

**World Bank-financed
China Plastic Waste Reduction Project (Shaanxi)**

Combined

Stakeholder Engagement Framework

and

**Stakeholder Engagement Plan for Batch 1
Subprojects**

**Foreign Loan Project Management Office of Shaanxi
Province
November 2022**

Cover Letter

The People's Republic of China (hereinafter the **Borrower**) will, and will cause the Shaanxi Provincial Government to, implement the China Plastic Waste Reduction Project (shaanxi) (the **Project**).

The project adopted a combination of a framework and a site-specific plan approach. The framework approach is adopted for the overall project, while a site-specific plan approach is for the activities confirmed before appraisal.

The Project will cover 11 counties / districts. The Project's investment activities fall into 3 categories: 1) construction subprojects; 2) TA subprojects (including capacity building and topical studies, etc.); and 3) output-based aid (OBA) mulch film management subprojects. **To better guide the stakeholder engagement planning and ensure the consistency among different counties/districts, Shaanxi PMO entrusted a professional social institute to prepare a Stakeholder Engagement Framework (SEF) that applies to all three types of activities in the project.**

During the preparation, Shaanxi PMO confirmed locations and technical details of Batch 1 investments, involving all the physical investment activities in Linwei District and Chengcheng County, as well as some subprojects in Chencang District and Baoji City had been identified (hereinafter, the "Batch 1 subprojects" or "batch 1 investments"). A standalone Stakeholder Engagement Plan was prepared for the Batch 1 investments, following the processes and approaches set out in the SEF and consistent with the provisions of ESS10.

To proceed with the Bank's procedure through the Environmental and Social Management System (ESMS) for clearance and disclosure, the report consolidates the Stakeholder Engagement Framework and the SEP for Batch 1 investments in sequence.

The site-specific SEP for the future batches of subprojects will be disclosed on the Bank website through the "Disclosure Tool" in the ESMS system after it is cleared by the Bank.

World Bank-financed
China Plastic Waste Reduction Project (Shaanxi)

Stakeholder Engagement Framework
(Final)

Foreign Loan Project Management Office of Shaanxi
Province
November 2022

Executive Summary

China Plastic Waste Reduction Project (Shaanxi) (hereinafter, the “Project”) is the second phase of the World Bank-financed program to support China in tackling plastic wastes reduction. The Project will be implemented by Shaanxi Province. The project development objective is to provide information for plastic waste management at the national level, improve plastic waste management at the provincial level, and reduce plastic pollution in city-level solid waste in selected underserved areas.

The Project will cover 11 counties / districts in the Yellow River and Yangtze River basins in Shaanxi Province (including Baoji City). The Project’s investment activities fall into 3 categories: 1) construction subprojects; 2) TA subprojects (including capacity building and topical studies, etc.); and 3) agriculture film management activities under “performance-based incentive financing mechanism” (PBIFM). The construction subprojects mainly include domestic waste collection facilities (e.g., village waste collection points), transfer facilities, and terminal facilities (e.g., bulk waste dismantling centers, closure of existing landfills), etc.

The Project’s environmental & social (E&S) preparation is conducted using a combination of framework and site-specific E&S assessment approaches. At the project appraisal, the sites of most facilities were unfixed, and the Technical Assistance (TA) subprojects and agriculture film recycling program would be fixed from Year 1 of implementation. Only the scope and locations of the Batch 1 subprojects have been fixed, and the counties / districts are Linwei District and Chengcheng County in Weinan City, Chencang District in Baoji City, and Baoji City. **The Shaanxi Project Management Office (PMO) has prepared the Stakeholder Engagement Plan (SEP) for the Batch 1 subprojects according to ESS10 in the Environmental and Social Framework (ESF).** Since the sites, sizes and technical solutions of these subprojects have not been fixed, the Shaanxi PMO has prepared this Stakeholder Engagement Framework (SEF) according to ESS10 in the ESF to direct the preparation of subsequent project activities and implement the SEP.

Since the 3 categories of project activities vary significantly in stakeholder engagement procedure, implementer, participation mode and concern during preparation and implementation, this SEF lays down the principles and strategies to direct the PMOs and agencies concerned to identify and analyze stakeholders early on, and provide relevant resources to plan, implement and monitor relevant information disclosure and stakeholder engagement activities, thereby improving the Project’s design and implementation.

This SEF identifies the stakeholders involved in the 3 categories of subprojects based on the limited project information available. Once more detailed activity information is available, stakeholders will be identified in more detail during project implementation.

At the preparation stage, the Shaanxi PMO conducted preparatory stakeholder engagement and consultation together with the Baoji PMO, 11 county / district PMOs, government agencies concerned and Project Implementing Units (PIUs), including information disclosure, field survey and discussion and consultation, etc., discussing the Project's scope, stakeholder identification, E&S risk analysis, management procedures, etc. meaningfully.

On the basis of preliminary stakeholder identification and analysis, this SEF defines the responsibilities of the Shaanxi PMO, Baoji City PMO, 11 county / district PMOs, government agencies concerned, and PIUs at different stages of the construction subprojects (preparation, construction and operation), TA subprojects (preparation, research and review) and agriculture film management activities under PBIFM (pilot village selection, program drafting and implementation), lays down strategies for information disclosure and stakeholder engagement, including key points and methods, and proposes requirements for the external communication and monitoring mechanisms of the Project.

In particular, this SEF proposes stakeholder engagement requirements for the 3 categories of subprojects at different stages:

- The construction subprojects may generate substantial E&S risks. A stakeholder engagement plan (SEP) proportionate to such risks should be prepared at the preparation stage based on the risk screening of the construction subprojects. This SEF includes a SEP template for the construction subprojects. The PIUs of the construction subprojects will prepare a SEP at the preparation stage to conduct information disclosure, stakeholder engagement and grievance redress activities in a manner proportionate to their risks during project implementation.
- Although the studies under the TA subprojects will not generate substantial E&S risks, the application and implementation of research findings may generate substantial E&S risks. Therefore, at the preparation stage, stakeholder engagement requirements are defined in the Terms of Reference (ToRs); before the start of the studies, detailed and feasible stakeholder engagement arrangements will be proposed (as part of the work plans if possible), and stakeholder engagement activities conducted

at the research stage; at the review stage, extensive consultation on research findings will be conducted with all stakeholders for improvement.

