge sharing	
	Build other smart transport systems	Create smart roads, smart waterways, smart airports, and smart buses, etc.	None	None	Not a PforR priority
5. Promote green transformation in transport sector	Save energy and reduce carbon emissions	Prepare the Implementation Plan for Carbon Peaking in the Transport Sector of Yichang City	Same as the left column	RA4-Enhance institutional capacity: 4.4 capacity building and knowledge sharing	
		Develop policies on vehicle emissions and scraping old trucks, such as: issue policies to encourage early retirement of heavy polluting trucks including two policies/standards on vehicle emissions issued by the EEBs and two policies/standards on vehicle emissions issued by the TBs	Same as the left column	RA1-Manage motorization and motorized travel demand: 1.1 issue	

Government Programs			Activities included in the PforR	Related result areas of the PforR	Reason for non-inclusion
Development Areas	Categories of interventions	Main activities			
				policies on vehicle emissions	
		Prevent and control port and vessel pollution, apply recycling technology in road maintenance, and update taxis with new-energy vehicles, etc.	None	None	Not a PforR priority
6. Secure transport safety	Improve traffic safety	Enhance road traffic safety management, vehicle safety operation, transport sectorial supervision, and traffic emergency resecure, etc.	None	None	Not a PforR priority
7. Strengthen transport sectorial governance	Deepen institutional reform in transport sector	Explore market-oriented operations in PT reform, such as: prepare the Development Strategy of Public Transport in Yichang including route network review, coverage expansion, service quality enhancement and optimization, etc.	Same as the left column	RA4-Enhance institutional capacity: 4.4 capacity building and knowledge sharing	
		Complete subsidy reform for PT in Yichang, such as: (i) prepare a new PT operating subsidy program covering incentives for ridership increase and decarbonization; and (ii) prepare the corresponding evaluation method for PT operational performance, etc.	Same as the left column	RA3-Incentivize low-carbon choices: 3.1 reform the subsidy mechanism for PT operators	
		Build a scientific, standardized, and effective institutional system, such as: (i) develop modelling tool to simulate the effects on carbon trajectories of alternate policy and program interventions; and (ii) use the same to define the policies and programs to be included in the Transport Sector Carbon Peaking Plan for Yichang, etc.	Same as the left column	RA4-Enhance institutional capacity: 4.3 develop a modeling tool to simulate policy effects on transport carbon emissions	
	Optimize business environment	Simplify administration, delegate power, and provide convenience to the public, etc.	None	None	Not a PforR priority
	Improve transport regulatory system	Strengthen transport law enforcement systems, regulate law enforcement behaviors, and regulate administrative supervision performance, etc.	None	None	Not a PforR priority
	Enhance the soft power of transport sector	Promote talent cultivation, such as: (i) organize domestic/ international study tours to learn best practices in transport decarbonization, ETS, MaaS platform construction and operation, PT operation management, traffic demand management, etc.; and (ii) organize workshops/ conferences/ materials to promote knowledge sharing on transport decarbonization including annual reporting and workshop with MOT on progress and lessons learned, etc.	Same as the left column	RA4-Enhance institutional capacity: 4.4 capacity building and knowledge sharing	
Yichang Transport Carbon Peak Plan					
1. Promote Low carbon transport	Promote low carbon facilities	Promote new-energy vehicles, pilot new-energy vessels, etc.	None	None	Not a PforR priority
2. Promote green freight	Promote green freight	Promote green and low-carbon phosphate transportation, smart logistics, urban-rural integrated green distribution, and multimodal transportation, etc.	None	None	Not a PforR priority

Government Programs			Activities included in the PforR	Related result areas of the PforR	Reason for non-inclusion
Development Areas	Categories of interventions	Main activities			
3. Build green travel systems	Implement PT-priority strategies	Build appropriate PT systems, such as: expand the network of bus priority/exclusive lanes; improve the quality of bus services and operations; provide commuter feeder bus services; and improve "last mile" accessibility along the BRT corridor, etc.	Same as the left column	RA2-Facilitate modal shifts	
		Promote "Yi-Jing-Jing-En" intercity passenger PT and create 1 to 2 PT demonstration counties by 2025	None	None	Not PforR regions
	Promote green & low carbon travel	Clean on-street parking spaces, study sub-regional parking fees, and restore the policy of on-street parking, such as: (i) issue new parking policies and regulations; and (ii) implement the parking policies and regulations, including managing on-street parking spaces (e.g., regulating on-street parking spaces, adjusting parking fees, cleaning 300 on-street parking spaces, etc.) and improving on-street parking facilities (e.g., earth inductors, and training to management and law enforcement personnel, etc.)	Same as the left column	RA1-Manage motorization and motorized travel demand: 1.3 and 1.4 issue and implement new parking policies and regulations	
		Create a multi-level and comfortable slow traffic network, such as: (i) include TOD principles along mass transit corridors (density, diversity, and design) in the spatial master plan; and (ii) update the technical guidance on accessibility to include priority to access to transit, etc.	Same as the left column	RA1-Manage motorization and motorized travel demand: 1.5 issue TOD policies and regulations	
	Accelerate construction of slow traffic systems and supporting facilities, such as: build pedestrian walkways and 11 street-crossing facilities for 17 km long in total at both sides of the Chengdong Avenue; build bicycle lanes and 20 bicycle parking sites for 30 km long in total at both sides of the Fazhan Avenue; and build or expand walkways, set up traffic signs, improve pavement, and install seats in the Riverside and the Ermalu areas, etc.	Same as the left column	RA1-Manage motorization and motorized travel demand: 1.6 implement TOD and accessibility improvement investments		
4. Increase energy efficiency of transport facilities	Increase energy efficiency of vehicles	Scrap old vehicles that have reached their retirement age, and regulate transportation vehicles for their fuel consumption levels, such as (i) develop a database for truck scrappage; and (ii) implement truck scrappage program by scrapping total 38769 old trucks during the period of 2023-2027, etc.	Same as the left column	RA1-Manage motorization and motorized travel demand: 1.2 implement vehicle emissions polices	
	Increase energy efficiency of vessels	Implement subsidy policies for vessels scrapping and upgrading, and scrap oversized vessels unsuitable for waterways, etc.	None	None	Not a PforR priority

Government Programs			Activities included in the PforR	Related result areas of the PforR	Reason for non-inclusion
Development Areas	Categories of interventions	Main activities			
5. Build low carbon transport infrastructure	Promote green design and construction	Expressway encryption and energy enhancement, trunk road construction and energy enhancement, and infrastructure construction for marine clean energy refueling	None	None	Not a PforR priority
6. Enhance energy consumption and carbon emission counting and evaluation	Improve counting systems	Develop energy consumption and carbon emission counting platforms for the transport sector of Yichang, such as: 1. design a carbon accounting system for the transport sector; and 2. operationalize the system, etc.	Same as the left column	RA4-Enhance institutional capacity: 4.1 establish and maintain carbon accounting system and evaluation mechanism	
	Improve evaluation and examination systems	Study and develop methods to verify energy saving and decarbonization for transport authorities and enterprises, such as: 1.design a monitoring, reporting and verification (MRV) system for enabling ETS; and 2. operationalize the system, etc.	Same as the left column	RA4-Enhance institutional capacity: 4.2 establish and maintain a MRV system to enable ETS	

Appendix 2: Assessment of E&S Risks/Impacts of the PforR Activities

Results Areas	Typical activities	Likely E&S effects	E&S contextual risks	Institutional capacity and complexity risks	Political and reputational risks	Overall risk ranking
RA1 - Manage Motorization and Motorized Travel Demand	1.1 Issue policies on vehicle emissions 1.2 Implement vehicle emissions policies	<ul style="list-style-type: none"> The policy development activities do not directly generate negative environmental or social impacts but may involve OHS risks to PMO staff and researchers. Implementation of the policies may trigger downstream activities, such as scrapping, recycling, and disassembling of heavy polluting trunks throughout Yichang, which may induce E&S impacts such as vehicle owners' economic losses and E&S issues related to scrapped vehicles disassembly activities (hazardous waste, ordinary industrial waste, oily wastewater, noise, dust, organic waste gases, OHS risks, etc.). However, these downstream E&S impacts can be controlled through developing and implementing proper incentive mechanisms, subsidy policies, and regulatory measures, etc. The implementation of the policies will ultimately promote clean energy vehicles and carbon reduction and have long-term E&S benefits. Overall risk is substantial. 	<ul style="list-style-type: none"> The activities are not about physical construction so no E&S sensitive area will be involved. Implementation of the policies will cover a wide area and may involve ethnic concentrated areas. Overall risk is moderate. 	<ul style="list-style-type: none"> Implementation of the activities will require strong cross-sectoral coordination among various government authorities including DRCs, FBs, CBs, IITBs, MSBs, EEBs, TBs, TPTs/PSBs, UMCs, PLACs, UDG, etc. Overall risk is substantial. 	<ul style="list-style-type: none"> The activities are in line with laws, regulations, and procedures, so there is no political risk. The activities will reduce old vehicle emissions, improve air quality and benefit to local people, so they will be widely supported by the public with no reputation risk. Overall risk is low. 	Substantial
	1.3 Issue new policies and regulations on parking 1.4 Implementation of parking policies and regulations	<ul style="list-style-type: none"> The policy development activities do not directly generate negative environmental or social impacts but may involve OHS risks to PMO staff and researchers. Implementation of the policies may trigger downstream activities such as parking spaces adjustments and parking fees changes in a broader region of Yichang, which might influence user convenience, parking costs, parking spaces management, and private vehicle usage, etc. However, these potential E&S issues can be controlled through developing and implementing proper incentive mechanisms, subsidy policies, 	<ul style="list-style-type: none"> The activities are not about physical construction so no E&S sensitive area will be involved. Implementation of the policies will cover a wide area and may involve ethnic 	<ul style="list-style-type: none"> Implementation of the activities will require strong cross-sectoral coordination among various government authorities including DRCs, FBs, Tax Bureau, IITBs, CBs, MSBs, EEBs, TBs, TPTs/PSBs, 	<ul style="list-style-type: none"> The activities are in line with laws, regulations, and procedures, so there is no political risk. The activities will promote utilization of transport facilities, transit to cleaner energy vehicles and benefit to local people, so they will be widely supported by the 	

Results Areas	Typical activities	Likely E&S effects	E&S contextual risks	Institutional capacity and complexity risks	Political and reputational risks	Overall risk ranking
		<p>and regulatory measures, etc. Implementation of the policies will ultimately reduce the occupation of road surfaces by vehicles, improve the utilization of parking spaces, promote the use of clean energy vehicles, and reduce carbon emissions, and have long-term E&S benefits.</p> <ul style="list-style-type: none"> • Overall risk is moderate. 	<p>concentrated areas.</p> <ul style="list-style-type: none"> • Overall risk is moderate. 	<p>UMCs, PLACs, UDG, etc.</p> <ul style="list-style-type: none"> • Overall risk is substantial. 	<p>public with no reputation risk.</p> <ul style="list-style-type: none"> • Overall risk is low. 	
	1.5 Issue TOD policies and regulations	<ul style="list-style-type: none"> • The policy development activities do not directly generate negative environmental or social impacts but may involve OHS risks to PMO staff and researchers. • Implementation of the policies may trigger downstream activities in a larger area of Yichang, such as increasing or replacing buses, adding exclusive bus lanes, establishing bus stations/depots, building bicycle lanes and pedestrian walkways, and raising private vehicle parking fees, etc. This will result in indirect E&S impacts, such as the challenge to public transport system management, the influence to the cost of private vehicle use, and the E&S impacts in construction and operation of physical works, etc. However, these E&S impacts can be controlled through developing and implementing proper incentive mechanisms, subsidy policies, and regulatory measures. Ultimately, implementation of the policies is expected to reduce the volume of on-road vehicles, alleviate traffic congestion, decrease vehicle emissions, and have long-term E&S benefits. • Overall risk is moderate. 	<ul style="list-style-type: none"> • The activities are not about physical construction so no E&S sensitive area will be involved. • Implementation of the policies will cover a wide area and may involve ethnic concentrated areas. • Overall risk is moderate. 	<ul style="list-style-type: none"> • Implementation of the activities will require strong cross-sectoral coordination among various government authorities including DRCs, FBs, IITBs, EEBs, TBs, TPTs/PSBs, NRPBs, HURDBs, UMCs, PLACs, UDG, etc. • Overall risk is substantial. 	<ul style="list-style-type: none"> • The activities are in line with laws, regulations, and procedures, so there is no political risk. • The activities will promote transport accessibility and connectivity and benefit to local people, so they will be widely supported by the public with no reputation risk. • Overall risk is low. 	Moderate
	1.6 Implement TOD and accessibility improvement investments	<ul style="list-style-type: none"> • Construction and rehabilitation of pedestrian walkways, urban greenways, bicycle lanes, and affiliated facilities will involve the occupation of state-owned land, roadside green belts, and 	<ul style="list-style-type: none"> • The activities will be implemented in the urban cores not involving 	<ul style="list-style-type: none"> • Implementation of the activities will require strong cross-sectoral coordination 	<ul style="list-style-type: none"> • The activities are in line with laws, regulations, and 	Substantial

Results Areas	Typical activities	Likely E&S effects	E&S contextual risks	Institutional capacity and complexity risks	Political and reputational risks	Overall risk ranking
		<p>public infrastructure relocation, like utility networks and cables.</p> <ul style="list-style-type: none"> • During the construction phase, there may be short-term, limited social impacts such as temporary land use, minor land acquisition, labor use, construction safety risks, and disruptions to nearby businesses and shops. Construction activities will also involve short-term, site-specific, and limited environmental impacts, such as dust, noise, and solid waste. However, these impacts are usually predictable and can be avoided or mitigated using demonstrated techniques and/or management measures. • During the operational phase, the permeable paving techniques applied to the slow transport system can help alleviate urban flooding issues. Traffic safety risks would exist in the operational phase, which can be mitigated through traffic guidance and public education efforts. • Overall risk is moderate. 	<p>ecologically sensitive areas like natural habitats. However, the residential areas, schools, hospitals, and offices are the areas to be affected by vehicle emissions, traffic noise, and traffic safety risks, etc.</p> <ul style="list-style-type: none"> • Overall risk is moderate. 	<p>among various government authorities including DRCs, FBs, NRPBs, EEBs, HURDBs, FLBs, TBs, PLACs, HCs, UMCs, UDG/YBG, etc. and extensive public consultations.</p> <ul style="list-style-type: none"> • Overall risk is substantial. 	<p>procedures, so there is no political risk.</p> <ul style="list-style-type: none"> • The activities will promote transport accessibility and connectivity and benefit to local people, so they will be widely supported by the public with no reputation risk. • Overall risk is low. 	
RA2 - Facilitate Modal Shifts	<p>2.1 Expand the network of bus priority/exclusive lanes</p> <p>2.2 Improve the quality of bus services and operations</p> <p>2.3 Extend the coverage of transit network accessible to the urban population</p>	<ul style="list-style-type: none"> • Construction of BRT corridors, bus lanes, bus stations and affiliated facilities, and localized road upgrades will involve the occupation of state-owned land, roadside green belts, and public infrastructure relocation, like utility networks and cables. Establishment of passenger transport interchange facilities, bus terminals, and bus depots may potentially involve small-scale collective land acquisition and housing demolition. Both the construction and operational phases will entail health and safety risks to workers and community residents. • During the construction phase, there may be short-term, limited social impacts such as temporary land use, minor land acquisition, labor use, construction safety risks, and disruptions to 	<ul style="list-style-type: none"> • The activities will be implemented in the urban cores not involving ecologically sensitive areas like natural habitats. However, the residential areas, schools, hospitals, and offices are the areas to be affected by 	<ul style="list-style-type: none"> • Implementation of the activities will require strong cross-sectoral coordination among various government authorities including DRCs, FBs, NRPBs, EEBs, TBs, FLBs, HURDBs, PLACs, HCs, UMCs, TPTs/PSBs, FRABs, EMBs, UDG/YBG, etc. 	<ul style="list-style-type: none"> • The activities are in line with laws, regulations, and procedures, so there is no political risk. • The activities will promote transport accessibility and connectivity and benefit to local people, so they will be widely supported by the public with no reputation risk. • Overall risk is low. 	Substantial

Results Areas	Typical activities	Likely E&S effects	E&S contextual risks	Institutional capacity and complexity risks	Political and reputational risks	Overall risk ranking
		<p>nearby businesses and shops. Construction activities will also involve short-term, site-specific, and limited environmental impacts, such as dust, noise, and solid waste. However, these impacts are usually predictable and can be avoided or mitigated using demonstrated techniques and/or management measures.</p> <ul style="list-style-type: none"> • During the operational phase, there will be E&S issues such as vehicle emissions, traffic noise, stormwater runoff and urban flooding, vehicle maintenance pollution, road traffic accidents, fire risks at bus depots/terminals, and OHS risks, etc. However, these impacts are usually predictable and can be avoided or mitigated using demonstrated techniques and/or management measures. • Overall risk is substantial. 	<p>vehicle emissions, traffic noise, and traffic safety risks, etc.</p> <ul style="list-style-type: none"> • Overall risk is moderate. 	<p>and extensive public consultations.</p> <ul style="list-style-type: none"> • Overall risk is substantial. 		
	2.4 Improve intermodal connectivity between rail and waterway	<ul style="list-style-type: none"> • Such non-physical activities do not involve civil work and have no direct negative E&S impacts. • Developing new freight transport information platform belongs to software development and application activities. It will not directly trigger downstream physical activities and will not have significant indirect negative E&S impacts. Moreover, it will promote decarbonization in transport sector, improve E&S management and strengthen institutional capabilities in the future. • Overall risk is low. 	<ul style="list-style-type: none"> • The activities are not about physical construction so no E&S sensitive area will be involved. • Overall risk is low. 	<ul style="list-style-type: none"> • Implementation of the activities will require cross-sectoral coordination among various government authorities including DRCs, FBs, IITBs, TBs, GSBDB, UDG/YBG, etc. • Overall risk is moderate. 	<ul style="list-style-type: none"> • The activities are in line with laws, regulations, and procedures, so there is no political risk. • The activities will promote transport decarbonization and benefit to local people, so they will be widely supported by the public with no reputation risk. • Overall risk is low. 	Moderate
RA3 - Incentivize Loo-Carbon Choices	3.1 Reform the subsidy mechanism for public transport operators	<ul style="list-style-type: none"> • Such non-physical activities do not involve civil works and have no direct negative E&S impacts. • Implementation of the subsidy mechanism may trigger downstream activities in a wide range of 	<ul style="list-style-type: none"> • The activities are not about physical construction so 	<ul style="list-style-type: none"> • Implementation of the activities will require cross-sectoral 	<ul style="list-style-type: none"> • The activities are in line with laws, regulations, and 	Moderate

Results Areas	Typical activities	Likely E&S effects	E&S contextual risks	Institutional capacity and complexity risks	Political and reputational risks	Overall risk ranking
		<p>Yichang, such as adding new-energy buses and bus maintenance facilities, will may induce indirect E&S impacts, e.g., challenge to vehicle scrappage management and new-energy buses management. However, These impacts are usually predictable and can be avoided or mitigated using demonstrated techniques and/or management measures. Implementation of the mechanism will ultimately enhance the quality of public transport services, reduce carbon emissions, and have long-term E&S benefits.</p> <ul style="list-style-type: none"> • Overall risk is moderate. 	<p>no E&S sensitive area will be involved.</p> <ul style="list-style-type: none"> • Overall risk is low. 	<p>coordination among various government authorities including DRCs, FBs, SASAC, Audit Bureau, TBs, UMCs, UDG/YBG, etc.</p> <ul style="list-style-type: none"> • Overall risk is moderate. 	<p>procedures, so there is no political risk.</p> <ul style="list-style-type: none"> • The activities will improve public transport services, promote transport decarbonization and benefit to local people, so they will be widely supported by the public with no reputation risk. • Overall risk is low. 	
	<p>3.2 Introduce carbon crediting mechanism for mobility service users</p> <p>3.3 Pilot an emission trading scheme (EST) for transport</p>	<ul style="list-style-type: none"> • Such non-physical activities do not involve civil works and have no direct negative E&S impacts. • These activities include software development & application and network equipment upgrades, which will not directly trigger downstream physical activities and will not have significant indirect negative E&S impacts. Moreover, these activities will promote decarbonization in the transport sector and have a facilitating effect on subsequent E&S management and institutional capacity enhancement. • Overall risk is low. 	<ul style="list-style-type: none"> • The activities are not about physical construction so no E&S sensitive area will be involved. • Overall risk is low. 	<ul style="list-style-type: none"> • Implementation of the activities will require cross-sectoral coordination among various government authorities including DRCs, FBs, EEBs, CBs, IITBs, TBs, GSBDB, UDG/YBG, etc. • Overall risk is moderate. 	<ul style="list-style-type: none"> • The activities are in line with laws, regulations, and procedures, so there is no political risk. • The activities will encourage citizens to choose green transport behaviors and benefit to local people, so they will be widely supported by the public with no reputation risk. • Overall risk is low. 	Moderate
RA4 - Enhance Institutional Capacity	<p>4.1 Establish and maintain carbon accounting system and evaluation mechanism</p> <p>4.2 Establish and maintain</p>	<ul style="list-style-type: none"> • Such non-physical activities do not involve civil works and have no direct negative E&S impacts. Domestic and international study tours may involve OHS risks to staff of PMO and research agencies. • The activities like software development, methodologies development and trainings will 	<ul style="list-style-type: none"> • The activities are not about physical construction so no E&S sensitive area will be involved. 	<ul style="list-style-type: none"> • Implementation of the activities will require support from various government authorities including DRCs, 	<ul style="list-style-type: none"> • The activities are in line with laws, regulations, and procedures, so there is no political risk. • The activities will promote transport 	Low

Results Areas	Typical activities	Likely E&S effects	E&S contextual risks	Institutional capacity and complexity risks	Political and reputational risks	Overall risk ranking
	<p>monitoring, reporting and verification (MRV) system to enable ETS</p> <p>4.3 Develop a modeling tool to simulate policy effects on transport carbon emission</p> <p>4.4 Capacity building and knowledge sharing</p>	<p>not trigger downstream physical works so have no significant indirect negative E&S impacts. Furthermore, it will have a catalytic effect on subsequent E&S management and institutional capacity enhancement.</p> <ul style="list-style-type: none"> Overall risk is low. 	<ul style="list-style-type: none"> Overall risk is low. 	<p>FBs, EEBs, TBs, TPTs/PSBs, UMCs, HURDBs, GSBDB, UDG, etc.</p> <ul style="list-style-type: none"> Overall risk is low. 	<p>decarbonization and benefit to local people, so they will be widely supported by the public with no reputation risk.</p> <ul style="list-style-type: none"> Overall risk is low 	

Appendix 3: Comparison with the Bank PforR Policy and Directive

Principle #1: Program E&S management systems are designed to promote E&S sustainability in the program design; avoid, minimize, or mitigate adverse impacts; and promote informed decision-making relating to a program’s E&S effects.

PforR core principles/ elements	China’s E&S management requirements and practices	Consistency and recommendations
<p>Element 1: Operate within an adequate legal and regulatory framework to guide E&S impact assessments, mitigation, management, and monitoring at the PforR level.</p>	<p>Environmental: China has established a complete legal framework on environmental management. (1) Based on the “Environmental Protection Law”, China has developed a variety of environmental management laws, regulations, standards, technical guidelines, such as the “Environmental Impact Assessment Law” (2018), the “Water Pollution Prevention and Control Law” (2017), the “Air Pollution Prevention and Control Law” (2018), the “Solid Waste Pollution Prevention and Control Law” (2020), the “Noise Pollution Prevention and Control Law” (2021), the “Construction Projects Environmental Protection Management Regulations” (2017), the “Construction Projects EIA Classification Catalogue” (2021), the “EIA Technical Guidelines”, etc., which constitutes the legal framework for guiding the assessment of environmental impacts and managing the environmental risks of the PforR activities. (2) Yichang has established a municipal PLG and a subsidiary PMO to coordinate various municipal authorities (e.g., DRC, FB, TPT, EEB, HURDB, TB, UMC, etc.) to jointly implement the PforR and manage the associated E&S issues. These government authorities, together with their district-level counterparts are responsible for mobilizing their resources, taking actions, and enforcing laws and regulations to manage the PforR environmental impacts/risks. China’s EMSs have a sound legal framework to guide the assessment, mitigation, management, and monitoring of environmental impacts at the PforR level.</p> <p>In addition, the environmental regulatory framework has also been compared with the Bank’s EHS guidelines and GIIP. (i) The vehicle emission management regulations are found equivalent to the WBG’s “General EHS Guidelines” and have covered most of the GIIP. The recommended measures include replacing older vehicles with newer and more fuel-efficient alternatives, converting high-use vehicles to cleaner fuels, installing/maintaining emissions control devices (e.g., catalytic converters), and implementing a regular vehicle maintenance and repair program, etc. (ii) The management regulations on ordinary industrial waste, hazardous waste, and oily wastewater generated in the activities of scrapped vehicle disassembly and vehicle maintenance are found equivalent to the WBG’s “EHS Guidelines for Waste Management Facilities” and “General EHS Guidelines”. The recommended measures include segregating hazardous wastes and materials from non-hazardous wastes and materials; separating incompatible wastes, and storing waste in separate drums or vessels based on their hazard classification; conducting regular training and exercises for site staff regarding emergency procedures; providing firefighting equipment appropriate to the type of waste received at the site; installing and maintaining oil water separators and grease traps as appropriate at refueling facilities, workshops, parking areas, fuel storage and containment areas; preventing surface runoff from process areas or potential sources of contamination; and managing and treating the first flush of stormwater runoff and the washing wastewater with oil, etc.</p>	<p>Consistent.</p>
	<p>Social: i) Notice of the National Development and Reform Commission on Issuing the Interim Measures for the Social Stability Risk Assessment of Major Fixed Asset Investment Projects (NDRCI 2012): For any major fixed asset investment project in China, the owner shall conduct an SSRA at the preparatory stage to identify risks and degree of impact, solicit opinions from the affected people, propose measures to prevent and mitigate risks, and determine the recommended social stability risk rating after such measures are taken. ii) Guidelines on Establishing a Sound Social Stability Risk Assessment Mechanism for Major Decisions and Matters (Interim)</p>	<p>Consistent.</p> <p>However, it’s found in actual practice that activities that not fall into the category of major</p>

PforR core principles/ elements	China's E&S management requirements and practices	Consistency and recommendations
	<p>(CPCCCO [2012] No.2): An SSRA shall be conducted for any decision-making on major project or matter that concerns the immediate interests of the public, and is likely to cause social stability risks, such as LA and HD, farmers' burden, state-owned enterprise restructuring, environmental impacts, social security, and public welfare.</p> <p>iii) The Opinions on Strengthening Social Stability Risk Assessment for Major Decisions under New Circumstances promulgated by the General Office of the CPC Central Committee and the General Office of the State Council in February 2020: An SSRA shall be carried out on major decisions including those on major construction projects. It specifies the contents, methods, procedures, and management of SSRA, and application of SSRA results, and underlines that the contents of SSRA are integral to the Program's feasibility study and application reports.</p> <p>iv) Interim Regulations on Major Administrative Decision-making Procedures, requires that the implementation of major administrative decisions with the potential to adversely affect social stability, public safety, and related aspects must undergo a risk assessment first. Major administrative decisions include: i) the formulation of significant public policies and measures related to public services, market regulation, social governance, environmental protection, etc.; ii) the development of crucial plans concerning economic and social development; iii) decisions concerning major public facilities within the administrative region; iv) decisions on other significant matters that have a substantial impact on economic and social development and public interests, etc.</p> <p>The social impact assessment system applicable to the Program is adequate. Specific laws and regulations are sorted out by the following principles and elements.</p>	<p>project, major decisions, not involving land acquisition or house demolition, or not required an FSR, it's not required to conduct SSRA according to law. For example, small-scale civil works or non-administrative decisions, e.g., bus routes optimizing, bus service improvement, bus exclusive lanes, cycling lanes, social assessment is quite tentative depends on the project owner that some may conduct and some may not. Further more, lack adequate public consultation and information disclosure, and documentation. A recommendation has been proposed to fill this gap in Chapter 7.</p>
<p>Element 2: Incorporate recognized elements of good practice in E&S assessment and management, including</p>	<p>Environment: China has established a sound EIA system, covering environmental impacts screening, alternatives comparison, site selection, impact assessment (positive vs. vegetative, direct vs. indirect, cumulative, etc.), mitigation measures, environmental management institutional arrangement, environmental management costs, public consultation, and information disclosure, etc. In the environmental due diligence, a variety of primary and secondary data and sample EIA documents were collected for sample projects, which demonstrate the EIA system has been well established and operated. The details are given below.</p> <p>Social: The state laws and regulations on project screening include the Measures for the Administration of the Pre-examination on the Use of Land for Construction Projects (2008.11.29), Cultural Relics Protection Law (2017 Amendment), Land Administration Law (2020.1.1), Regulations on the Prevention and Control of Geologic Disasters (2004.3.1), and Notice of the National Development and Reform Commission on Issuing the Interim Measures for the Social Stability Risk Assessment of Major Fixed Asset Investment Projects (NDRCI 2012), and Opinions on Strengthening Social Stability Risk Assessment for Major Decisions under New Circumstances (GOSC, 2020.2.22). the Interim Regulations on Major Administrative Decision-making Procedures (2019.4).</p>	<p>Consistent.</p> <p>Consistent.</p>

PforR core principles/ elements	China's E&S management requirements and practices	Consistency and recommendations
(i) early screening of potential impacts;	<p>Environment: The <i>Environmental Impact Assessment Law</i> clearly requires that early screening should be conducted to confirm EIA category for each construction project. The <i>Construction Projects EIA Classification Catalogue</i> (2021) provides a guidance on classifying EIA instruments for 173 types of projects in 55 sectors. Environmental impacts are classified to Class A - significant impacts, Class B - moderate impacts, and Class C - minor impacts based on project nature, scale, and environmental sensitivity. EIA report, EIA form, and EIA registration will then be development for Class A, Class B, and Class C, respectively. All construction projects are subject to environmental identification and screening.</p> <p>Social: Guidelines on Establishing a Social Stability Risk Assessment Mechanism for Major Decisions and Matters (Interim): Scope of assessment: The Party and government institutions shall conduct an SSRA before making any decision on any major project or policy or matter that concerns the immediate interests of the public, and is likely to cause social stability risks, such as LA and HD, farmers' burden, state-owned enterprise restructuring, environmental impacts, social security, and public welfare. Decisions subject to SSRA shall be made by relevant local authorities according to the above regulations and in the light of the realities, and the SSRA of any major construction project shall be an integral part of its feasibility study. Measures for the Administration of the Pre-examination on the Use of Land for Construction Projects: The area and type of the land used for the project shall be identified before the feasibility study report or project proposal is reviewed to avoid the expropriation of basic farmland, and nature reserves, etc. The Opinions on Strengthening Social Stability Risk Assessment for Major Decisions under New Circumstances stipulates that SSAR must be carried out for all major decisions and matters directly affecting the interests of people and potentially posing significant impacts on social stability, public safety, and related aspects. The assessment shall investigate the legality, rationality, feasibility, and controllability of major decisions and matters. The scope of this investigation should cover stakeholders in the affected areas, ensuring the comprehensive collection of opinions from the public and various stakeholders. It entails a thorough and continuous screening and analysis of potential social stability risks.</p>	<p>Consistent.</p> <p>Consistent</p>
(ii) consideration of strategic, technical, and site alternatives (including the “no action” alternative);	<p>Environment: EIAs for construction projects are required to include comparison of different natural background conditions especially environmental sensitive areas, site alternatives, pollution control options, pollutants treatment techniques, as well as environmental benefits and costs of different designs. In addition, EIAs will review historical environmental issues and clarify how the environment will continue deteriorating without the proposed project, which is equivalent to analysis of “with” and “without” project alternatives.</p> <p>Social: Cultural Relics Protection Law: Article 20: The site selected for a construction project shall keep away from immovable cultural relics as far as possible. If the impact on a protected culture relic can't be avoided for special circumstances, the original site shall be protected by whatever possible means. Article 29: Before launching a large-scale capital construction project, the construction contractor shall firstly apply to the cultural relic authority of concerned province, autonomous region and municipality for an archaeological investigation at places where cultural relics may be buried underground within the project area. Regulations on the Prevention and Control of Geologic Disasters: Article 13: The development and implementation of overall plan for land utilization and other plans for the construction of a major project shall take full account of the requirements on prevention and control of geologic disasters so as to avoid and mitigate the losses arising from geologic disasters. The plans on prevention and control of geologic disasters shall be an integral part of overall plans developed at municipal, village or township levels.</p>	<p>Consistent.</p> <p>Consistent</p>

PforR core principles/ elements	China's E&S management requirements and practices	Consistency and recommendations
(iii) explicit assessment of potential induced, cumulative, and trans-boundary impacts;	Environment: According to the "Technical Guidelines on Environmental Impact Assessment", EIA documents will include the assessment of cumulative impacts in temporal and spatial aspects if construction projects are likely to have cumulative impacts on the environment.	Consistent.
	Social: Outline for the Preparation of the Chapter on the Social Stability Risk Analysis of Major Fixed Asset Investment Projects and Assessment Report (Interim) (NDRCOI [2013] No.428): Analysis of potential induced and cumulative risks shall be conducted, with effective risks management measures being taken.	Consistent
(iv) identification of measures to mitigate adverse E&S risks and impacts that cannot be otherwise avoided or minimized;	Environment: As required by the "Environmental Impact Assessment Law", EIA documents will include proper measures to avoid or mitigate negative environmental impacts. As per the "Technical Guidelines on Environmental Impact Assessment", EIAs will also include specific and operational mitigation measures to manage the identified environmental impacts, and the measures will be incorporated into EMPs. Any EIA documents without appropriate mitigation measures and institutional arrangement will not pass review and approval.	Consistent.
	Social: Guidelines on Establishing a Social Stability Risk Assessment Mechanism for Major Decisions and Matters (Interim): The SSRA report shall specify the scope and procedures of SSRA, opinions of relevant parties and opinions accepted, social stability risks potentially caused by any major decision, conclusions of SSRA, proposals, risks prevention and mitigation measures, and emergency response plans, etc. If the assessment report thinks that a high risk is present, a decision of non-implementation shall be made, or a decision may be made after the plan is adjusted or the risk level is reduced; if an moderate risk is present, a decision of implementation shall be made after effective risk prevention and mitigation measures are taken; and if a low risk is present, a decision of implementation may be made, provided that actions like explanation and persuasion to the people affected are taken and reasonable requests of people affected are handled properly. The SSRA report, signed by person in charge of the assessor, shall be submitted to the decision-making authority for review step by step, with copies being sent to the decision implementation, political and legislative affairs, comprehensive social governance, stability maintenance, legislative affairs, and letters and visits authorities. In the Interim Regulations on Major Administrative Decision-making Procedures , it also requires to develop mitigation measures for identified risks.	Consistent
(v) clear articulation of institutional responsibilities and resources to support implementation of plans;	Environment: According to the "Technical Guidelines on Environmental Impact Assessment", EIA documents should clearly define institutional organization and responsibilities, environmental management costs and financial resources, and environmental monitoring and supervision arrangement in terms of parameters, timing, and frequency, etc.	Consistent.
	Social: Guidelines on Establishing a Sound Social Stability Risk Assessment Mechanism for Major Decisions and Matters (Interim): Implementation agency of SSRA: SSRA of any major decision shall be conducted by the assessor. For decisions made by the local party committee and government, the assessor shall be designated by such party committee and government; for decisions made by any department of the local party committee and government, the assessor shall be designated by such department or the leading department in consultation with other relevant departments; for decisions made by multiple party and government institutions at different levels, the assessor shall be designated by the initial decision-making authority. During the SSRA, the assessor may organize an assessment group composed of officials from the political and legislative affairs, comprehensive social governance, stability maintenance, legislative affairs, and letters and visits authorities, NGOs, specialized agencies, experts, and representatives of the affected people. Notice of the National Development and Reform Commission on Issuing the Interim Measures for the Social Stability Risk	Consistent