- Agriculture film management activities under PBIFM have such risks as conceptual design tolerance and implementation procedure transparency (which may induce dissatisfaction and concerns from villagers). At the pilot village selection stage, the Shaanxi PMO should define specific stakeholder engagement requirements for the pilot villages in the ToRs during the determination and implementation processes of the agriculture film recycling program; full information disclosure and meaningful negotiation activities are required for determination of such program; the program prepared must include a detailed information disclosure and participation plan for the implementation stage; during implementation, the Shaanxi PMO, and county / district agriculture and rural affairs bureaus (ARABs) should also monitor stakeholder engagement implementation for summary of experience, and adjustment and optimization of such program.

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Acronyms

ARAB	Agriculture and Rural Affairs Bureau
ESS	Environmental and Social Standard
EIA	Environmental Impact Assessment
E&S	Environmental and Social
ESCP	Environmental and Social Commitment Plan
ESF	Environmental and Social Framework
EIA	Environmental Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESMS	Environmental and Social Management System
ESS	Environmental and Social Standard
FGD	Focus Group Discussion
GRM	Grievance Redress Mechanism
HD	House Demolition
KII	Key Informant Interview
LA	Land Acquisition
LMP	Labor Management Plan
PBIFM	Performance-based Incentive Financing Mechanism
OHS	Occupational Health and Safety
PRC	People's Republic of China
RAP	Resettlement Action Plan
SEF	Stakeholder Engagement Framework
SEP	Stakeholder Engagement Plan
SIA	Social Impact Assessment
TA	Technical Assistance
ToRs	Terms of Reference
USD	US Dollar

Units

Currency unit=	Yuan (CNY)
US\$1.00	= RMB6.56
1 hectare	= 15 mu

1 Introduction

1.1 Scope

China Plastic Waste Reduction Project (Shaanxi) (hereinafter, the “Project”) is the second phase of the World Bank-financed program to support China in tackling plastic wastes reduction. The Project will be implemented by Shaanxi Province from 2023 to 2029. According to the project objective, composition and selection criteria for project counties / districts, the Project will cover 11 counties / districts¹ in the Yellow River and Yangtze River basins in Shaanxi Province (including Baoji City).

The Project’s investment activities fall into 3 types: construction subprojects, TA subprojects and agriculture film management activities under Performance-based Incentive Financing Mechanism (PBIFM).

Construction subprojects: involving the construction and reconstruction of urban and rural domestic waste collection, transfer and disposal facilities. See Table 1-1.

Table 1-1 Types of Construction Subprojects and Counties / Districts Involved

Item	Scope of construction	County / district
Front end collection facilities	Construction of urban and rural waste collection points and sorting pavilions	Counties / districts except Chengcheng County, Baishui County and Baoji City
	Purchase of waste collection vehicles	Counties / districts except Linwei District, Pugcheng County, Baoji City, Weibin District and Nanzheng District
Middle end transfer facilities	Construction / reconstruction of transfer stations and purchase of transfer trucks	All county / districts
Terminal disposal facilities	Landfill closure	Linwei District, Chengcheng County, Pugcheng County, Baishui County, Baoji City, Nanzheng District
	Recyclable sorting center	Linwei District, Baoji City
	Bulk waste dismantling center	Pugcheng County, Baishui County, Jingyang County
	Decoration waste recycling and disposal	Baoji City, Chencang District
	Construction / reconstruction of kitchen waste disposal plants	Baoji City, Hanbin District
	Construction of perishable waste disposal station for vegetables	Jingyang County
Integrated management and	Integrated management and education centers / bases	Baoji City, Jintai District, Fengxiang District, Chencang District, Nanzheng

¹ The 11 counties / districts are Jintai, Weibin, Chencang and Fengxiang Districts in Baoji City; Jingyang County in Xianyang City; Linwei District, Chengcheng County, Baishui County, Pugcheng County in Weinan City; Hanbin District in Ankang City, and Nanzheng District in Hanzhong City.

Item	Scope of construction	County / district
other associated facilities		District, Jingyang County
	Construction of transfer truck parking and maintenance center	Weibin District, Chencang District
	Construction of supporting works for kitchen / garden waste recycling	Chencang District
Non-sanitary landfill management	Waste transfer and site management	TBD ²

Source: Feasibility Study Report, August 2022 (refer to Chapter 1 of the ESMF)

TA subprojects: According to the applicable Bank policy³, the TA subprojects supported by the Project fall into two types: **TA2** (Subprojects 2-9) and **TA3** subprojects (Subprojects 1 and 10). See Table 1-2.

Table 1-2 List of TA Subprojects

No.	Subproject	TA type	Estimated investment (0,000 yuan)
1	Establishing an exchange mechanism on urban and rural plastic waste reduction between the central, provincial and municipal levels	TA3	500
2	Study on urban and rural domestic waste integrated planning	TA2	800
3	Shaanxi smart sanitation IT system	TA2	1000
4	Source reduction of domestic waste in remote areas, and selection and application of technical routes for local disposal	TA2	500
5	Collaborative mechanism for urban and rural plastic pollution prevention and control	TA2	400
6	Study on the integration mode for rural waste disposal and recycling systems	TA2	150
7	Residual agriculture film M&E and recording	TA2	1640
8	Implementation program for county / district agriculture film recycling	TA2	700
9	Carbon emissions of rural waste disposal and emission reduction strategy	TA2	350
10	Publicity	TA3	1400

Source: Feasibility Study Report, August 2022 (refer to Chapter 1 of the ESMF)

Agriculture film management activities under PBIFM: Agriculture film management under the Project is conducted using the “holistic research” approach, including part of the above TA subprojects, such as the implementation program for county / district agriculture film recycling, residual agriculture film monitoring

² Although the feasibility study (August 2022) does not involve the management of non-sanitary landfills, it contributes greatly to the project development objective. The Shaanxi PMO is still discussing this with the Bank. Non-sanitary landfill management may be included in the Project later. Therefore, related activities are included in this SEF.