PforR core principles/ elements	China's E&S management requirements and practices	Consistency and recommendations
	<p>Assessment of Major Fixed Asset Investment Projects: Article 3: At the feasibility study stage of a project, the PIU (or through a specialized agency) shall conduct an SSRA to identify impacts, carry out public consultation, propose mitigation measures, and prepare an SSRA report. Regulations for the Implementation of the Land Administration Law: Article 25: In accordance with approved land acquisition plans, the land administration authority of the municipal/county government shall, in conjunction with other relevant departments, formulate land acquisition compensation and resettlement plans, announce such plans at the townships and villages affected, consider the opinions of rural collective economic organizations and farmers affected. All costs arising from land acquisition shall be fully disbursed within 3 months after the approval of land acquisition compensation and resettlement plans.</p>	
(vi) responsiveness and accountability through stakeholder consultation, timely dissemination of the PforR information, and responsive GRMs.	<p>Environment: It is stipulated in "Environmental Impact Assessment Law" that Class A projects subject to full EIA reports should go through public consultation. Though it's not compulsory for other projects to carry out public consultation, local EEBs usually suggest the PIUs to seek public opinions if the proposed facilities have potential impacts on receptors, for example, construction of bus depots might cause noise nuisance to adjacent residents. As per the "Mechanism of Information Disclosure for Construction Project EIA", all PIUs shall disclose the environmental information including the project siting, and the process of construction and operation, etc., and local EEBs shall disclose the management information including the progress of review and approval of EIA documents and the supervision findings, etc.</p>	Consistent.
	<p>Social: Land Administration Law: Article 47: For expropriation of land by the state, the local governments at and above the county level shall make an announcement and organize implementation after approval according to the legal procedures. If a government at or above the county level is to apply for land acquisition, it shall conduct the current status survey and SSRA, and disclose the range and purpose of acquisition, current status, compensation rate, resettlement mode, social security, etc. in the township, village and village group affected for at least 30 days to collect comments from the rural collective economic organization and its members, village committee and other stakeholders affected. The Interim Regulations on Major Administrative Decision-making Procedures requires that the responsible party for decision implementation should adopt various approaches to conduct public participation to solicit opinions effectively. These approaches include focus group discussions, public hearings, on-site visits, written requests for input, public consultations, surveys, and public opinion polls, etc.</p>	Consistent.

Principle #2: Program E&S management systems are designed to avoid, minimize, or mitigate adverse impacts on natural habitats and physical cultural resources resulting from the program.

PforR core principles/ elements	China's E&S management requirements and practices	Consistency and recommendations
<p>Element 3: Identify, and screen for adverse effects on potentially important biodiversity and cultural resource areas and provide</p>	<p>Environment: The physical activities under the PforR will be sited in the urban cores which are already disturbed by human activities, dominated by urban artificial ecosystems, and unlikely to be in vicinity of any legally protected or customarily recognized critical habitats or other ecological sensitive areas. Only a small number of greenbelts might be occupied by building bus/bicycle lanes or bus depots/terminals. To protect urban green spaces, national and local governments have developed relevant regulatory documents such as the "Urban Greening Regulations" (2021 Amendment), the "Classification Standards for Urban Green Spaces" (CJJ/T85-2017), the "Hubei Implementation Measures for Urban Greening" (1995), the "Hubei Management Measures for Protecting Ancient and Famous Trees" (2010), the "Yichang Implementation</p>	Consistent.

PforR core principles/ elements	China's E&S management requirements and practices	Consistency and recommendations
adequate measures to avoid, minimize, or mitigate adverse effects.	<p>Measures for Urban Greening" (2022), the "Yichang Regulations on Protecting Main Green Spaces in Urban Areas" (2017), and the "Yichang Reconstruction and Restoration of Main Green Spaces in Urban Areas" (Trial, 2022), etc. The PforR activities will develop and implement replanting plans following the requirements of the FLBs, and they are expected to have minor impacts on the ecological environment and unlikely to cause significant degradation to biodiversity.</p> <p>Social: Cultural Relics Protection Law: Article 20: The site selected for a construction project shall keep away from immovable cultural relics as far as possible. If the impact on a protected culture relic can't be avoided for special circumstances, the original site shall be protected by whatever possible means. Article 29: Before launching a large-scale capital construction project, the construction contractor shall firstly apply to the cultural relic authority of concerned province, autonomous region and municipality for an archaeological investigation at places where cultural relics may be buried underground within the project area.</p>	Consistent.
Element 4: Support and promote the protection, conservation, maintenance, and rehabilitation of natural habitats. Avoid significant conversion or degradation of critical natural habitats. If avoiding the significant conversion of natural habitats is not technically feasible, include measures to mitigate or offset the adverse impacts of the PforR activities.	Environment: The physical activities under the PforR will be sited in the urban cores which are already disturbed by human activities, dominated by urban artificial ecosystems, and unlikely to be in vicinity of any legally protected or customarily recognized critical habitats or other ecological sensitive areas, so the PforR activities will not course significant conversion or degradation of critical or natural habitats.	Consistent.
Element 5: Take into account potential adverse effects on physical cultural property and provide adequate measures to avoid, minimize, or mitigate such effects	Social: Cultural Relics Protection Law: Article 17: No construction works or operations such as blasting, drilling and digging are allowed within the area of a protected cultural relic. If such works or operations are unavoidable, measures must be taken to ensure the safety of the protected cultural relic, and such works or operations shall be subject to the approval by the government approving and announcing its status as a protected cultural relic. Article 20: The site selected for a construction project shall keep away from immovable cultural relics as far as possible. If the impact on a protected culture relic can't be avoided for special circumstances, the original site shall be protected by whatever possible means. Article 29: Before launching a large-scale capital construction project, the construction contractor shall firstly apply to the cultural relic authority of concerned province, autonomous region and municipality for an archaeological investigation at places where cultural relics may be buried underground within the project area. Article 31: The expenses needed for archaeological investigation, prospecting, or excavation, which have to be carried out because of capital	Consistent.

PforR core principles/ elements	China's E&S management requirements and practices	Consistency and recommendations
	construction or construction for productive purposes, shall be included in the budget of the construction contractor for the construction project. Regulations for the Implementation of the Cultural Relics Protection Law: Article 25: The scope and rates of funds for archaeological investigation, exploration and excavation shall be in line with applicable Chinese regulations.	

Principle #3: Program E&S management systems are designed to protect public and worker safety against the potential risks associated with (a) the construction and/or operation of facilities or other operational practices under the program; (b) exposure to toxic chemicals, hazardous wastes, and otherwise dangerous materials under the program; and (c) reconstruction or rehabilitation of infrastructure located in areas prone to natural hazards.

PforR core principles/ elements	China's E&S management requirements and practices	Consistency and recommendations
<p>Element 6: Promote adequate community, individual, and worker health, safety, and security through the safe design, construction, operation, and maintenance of program activities; or, in carrying out activities that may be dependent on existing infrastructure, incorporate safety measures, inspections, or remedial work as appropriate.</p>	<p>Environment: For the PforR-related traffic safety risks in road construction and operation and fire risks at bus depots/terminals, China has developed specific regulations and management mechanisms. The national regulatory documents include the "Road Traffic Safety Law" (2011 Amendment), the "Emergency Response Law" (2007), the "Fire Prevention and Control Law" (2021 Amendment), the "National 14th Five-Year Plan on Road Traffic Safety" (2022), the "Technical Specification on Vehicle Operation Safety" (GB7258-2017), the "Specification on Vehicle Driver Safe Operation" (GAT1773-2021), the "Certification Requirements for Vehicle Maintenance Enterprises" (GB/T16739-2014), the "Regulations on Urban Buses Management" (2017), the "Regulations on Traffic Organization in Urban Road Construction" (GAT900-2010), the "Regulations on Implementing the Road Traffic Safety Law" (2017), the "Road Transportation Regulations" (2022 Amendment), and the "Urban Buses and Bus Depots Safety Requirements" (GA1744-2020), etc. Hubei and Yichang also developed the "Hubei Methods of Implementing the Road Traffic Safety Law" (2013), the "Hubei Road Transportation Management Regulations" (2021), the "Hubei Action Plans for Implementing the National 14th Five-Year Plan on Road Traffic Safety" (2022), the "Yichang Bus Rapid Transit Management Methods" (2015), the "Notice on Strengthening Traffic Management of Bus Lanes in Yichang Urban Areas" (2022), the "Yichang Transport System Emergency Plan" (Trial, 2021), and the "Guidelines on Reviewing and Approving Road Occupation or Excavation in Yichang Urban Areas" (Trial, 2020), etc. Government authorities such as the UMCs, TPTs, TBs, and EMBs supervise traffic safety in road construction and operation and fire safety at bus depots/terminals following legal and regulatory requirements. The safety management system is effective and complies with the Bank's core principles.</p>	Consistent
	<p>Social: China has established a full set of work safety management systems at the design, construction, and operation stages of projects. Safety management is the top priority during project implementation. The implementation of safety management measures is subject to all-round supervision by competent industry supervision and emergency management (work safety) authorities. The owner, construction contractor and operator of a project must establish a well-staffed safety management organization, and competent administrative authorities have developed work safety management mechanisms to supervise the effectiveness and outcomes of work safety in the project. In addition, the emergency management bureau (work safety authority) is responsible for supervising and regulating all industries and key sectors. Thus, China's work safety management system is adequate for safety supervision of the PforR Program activities.</p> <p>i) Labor Law: Article 53: Labor health and safety facilities shall comply with the national standards. Newly constructed, reconstructed or expanded labor health and safety facilities must be designed, constructed, and put into operation together with main parts of the project. Article 54: The employer must provide labor health and safety conditions, and necessary labor protection articles complying with the state provisions to workers, and workers dealing with operations with</p>	Consistent.

PforR core principles/ elements	China's E&S management requirements and practices	Consistency and recommendations
	<p>occupational hazards shall receive health checkup regularly. Article 57: The state shall establish a statistical reporting and handling system of accidents and occupational diseases. Article 61: Pregnant female workers shall not be arranged to deal with physical labor of intensity level III stipulated by the state and prohibited labor, and female workers pregnant for seven months or more shall not work overtime or at night.</p> <p>ii) Work Safety Law: Article 21: The primary person in charge of a production and operation entity shall be responsible for establishing and improving its work safety responsibility system, developing policies, rules, and operating procedures for work safety, developing and implementing work safety education and training plans, supervising and inspecting work safety to eliminate hidden risks of work safety accidents in a timely manner, preparing and implementing emergency rescue plans for work safety accidents, and reporting work safety accidents in a timely and honest manner. Article 73: Departments in charge of supervision and control over work safety shall set up a complaint system, such internet reporting platforms as the complaint telephone numbers, mailbox numbers or e-mail addresses known to the public, to facilitate receipt of complaints related to work safety. Article 74: All units and individuals shall have the right to report or complain about hidden dangers that may lead to accidents and practices violating work safety laws to the departments in charge of supervision and control over work safety. Article 75: When neighborhood committees or village committees discover hidden dangers that may lead to accidents or practices violating work safety laws in production and business units located in their areas, they shall report the matter to the local people's governments or the departments concerned.</p> <p>iii) Law on the Prevention and Control of Occupational Diseases (2018 Amendment): Article 4: Employees shall be entitled to occupational health protection according to law. Employers shall create work environment and conditions meeting the national occupational health standards and health requirements and take measures to ensure that employees receive occupational health protection. Trade unions shall oversee the prevention and control of occupational diseases and protect the lawful rights and interests of employees according to law. When formulating or amending rules and regulations on the prevention and control of occupational diseases, employers shall solicit the opinions of trade unions. Article 5: Employers shall establish and improve a responsibility system for the prevention and control of occupational diseases, strengthen the management of prevention and control of occupational diseases, improve their capabilities of prevention and control of occupational diseases, and assume responsibilities for their own occupational hazards. Article 6: The primary person in charge of an employer shall assume the overall responsibility for the employer's prevention and control of occupational diseases. Article 7: Employers must make work-related injury insurance available for its employees according to law. Article 9: An occupational health supervision system shall be implemented in China. Article 10: The State Council and the local governments at and above the county level shall prepare plans on the prevention and control of occupational diseases, which shall be included in the national economic and social development plan and organize the implementation of such plans.</p> <p>iv) Regulations on Workplace Occupational Health Management (2020.12.31): Article 8: Employers in workplaces with serious occupational disease hazards should establish or designate occupational health management institutions or organizations and employ dedicated occupational health management personnel. Article 9: The principal person in charge of the employer and the occupational health management personnel should possess occupational health knowledge and management capabilities that are suitable for the production and business activities of their unit. They should also undergo occupational health training. Article 10: Employers should provide occupational health training to employees before they take up their positions and periodically during their employment. This training should cover occupational health knowledge and encourage employees to comply with the laws, regulations, rules, national occupational health standards, and</p>	

PforR core principles/ elements	China's E&S management requirements and practices	Consistency and recommendations
	operating procedures related to occupational disease prevention and control. Article 11: Employers with occupational disease hazards in the workplace should develop occupational disease hazard prevention and control plans, establish and improve occupational health management systems and operating procedures. Article 13: Employers whose workplaces contain occupational disease risk factors as listed in the directory of occupational diseases should, in accordance with the "Procedures for the Declaration of Occupational Disease Hazard Projects," promptly and truthfully declare occupational disease hazard projects to the local health authorities. They should also undergo supervision and inspection by the health authorities.	
<p>Element 7: (i) Promote the use of recognized good practice in the production, management, storage, transport, and disposal of hazardous materials generated under the PforR.</p>	<p>Environment: To manage hazardous chemicals such as a small amount of oxygen and acetylene occasionally used in welding operations, China has regulatory documents such as the "Regulations on Hazardous Chemicals Safety Management" (2013 Amendment), the "National Hazardous Waste Inventory" (2021), the "Technical Policies for Hazardous Waste Pollution Prevention and Control" (2001), and the "Standards for Hazardous Waste Storage Pollution Control" (GB18597-2001), etc. In particular, the "Certification Requirements for Vehicle Maintenance Enterprises" (GB/T16739-2014) stipulates that vehicle maintenance enterprises should implement protective measures and/or utilize protective facilities when using or storing toxic, flammable, combustible, and corrosive materials, pollutants, and pressure vessels, etc. and ensure their workshops and parking lots comply with various requirements for safe operation and fire prevention. Government authorities such as the TBs, SASACs, EMBs, and EEBs regularly inspect the bus depots/terminals for their safe operation and hazardous chemicals management.</p> <p>The operation entities will ensure their firefighting facilities to pass acceptance check and keep effective, enhance detections of potential hazards, and conduct regular firefighting drills. In practical bus maintenance, ultrasonic technique has been adopted for parts washing and water-based paints has been used for bus painting, so traditional flammable liquids (e.g., gasoline, lacquer thinner) could be avoided; when a small amount of flammable gases such as oxygen and acetylene was occasionally used in welding operations, the workers would go through internal management procedures to get approval and certificate prior to the operations; and a hazardous waste storage room was set up at the workshops with dedicated personnel to collect flammable hazardous waste such as waste engine oil, store them in specialized containers, and regularly transfer them to qualified agencies for professional treatment and disposal. The management system and practice are compliant with the Bank's requirements on hazardous chemicals.</p>	Consistent.
	<p>Social: i) Work Safety Law: Article 24: An entity engaged in mining, metal smelting, building construction or road transport, or an entity manufacturing, marketing, or storing hazardous substances shall establish a work safety management body or have full-time work safety management personnel. Article 25: The work safety management body and work safety management personnel of a production and operation entity shall be responsible for: (1) organizing or participating in the development of the work safety policies, rules and operating procedures and the emergency rescue plans for work safety accidents; (2) organizing or participating in and honestly recording its work safety education and training;</p> <p>(3) supervising the implementation of safety control measures for the major hazard installations of the production and operation entity; (4) organizing or participating in the emergency rescue rehearsals of the production and operation entity; (5) inspecting its work safety condition, conducting screening for any work safety risks in a timely manner, and offering recommendations for improving work safety management; (6) prohibiting and redressing any command against rules,</p>	Consistent.

PforR core principles/ elements	China's E&S management requirements and practices	Consistency and recommendations
	<p>forced operation at risk, or violation of the operating procedures; and, (7) supervising the work safety related corrective actions taken by the production and operation entity.</p> <p>ii) Regulations on the Safety Management of Hazardous Chemicals: Article 4: A hazardous chemical entity shall provide safety education, legal education and on-the-job technical training to its employees. Employees shall accept education and training and may not hold office until they have passed the relevant examinations.</p> <p>iii) Occupational Health and Safety Management Systems—Requirements with Guidance for Use: This is a regional standard on OHS management systems, designed to systematically identify and control occupational health and safety risks that may arise in organizational activities, products and services, prevent safety accidents, and protect workers' health and safety. Enterprises may apply for OHS management system certification, establish a normative management system for the source identification and whole-process control of hazards, and realize continual improvement and compliance. An assessment includes: 1) OHS pre-assessment; 2) inspection reports on OHS and fire protection; 3) test reports on OHS and fire protection; 4) chemical safety reports for hazardous chemicals; 5) copy of manufacturing license (when required); and 6) copy of business license. The following shall be reviewed comprehensively: 1) the organization's work safety permit; 2) production or service flowchart; 3) organizational chart; 4) list of applicable laws and regulations; 5) location map; 6) factory layout; 7) workshop layout; 8) list of major hazards; 9) OHS targets, indicators and management plan; and 10) certificate of compliance, etc.</p> <p>iv) Guidelines for Occupational Disease Prevention and Control for Employers: The general requirements for occupational disease prevention and control, classified and tiered management, occupational health file management, and OHS assessment, etc. are stipulated, including: a corporate occupational health policy shall be developed, and an occupational disease prevention and treatment agency and an occupational health management agency shall be established, with relevant functions being clearly defined and full/part-time occupational health officers being appointed; occupational disease prevention and control shall be included in the management-by-objective responsibility system; an occupational disease prevention and control plan, and an implementation plan shall be developed; a sound occupational health management system and job SOPs shall be established; sound occupational health files shall be established; efforts shall be made to establish a sound workplace occupational hazard monitoring and evaluation system, provide necessary financial support for occupational disease prevention and control, develop a sound emergency rescue plan for occupational diseases, and make work-related injury insurance available.</p> <p>v) The 14th Five-Year Plan for Prevention and Control of Occupational Diseases of Hubei Province (HPHC [2022] No.8): By 2025, Hubei Province shall establish a sounder occupational health management system, enhance the occupational health management capacity, significantly promote the quality of occupational health management, improve the workers' health, and strengthen treatment and support of patients with occupational diseases and work-related injury insurance. Below are the main objectives: the number of contributors of work-related injury insurance is increased steadily; over 90% of industrial enterprises and projects exposed to occupational hazards are declared; over 85% of workplaces pass the occupational hazard monitoring; over 90 of non-medical radiation workers receive the radiation dose monitoring; over 85% of key groups exposed to occupational hazards have a good knowledge of occupational health protection; the rate of accessibility of centralized pneumoconiosis rehabilitation service in townships (communities) is over 90%; occupational health violations are fully investigated and handled; existing medical resources are made use of to establish provincial medical institutions providing occupational diseases treatment; at least one provincial agency is designated to provide technical guidance on the protection against occupational hazards such as dust, poisonous</p>	

PforR core principles/ elements	China's E&S management requirements and practices	Consistency and recommendations
	chemicals, noise and radiation; at least one public medical and health institution in every city (prefecture) is designated to provide diagnosis of occupational diseases; at least one public medical and health institution in every city, county and district to provide occupational health examination.	
(ii) Promote the use of integrated pest management practices to manage or reduce the adverse impacts of pests or disease vectors	Environment: The PforR supports urban transport activities without involvement of pest management.	Consistent.
(iii) Provide training for workers involved in the production, procurement, storage, transport, use, and disposal of hazardous chemicals in accordance with the relevant international guidelines and conventions.	Environment: In practical, bus maintenance workers would take professional training on using flammable gases such as oxygen and acetylene prior to welding operations and follow technical procedures in the operations; and the dedicated personnel would take on-job training on collecting, storing, and transferring flammable hazardous waste e.g., waste oil.	Consistent.
	Social: i) Regulations on the Safety Management of Hazardous Chemicals: Article 4: A hazardous chemical entity shall provide safety education, legal education and on-the-job technical training to its employees. Employees shall accept education and training and may not hold office until they have passed the relevant examinations. ii) Occupational Health and Safety Management Systems—Requirements with Guidance for Use: This is a regional standard on OHS management systems, designed to systematically identify and control occupational health and safety risks that may arise in organizational activities, products, and services, prevent safety accidents, and protect workers' health and safety. Enterprises may apply for OHS management system certification, establish a normative management system for the source identification and whole-process control of hazards, and realize continual improvement and compliance. An assessment includes: 1) OHS pre-assessment; 2) inspection reports on OHS and fire protection; 3) test reports on OHS and fire protection; 4) chemical safety reports for hazardous chemicals; 5) copy of manufacturing license (when required); and 6) copy of business license. The following shall be reviewed comprehensively: 1) the organization's work safety permit; 2) production or service flowchart; 3) organizational chart; 4) list of applicable laws and regulations; 5) location map; 6) factory layout; 7) workshop layout; 8) list of major hazards; 9) OHS targets, indicators and management plan; and 10) certificate of compliance, etc. iii) Guidelines for Occupational Disease Prevention and Control for Employers: The general requirements for occupational disease prevention and treatment, tiered and classified management, occupational health file management, and OHS assessment, etc. are stipulated, including: a corporate occupational health policy shall be developed, and an occupational disease prevention and treatment agency and an occupational health management agency shall be established, with relevant functions being clearly defined and full/part-time occupational health officers being appointed; occupational disease prevention and control shall be included in the management-by-objective responsibility system; an occupational disease prevention and control plan, and an implementation plan shall be developed; a sound occupational health management system and job SOPs shall be established; sound occupational health files shall be established; efforts shall be made to establish a sound workplace occupational hazard monitoring and evaluation system, provide necessary financial support for occupational disease prevention and control, develop a sound emergency rescue plan for occupational diseases, and make work-related injury insurance available.	Consistent.

Principle #4: Program E&S systems manage land acquisition and loss of access to natural resources in a way that avoids or minimizes displacement and assists affected people in improving, or at the minimum restoring, their livelihoods and living standards.

PforR core principles/ elements	China's social management requirements	Consistency and recommendation
<p>Element 9: i) Avoid or minimize land acquisition and related adverse impacts.</p>	<p>i) Measures for the Administration of the Pre-examination on the Use of Land for Construction Projects: The area and type of the land used for the project shall be identified before the feasibility study report or project proposal is reviewed to avoid the acquisition of basic farmland, and nature reserves, etc.</p> <p>ii) Guidelines on Establishing a Sound Social Stability Risk Assessment Mechanism for Major Decisions and Matters (Interim) (CPCCCO [2012] No.2): An SSRA shall be conducted for any project involving LA and HD, farmers' burden, or social security.</p> <p>iii) Guidelines on Establishing a Social Stability Risk Assessment Mechanism for Major Decisions and Matters (Interim): If the assessment report thinks that a high risk is present, a decision of non-implementation shall be made, or a decision may be made after the plan is adjusted or the risk level is reduced; if an moderate risk is present, a decision of implementation shall be made after effective risk prevention and mitigation measures are taken; and if a low risk is present, a decision of implementation may be made, provided that actions like explanation and persuasion to the people affected are taken and reasonable requests of people affected are handled properly. For impact and risk management, the legitimacy, rationality, feasibility and controllability of measures shall be assessed.</p> <p>iv) Opinions on Strengthening Social Stability Risk Assessment for Major Decisions under New Circumstances: SSRA, if required, shall be an important part of the feasibility study of any major construction project. Major decisions, items and matters with low social stability risks decided to be put in place when conditions are ripe shall be advanced in a well-planned way in accordance with the risk control plan. If social stability risks are identified and the conditions are not ripe, the decision making shall be subject to approval or be postponed until the original plan is improved, the conditions are ripe and risks are eliminated. Decisions, items and matters urgently needed to be put in place despite high risks shall be advanced prudently and carefully after precautionary and mitigation measures are taken. Those with major social stability risks and fall short of relevant requirements shall in no case be put in place.</p> <p>v) Notice of MNR, MARA and NFGA on Issues concerning Strict Control of Cultivated Land Usage (MNR [2021] No.166), requiring that permanent basic farmland shall not be converted into forest land, grassland, garden land and other agricultural land or agricultural facilities construction land. The annual "balance in and out" shall be carried out for any conversion of cultivated land to other agricultural land and agricultural facilities construction land, and the same amount and quality of cultivated land shall be made up by means of the consolidation of forest land, grassland, garden land, other agricultural land and agricultural facilities construction land into cultivated land.</p> <p>v) Notice of Hubei Provincial Government on Implementing the Strictest Farmland Protection System: Detailed provisions on the occupation of farmland are formulated.</p> <p>1) The occupation of permanent basic farmland for greening, afforestation, lake digging, landscaping, non-agricultural construction and other non-agricultural purposes shall be included in the scope of assessment under the target-based responsibility system for farmland protection, and efforts shall be made to more effectively investigate and punish illegal acts. 2) Illegal occupation of arable land for greening, afforestation, lake digging and landscaping is strictly prohibited. Occupation of permanent basic farmland for growing trees, turf and other plants for greening and afforestation is prohibited. The scale and scope of land to be occupied shall be subject to the approval of the government authority, and the type of land to be occupied shall be identified carefully. No project involving the occupation of arable land in violation of laws and regulations shall be approved, in which case neither the afforestation area is recognized nor the forestry subsidy will be</p>	<p>Consistent</p>

PforR core principles/ elements	China's social management requirements	Consistency and recommendation
	<p>provided. Occupation of arable land for lake digging and filling and landscaping in the guise of river, wetland and lake improvement is prohibited. Projects where approval procedures are not completed, and illegal occupation of arable land occurs must be stopped immediately and rectifications shall be made within a specified time limit. 3) Occupation of arable land for constructing excessive landscaped roadways is prohibited. Approval procedures must be completed for land for landscaping of transport and water conservancy projects in strict accordance with regulations, and a balance between land occupation and compensation must be maintained if any arable land is occupied. The scale of landscaped roadways shall be strictly controlled, and excessive construction of green belts on arable land on either side of any railway, national and provincial highway (including expressway), and county/township road in violation of laws and regulations shall be stopped immediately. 4) Occupation of permanent basic farmland for expanding nature reserves is prohibited. New nature reserves shall conform to the national land and space planning, and no permanent basic farmland shall be occupied. 5) No arable land shall be occupied for non-agricultural purposes in violation of laws and regulations. No approval or permit shall be granted for the occupation of rural land for construction projects. 6) Illegal land use and approval are prohibited. No unauthorized adjustment of county/township land and space planning shall be made to circumvent the approval of the occupation of permanent basic farmland. Occupation of land to be used for any construction project shall be subject to approval, and project construction shall be carried out on the land in line with the approved purposes, requirements for location and quantity of land, and standards. Temporary use of land shall be managed stringently, and any land user shall apply for temporary use of land as per legal procedures. Engineering and technical measures such as removal and reuse of soil of cultivated soil horizon shall be taken to minimize damage to such soil horizon if any permanent basic farmland is to be temporarily occupied. The land reclamation plan shall be subject to the review by the municipal/prefecture natural resources authority, and the approval by the county natural resources authority before the land is temporarily occupied. Upon the expiration of the term of temporary use of land, the land user shall stop using the land in violation of laws and regulations, and timely carry out land reclamation to restore the original land conditions for growing crops. Where arable land and permanent basic farmland are temporarily occupied or used for any construction project without approval or in violation of regulations, severe punishment shall be imposed according to laws and regulations and the original land conditions for growing crops shall be restored within the specified time limit. 7) The red lines for ecological conservation, permanent basic farmland protection and urban development shall be coordinated to give priority to farmland protection and conservation and improve the spatial layout of farmland and land used for ecological conservation and construction projects. Land use control shall be strengthened, and the red lines for farmland protection and the quotas for land used for construction projects shall be put in place to strictly control non-agricultural use of farmland. 8) The requisition–compensation balance policy for arable land shall be effectively put in place to ensure that arable land occupied by construction projects are adequately compensated by equivalent arable land. 9) Special protection for permanent basic farmland shall be enhanced. Designated permanent basic farmland shall in no way be occupied or used by any entity or individual for unauthorized purposes. No entity or individual shall destroy the cultivated soil horizon of permanent basic farmland.</p>	
(ii) Identifying and addressing economic and social impacts arising from land acquisition or loss of	<p>i) Land Administration Law: Article 26: Owners or users of the land to be acquired shall, within the time limit specified in the announcement, go through compensation registration on the strength of the real estate ownership certificate as required by the local land and resources authority. For expropriation of land by the state, the local governments at and above the county level shall make an announcement and organize implementation after approval according to the legal procedures.</p>	Consistent

PforR core principles/ elements	China's social management requirements	Consistency and recommendation
access to natural resources:	<p>ii) Regulations for the Implementation of the Land Administration Law: Article 25: Municipal/county government of the locality whose land has been expropriated shall, upon approval of the LA plan according to law, organize its implementation, and make an announcement in the township and village where land acquisition occurs on the approval organ of the LA, number of the approval document, use, scope and area of the acquired land as well as the rates for compensation of LA, measures for the resettlement of agricultural workers and duration for processing LA compensation.</p> <p>Article 26: Land compensation fee shall go to the rural collective economic organization, and compensation for ground attachments and standing crops shall be disbursed to their owners.</p> <p>iii) Civil Code of the People's Republic of China: Article 291: A person entitled to the real rights in immovable property shall provide necessary convenience to the persons entitled to an adjacent right who have to utilize his land for passage, and the like. Article 292: Where a person entitled to the real rights in immovable property has to utilize the adjacent land or building for constructing or maintaining a building, or for laying electrical wires, cables, or the pipelines for water, heating, gas, or the like, the person entitled to the real rights in the adjacent land or building shall provide the necessary convenience. Article 293: The construction of a building may not violate the relevant construction standards of the State or obstruct the ventilation, lighting, or sunlight of the adjacent buildings. Article 294: A person entitled to the real rights in immovable property may not, in violation of the regulations of the State, discard solid wastes or emit harmful substances such as atmospheric pollutants, water pollutants, soil pollutants, noises, light radiation, and electromagnetic radiation. Article 295: A person entitled to the real rights in immovable property may not endanger the safety of the adjacent immovable property when excavating land, constructing buildings, laying pipelines, installing facilities, or the like. Article 296: A person entitled to the real rights in immovable property who utilizes the adjacent immovable property for the purpose of using water, drainage, passage, laying pipelines, and the like, shall spare no effort to avoid causing damage to the person entitled to the real rights in the adjacent immovable property.</p>	
iii) Provide compensation sufficient to purchase replacement assets of equivalent value and to meet any necessary transitional expenses, paid before taking land or restricting access.	<p>i) Real Right Law: Article 42: For collective land acquired, land compensation, resettlement subsidy, compensation for ground attachments and standing crops, etc. shall be fully paid according to law, and social security funds for land-expropriated farmers shall be appropriated to secure their livelihoods and protect their lawful rights and interests. Where any house or other immovable property of any entity or individual is expropriated, compensation shall be granted according to law to protect the lawful rights and interests of the affected entity or individual. Where any personal residence is expropriated, the affected person's housing conditions shall be secured.</p> <p>ii) Land Administration Law: Article 48: Fair and reasonable compensation shall be granted for land acquisition. In case of land acquisition, the land compensation, resettlement subsidy, and compensation for rural residential houses, other ground attachments and standing crops, etc. shall be paid timely and fully according to law, and social security costs for the affected farmers shall be disbursed.</p> <p>iii) Regulations on the Expropriation of Houses on State-owned Land and Compensation (Decree [2011] No.590 of the State Council) (2011.1.21): Article 19: The compensation for the value of houses to be expropriated shall not be less than the market price of the equivalent real estate on the date of the public notice of the house expropriation decisions. The value of the houses to be expropriated shall be assessed and determined by real estate appraisal agencies with appropriate qualifications in accordance with the procedures for evaluating houses to be expropriated. Anyone who has objection to the appraised value of the houses to be expropriated may apply for reassessment. Anyone who disagrees with the result of re-assessment may apply for appraisal by the real estate appraisal expert panel.</p>	Consistent

PforR core principles/ elements	China's social management requirements	Consistency and recommendation
	<p>iv) Measures for the Expropriation and Evaluation of Houses on State-owned Land (JF [2011] No.77) (2011-6-3): Article 16: The real estate appraisal agency shall, in line with the power of attorney or entrustment contract, disclose preliminary house appraisal results to the house expropriation authority. The house expropriation authority shall disclose such results to the affected people. During disclosure, the real estate appraisal agency shall appoint a registered appraiser to explain such results on site and correct any error.</p> <p>v) Notice of Hubei Provincial Government on Releasing Block Comprehensive Land Prices of Hubei Province (2019.11.8): Block comprehensive land price consists of land compensation (40%) and resettlement subsidy (60%). Permanent basic farmland to be expropriated upon approval shall be compensated at the highest compensate rate effective in the city/district/county concerned. Provisions herein shall be applicable for the expropriation of land of state-owned farms, forestry centers, meadows, and fisheries for non-agricultural purposes. In addition, there are concrete provisions on the compensation rates for ground attachments and standing crops, the expropriation of land of state-owned farms, forestry centers, meadows and fisheries for non-agricultural purposes, and the requisition of paddy fields, grasslands, and unexploited land.</p> <p>vi) Measures for the Implementation of the Expropriation of Houses on State-owned Land and Compensation of Hubei Province (2015.7.6): Articles 25 to 27: 1) The value of the expropriated house and the house for property right exchange shall be equivalent to the appraisal value determined by qualified real estate appraisal agencies on the date when the decision on the expropriation is announced in accordance with the measures for expropriation and evaluation of houses on state-owned land; 2) The appraisal shall be conducted in accordance with China's technical standards and evaluation procedures and with reference to the market prices of real estate similar to the house expropriated; 3) Agencies, individuals and panels of experts responsible for real estate appraisal shall conduct independent, objective and impartial evaluation and appraisal of the expropriated house without being distracted by any organization or individual; 4) Municipal and county real estate authorities shall release the catalogue of legally registered real estate appraisal agencies with qualifications of grade three or above and without bad credit records in public on a regular basis so that affected people make a choice as needed.</p>	
<p>iv) Provide supplemental livelihood improvement or restoration measures if taking of land causes loss of income-generating opportunity (e.g., loss of crop production or employment).</p>	<p>i) Land Administration Law: Article 48: Efforts shall be made to ensure that living standard of farmers affected by land expropriation are not reduced, and that their long-term livelihoods are secured.</p> <p>ii) Guidelines on Improving the Compensation and Resettlement System for Land Acquisition (MLR [2004] No.238): 1) Agricultural resettlement: When rural collective land out of urban planning areas is acquired, land-expropriated farmers shall be first provided with necessary arable land in forms of mobile collective land, contracted land turned over by contractors and arable land arising from land development so that they continue to pursue agricultural production. 2) Reemployment resettlement: conditions shall be created actively to provide free labor skills training to land-expropriated farmers and place them to corresponding jobs. Under equal conditions, land users shall first employ land-expropriated farmers. When rural collective land within urban planning areas is acquired, land-expropriated farmers shall be included in the urban employment system and the social security system. 3) Dividend distribution resettlement: when any land with long-term stable yields is to be used for a project, the affected rural collective economic organization may become a project shareholder with compensation fees for LA or rights to use construction land in consultation with the land user. The rural collective economic organization and rural households will receive dividends as agreed. 4) Non-local resettlement: if basic production and living conditions are not available locally to land-expropriated farmers, non-local resettlement may be</p>	<p>Consistent</p>