³ According to the OESRC Advisory Note Technical Assistance, and the Environmental and Social Framework, TA activities are grouped into three broad categories: TA1 - Supporting the preparation of future investment projects (whether or not funded by the Bank); TA2 - supporting the formulation of policies, programs, plans, strategies or legal frameworks; and TA3 -Strengthening borrower capacity.

and evaluation (M&E) and recording, publicity, capacity building, etc., as well as agriculture film management activities based on TA research findings. The agriculture film management activities under PBIFM will conduct trials in a participatory manner in the pilot villages to make farmers use standard agriculture films, improve their willingness to recycle agriculture films, and change their behavior for proper disposal (i.e., ensuring agriculture films are disposed in formal solid waste disposal system).

At the project appraisal, the technical solutions and details of most subprojects were unfixed. Only the scope and locations of the Batch 1 subprojects have been fixed in Linwei District and Chengcheng County in Weinan City, Chencang District in Baoji City, and Baoji City, mainly including such construction subprojects as the construction of front end domestic waste collection facilities, construction or reconstruction of transfer stations, reconstruction of a waste sorting center, construction of a transfer truck parking and maintenance center, closure of four landfills, etc. The Shaanxi PMO has prepared a detailed SEP for the Batch 1 subprojects according to the ESF. The other construction subprojects with sites and detailed unfixed, TA subprojects and agriculture film management activities under PBIFM are included in this SEF. The subsequent subprojects or activities will be implemented in batches based on the preparations, and SEPs (or arrangements⁴) will be made and implemented according to the implementation arrangements of activities and the principles, procedures, tools and breakthrough points, etc., as determined by this SEF

1.2 Project Organization

The organizational setup of the Project is described briefly here. The organizational setup for stakeholder engagement will be detailed in Chapter 4.

The Shaanxi Project Leading Group (Steering Committee) for World Bank-financed China Plastic Waste Reduction Project has been established⁵ (PLG) at the provincial development and reform commission to solve major issues in

⁴ For the TA subprojects and agriculture film management activities under PBIFM, appropriate entry points will be identified, and stakeholder engagement requirements defined in the existing tools (e.g., TA ToRs, implementation program, agriculture film recycling manual). In particular, agriculture film recycling involves numerous villages and is small in scale, and village-specific participatory operational manuals will be prepared without preparing a separate SEP for each village. See Sections 4.2 and 4.3 for details.

⁵The Provincial Steering Committee consists of the provincial development and reform commission, finance department, ecology and environment department, housing and urban-rural development department, agriculture and rural affairs department, commerce department, rural revitalization bureau, and federation of supply and marketing cooperatives, and the participating prefecture-level cities (Baoji, Xianyang, Weinan, Yulin, Hanzhong and Ankang).

project construction. The Shaanxi PMO thereunder is responsible for project planning, guidance, coordination, implementation, management and supervision, including bidding, procurement, implementation, and management.

The county / district governments have established county / district project leading groups⁶ to coordinate the implementation of the county / district subprojects. The county / district PMOs⁷ thereunder are responsible for subproject planning, coordination, implementation, management and supervision.

The county / district governments have appointed PIUs to implement the county / district subprojects, including:

- The construction subprojects will be implemented by the county / district and municipal (e.g., Baoji City) environmental sanitation authorities⁸;
- The TA subprojects will be implemented by research agencies selected by the Shaanxi PMO through bidding;
- The agriculture film management activities under PBIFM will be implemented by the county / district ARABs.

⁶The leading group of each district usually consists of the deputy district head in charge of environmental sanitation, development and reform bureau, finance bureau, ecology and environment bureau, housing and urban-rural development bureau, agriculture and rural affairs bureau, and urban administration and law enforcement bureau, township governments, etc.

⁷ The Baoji City Project Leading Group, PMO and PIU will be responsible for the Baoji subproject, and direct the project counties / districts (Chencang District, Weibin District, Jintai District and Fengxiang District) to implement their respective activities.

⁸ The Project is mostly implemented by the project cities and counties / districts; the environmental sanitation authorities are mostly public institutions under the city / county / district urban management and law enforcement bureaus; except the environmental sanitation authorities, agencies under federations of supply and marketing cooperatives may participate in some subprojects.