PforR core principles/ elements	China's social management requirements	Consistency and recommendation
	<p>practiced under the leadership of the government in consultation with the rural collective economic organization and rural households.</p> <p>iii) Notice on Doing a Good Job in Employment Training and Social Security for Land-expropriated Farmers (SC [2006] No.29): Employment training and social security for land-expropriated farmers shall be an important part of land acquisition system reform. Local governments shall, against the backdrop of coordinating economic and social development in urban and rural areas, enhance employment training and social security, include employment of land-expropriated farmers in the economic and social development plans and annual plans of local governments, establish a social security system suited to the characteristics and needs of land-expropriated farmers, take effective measures to secure employment training and social security funds, help land-expropriated farmers get employed and assimilate into the urban community, and ensure that the living standard of land-expropriated farmers is not reduced due to land expropriation and that their long-term livelihoods are secured.</p> <p>iv) Notice of the Ministry of Labor and Social Security and the Ministry of Land and Resources on Doing a Substantially Good Job in Social Security for Land-expropriated Farmers (MLSS [2007] No.14): All localities shall establish a social security system for land-expropriated farmers as soon as possible. Funds required for social security for land-expropriated farmers shall be fully transferred to the special account and credited to the individual or pooling account within 3 months after the approval of the land acquisition compensation and resettlement plan.</p> <p>v) Guidelines of Hubei Provincial Government on Basic Pension Insurance for Land-expropriated Farmers (HPPG [2014] No. 53): Land-expropriated farmers shall have access to the basic pension insurance if: 1) their contracted land is legally expropriated by governments at or above county level; 2) they have the Rural Land Contract or the Certificate of Contractual Right of Rural Land in hand when their land is expropriated; 3) they are registered permanent residents at the place where the expropriated land is located; 4) the area of arable land per capita is 0.3 mu or less after the land expropriation; and 5) they are 16 years old or older. Below are compensation rates for basic pension insurance of land-expropriated farmers in Hubei Province: governments at or above county level provide land-expropriated farmers with one-off compensation no less than three times the annual per capita net income of rural residents in the city or prefecture where the land is expropriated; land-expropriated farmers who are 60 years old or older are entitled to such one-off compensation in full amount; for land-expropriated farmers under the age of 60 (16 to 59 years old), the amount of compensation shall be 1% lower than the aforesaid full amount for every 1 year of difference between their actual age and the baseline age (60 years old).</p> <p>vi) Measures for the Implementation of the Expropriation of Houses on State-owned Land and Compensation of Hubei Province (2015.7.6): In terms of expropriation of house on state-owned land, the following measures are developed to ensure their livelihood: 1) cash compensation or property swap. If affected people choose property swap, the municipal or county level government shall provide houses reconstructed on or nearby the occupied state-owned land. before the delivery of houses using for property swap, the housing expropriation department shall pay the temporary resettlement fee or provide a swing house to the affected people; 2) government-subsidized housing will be provided to those who meet the conditions of urban affordable housing security in priority; 3) if the building area of the expropriated house is less than the local minimum compensation building area and is the only housing of the affected people, compensation shall be made not less than the value of local minimum compensation building area; 4) the compensation for losses caused by business closure due to the expropriation of houses can be determined through negotiation between the housing expropriation department and the affected people or market appraisal. If the expropriated property has a leasing relationship,</p>	

PforR core principles/ elements	China's social management requirements	Consistency and recommendation
	<p>compensation for losses caused by business suspension and compensation for the value of indoor decoration shall be distributed to the business operator according to the agreement between property user and the property owner.</p> <p>vii) Civil Code of the People's Republic of China: Article 238: where a real right is infringed upon and damage is thus caused, the right holder may, in accordance with law, request the infringing person to pay damages pr near other civil liabilities.</p> <p>Article 1186: where neither the victim nor the actor is at fault for the occurrence of the damage, losses shall be shared by both parties in accordance with the provisions of law. Thus, the construction of public transport system benefits the general public and the roadside business owners are obliged to stand the short-term disturbance and provide necessary cooperation. However, if the business is seriously affected, the business owner may request compensation according to law.</p>	
<p>v) Restore or replace public infrastructure and community services that may be adversely affected by the Program.</p>	<p>i) Land Administration Law: Article 47: For expropriation of land by the state, the local governments at and above the county level shall make an announcement and organize implementation after approval according to the legal procedures. If a government at or above the county level is to apply for land acquisition, it shall conduct the current status survey and SSRA, and disclose the range and purpose of acquisition, current status, compensation rate, resettlement mode, social security, etc. in the township, village and village group affected for at least 30 days to collect comments from the rural collective economic organization and its members, village committee and other stakeholders affected.</p> <p>ii) Regulations for the Implementation of the Land Administration Law: Article 25: Municipal/county government of the locality whose land has been acquired shall, upon approval of the LA plan according to law, organize its implementation, and make an announcement in the township and village where land acquisition occurs on the approval organ of the LA, number of the approval document, use, scope and area of the acquired land as well as the rates for compensation of LA, measures for the resettlement of agricultural workers and time limit for completing LA compensation.</p> <p>iii) Real Right Law: Article 36: If any immovable or movable property is damaged, the right holder may request repair, rework, replacement, or restoration.</p>	<p>Consistent</p>
<p>(vi) Information disclosure, public participation and informed decision-making:</p>	<p>i) Land Administration Law: Article 26: Owners or users of the land to be expropriated shall, within the time limit specified in the announcement, go through compensation registration on the strength of the real estate ownership certificate as required by the local land and resources authority. For expropriation of land by the state, the local governments at and above the county level shall make an announcement and organize implementation after approval according to the legal procedures.</p> <p>Article 47: If a government at or above the county level is to apply for land acquisition, it shall conduct the current status survey and SSRA, and disclose the range and purpose of acquisition, current status, compensation rate, resettlement mode, social security, etc. in the township, village and village group affected for at least 30 days to collect comments from the rural collective economic organization and its members, village committee and other stakeholders affected.</p> <p>ii) Regulations on Letters and Visits: Article 14: The Party Committee and relevant departments of the people's government at all level, as the specific administrative organ in charge of complaint letters and visits, shall perform the following duties: (1) to accept, transmit and assign another organ to handle the letter-or-visit matters; (2) to coordinate efforts in handling important letter-or-visit matters;; (3) to urge and examine the handling of letter-or-visit matters; (4) to reflect the information of letters and visits, analyze and judge the situation of both letters and visits, provide suggestions to party committees and governments for decision making; (5) to provide guidance to other relevant departments of the people's government at the corresponding level and the department or units for letters and visits of the people's government at lower level in their work regarding letters and visit; (6) to provide suggestions for work, policy and accountability improvement; and (7) to undertake other tasks assigned by the Party Committee and people's government at the corresponding level.</p>	<p>Consistent</p>

PforR core principles/ elements	China's social management requirements	Consistency and recommendation
	<p>iii) Document No.1 of the Central Government (2020): Leaders, especially municipal and county leaders, shall pay regular visits to departments at grass-roots level to deal with complaints proactively. Diversified legal services like designating one legal adviser for each village shall be offered, and civil mediation shall be strengthened to ensure that disputes and conflicts are resolved at the village and township level where possible. Unblocked complaint channels shall be made available for farmers to have their reasonable complaints resolved timely and properly.</p> <p>iv) Standard Guide to Grass-root Government Affairs Disclosure on Collective Land Acquisition (June 2019, Ministry of Natural Resources): Efforts shall be made to define matters to be disclosed and the scope of disclosure, standardize the disclosure procedures, improve modes of disclosure, and practically safeguard the people's rights to know, participate, oversee, and be heard. The main objectives of public participation at different stages of LAR are as follows:</p> <ul style="list-style-type: none"> • During project preparation, option argumentation and comparison, the project owner and design agency shall conduct meaningful consultation with affected people and other stakeholders, improve the engineering measures, and determine the range of land use based on feedback, thereby evading sensitive objects and minimizing LAR impacts. • Participation at the DMS stage includes land acquisition announcement, DMS publicity, participation in the DMS, and confirmation, disclosure, and review of DMS results. • At the SSRA stage, meaningful consultation shall be conducted with stakeholders to assess potential major social risks arising from land expropriation and house demolition, including other major risks that are not directly related to but may materially affect the project. • During the drafting of the compensation plan, the plan should be disclosed to collect comments from affected people, and a public hearing will be held when necessary. • Public participation at the implementation stage mainly includes effective information disclosure and consultation in relation to production and livelihood restoration and the allocation and use of compensation to ensure that opinions of the affected people are heard, and agreements are signed through negotiation. 	

Principle #5: Program E&S systems give due consideration to the cultural appropriateness of, and equitable access to, Program benefits, giving special attention to the rights and interests of indigenous people and vulnerable groups.

PforR core principles/ elements	China's social management requirements	Consistency and recommendation
<p>Element 10: Undertake prior informed consultations if the ethnic minorities are potentially affected (positively or negatively) free of charge, to determine whether there is broad community</p>	<p>i) Constitution: Article 4: All ethnic groups in the People's Republic of China are equal.</p> <p>ii) Law of the People's Republic of China on Regional National Autonomy: Article 51: In dealing with special issues concerning the various nationalities within its area, the organ of self-government of a national autonomous area must conduct full consultation with their representatives and respect their opinions. Article 52: The organ of self-government of a national autonomous area shall guarantee that citizens of the various nationalities in the area enjoy the rights of citizens as prescribed in the Constitution.</p> <p>iii) Social Stability Risk Assessment of Major Fixed Asset Investment Projects: Article 3: At the feasibility study stage of a project, the PIU (or through a specialized agency) shall conduct an SSRA to identify impacts, propose mitigation measures, and prepare an SSRA report. On the other hand, if a government at or above the county level applies for land acquisition, a current status survey and an SSRA should be conducted for the land to be expropriated. The SSRA report shall be reviewed by experts organized by the designated authority of the county government before being approved. Local governments have issued opinions/notices on the implementation of SSRA, such as the Opinions on the Implementation</p>	<p>Consistent</p>

PforR core principles/ elements	China's social management requirements	Consistency and recommendation
support for the PforR Program activities.	<p>of Measures to Strengthen Social Stability Risk Assessment Mechanism for Major Decisions under New Circumstances of Hubei Provincial Committee of the CPC and the General Office of Hubei Provincial Government (2021.12.13) and Implementation Opinions on Strengthening the Risk Assessment of Social Stability of Major Decisions under New Circumstances (XBF [2021] No. 27).</p> <p>iv) Land Administration Law (2020): Article 47: For expropriation of land by the state, the local governments at and above the county level shall make an announcement and organize implementation after approval according to the legal procedures. If a government at or above the county level is to apply for land acquisition, it shall conduct the current status survey and SSRA, and disclose the range and purpose of acquisition, current status, compensation rate, resettlement mode, social security, etc. in the township, village and village group affected for at least 30 days to collect comments from the rural collective economic organization and its members, village committee and other stakeholders affected.</p>	
<p>Element 11: Ensure that ethnic minorities can participate in devising opportunities to benefit from exploitation of customary resources and indigenous knowledge, the latter to include the consent of ethnic minorities.</p>	<p>i) Law of the People's Republic of China on Regional National Autonomy: Article 65: While exploiting resources and carrying out construction in national autonomous areas, the state shall give consideration to the interests of these areas, make arrangements favorable to local economic development and pay proper attention to the productive pursuits and the life of local minority nationalities. Article 66: State organs at higher levels shall incorporate major projects for maintaining ecological balance and achieving comprehensive environmental protection in national autonomous areas into national economic and social development plans.</p> <p>ii) Interim Regulations on Major Administrative Decision-making Procedures (2019.9.1): Prior public consultation shall be conducted for decision makings in relation to the development of important plans for economic and social development and other aspects, the development of major public policies and measures to develop, utilize and protect important natural and cultural resources, the implementation of major public construction projects in the administrative region, and other major matters that have a significant impact on economic and social development, involve material public interests, or the immediate interests of the public. Article 14: The decision-making entity shall fully solicit opinions in the form widely available for public participation. Opinions may be solicited in such forms as symposiums, hearings, field visits, written solicitation of opinions from the public, questionnaires, and opinion polls, etc. Article 15: If public opinions are solicited for a matter subject to decision-making, the decision-making entity shall disclose the draft decision and its explanation, and the mode and period of solicitation of public opinions by publicly available means, such as government website, new media, newspapers, radio and TV, etc. The period of solicitation of public opinions is usually not less than 30 days, and explanations shall be made when the solicitation of public opinions begins if such period is to be shortened due to emergencies. For matters of extensive public concern, or highly technical matters, the decision-making entity may make explanations by means of expert interview, etc. Article 16: If any matter subject to decision-making concerns immediate interests of citizens, legal persons or other organizations, or involves a major dispute, a public hearing may be held in accordance with any applicable laws, regulations and rules. The decision-making entity or the organizer of the public hearing shall disclose the draft decision and its explanation in advance, and make clear the time and venue of the public hearing. Article 29: If the public participation procedure is performed, the decision-making entity shall submit the draft decision together with main accepted public opinions to the decision-making authority for discussion. Article 30: When the draft decision is discussed, the meeting attendees shall give opinions adequately, and chief administrative officer shall give a final opinion. If such final opinion differs from the majority opinion, the reason shall be given at the meeting.</p> <p>iii) The 14th Five-Year Plan of Hubei Province for High Quality Development of Ethnic Affairs (2022.1): Efforts shall be made to achieve high-quality development of ethnic affairs in Hubei Province in the new era by accomplishing 6 key</p>	Consistent

PforR core principles/ elements	China's social management requirements	Consistency and recommendation
	<p>tasks, including enhancing the sense of community of the Chinese nation in an innovative way, promoting the sense of belonging for the Chinese nation in all aspects, advancing socialist modernization for all nationalities, promoting extensive exchanges and integration among all nationalities, improving modernization of governance of ethnic affairs, and strengthening centralized and unified leadership of the CPC over ethnic affairs. In addition, 18 objectives of 4 categories (including promoting the sense of belonging, achieving common prosperity and development, creating a good life for all, and advancing exchanges and integration among different nationalities), and 8 key projects (enhancing the sense of community of the Chinese nation, promoting integrated and innovative development of green industries in ethnic minority areas, offering key support to rural revitalization, and constructing a big data management platform for ethnic and religious affairs) are also specified.</p>	
<p>Element 12: Give attention to groups vulnerable to hardship or discrimination, including, as relevant, the poor, the disabled, women and children, the elderly, ethnic minorities, racial groups, or other marginalized groups; and if necessary, take special measures promote equitable access to PforR Program benefits. and if necessary, take special measures to promote equitable access to PforR Program benefits.</p>	<p>i) Notice of the State Council on Issuing the 13th Five-year Plan for Promoting the Development of Minority Areas and Smaller Ethnic Minorities (SC [2016] No.79): The development of advantaged and characteristic industries, especially stockbreeding and traditional handicrafts, of poor ethnic minority areas and villages shall be supported, and efforts shall be made to achieve rural revitalization and poverty alleviation by developing village-specific leading products and industries and making use of the Internet in poor villages. Poverty alleviation by e-commerce, photovoltaic, rural tourism, etc. shall be implemented to increase local residents' income, and major infrastructure and construction projects shall be carried out in ethnic minority areas to improve livelihoods. Basic social service mechanisms in ethnic minority areas shall be improved to provide support in old-age services, social assistance, social welfare, special care and resettlement. The disaster assistance and emergency relief system for natural disasters shall be improved in ethnic minority areas. Urban and rural minimum living security (MLS) standards for ethnic minority areas shall be fixed rationally, and the sound development of public welfare and charity programs shall be supported.</p> <p>ii) The 14th Five-Year Plan of Hubei Province for the Development of Civil Affairs (2021.10. 29): High-quality development of civil affairs commensurate with economic and social development of Hubei Province shall be achieved by 2025: 1) basic living standards of the people shall be significantly improved by promoting the tiered and classified social assistance system underpinned by basic livelihood assistance, social assistance for special purposes and temporary assistance in emergencies and disasters with the support of private sectors, upgrading assistance management services, putting policies in place effectively to protect orphans and de facto orphans, and further enhancing mechanisms concerning living subsidies for the financially-challenged disabled population, nursing care allowances for the severely disabled and social welfare for the elderly; and 2) the quality of basic social services shall be improved markedly by coordinating home-based and community elderly service providers, promoting the integration of medical and health care for the elderly, optimizing the supply structure and quality of elderly care services, improving the social care service system, strengthening government purchase of social services, engaging more private professional market players, improving the quality and efficiency of comprehensive marriage services, and further standardizing adoption of children. Below are the key objectives to be achieved by 2025: the annual growth rate of MLS in rural areas shall be no lower than that of per capita consumption expenditure of the previous year; the MLS standard in rural areas accounts for more than 75% of that in urban areas; living subsidies are provided to all financially-challenged disabled people; nursing care allowances are offered to all severely disabled people; trans-provincial marriage registration is fully achieved; all vagrants and beggars with known identity information are returned to their homes; nonprofit cremains burying (storage) facilities are available in all counties; at least 60% of beds in elderly care institutions meet requirements for nursing care; comprehensive elderly care institutions are accessible in 60% of townships (sub-districts); minor protection centers are available in 50% of townships (sub-districts);</p>	<p>Consistent</p>