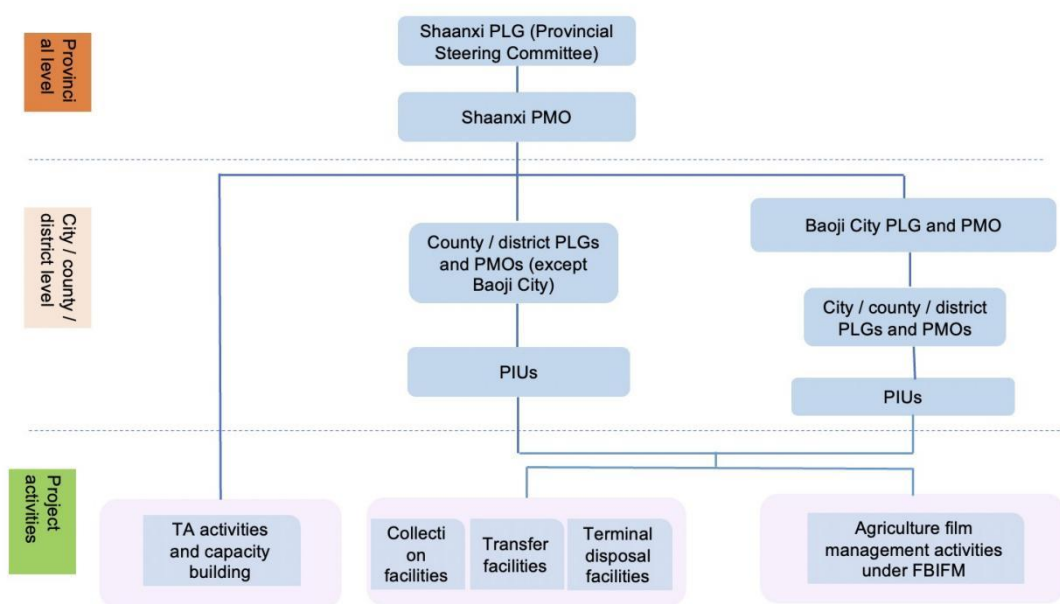


Figure 1-1 Project Organization

1.3 Objectives

This SEF applies to all subprojects to be supported by the Project as confirmed by the Bank and Shaanxi Province before the project appraisal. According to the Bank's ESF and ESS10, stakeholder engagement is an inclusive process that runs through the project life cycle. The proper design and implementation of this process is critical to managing E&S risks of the construction subprojects, TA subprojects and agriculture film management activities under PBIFM.

The main objectives of this SEF are:

- Identifying and analyzing stakeholders based on existing information to guide the establishment of a systematic approach to subsequent stakeholder engagement for the construction subprojects, TA subprojects and agriculture film management activities under PBIFM;
- Defining the principles and procedures for effective stakeholder engagement for subsequent batches of subprojects at the preparation and implementation stages, and the process of stakeholder identification and information disclosure for implementation by cooperation of different subjects, and implement subprojects or activities after site or scope fixation;

- Defining the stakeholder engagement responsibilities, strategies and methods of the Shaanxi PMO, Baoji PMO, 11 county / district PMOs, PIUs / research agencies for the full process of different categories of subprojects or activities in their charge;
- Establishing and optimizing effective external communication mechanisms based on the existing practices of agencies, and defining GRM and monitoring mechanism establishment requirements for the PIUs / research agencies about to implement different categories of subprojects.

2 Stakeholder Analysis

2.1 Stakeholder Identification

According to the World Bank's ESS10 and the Project's characteristics, the Project's stakeholders include: project-affected parties, other stakeholders and vulnerable groups:

- **Project-affected parties** are individuals or groups affected or potentially affected by the Project, including those affected directly and indirectly.
- **Other stakeholders** are individuals or groups potentially interested in the Project.
- **Vulnerable groups** refer to those who may be more likely to be adversely affected by the project impacts and/or more limited than others in their ability to take advantage of a project's benefits. Such an individual/group is also more likely to be excluded from/unable to participate fully in the mainstream consultation process because of their specific circumstances, and as such may require specific measures and/or assistance to do so.

2.1.1 Stakeholder Identification of Construction Subprojects

Since the Project was still at the preparation stage when this SEF was prepared, and the construction subprojects except the Batch 1 subprojects have not been defined, preliminary stakeholder identification and engagement demand analysis are conducted for the defined subprojects only. **When the scope, technical solutions and sites of the subsequent subprojects are defined, SEPs will be prepared batch by batch to identify and analyze stakeholders more accurately and in further detail.**

1) Project-affected parties

Since the preparation of subsequent batches of subprojects will involve project activities in many counties / districts, and different E&S impacts, the identification and analysis of project-affected parties for the construction subprojects may be conducted by facility or activity type. The project-affected parties having similarities for the same activity type of subprojects of different counties/districts can be analyzed by synthesis.

Based on the available project information, typical project-affected parties for different activity types include without limitation:

- **Direct workers, contracted workers and community workers⁹;**
 - **Direct workers** are those directly employed by the PMOs and PIUs, such as those dealing with front end domestic waste transfer, and the operation and maintenance (O&M) of the transfer stations, bulk waste dismantling center and landfills. Cleaners employed directly by the local township governments are also direct workers.
 - **Contracted workers** are those employed by third parties (contractors, subcontractors, etc.) in relation to the Project's core functions, such as contracted workers dealing with project construction, and workers employed by service outsourcing companies for certain project activities.
 - **Community workers** are those employed by communities, providing services related to project activities, such as rural domestic waste collection and transfer workers.
- **Community residents:** including sensitive communities and residents, kindergartens, primary and secondary schools, etc. around waste treatment/disposal facilities and run through by transfer trucks for consideration of road traffic safety, with focus on the existence of communities within the safety distance of project facilities, to the vulnerability and sensitivity of specific individuals or groups involved in adjacent communities and agencies that may be affected by facility noise, odor, community health and safety, and road traffic safety to the associated impacts and risks due to their own specific factors.
- **Village collectives and villagers affected by land acquisition and resettlement (LAR):** Some facilities involve additional LAR, including the bulk waste dismantling center, parking lot and monitoring center in Fengxiang District, and supporting works for kitchen / garden waste recycling, decoration waste recycling and disposal site, upgrading and reconstruction of garden waste disposal station in Chencang District, etc. In addition, some landfills are located on leased land, and LAR should be completed before the construction of facilities after closure (e.g., construction waste disposal), which will also affect some villagers.
- **Village collectives and villagers affected by land lease for existing facilities:** In the subsequent subprojects, three landfills out of four, integrated management and education center and waste plastic sorting

⁹ Based on the available project information, the Project does not involve primary supply workers, namely workers employed by suppliers of necessary products or raw materials for the Project's core functions continually and directly. This will be further identified later.

center in Jintai District, construction of decoration waste recycling and disposal works in Chencang District, etc. are plan to be built on the remedied land after the landfill closure, the villages and villagers, which will be specified in the relevant batches of the project, are impacted because they (the collectives) are leasing land to those facilities that could have been used for other purpose and the change in land use after landfill closure may impose other economic or health impacts. If the district/county governments and PMO/PIUs decide to use the landfill land to site relevant new waste treatment facilities, the government shall acquire the leased land from the communities and convert collectively owned land into state-owned construction land. Relevant village collectives and villages would therefore experience land acquisition, resettlement, and economic impacts.

Appendix 1 identifies project-affected parties of typical construction subprojects (especially terminal disposal facilities) preliminarily. Before the preparation of subsequent batches of subprojects, it is necessary to identify, survey and analyze the Project’s E&S risks and impacts on project-affected parties and their influence on the Project.

Table 2-1 takes the typical transfer station and landfill closure activities under the Project as an example to analyze the impact of the Project on relevant affected parties and their influence on the Project for reference in the preparation of subsequent batches of projects.

Table 2-1 Identification and Analysis of Project-affected Parties (Example)

Facilities	Project-affected party		Impacts by the Project	Influence on the Project
Transfer facilities	Workers	Direct workers: staff operating the [Name of Transfer Station”	Inconsistent employment terms, working hours, salaries and benefits with legal requirements, OHS impacts during operation (including COVID-19 spreading), traffic safety risks during transfer truck driving	Responsible for waste transfer, site cleaning, security, waste handling, etc., playing an important role in successful project operation
		Contracted workers: contracted workers constructing the [Name of Transfer Station”	Construction safety, COVID-19 spreading risks, etc.	Responsible for project construction, playing a primary role in successful project construction and operation.
	Nearby communities and residents, and those exposed to traffic safety risks		Noise, dust, odor and other environmental impacts during the construction and	They should be consulted on site selection; their support is the foundation of successful project

Facilities	Project-affected party		Impacts by the Project	Influence on the Project
			operation of transfer stations and transfer truck parking and maintenance center (including COVID-19 spreading), traffic safety risks	construction and operation.
	[Names of Village] and [number] of households with [number] of persons affected by LAR		Losing land due to the Project, and being affected in land income, where LAR can be avoided through site optimization	They should be consulted on site selection; their satisfaction with compensation, resettlement and livelihood restoration relates to project construction and operation; their support is the foundation of successful project implementation
Landfill closure	Workers	Direct workers: workers during [Name of Landfill] closure (including safety officers, special equipment operators) and O&M staff after closure	Inconsistent employment terms, working hours, salaries and benefits with legal requirements, OHS impacts during landfill gas and leachate treatment (including COVID-19 spreading)	their support is the foundation of successful closure and maintenance.
		Contracted workers: O&M contracted workers after [Name of Landfill] closure (e.g., contracted workers involved in leachate treatment and biogas power generation)		
	Communities and residents around the site and affected by the access road		Community health and safety impacts due to odor, landfill gas poisoning and explosion during landfill closure (including COVID-19 spreading), traffic safety risks	Their support is the foundation of successful closure and operation; their understanding and support of environmental, health and safety impacts is the foundation for the proper handling of community relations.
	Villages and households affected by landfill land lease		Land occupation, land rental / compensation payment, health and safety risks after closure, change of land use	Their understanding and support of land use, environmental, health and safety impacts is the foundation for the proper handling of community relations.

2) Other Interested Parties

Based on the available project information, other stakeholders involved in the construction subprojects include without limitation:

- Shaanxi Project Leading Group and Office of Provincial Steering Committee;
- Shaanxi PMO;
- Baoji PMO;
- County / district PMOs;
- PIUs;
- Provincial, city / county / district government agencies concerned: including development and reform commissions, finance bureaus, urban administration bureaus, federations of supply and marketing cooperatives, ARABs, health commissions, natural resources bureaus, ecology and environment bureaus, market regulation bureaus, housing and urban-rural development bureaus, labor and social security bureaus, etc.;
- Owners and third party operators of rear-end associated facilities;
- Township governments / sub-district offices and village / community committees;
- Community property management companies;
- Urban and rural residents;
- Non-Governmental Organizations (NGOs), including industry associations and Non-Profit Organizations (NPOs);
- Design, SIA and EIA agencies;
- Contractors;
- Local media, etc.

For other stakeholders, attention should be paid to their key influence on project approval, preparation and implementation at the preparation, appraisal, approval, construction and operation (for some facilities including landfills closure and post-closure maintenance), and how the PMOs and PIUs solve issues through communication and coordination with agencies concerned, such as learning about departments responsible for approval on project construction and operation, including natural resources bureaus in charge of land approval and re-planning, and health commissions in charge of occupational disease management. The analysis of stakeholders in construction projects focuses on their influence on

project implementation progress, approval, cost, etc. The example in Table 2-2 may be used as a reference for future analysis. Each subproject or activity in a subsequent batch should be screened and analyzed with reference to this example for other stakeholders that may be associated with it.

Table 2-2 Identification and Analysis of Other Stakeholders in the Construction Subprojects (Example)