PforR core principles/ elements	China's social management requirements	Consistency and recommendation
	<p>the number of social service professionals stands at 80,000; volunteer service centers account for 80% of comprehensive community service facilities; the area of comprehensive community service facilities accessible by every 100 residents tops 30 square meters; and the number of full-time employees of social organizations reaches 400,000.</p> <p>iii) Other poverty alleviation policies: In China, poor households refer mainly to those below the minimum living security (MLS) standard, and are classified into: a) MLS households, whose per capita annual income is below the MLS standard. MLS standards and relevant policies are updated by the local governments every year. In 2022, the MLS standard was 8,400 yuan per capita per annum in urban areas and 6,236 yuan per capita per annum in rural areas in Hubei Province; and b) extremely poor persons, old and disabled persons and persons under 16 years with no ability to work, no income source, or statutory supporter, or whose statutory supporter is incapable to support. In 2022, extremely poor persons in urban and rural areas of Hubei Province were eligible for financial support of 16,807 yuan per person per annum and 11,990 yuan per person per annum respectively. These poor households receive full support from the Chinese government in food, clothing, medical care, housing, children education, and basic income which is no less than the local MLS standard. All localities shall establish files for the poor households, and offer living and housing subsidies, free children education, interest-free loans, special occupational training, and priority in job placement, etc.</p> <p>iv) Law of the People's Republic of China on the Protection of Women's Rights and Interests (2018 Amendment): Article 22: Women shall enjoy the same labor and social security rights as men. Article 24: Men and women shall receive equal pay for equal work, and women shall enjoy the same remuneration rights as men. Article 26: Any employer shall protect women's health and safety at work and shall not assign women to unsuitable jobs. Women shall receive special protection during menstruation, pregnancy, lying-in and breastfeeding. Article 27: No employer shall reduce female workers' salaries or dismiss female workers or unilaterally terminate the labor (employment) contract or service agreement with them on the basis of marriage, pregnancy, lying-in and breastfeeding. Article 28: The state shall ensure that women are entitled to social insurance, social assistance, social welfare, and healthcare rights, and encourage and support public welfare activities for women. Article 29: The state shall put maternity insurance system in place and establish a sound security system for women in other aspects related to maternity.</p> <p>v) Outline for Women's Development in China (2021-2030): The overall objective is to fully implement the basic state policy of gender equality to innovate and improve the systems and mechanisms for promotion gender equality and women's all-round development. Women have equal access to a full range and whole life-cycle health services, and their health will be improved continuously. Women enjoy equal rights to education, and their quality and ability will be continuously improved. Women enjoy equal economic rights and interests, and their economic status will be steadily improved. Women enjoy equal political rights, and their participation in the administration of country, economic, cultural, and social affairs will be gradually improved. Women enjoy equal access to multi-level and sustainable social security, and their treatment levels will be steadily improved. The policies and regulations for supporting family development will be improved, and the new trend of socialist family civilization will be widely promoted. The concept of gender equality become more popular, and the environment for women's development will be improved. The legal system will be improved to protect women's legitimate rights and interests effectively. Women's sense of gain, happiness and security will be increased significantly.</p>	

Principle #6: Program E&S systems avoid exacerbating social conflict, especially in fragile states, post-conflict areas, or areas subject to territorial disputes.

Element 13: Consider conflict risks, including distributional equity and cultural sensitivities.

Not relevant.

Appendix 4: Stakeholder Analysis

The ESMS of the PforR Program will involve different stakeholders, including individuals, government authorities and other agencies. Stakeholders are either affected by any activity or affect the construction and operation of any activity. Therefore, for each activity under the Program, stakeholders involved will be identified through a mechanism. Stakeholders under each type of outcomes under the ESMS of the PforR Program are consistent, including affected parties, interested parties and management authorities. Refer to Appendix 4-1 for the result of stakeholder identification and analysis on the basis of the investigations conducted for the Program.

Appendix 4-1: Stakeholder identification and analysis

Result Area	Typical activities	Affected entities	Interested entities	Management agencies
RA1 - Manage Motorization and Motorized Travel Demand	<ul style="list-style-type: none"> Issue policies on vehicle emissions Implement vehicle emissions policies Issue new policies and regulations on parking Implementation of parking policies and regulations 	<ul style="list-style-type: none"> Vehicles operators and owners Drivers Vehicle emissions testing agency Operators of parking spaces 	<ul style="list-style-type: none"> Individuals and organizations concerned about environment and carbon emissions 	<ul style="list-style-type: none"> Competent authorities, e.g., district/county DRC, FB, CB, tax bureau, IITB, MSB, TB, EEB, TPT/PSB, UMC, PLAC, etc. UDG
	<ul style="list-style-type: none"> Issue TOD policies and regulations Implement TOD and accessibility improvement investments 	<ul style="list-style-type: none"> Individuals and entities affected by land occupation Residents and businesses impacted by construction Bicycle users 	<ul style="list-style-type: none"> Facilities and services providers Individuals and organizations concerned about road safety Organizations concerned about poverty, the disabled, elders and women's development 	<ul style="list-style-type: none"> Competent authorities, e.g., municipal and district/county DRC, FB, IITB, NRPB, TB, EEB, TPT/PSB, HURDB, FLB, UMC, PLAC, etc. District/county government Subdistrict/township government Village/community committees
RA2 - Facilitate Modal Shifts	<ul style="list-style-type: none"> Expand the network of bus priority/exclusive lanes 	<ul style="list-style-type: none"> Citizens using public transport system Individuals and entities affected by land acquisition/land occupation Residents and businesses impacted by construction 	<ul style="list-style-type: none"> Facilities and services providers Individuals and organizations concerned about road safety Organizations concerned about poverty, the disabled, elders and women's development 	<ul style="list-style-type: none"> Competent authorities, e.g., municipal and district/county DRC, FB, NRPB, TB, HURDB, EEB, TPT/PSB, FLB, UMC, etc. UDG/YBG District/county government Subdistrict/township government Village/community committees
	<ul style="list-style-type: none"> Improve the quality of bus services and operations Extend the coverage of transit network accessible to the urban population 	<ul style="list-style-type: none"> Citizens using public transport system Yichang Bus Group Individuals and entities affected by land occupation Residents and businesses impacted by construction People paying for parking and charging 	<ul style="list-style-type: none"> Facilities and services providers Individuals and organizations concerned about road safety Organizations concerned about poverty, the disabled, elders and women's development 	<ul style="list-style-type: none"> Competent authorities, e.g., municipal and district/county DRC, FB, NRPB, EEB, TPT/PSB, TB, HURDB, UMC, etc. UDG/YBG District/county government Subdistrict/township government Village/community committees

Result Area	Typical activities	Affected entities	Interested entities	Management agencies
	<ul style="list-style-type: none"> • Improve intermodal connectivity between rail and waterway 	<ul style="list-style-type: none"> • Operators of Railway and Waterway Freight 	<ul style="list-style-type: none"> • Facilities and services providers 	<ul style="list-style-type: none"> • Competent authorities, e.g., municipal, district/county TB • UDG
RA3 - Incentivize Loo-Carbon Choices	<ul style="list-style-type: none"> • Reform the subsidy mechanism for public transport operators 	<ul style="list-style-type: none"> • Yichang Bus Group 	<ul style="list-style-type: none"> • Facilities and services providers 	<ul style="list-style-type: none"> • Competent authorities, e.g., municipal DRC, TB, FB, state-owned assets supervision and administration commission, audit bureau, etc. • UDG/YBG
	<ul style="list-style-type: none"> • Introduce carbon crediting mechanism for mobility service users 	<ul style="list-style-type: none"> • Citizens using public transport system • Users of private vehicles • Bicycle users • Yichang Bus Group 	<ul style="list-style-type: none"> • Facilities and services providers • Organizations concerned about poverty, the disabled, elders and women's development 	<ul style="list-style-type: none"> • Competent authorities, e.g., municipal DRC, FB, CB, IITB, EEB, TB, GSBDB, etc. • UDG/YBG
	<ul style="list-style-type: none"> • Pilot an emission trading scheme (EST) for transport 	<ul style="list-style-type: none"> • Transport operators • Logistic operations 	<ul style="list-style-type: none"> • Individuals and organizations concerned about environment and carbon emissions 	<ul style="list-style-type: none"> • Competent authorities, e.g., provincial, municipal and district/county DRC, FB, EEB, CB, IITB, MSB, TB, etc.
RA4 - Enhance Institutional Capacity	<ul style="list-style-type: none"> • Establish and maintain carbon accounting system and evaluation mechanism • Establish and maintain monitoring, reporting and verification (MRV) system to enable ETS • Develop a modeling tool to simulate policy effects on transport carbon emission • Capacity building and knowledge sharing 	<ul style="list-style-type: none"> • Transport operators • Logistic operations • Relevant Government departments 	<ul style="list-style-type: none"> • Individuals and organizations concerned about environment and carbon emissions 	<ul style="list-style-type: none"> • Competent authorities, e.g., municipal DRC, FB, TB, EEB, HURDB, UMC, etc. • UDG

Appendix 5: Stakeholder Engagement

No.	Date	Venue	Authorities involved	E&S topics
1	Morning of 3 July 2023	Taohualing Hotel in Yichang city	Municipal TB, FB, TPT of PSB, CB, EEB, HURDB, UMC, NRPB, ERAB, HRSSB, Quality Control Station, HC, DRC, PLAC, CTB, RRB, WF, CAB, PCPB, Yichang PMO, UDG and Lintongyan design institute	Kick-off meeting: <ul style="list-style-type: none"> Objectives, scope, result areas and DLI of the Program Work plan for ESSA Discussion about potential E&S risks related to each project activities Initial exclusion list of project activities with high E&S risks
2				E&S Consultations at municipal level: <ul style="list-style-type: none"> Consultation on policies in various industries and the roles and organizational structure of various functional departments. An overview of the previous project implementation, including the collection of relevant data and information.
3	Morning of 3 July 2023		District TB, TPT of PSB, CB, EEB, HURDB, UMC, Comprehensive Administrative Law Enforcement Bureau, NRPB, ERAB, HRSSB, Quality Control Station, HC, DRC, PLAC, CTB, RRB, WF, CAB, PCPB, Waterway Management Team, PACTL, UDG	E&S Consultations and site visits at Yiling district: <ul style="list-style-type: none"> Consultation on policies in various industries and the roles and organizational structure of various functional departments. An overview of the previous project implementation, including the collection of relevant data and information.
4	4 July 2023	Xiling, Yiling and Wujiagang district in Yichang city	Municipal TB, vehicle management station, TPT of PSB, EEB, UDG/YBG, Wuchan company, and operation and construction units of bus terminals/depots.	Site visits: BRT line 1; pedestrian walkways, non-motorized transport system; existing bus depots; new constructed bus depots; new constructed bus terminals; monitoring platform of municipal transport police headquarters; parking spaces and affiliated facilities at Yichang East Railway Station; vehicle emission inspecting site; scrapped vehicles disassembly company; traffic noise testing site; monitoring platform of the auto vehicle administration center, etc.
5	Morning of 5 July 2023	Taohualing Hotel in Yichang city	District TB, TPT of PSB, CB, EEB, HURDB, UMC, NRPB, ERAB, HRSSB, Quality Control Station, HC, DRC, PLAC, CTB, RRB, WF, CAB, PCPB, UDG	E&S Consultations and site visits at district/county level: <ul style="list-style-type: none"> Consultation on policies in various industries and the roles and organizational structure of various functional departments. An overview of the previous project implementation, including the collection of relevant data and information.
6	Afternoon of 5 July 2023		District TB, TPT of PSB, CB, EEB, HURDB, UMC, NRPB, ERAB, HRSSB, Quality Control Station, HC, DRC, PLAC, CTB, RRB, WF, CAB, PCPB, UDG	
7	6 July 2023	Tieluba community in Xiling district	Representatives of community committee, residents, and YBG	E&S consultations with community representatives: <ul style="list-style-type: none"> Understanding the frequency of public transport use among community residents. Collecting opinions and suggestions from resident representatives regarding the current public transport system, parking facilities, fees, pedestrian walkways, and slow traffic systems. Inquiring about the level of public participation during the formulation of policies related to public transport.

No.	Date	Venue	Authorities involved	E&S topics
				<ul style="list-style-type: none"> • Collecting information on appeals and complaints made by residents regarding public transport facilities. • Exchanging information with resident representatives regarding the potential environmental and social impacts of the Program. • Confirming the support of resident representatives for the Program and collecting any relevant feedback or suggestions.

Appendix 6: Feedback of Public Consultations on the Draft ESSA

No.	Issues	Comments	Advised by	Report Revision
About the PforR activities and the government program investments				
1	The name of the PforR	The PforR name in the ESSA is “Accelerating Low Carbon Transition of Urban Mobility in Yichang”, but it is “Urban Cluster Decarbonization Transportation Program (Phase I)” in the “Notice of the National Development and Reform Commission and the Ministry of Finance on the Issuance of Alternative Project Planning for China’s Utilization of World Bank Loans for the Period of 2022-2023” (DRFI [2022] No. 1014). So far, the DRC hasn’t received any formal notice from the NDRC on the change of Program name. As checked with the national and provincial DRCs, the PforR name shall be consistent. If it is necessary to change the PforR name, the WB shall explain in detail in MOU or formal email, then the municipal DRC will report to upper levels to process the change.	Yichang DRC	Remains unchanged. Will revise it as needed in the next step to keep it consistent with the final PAD.
2	Table 2-1: The proposed PforR activities under Result area 1.3	Suggest changing “Issue new parking policy that captures demand management principles through price and quantity restrictions on private vehicle usage and applies to both private and publicly managed parking lots” to “Issue new parking policy to achieve demand management through differentiated parking prices”	Yichang UMC	Remains unchanged. Will revise it as needed in the next step to keep it consistent with the final PAD.
3	Table 2-1: The proposed PforR activities under Result area 1.4	Suggest deleting “1. Develop a parking implementation plan along BRT corridors (existing + new); 2. implement the parking master plan”	Yichang UMC	Remains unchanged. Will revise it as needed in the next step to keep it consistent with the final PAD.
4	Appendix 1: The proposed activities under the Yichang Transport Carbon Peak Plan	Suggest deleting “Accelerate construction of slow traffic systems and supporting facilities” since the proposed activities have not been determined yet.	Yichang HURDB	Remains unchanged. Will revise it as needed in the next step to keep it consistent with the final PAD.
About the versions and sufficiency of regulatory documents				
5	Para 128: Regulations on urban gardening and landscaping	Suggest adding the “Guidance on pushing urban gardening and landscaping developments” (2012), the “Yichang catalogue of critical green spaces” (2022), and the “Yichang famous and ancient trees management measures” (1995).	Yichang FGB	Updated.
6	Table 5-1: The name of data of policies and regulations	Suggest unifying the format of the name and data of the relevant policies and regulations. The current laws and regulations on cultural relics protection are the Cultural Relics Protection Law (2017 Amendment), the Regulations for the Implementation of the Cultural Relics Protection Law (2017), and the Implementation Measures for the Law of the People’s Republic of China on Cultural Relics Protection in Hubei Province (2017).	Yichang CTB	Updated.

No.	Issues	Comments	Advised by	Report Revision
7	Table 5-1: The revision of Implementation Measures of Hubei Province for the Law of the People's Republic of China on the Protection of Women's Rights and Interests	Suggest updating the data of Implementation Measures of Hubei Province for the Law of the People's Republic of China on the Protection of Women's Rights and Interests from (2018.10.26) to (2022.10.30)	Women's Federation of Yiling District	Updated.
8	Table 5-1: The laws and regulations on occupational health management	Suggest adding the Regulations on Workplace Occupational Health Management	Yichang HC	Updated.
About policy analysis and understanding				
9	Para 171: Cultural relics protection	Suggest revising "The Cultural Relics Protection Law requires that no construction works or operations such as blasting, drilling and digging is allowed within the area of historical and cultural protection site. At the time of site selection for a construction project, location where immovable cultural relics located should try to be avoided. If a construction project is needed to be implemented, it should be approved by the cultural relic authority firstly, and then the urban-rural development and planning authority." to "The Cultural Relics Protection Law requires that no construction works or operations such as blasting, drilling and digging is allowed within the area of historical and cultural protection site. At the time of site selection for a construction project, location where immovable cultural relics located should try to be avoided. No construction works or operations such as blasting, drilling and digging is allowed within the area of historical and cultural protection site. If a construction project is needed to be implemented, it should be approved by the people's government which approved and published the cultural relics protection site."	Yichang CTB	Updated.
10	Para 171: Cultural relics protection	Suggest deleting "Before launching a large-scale infrastructure construction project, the construction unit shall firstly apply to the provincial cultural relic authority for arranging a unit engaged in archaeological excavations to conduct archeological investigation at places where cultural relics may be buried underground within the project area", because it's not the responsibilities of municipal and district/county CTBs.	Yichang CTB	Remain it as unchanged, because the ESSA assess the overall responsibilities of CTBs at national, provincial, municipal and district/county level.
About analysis of E&S management systems				
11	Para 30: Scrapped vehicle	Suggest deleting "apply for a Special Industry License from PSBs in accordance	Yichang Wuchan	Updated.