Other stakeholders		Influence on the Project
Steering Committee		<ul style="list-style-type: none"> Coordinating project implementation at the provincial level, studying, formulating and implementing relevant policies, directing the project cities / counties / districts to improve urban and rural waste management and agriculture film recycling systems, piloting incentive mechanisms for urban and rural plastic waste reduction, and strengthening policy coordination with the state authorities concerned
Shaanxi PMO		<ul style="list-style-type: none"> Responsible for overall project management, and promoting coordination between the SIA, EIA and design agencies, and provincial government agencies concerned Strengthening procurement management, and ensuring that relevant E&S requirements are included in the bidding documents Offering E&S training, reporting project progress and E&S performance to the Bank, and arranging stakeholder engagement funds
Leading groups of Baoji City / and three counties (districts)		<ul style="list-style-type: none"> Making decisions on project implementation at the city / county / district level, including coordinating government agencies concerned, conducting institutional integration, and arranging budgets and operating funds; Handling outstanding issues in landfill land use
PMOs of Baoji City / and three counties (districts)		<ul style="list-style-type: none"> Preparing for and implementing local subprojects, giving directions and conducting supervising Setting up relevant agencies and arranging budgets to implement E&S measures, and conducting information disclosure, public consultation and grievance redress
PIUs	Construction stage	Environmental Sanitation Management Center under the [Name of District or County] Urban Administration Bureau <ul style="list-style-type: none"> Constructing the [Name of Subproject] in [Name of District or County]
	Operation stage	Environmental Sanitation Management Center under the [Name of District or County] Urban Administration Bureau <ul style="list-style-type: none"> Operating the [Name of subproject] in [Name of District or County]
	“Name of Company” under the [Name of	<ul style="list-style-type: none"> Operating the [Name of subproject] in [Name of District or County]

Other stakeholders		Influence on the Project
	District or County] Federation of Supply and Marketing Cooperatives	
	Township governments and village committees in [Name of District or County]	<ul style="list-style-type: none"> Operating and maintaining township and village front end waste transfer facilities and collection points; coordinating and managing community workers
Age ncie s conc erned of Baoji City / and thre e coun ties (dist ricts) ¹⁰	Development and reform commissions	<ul style="list-style-type: none"> Responsible for project initiation and approval
	Finance bureaus	<ul style="list-style-type: none"> Handling on-lending matters, and providing fiscal budgets for sustainable operation of integrated urban and rural waste management systems
	Housing and urban-rural development bureaus	<ul style="list-style-type: none"> Planning local urban and rural domestic waste collection, transfer and disposal systems
	Urban administration and law enforcement bureaus	<ul style="list-style-type: none"> Implementing the ESCP and relevant E&S management measures; Directing and supervising the construction of the [Name of District or County] Environmental Sanitation Center, and the implementation of the [Name of District or County] subproject, receiving and handling relevant grievances;
	ARABs	<ul style="list-style-type: none"> Implementing the ESCP and relevant E&S management measures; Piloting the [Name of District or County] agriculture film subproject; Receiving and handling relevant grievances
	Federations of supply and marketing cooperatives	<ul style="list-style-type: none"> Implementing the ESCP and relevant E&S management measures; Directing and supervising its subordinate enterprises to construct and operate the [Name of subproject], and receiving and handling relevant grievances
	Ecology and environment bureaus	<ul style="list-style-type: none"> Approving EIA documents of construction projects, and solid (hazardous) waste operation, transfer, disposal and utilization activities, directing the EIA registration of construction projects, and conducting post-EIA
	Natural resources bureaus	<ul style="list-style-type: none"> Approving land use, and securing land for domestic waste collection, transfer and disposal facilities; Adjusting the land use plan for sanitation facilities; Handling outstanding issues in landfill land use
	Health commissions	<ul style="list-style-type: none"> Conducting occupational disease monitoring, special surveys, OHS risk assessment, and OHS management; Directing the building of the technical system for occupational health checkup and occupational disease diagnosis; Organizing occupational hazard management, and occupational disease prevention and control;

¹⁰ The responsibilities of the city / county / district government agencies concerned are consistent, and are described together here. For Linwei District, Chengcheng County and Chencang District, all these agencies are involved; Baoji City has only one subproject (Changshougou Landfill closure), the key agencies include the development and reform commission, finance bureau, urban administration bureau, health commission, natural resources bureau, ecology and environment bureau, etc.

Other stakeholders		Influence on the Project
		<ul style="list-style-type: none"> Regulating the OHS management of associated facilities
	Emergency management bureaus	<ul style="list-style-type: none"> Approving and supervising work safety permits Regulating major safety issues of facilities
	LAR office of [Name of District or County]	<ul style="list-style-type: none"> Conducting LA; Providing data and policy documents on LA, and assisting in surveys
	Labor and social security bureaus	<ul style="list-style-type: none"> Drafting working hours, resting and leave policies for workers according to the state policies; Drafting special labor protection policies on child and underage labor; Coordinating the rights protection of workers and investigating major cases; Directing employers to sign labor contracts with workers, and ensuring that job and social insurance subsidies are paid; Supervising the implementation of working conditions and the Labor Law
Owners and third party operators of rear-end associated facilities		<ul style="list-style-type: none"> Providing services for rear end urban and rural domestic waste disposal
Competent authorities of rear-end associated management facilities		<ul style="list-style-type: none"> Providing support and coordination for rear end urban and rural domestic waste disposal, and ensuring that plant construction progress is coordinated with the project schedule
Township governments / sub-district offices		<ul style="list-style-type: none"> Organizing, coordinating, directing and supervising waste separation; Recruiting and managing cleaners and transfer workers for front end waste collection and transfer; coordinating and managing directly employed cleaners; ensuring that the management of contracted workers is conforming in coordination with third party service providers; Handling land use, community relations, grievance redress, etc.
Village / community committees		<ul style="list-style-type: none"> Organizing, communicating and promoting community waste separation, and recruiting and managing village cleaners and transfer workers
Community property management companies		<ul style="list-style-type: none"> Organizing, communicating and promoting community waste separation, and recruiting and managing village cleaners and transfer workers
Urban and rural residents		<ul style="list-style-type: none"> Conducting household waste separation, benefiting from improved waste systems and environment
NGOs	Women's federations in Baoji City and three counties (districts)	<ul style="list-style-type: none"> Protecting the rights of women and children
	Other NGOs, e.g., IPE, Zero Waste, Friends of Nature, Mutualistic Symbiosis Community of Youths & Environment, Shaanxi (MSC)	<ul style="list-style-type: none"> Offering guidance and training on domestic waste separation; Promoting the dialog and cooperation of the government, enterprises, scholars, the public and NGOs in domestic waste management
Contractors		<ul style="list-style-type: none"> Constructing project facilities; Implementing the ESCP and relevant E&S management measures; Implementing policies on labor management and OHS as required by the PIUs; Handling community grievances during construction
EIA, SIA and external M&E agencies		<ul style="list-style-type: none"> Drafting appropriate E&S measures as per the ESF Developing appropriate procedures to implement the ESSs

Other stakeholders	Influence on the Project
	(environmental and social standards) as per the ESF, and based on project activities, and E&S impacts and risks <ul style="list-style-type: none"> • Conducting stakeholder engagement with the support of PMOs, and giving feedback to other agencies
Design agency	<ul style="list-style-type: none"> • Conducting project design; • Optimizing the project design based on the SIA suggestions

3) Vulnerable groups

The Bank defines vulnerable groups as individuals or groups who may be more likely to be adversely affected by the project impacts and/or more limited than others in their ability to take advantage of a project's benefits. Such an individual/group is also more likely to be excluded from/unable to participate fully in the mainstream consultation process. Based on the information available, vulnerable groups that may be affected by the Project include some cleaners who have not signed a labor contract and have no proper labor safety guarantee, waste pickers at unofficial waste dumps, etc. Vulnerable groups should be identified based on the Project's actual impacts, and their vulnerabilities, impacts by the Project and influence on the Project analysis. Table 2-3 gives an example for reference.

Table 2-3 Identification and Analysis of Vulnerable Groups in the Construction Subprojects (Example)

Type of facilities	Vulnerable group	Vulnerability	Impacts by the Project	Influence on the Project
Collection facilities	Village public welfare cleaners without subsidy and sufficient safety measures in [Name of District or County]	They are usually poor, elderly and have limited access to education, have less training opportunities, and are more likely to be excluded from the mainstream engagement procedure.	Traffic safety risks	Responsible for the cleaning of front end waste collection and transfer and future collection points. Their work is the foundation of successful project operation.
Transfer facilities	Workers who have not signed a labor contract in the [Name of Subproject]	They have not signed a labor contract, their rights are not protected, so they are more likely to be adversely affected by the Project.	Potentially exposed to OHS risks, and not entitled to endowment, medical and work injury insurance	Their support is the foundation of successful project construction and operation.
Township unofficial waste dumps	Waste pickers at township unofficial waste dumps	They are usually poor with low literacy levels, and are more likely to be excluded from the mainstream engagement	With the improvement of waste systems, the unofficial waste dumps may be abandoned, thereby potentially affecting	Negligible

Type of facilities	Vulnerable group	Vulnerability	Impacts by the Project	Influence on the Project
		procedure.	their income.	

2.1.2 Stakeholder Identification of TA Subprojects

Since the Project was still at the preparation stage when this SEF was prepared, and the TA subprojects have not been defined, preliminary stakeholder identification and engagement demand analysis are conducted only based on the limited information of the existing subproject activities. When the scope, technical solutions and sites of the TA subprojects are defined, appropriate stakeholder engagement arrangements will be made and implemented to identify and analyze stakeholders more accurately and in further detail according to the procedures and breakthrough points, etc., as determined by this SEF.

1) TA2 subprojects

The TA2 subprojects include study on urban and rural domestic waste integrated planning, smart sanitation IT system building, source reduction of domestic waste in remote areas, and selection and application of technical routes for local disposal, study on the integration mode for rural waste disposal and recycling systems, implementation program for county / district agriculture film recycling, etc.

a) Project-affected parties

The project-affected parties involved in such project activities include those affected by the studies under the TA subprojects, and those potentially affected by downstream activities such as the application of research findings under the TA subprojects (also as one of focuses during implementation of TA activities), including:

Impacts of the studies under the TA subprojects: These studies do not involve construction, and have minor E&S risks themselves. Based on the nature of such studies, management personnel and researchers may be exposed to travel safety and health risks during fieldwork (including COVID-19), failure to pay sufficient travel subsidies, traffic safety risks, and infection risks of local infectious diseases (including COVID-19) etc. The most important project-affected party in the TA subprojects is workers of the agencies for TA activities (“contracted workers”).

Potential risks of downstream activities such as the application of research findings under the TA subprojects: For the TA2 subprojects, since such research findings are adopted and implemented, they may trigger downstream activities, generate **labor and working conditions, LAR,**

community health and safety, NIMBY and other impacts and risks, and affect waste transfer and disposal enterprises, which may lead to job transfer or unemployment.

Project-affected parties mainly include without limitation:

- **Cleaners:** The adoption of research findings of some TA subprojects may lead to the reconstruction or expansion of existing waste facilities, or the construction of new facilities, thereby affecting cleaners' labor rights and occupational health and safety (OHS) to some extent; in addition, the study on the integration of the market-based and government-led modes for waste disposal, and the study on the integration mode for rural waste disposal and recycling systems may affect waste collection, transfer and disposal enterprises, resulting in the job transfer or unemployment of some cleaners;
- **Those affected by LAR:** Once implemented, some research findings may involve the construction of domestic waste disposal facilities, resulting in LAR.
- **Nearby community residents:** The construction and operation of new domestic waste facilities may pose health and safety risks to nearby community residents (including ethnic minority residents); waste disposal facilities have high NIMBY risks, because nearby residents object their construction for fear of pollution.
- **Rural residents (including ethnic minority residents):** When suggestions of the study on the rural waste disposal cost recovery financing mechanism are adopted, waste charges may increase, thereby affecting rural residents (including ethnic minority residents), especially low income residents.

b) Other stakeholders

Other stakeholders related to the TA subprojects include without limitation:

- Shaanxi Project Leading Group and Office of Provincial Steering Committee;
- Shaanxi PMO;
- county / district PMOs;
- Provincial, city / county / district government agencies concerned: including development and reform commissions, finance bureaus, urban administration bureaus, federations of supply and marketing cooperatives,

ARABs, health commissions, natural resources bureaus, ecology and environment bureaus, market regulation bureaus, housing and urban-rural development bureaus, labor and social security bureaus, etc.;

- TA research agencies;
- township governments / sub-district offices and village / community committees;
- Community property management companies;
- Urban and rural residents;
- NGOs, including industry associations and NPOs;
- Local media, etc.