No.	Issues	Comments	Advised by	Report Revision
	disassembly procedure	with the Public Security Management Measures for Waste Metal Recovery (1994)" since there is no such requirement currently.	Scrapped Vehicle Disassembly Company	
12	Para 124: The responsibilities of the Bus Maintenance Branch under the YBG	Suggest changing "The Maintenance Branch of YBG is responsible for maintaining and repairing all buses in Yichang" to "The Maintenance Branch of YBG is responsible for maintaining and repairing all buses operated by YBG".	Yichang UDG	Updated.
13	Para 124: The management of hazardous waste by the Bus Maintenance Branch under the YBG	Suggest changing "Hazardous waste are kept in specialized containers and delivered to qualified agencies for professional treatment" to "Hazardous wastes are stored in specific storage rooms, managed by dedicated personnel, recorded in the process of generation and transfer, delivered to qualified agencies engaged by YBG, and registered on EEB's official website".	Yichang UDG	Updated.
14	Para 129: Management procedures on urban gardening and landscaping	Suggest adding the approval authorities of critical green spaces and non-critical green spaces; and adding management procedures for moving trees needed by road construction.	Yichang FGB	Updated.
15	Para 147: The bus depots/ terminals safety management by YBG	Suggest changing "YBG checked its 7 bus depots every year" to "YBG checked all its bus depots every month".	Yichang UDG	Updated.
16	Para 214: Management of vulnerable groups in Xiling District	The number of subdistricts, communities and villages is not exact.	Xiling CAB	Updated.
17	Para 215: About capacity building of rural revitalization system	Suggest updating the capacity building activities according to the data in 2022 rather than 2021.	Yichang RRB	Updated.
18	Para 216: About the assistance to the low-income	Suggest revising "poverty reduction offices or RRBs for the low-income" to "CAB for the low-income".	Yichang RRB	According to the Implementing Opinions of Yichang on Improving the Dynamic Monitoring and Assistance Mechanism for Preventing the Return to Poverty (YNZF [2021] No.1, it is revised as "poverty reduction offices or RRBs for the poverty issues".
19	Para 225: Government-pricing mechanism and procedures	Suggest revising the description to "in the case of government-pricing projects related to key public utilities and public services, the DRC conduct a price survey, cost review or cost survey, public consultation, legal review, group review before making a decision."	Yichang DRC	Updated.

No.	Issues	Comments	Advised by	Report Revision
20	Para 226: about the work scope of cultural relics authorities	Suggest updating “the cultural relics management departments’ opinion on whether to protect and manage cultural relics” to “the cultural relics management authorities’ opinions on whether any cultural relics affected.	Yichang CTB	Updated.
21	Para 237: About local cultural relics protection	The description is not current, suggest updating it.	Yichang CTB	Updated.
22	Para 242: About occupational health management of Yichang Wuchan Scrapped Vehicles Recycling and Dismantling Co., Ltd	Suggest updating the description to “Yichang Wuchan Scrapped Vehicle Recycling and Dismantling Co., Ltd. places a high emphasis on the health and safety of its employees during business operations. They ensure that appropriate protective equipment is purchased and provided to employees. Furthermore, the company properly manages hazardous waste generated during the production process, such as oil pollution and used batteries, through legal disposal methods. The company has also implemented specific management measures, including the development of a hazardous waste management system and classification management measures.”	Yichang Commerce Bureau	Checked and rephrased.
23	Para 255: About livelihood restoration to land-lost farmers	Suggest revising “All land-lost farmers have been covered by employment assistance, making them eligible for various benefits such as free job introduction services, skill training subsidies, subsidies for public welfare positions, subsidies for social insurance, reductions in industry and business-related charges, and tax exemptions” to “All land-lost farmers have been covered by employment assistance, making them eligible for various benefits such as free job introduction services, skill training subsidies, subsidies for public welfare positions, subsidies for social insurance, etc.”; Revise “For those who haven’t reached the retirement age, they can earn income from being employed or start-up business with the support of skill trainings and employment assistance provided by government” to “For those who haven’t reached the retirement age and are willing to work, priorities are provided to them in government employment services and focused assistance, like skill training and job referrals”.	Wujiagang HRSSB	Updated.
24	Para 255: About livelihood restoration to land-lost farmers	The description of basic endowment insurance for land-lost farmers is not accurate. It should be “a once-off basic endowment insurance compensation will be paid to land-lost farmers’ individual account of endowment insurance after they reach retirement age.”	Yichang HRSSB	Updated.

No.	Issues	Comments	Advised by	Report Revision
25	Para 265: About women's rights and interest protection of Yichang Bus Group	Suggest revising it as “Yichang Bus Group, in order to effectively safeguard the health and rights of female employees, provided each of its 685 female employees an insurance for accident and health and annual health examination "Women's Major Disease Insurance" with coverage of RMB 10,000 yuan/person. Female Employee Special Contract has been established to protect the unique rights of female workers. It also arranged health examination for female employees and conducted outdoor activities to alleviate work and life-related stress. Regarding the safety of women in transport, measures have been taken, like setting up designated seats for pregnant women and mother-infant rooms in public transport facilities (see Figure1 in Appendix 7), designating women-only parking spaces in large shopping malls, and all women within the city are entitled to take bus for free on 8 March of each year.”	Yichang UDG	Updated.
26	Para 266: About preferential policies for public transport	Suggest adding retirement military personnel into the group enjoying preferential policies	Yichang UDG	Updated.
27	Para 266: About vulnerable groups management	As the end of 2022, the left-behind elders is 2,464. Update the 3) point as “MLS for the low-income elderly people with difficulties, with RMB 800 yuan/person/month in urban areas and RMB 600 yuan/person/month in rural areas in 2023”; Update the public services as “As the end of 2022, Disabled and semi-disabled people in extremely hardship had been fully covered by facilities and services; 204 community-based home care service facilities and 813 rural mutual assistance care stations had been established; 1,915 households have received home-based aging adaptation renovations; There were 14,853 nursing beds in elderly care institutions, accounting for 58% of the total. These mechanisms follow a universal approach, making these benefits available to all eligible elderly people”.	Yichang CAB	Updated.
28	Appendix 8: mitigation measures for cultural relics protection	Suggest updating as “When the construction unit prepare the budget, they should allocate funds for cultural relics protection as contingency expenses in the project budget. Before the project implementation begins, both the project management unit and the construction unit should provide additional training to their on-site staff to enhance their awareness of cultural relics protection. If cultural relics such as historical sites or tombs are discovered during the construction process, construction activities should be immediately halted to protect the site, and	Yichang CTB	Updated.

No.	Issues	Comments	Advised by	Report Revision
		the Yichang Municipal CTB should be contacted to handle the situation.”		
29	Para 280: About public participation	Community residents seldom check government’s official website about public notices recently issued proactively. It is recommended that public participation activities be carried out in a more targeted and simple manner, at a place and time that is more suitable for the residents of the community.	Resident representatives from Pingyun Community in Yiling District and Huaxilu Community in Wujiagang District	The preferred public participation channels of community residents are delivered to PMO and suggest to add into the PAP
About institutional organization, roles, and responsibilities				
30	Full text: The name of a government authority	Suggest using “natural resources and planning bureaus (NRPBs)” to name all-level natural resources management authorities in Yichang	Yichang NRPB	Updated.
31	Full text: The name of a PIU	Suggest changing “Yichang Municipal Bus Group” to “Yichang Bus Group (YBG)”	Yichang UDG	Updated.
32	Para 71: The name of an enterprise	Suggest changing the “YBG Bus Maintenance Branch 2 nd Workshop Center Project” to the “YBG Bus Maintenance Branch Headquarter and 4 th Workshop Project”	Yichang UDG	Remain it unchanged. The project name should be consistent with that presented on EEB’ official website.
33	Full text: The name of a government authority	Suggest changing “cultural relics administration department” to “cultural relic management authorities”	Yichang CTB	Updated.
34	Section 5.3.2: The name of a government authority	Suggest changing “Cultural relic bureau under the provincial culture and tourism department.” to “Provincial cultural and tourism department (Provincial cultural heritage bureau)”	Yichang CTB	Updated.
35	Section 5.3.2: Responsibility of NRPB in cultural relics protection	Suggest updating as “defining the range of cultural relics protection and construction control area during the national land spatial planning and integrating into the “one-map” of national spatial planning; seeking the opinions of the cultural relics authorities in accordance with the law and regulations during the formulation of local planning and project site selection.”	Yichang CTB	Updated.
36	Para 204: Institutional organization of Yiling District cultural relics authorities	Suggest updating as “the Yiling District Cultural and Tourism Bureau (Yiling District Cultural Heritage Bureau) is responsible for the protection of intangible and tangible cultural heritage throughout the district. They also provide guidance and management for cultural relics and museums in the entire district. This bureau includes a Cultural Relics Division (1 person) and a Cultural Relics Management Office (8 persons). If cultural relics are found during the project construction, the construction unit will report to the district cultural relics authorities, which will, in turn, further report to the Cultural Relics Division of the Yichang municipal CTB (3 staff), and then the municipal CTB will coordinates with the Yichang Museum for on-site	Yichang CTB	Updated.

No.	Issues	Comments	Advised by	Report Revision
		handling and the development of cultural relic protection measures.”		
37	Section 5.3.1 on Page 42: SSRA management authorities	Suggest deleting “Provincial DRC: approving major fixed asset investment projects based on social stability risks and other documents relevant (attaching the SSRA report and review comments when applying for FSR approval)”, as SSRA is not one of the pre-condition documents any more for FSR approval according to document (EF[2017] No.4).	Yichang DRC	Remain it unchanged. According to the Article 6 of the Interim Measures for the Social Stability Risk Assessment of Major Fixed Asset Investment Projects of NDRC (2012), conclusions of SSAR shall be included in the FSR and project application documents and the SSRA report shall be attached; and according to the Article 16 of the Notice of the Municipal People's Government on the Issuance of Measures for the Management of Municipal Government Investment Projects in Yichang City (YFF[2017] No 15) , Project owner shall entrust a qualified engineering consultant to prepare FSR, in which, ... and the social stability risks shall be fully analyzed.

Appendix 7: Field Visit Records



Fig 1: Room for mother and infant at Yichang Central Transport Station



Fig 2: Consultation with representatives of Tieluba community, Xiling district



Fig 3: Yichang Wuchan Scrapped Vehicle Disassembly Company (YWSVDC)



Fig 4: Oily waste parts at YWSVDC



Fig 5: Storage of wastes at YWSVDC



Fig 6: Hazardous waste storage rooms at YWSVDC



Fig 7: Wastewater treatment facilities at YWSVDC



Fig 8: New Paifangpo bus depot



Fig 9: Existing Dashuwan bus depot



Fig 10: Vehicle maintenance site of existing bus depot



Fig 11: Storage room of hazardous waste in bus depot



Fig 12: Vehicle washing site of bus depot

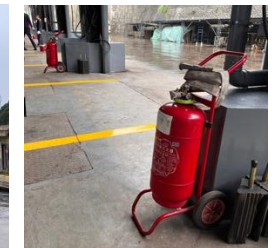


Fig 13: Firefighting facilities in bus depot



Fig 14: Pedestrian walkways



Fig 15: Traffic monitoring platform of Yichang TPT



Fig 16: Corridor of BRT Line 1



Fig 17: Bus station of BRT Line 1



Fig 18: Vehicle emissions inspection site

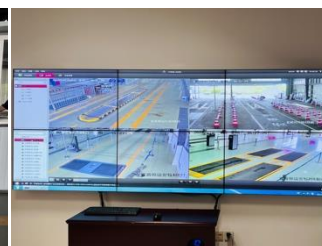


Fig 19: Monitoring system of automobile regulation office



Fig 20: Road construction

Appendix 8: Generic E&S Mitigation Measures

Generic measures to mitigate E&S impacts are proposed in the ESSA based on the experience gained from similar projects as summarized below. The following table particularly provides E&S codes of practices, especially for those minor construction activities that are not covered by the national EIA system. It's suggested that the PMO incorporate them in the E&S risk management manual to guide future implementation, preparation of output of TAs, and E&S management of the PforR. Specific E&S mitigation measures for each subproject are expected to get detailed and enhanced in the E&S assessment documents or in the construction organization plans during implementation.

Item	Main Activities	Main Impacts	Generic Mitigation Measures
In construction			
Pollution control	Excavation & pavement on roads and bus depots/ hubs, and transport of materials and waste, etc.	Impacts of dust and vehicle emissions on ambient air	<ul style="list-style-type: none"> • Use advanced construction technology in gravel and concrete system by adopting wet crushing skills and dust collection devices; control the speed and emissions of transport vehicles; and water construction roads on time suppress dust. • Set vehicle washing platform inside the entrance and exit of transportation vehicles based on the site condition; and wash the vehicle tires and body on the platform before they leave the construction site. The height of loaded materials or solid waste shall not exceed the upper edge of the transport vehicles. The materials or solid waste should be covered. • No concrete mixing station and asphalt mixing station shall be set at the construction sites.
	Construction of roads, bus depots/ hubs, and other transport facilities	Impacts of noise on nearby residents and construction workers	<ul style="list-style-type: none"> • Comply with <i>the Environmental Noise Emission Standard for Construction Site Boundary</i> (GB12523-2011). Arrange construction schedules in a reasonable way and avoid construction or only conduct low-noise construction work at night (22:00-6:00). High-noise construction machinery (such as pile drivers) should be stopped at night, especially for sensitive receptors close to the roads. If continuous construction cannot be avoided, approval from relevant authorities must be obtained and affected residents must be communicated for understanding in advance. • Set up signs for preventing noise at road sections with sensitive receptors; take measures such as use of low-noise equipment, controlling of noise sources, and management of traffic noise; and provide construction workers with earplugs.
	Land excavation, site formation, and materials and waste storage, etc.	Impacts of excavated earth and solid waste on the environment	<ul style="list-style-type: none"> • Properly arrange temporary sites to store earth and stones, and try to stay away from residents, schools, and other sensitive receptors. The earth and stones should be compacted, crushed, and covered. • Temporary dumping sites for solid waste should adopt covering measures and set up drainage ditches around. • Recyclable wastes shall be sorted and recycled. • Wastes that are not recyclable should be cleared and transported away timely and sealed in transportation.
	Construction of roads, bus depots/ hubs, and other transport facilities	Potential pollution to surface water by construction wastewater	<ul style="list-style-type: none"> • Wastewater from sand and stone processing systems should be treated using sediment basins and reused for concrete mixing or watering for dust reduction. Muds generated in construction should be pumped to sedimentation tanks and get solidified through drainage and drying. Wastewater from washing machines should be treated using sedimentation tanks and oil separators and used for watering to suppress dust at construction sites. No wastewater should be discharged into any water body directly. • Construction worker will use local public toilets, and the domestic wastewater should not be discharged directly.
Ecological protection	Subproject site/route	Destruction of greenbelts,	<ul style="list-style-type: none"> • Consider retaining as much existing greenbelts as possible in design; include proper budget on transplanting or replanting

Item	Main Activities	Main Impacts	Generic Mitigation Measures
	selection, excavation, and site formation	possible soil erosion, and disturbance to trees	<p>greenbelts; and develop and implement transplanting or replanting plans as instructed by local FLBs, etc.</p> <ul style="list-style-type: none"> • Set construction sites in a reasonable manner to minimize occupation of green spaces. • Avoid construction in rainy days to prevent soil erosion. • Provide training and education to workers. If ancient and famous trees and local endemic plants are identified in construction, they should be reported to relevant authorities and taken on-site protection measures. • Topsoil should be excavated and stacked by layers in construction. Loosen the harden soil, backfill the topsoil, and restore vegetation right after construction is completed.
Safety management	Construction of roads, bus depots/ hubs, and other transport facilities	Traffic safety risks to the public	<ul style="list-style-type: none"> • Prepare and implement specific traffic organization plans; provide enhanced traffic guidance and dispersion; adjust bus routes or stops as needed; and use social medias to inform the public of temporary transport arrangements. • Set up barriers, guardrails, warning lights, signs, guide boards, or other facilities at construction sites of road works; control vehicle speed near construction sites to secure pedestrian's safety; provide accesses for pedestrian where walkways are under construction to stop pedestrian from entering construction sites; designate personnel to divert traffic at construction peak hours or at locations close to sensitive receptors e.g., residential areas, schools, and hospitals. • Clean construction sites, remove barriers, and recover traffic immediately after each construction section is finished.
Cultural relics protection	Construction of facilities	Cultural relics underground may be excavated	<ul style="list-style-type: none"> • When the construction unit prepare the budget, they should allocate funds for cultural relics protection as contingency expenses in the project budget. Before the project implementation begins, both the project management unit and the construction unit should provide additional training to their on-site staff to enhance their awareness of cultural relics protection. If cultural relics such as historical sites or tombs are discovered during the construction process, construction activities should be immediately halted to protect the site, and the Yichang Municipal CTB should be contacted to handle the situation.
Labor management	Construction of facilities	Potential labor disputes, e.g., labor relationship, payment of salary, social security, etc.	<ul style="list-style-type: none"> • PIUs/Contractors shall sign labor contract or service contract with employees at the time of onboarding according to law, and the terms of working time, location, salary, and payment timely should be included, provide social security insurance for workers, pay salary timely and fully. • The local HRSSBs shall supervise and inspect PIUs/Contractors regularly, and request to take correction action if any noncompliance identified. • Maintenance of GRM to ensure timely receive and resolve related complaints.
		Potential gender discrimination, like refusing to hire women	<ul style="list-style-type: none"> • Implementing gender equality, equal pay for equal work, no restriction on male recruitment is allowed; developing special preferential policies for female employees, like providing free cervical and breast cancer screening and physical examination, listening to female employees' opinions when arranging jobs, not arranging pregnant women to engage in positions with high strength demanding or poor working environment, providing maternity leave and other protection measures and welfares in accordance with the law.
Community impacts	Construction of facilities, formulation and	Loss of business suspension or shutdown	<ul style="list-style-type: none"> • Conduct meaningful information disclosure and public consultations to engage about the impacts, period, mitigation measures and compensation plan in advance. • Setting up GRM to timely receive, resolve, and reply to related

Item	Main Activities	Main Impacts	Generic Mitigation Measures
	implementation of policies and regulations	Daily life and business of surrounding residents may be impacted due to dust, noise and "three wastes" generated	<p>grievance, appeal, complaints.</p> <ul style="list-style-type: none"> • Conduct FSR, EIA, SSRA, etc. at the preparation stage according to law, including alternative sites selection, social impacts identification, analysis, mitigation, and monitoring plan. • Carry out information disclosure and public participation activities to inform people about potential adverse impacts in advance, negotiate and design mitigation measures. • Set up GRM to timely receive, resolve, and reply to related grievance, appeal, complaints.
Involuntary resettlement	Construction of bus terminals, bus depots, etc.	Contracted land of farmers and rural residential houses may be permanently acquired	<ul style="list-style-type: none"> • Cash compensation: land compensation fee, resettlement subsidy and compensation fee for ground attachments and young crops should be paid timely and fully according to the replacement price principle. • Basic endowment insurance: allocate social insurance budget and purchase basic endowment insurance for qualified land-lost farmers. • Livelihood restoration: develop and implement livelihood restoration measures, including but not limited to providing skills training, giving priority to affected people when using labors, recommend other employment opportunities. • Organizing and carrying out information disclosure and public participation activities to fully consult affected people's opinions. • Setting up GRM to timely receive, resolve, and reply to related grievance, appeal, complaints.
	Construction of facilities	Temporary land use may be involved	<ul style="list-style-type: none"> • Site selection should adhere to the principles of "How much to use, how much to approve, how much to occupy, and how much to restore". Whenever possible, to avoid or minimize the occupation of cultivated land. In cases where temporary land use, which poses challenges for land restoration, is necessary, strict control measures must be applied to minimize the use of cultivated land. If permanent basic farmland is to be temporarily occupied, it must be guaranteed that the land can be restored to its original planting conditions. Information disclosure and public participation activities should be organized to solicit the opinions of local farmers. Land use agreements should be signed, specifying the scope, duration, rent, payment schedule, and other terms. After construction is completed, efforts should be made to restore the land to its original planting conditions. A GRM should be established to promptly receive, address, and provide feedback on relevant appeals, complaints, and grievances.
Ethnic minorities	All program activities	Some ethnic minorities may be impacted	<ul style="list-style-type: none"> • During the preparation and implementation phase of the project, extensive consultation and negotiation should be conducted with representatives of ethnic minorities during the program activities preparation and implementation, and their opinions should be respected and incorporated into the program activities design.
Vulnerable groups	All program activities	Vulnerable groups may be impacted more heavily than others	<ul style="list-style-type: none"> • During the preparation and implementation phase of the project, extensive consultation and negotiation should be conducted with representatives of vulnerable groups during the program activities preparation and implementation, and their opinions should be respected and incorporated into the program activities design. • Develop and implement supporting measures for affected vulnerable groups, e.g., giving priority to them in labor use, providing welfare employment opportunities, covering by urban or rural minimum living standard subsidies.
In operation			

Item	Main Activities	Main Impacts	Generic Mitigation Measures
Pollution control	O&M of roads, bus depots/ hubs, and other transport facilities	Pollution of vehicle emissions	<ul style="list-style-type: none"> Promote new-energy vehicles, develop urban public transport, and encourage green travel. Strictly implement the VEIM mechanisms; strengthen supervision on I stations and M stations. Improve traffic signal systems to ensure smooth traffic and reduce emissions from idling vehicles; and build greenbelts to purify polluted air, etc.
		Pollution of traffic noise	<ul style="list-style-type: none"> Set up areas and durations for prohibiting vehicles, limiting vehicles, limiting speed, and banning horns. Well maintain road surfaces; well maintain vehicles; and reinforce noise reduction measures as needed for special sensitive receptors along the road corridors. Promote new-energy vehicles to reduce driving noise, etc.
		Pollution in vehicle maintenance	<ul style="list-style-type: none"> Vehicle maintenance enterprises fulfill the procedures of EIA, ETS, EAPC, pollutant discharge permitting, etc. Vehicle maintenance enterprises operate proper facilities and implement proper measures to manage pollution of waste gas, wastewater, solid waste, and noise as proposed in the project designs and/or the EIAs. The measures include choosing water-based paints and installing treatment devices to control VOC emissions; using techniques of ultrasonic cleaning, oil separation, and wastewater recycling to reduce wastewater discharge; adopting specific sorting, classification, storage, and transfer of hazardous waste (e.g., waste oil and batteries); and undertaking indoor operation and installing sound insulation materials to reduce noise, etc. Government authorities such as the EEBs, TBs, and MSBs strengthen supervision, instruction, and training to the vehicle maintenance enterprises.
		Impacts of runoff from road surface	<ul style="list-style-type: none"> Technical measures include adopting permeable paving techniques in construction of new facilities such as bicycle lanes, sidewalks, parking lots, and squares, etc.; applying spongelike structures in rehabilitation of existing roads; and including stormwater collection and reuse facilities such as rainwater tanks in construction of large-scale infrastructure such as bus depots/terminals over 20,000 m². Management measures include expressing the requirements of sponge city construction in bidding documents; including sections of sponge city construction in design documents; refusing designs that have no qualified sponge construction plans to pass technical review and approval; and refusing construction works that have no spongelike engineering to pass completion acceptance and start operation, etc.
Safety management	O&M of roads, bus depots/ hubs, and other transport facilities	Traffic safety risks	<ul style="list-style-type: none"> Utilize online monitoring, big data, GIS, and other information technologies to improve traffic safety monitoring capacity. Clarify traffic management procedures and enhance traffic safety management efforts. Strengthen vehicle safety inspection and maintenance to ensure safe operation of vehicles; and strengthen supervision on and training to drivers to improve safe driving and reduce violations, etc.
		Fire risks at bus depots/ terminals	<ul style="list-style-type: none"> Comply with the requirements on fire prevention design and completion acceptance in project implementation. Implement the fire safety accountability mechanism, keep firefighting facilities effective, and organize fire risk inspections and firefighting drills. Well manage the flammable and explosive hazardous chemicals that are used in bus maintenance and repair, etc.
Labor management	O&M of public	Potential labor disputes, e.g.,	<ul style="list-style-type: none"> The operation units shall sign labor contract or service contract with employees at the time of onboarding according to law, and

Item	Main Activities	Main Impacts	Generic Mitigation Measures
	transport facilities	labor relationship, payment of salary, social security, etc.	<p>the terms of working time, location, salary, and payment timely should be included, provide social security insurance for workers, pay salary timely and fully.</p> <ul style="list-style-type: none"> • The local HRSSBs shall supervise and inspect operation units regularly, and request to take correction action if any noncompliance identified. • Maintenance of GRM to ensure timely receive and resolve related complaints.
		Potential gender discrimination, like refusing to hire women	<ul style="list-style-type: none"> • Implementing gender equality, equal pay for equal work, no restriction on male recruitment is allowed; developing special preferential policies for female employees, like providing free cervical and breast cancer screening and physical examination, listening to female employees' opinions when arranging jobs, not arranging pregnant women to engage in positions with high strength demanding or poor working environment, providing maternity leave and other protection measures and welfares in accordance with the law.
		Potential occupational health and safety risks	<ul style="list-style-type: none"> • Operation units shall identify and test occupational health hazard factors; implement the "three simultaneous" measures, develop and implement an occupational health and safety training plan for workers, provide necessary personal protective equipment for workers during operation, and organize and carry out regular physical examination.

Appendix 9: Records of Community Focus Group Discussions in Project Area of Yichang, Hubei Province

Date: 6 July 2023

Location: Tieluba community of Xiling sub-district, Xiling District, Yichang, Hubei Province

Attendees: Representatives of the Bus Group, Tieluba Community Committee, community residents (5 males, 5 females)

Records:

The Tieluba Community, located in the core urban area of Yichang City, consist of 1,920 households with a population of 4,071 people. Most residents have been living in this community for many years and frequently use public transport for their daily commutes, school pickups, shopping, and other activities.

In this discussion, the ESSA team introduced about the PforR Program to representatives of community residents, including the areas proposed to be improved and activities proposed to be implemented, to seek their opinions on the current status, experience and areas for improvement of relevant public transport system and policies.

Regarding the BRT system, most respondents expressed satisfaction with its service. They mentioned that BRT buses are in good condition, spacious, comfortable, and less prone to traffic congestion. The accessibility features of the BRT system and the arrangement of station staff were seen as user-friendly. The existing public bus routes and the BRT system around the community were seamlessly connected, making travel convenient. However, some areas farther from the core urban area or newly developed areas lack BRT coverage.

Regarding the public transport system, residents' representatives believe that there is significant room for improvement. Their main suggestions include:

- (1) Expanding the coverage area: In certain areas, such as the urban-rural interface in Wujiagang District, Yichang Museum, and new constructed communities like the Hengda Shanshuicheng, there are currently too few public buses, leading to insufficient service for residents during peak commuting hours. Some small streets among communities have no public buses, and reaching the nearest bus stop requires a considerable time, which is particularly inconvenient for the elderly and disabled.
- (2) Bus conditions: Buses in remote areas, serve as village-level transport, are those been phased out from other routes, old and in poor condition. If any one of the buses is broken, it affects the entire service of all buses, like frequency of service and waiting time. Bus drivers are usually fixed personnel. So, if one becomes ill or takes leave, there is a shortage of operating buses, severely affecting residents' transport needs. Currently, 12-meter-long buses are in use, which are relatively large and costly. It is suggested to use smaller community buses for streets in the urban-rural interface, remote routes, and suburban routes. Transitioning to electric buses with low noise levels is also preferred.
- (3) Bus-related facilities: Some bus stops lack shelter, which is particularly inconvenient for disabled passengers. When it rains, the disabled passengers must first take a taxi to a large bus stop where they can get out of the rain. None of the bus signs display real-time arrival information, making it difficult for many elderly passengers who may not be familiar with using smartphone apps to check bus schedules. Some elderly people are often reluctant to use mobile network while traveling. In the past, all public buses had Wi-Fi coverage, but this service has been discontinued. Bus stop management authority varies, with some managed by the HURDB and others outsourced to advertising companies. This has resulted in inconsistent conditions at different stops, with some being well-maintained and others lacking seating.

Concerning public parking fees, residents' representatives mentioned several issues: (1) There is a large number of private cars in Yichang, and the available parking spaces are insufficient to meet the demand. (2) Parking fees in commercial areas are relatively expensive. (3) Temporary parking spaces along the roadside should be made free to use at night. (4) Charging for parking spaces in pedestrian walkways should be reconsidered, and it disrupts the path for the visually impaired. (5)

Although government regulations allow private vehicles to use parking spaces of government agencies on weekends, this policy has not been implemented. (6) There is a lack of clarity regarding parking fees at roadside parking spaces and government-subsidized public parking lots.

Regarding pedestrian walkways and non-motorized transport system, residents' representatives provided the following feedback: (1) Most of the time, tactile paving on pedestrian walkways is obstructed by other objects, making it difficult to use. (2) Stone pillars installed on pedestrian walkways often lead to collisions for the elderly and children. (3) In some areas, pedestrian walkways are suddenly ended. (4) the pedestrian walkways along the main roads are well-maintained and promptly repaired when damaged, while the pedestrian walkways around communities are in poor condition and have not been maintained for several years.

Regarding the formulation and release of policies related to public transport facilities, some residents stated that they stay informed through channels like "Yichang Release" and "Yichang Live Broadcast." However, they noted that there has been a lack of public participation in the formulation of these policies. A lot of policies released too quickly through official channels without timely community engagement, leading that residents are not clear how to operate. Therefore, they expected that the government can conduct investigation in communities first before issuing policies. Residents expressed willingness to participate in the decision-making and planning process for public transport facilities through various means, such as forums, WeChat, or other platforms.

Most of the resident representatives have experience with public transport-related complaints, mainly about buses not being on time, congestion, and routes running with fewer vehicles, etc. They usually raised grievance through the Bus Hotline and the Mayor's Hotline.

Overall, the residents' representatives strongly support the implementation of the PforR. Their recommendations include expediting road construction to minimize disruptions to residents' travel, addressing safety concerns related to narrow roads and high traffic near Yichang East Station, and providing sheltered transfer passages between the train station and bus stations.

As discussed with the PMO, extensive and meaningful consultations with community residents in the area of each specific subproject will be conducted to solidate their opinions during the PforR Program implementation to address their needs in the design of specific activities. It will be listed in the PAP and monitored regularly during the PforR implementation.

Date: 26 September 2023

Location: Pingyun community of Yiling District, Yichang, Hubei Province

Attendees: Representatives of the Bus Group, Pingyun Community Committee, community residents (5 males and 5 females)

Records:

Regarding the existing public transport system, representatives of community residents expressed that: (i) most residents opt for daily commuting via public buses or BRT, finding the public transport system exceedingly convenient. BRT allows for free transfers and experiences minimal traffic congestion. (ii) the accessible facilities on public buses is reasonably set, with each vehicle featuring designated compassionate seating to accommodate the needs of various special groups. (iii) high-density residential areas exhibit a fairly comprehensive design of public transport. However, certain new constructed communities face issues such as limited bus routes, infrequent departures, and considerable distances between bus stops and residential areas, needing further improvement. (iv) resident representatives usually use the mayor's hotline and the complaint service hotline of Yichang bus group to raise complaints or grievances. In most cases, timely and effective feedback is received. (v) some resident representatives participated in public participation activities aimed at optimizing bus route layouts, such as completing questionnaires at shopping centers and attending community meetings organized by community committee. (vi) the conditions of current buses are poor, such as rusted and loosened seats, and need to be replaced by new buses.

The draft ESSA was disclosed through the website of Yichang TB for public comments and shared the links with community residents through WeChat group message on 19 September 2023. About residents' comments on the ESSA report: (i) surveyed resident representatives expressed that they had not read the ESSA report. One the one hand, they seldom proactively check the government website updates or public notices. On the other hand, they think the report is too long and technical to read. (ii) environmental and social consultants delivered a concise overview of the report's content, conclusions, recommendations, and action plans. There were no different views received during the consultation.

Regarding public participation methods, they expressed that: (i) advanced notification to residents of communities affected by project activities is preferred, outlining project activities, impacts, and duration. Residents should be consulted for their opinions before project implementation. (ii) community residents favor straightforward, clear, and direct methods of accessing project information, expressing opinions, and providing suggestions. For example, face-to-face community surveys, concise written descriptions, and visual displays are recommended. (iii) in terms of the timing of public participation activities, it is advised to select convenient times for community residents, such as evenings. (iv) various methods should be employed to meet the needs of different groups. Young people prefer online information access via mobile devices, while older adults lean towards community meetings, pamphlets, senior community activities, casual park conversations, and television. (v) elders is the primary group with frequent bus usage throughout the day. Therefore, during the optimization process of the public transport system, special attention should be paid to addressing the needs and opinions of such group.

As discussed with the PMO, extensive and meaningful consultations with community residents in the area of each specific subproject will be conducted to solidate their opinions during the PforR Program implementation to address their needs in the design of specific activities. It will be listed in the PAP and monitored regularly during the PforR implementation.

Date: 26 September 2023

Location: Huaxilu community of Wujiagang District, Yichang, Hubei Province

Attendees: Representatives of the Bus Group, Huaxilu Community Committee, community residents (5 males and 4 females)

Records:

The Huaxilu Community is a large community composed of residential properties, industrial parks and commercial centers. There are 5,028 households with approximately 15,000 residents in the community.

Community resident representatives interviewed expressed that they almost take public transport every day, noting the extensive coverage of the existing public transport network. Currently, there are three bus routes surrounding the community. However, none of them traverse the entire urban area, needing further improvement. Furthermore, the terminal stop of two routes located three stations away from the residential community, requiring a considerable walk. It is quite inconvenient for elders and people with disabilities, especially on rainy days. The key issues need to be resolved including: (i) bus routes and stops to be situated close to the community. (ii) a lack of sheltered bus stops. (iii) severe inadequacy in electric vehicle charging facilities.

The draft ESSA was disclosed through the website of Yichang TB for public comments and shared the links with community residents through WeChat group message on 19 September 2023. Regarding residents opinions on the ESSA: out of the nine residents surveyed, only one thoroughly perused the report. Environmental and social consultants delivered a concise overview of the report's content, conclusions, recommendations, and action plans, to which resident representatives expressed agreed without dissent.

Concerning information disclosure and public participation: some resident representatives received online questionnaires related to the installation of bus stations and electronic signage. Community leaders shared the links in the of WeChat group community residents. However, most of the residents didn't open it, because they thought these surveys have nothing to do with their life. Resident representatives recommended that community leaders shall provide a brief explanation when disseminating survey-related information or consider displaying notices to remind community residents to participate. Additionally, given that some elderly residents who may not use smartphone, face-to-face interviews is deemed more appropriate to them. As discussed with the PMO, extensive and meaningful consultations with community residents in the area of each specific subproject will be conducted to solidate their opinions during the PforR Program implementation to address their needs in the design of specific activities. It will be listed in the PAP and monitored regularly during the PforR implementation.

Regarding the grievance redress mechanism, community residents commonly use the mayor's hotline as the most frequently employed channel. The complaints or issues reported are transferred to the community committee for further investigation and resolution. However, they expressed less-than-ideal satisfaction with the outcomes. Petitioning through PCPB is also mentioned as a channel for grievance resolution. However, this channel is not encouraged by community neighborhood committees. Concerning public transport system, resident representatives noted that there is a passengers' WeChat group for each bus route in Yichang city with a focal point to provide timely responses to passenger queries and grievances. Common questions asked in the WeChat group include bus arrival times, loss of properties, and complaints, etc.