See Table 2-4 for the stakeholder identification and analysis of the TA2 subprojects.

Table 2-4 Identification and Analysis of Stakeholders Involved in TA Subprojects (Example)

Type	Stakeholder	Impacts by the Project	Influence on the Project
Project-affected parties	Impacts of the TA subprojects		
	Management personnel and researchers	OHS impacts	Playing a key role in research
	Impacts of downstream activities under the TA subprojects		
	Cleaners	Impacts on labor rights and OHS	Their participation and support is the foundation of the successful implementation of the TA activities.
	Persons affected by LAR	LAR impacts	Their participation and support is the foundation of the successful implementation of the TA activities.
	Nearby community residents	OHS impacts arising from construction and operation	Their participation and support is the foundation of the successful implementation of the TA activities.
	Rural residents	Possibly having a higher financial burden due to higher waste charges	Little influence
Other stakeholders	Office of Provincial Steering Committee	Reputational risks mainly	Designing TA activities in coordination with the PMOs and government agencies
	Shaanxi PMO	Reputational risks mainly	Implementing TA activities
	Local government agencies concerned	Reputational risks mainly	Coordinating and supporting TA activities
	TA research agencies	Considering different stakeholders' needs, analyzing E&S impacts and risks, and reflecting them in research findings	Implementing TA activities, and giving advice on techniques, routes, mechanisms, policies, etc.
	Township	Increasing workload due to the	Giving advice on TA activities

Type	Stakeholder	Impacts by the Project	Influence on the Project
	governments / sub-district offices, village / community committees	change in waste front end collection mode	
	Community property management companies	Increasing workload due to the change in waste front end collection mode	Giving advice on TA activities
	Urban and rural residents	No significant negative impact.	Supporting TA activities, conducting independent monitoring, and giving advice on techniques, routes, mechanisms, policies, etc.
	Industry associations		
	NPOs		
	News media		Supporting studies and their application through publicity and education

c) Vulnerable groups

The Project's potential vulnerable groups mainly include without limitation cleaners affected by downstream activities of the TA subprojects, low income residents, farmers affected by LAR, ethnic minority residents¹¹, etc., as shown in **Table 2-3**. They are often disadvantaged cleaners, with low income, and limited skills, single income source and limited information sources, or their labor rights and safety are not protected, so they are likely to be excluded from the TA subprojects, and exposed to disproportionate downstream impacts and risks. Attention should be paid to their vulnerabilities in the analysis by reference to **Table 2-3**.

2) Stakeholder identification for TA3 subprojects

The TA3 subprojects mainly include capacity building and international exchanges, mainly involving the PMOs and PIUs. Their importance for and influence on the Project are high.

2.1.3 Agriculture film management activities under PBIFM

For the agriculture film management activities under PBIFM, the basic process is as follows: selecting pilot villages based on the implementation program for county / district agriculture film recycling in the TA subprojects, and then determining and implementing agriculture film recycling programs based on village-specific participation operation manuals. Preliminary stakeholder identification and analysis is conducted on this basis. Once the pilot villages are selected, the county / district ARABs will direct them to prepare participatory agriculture film recycling programs for more accurate and detailed stakeholder identification.

¹¹ The TA activities cover the entirety of Shaanxi Province, and may cover ethnic minority areas.

1) Project-affected parties

The agriculture film management activities under PBIFM' project-affected parties may include without limitation:

- Pilot village cleaners: increased workload;
- Villagers buying and using agriculture film recycling equipment: not enough income to make up purchase prices, and equipment operation risks;
- Pilot township governments and village committees: increased workload and more difficult work;
- Agricultural material outlets: reduced sales profits due to the extension of standard agriculture film products

2) Other interested parties

Other interested parties include without limitation:

- Farmers;
- Villager representatives;
- Cooperatives;
- Shaanxi Project Leading Group and Office of Provincial Steering Committee;
- Shaanxi PMO;
- County / district PMOs;
- County / district ARABs;
- Agriculture film TA research agencies;
- Other county / district government agencies concerned: development and reform commissions, finance bureaus, federations of supply and marketing cooperatives, ARABs, market regulation bureaus, etc.;
- Third party service providers;
- NGOs, including industry associations and NPOs;
- Local media, etc.

Table 2-5 may be used as a reference for stakeholder Identification.

Table 2-5 Identification and Analysis of Stakeholders in the Agriculture film management activities under PBIFM

Type	Stakeholder	Impacts by the Project	Influence on the Project
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Type	Stakeholder	Impacts by the Project	Influence on the Project
Project-affected parties	Pilot village cleaners	<ul style="list-style-type: none"> Increased workload 	<ul style="list-style-type: none"> Their support is the foundation of successful project implementation.
	Villagers buying and using agriculture film recycling equipment	<ul style="list-style-type: none"> Not enough income to make up purchase prices, and equipment operation risks 	<ul style="list-style-type: none"> Their support is the foundation of successful project implementation.
	Pilot township governments and village committees	<ul style="list-style-type: none"> Increased workload and more difficult work 	<ul style="list-style-type: none"> Supporting and coordinating pilot village selection, and program drafting and implementation; Promoting project implementation through effective management
	Agricultural material outlets	<ul style="list-style-type: none"> Reduced sales profits due to the extension of standard agriculture film products 	<ul style="list-style-type: none"> Selling standard agriculture film products to ensure successful project implementation
Other interested parties	Farmers	<ul style="list-style-type: none"> Increased work Increasing agricultural income by reducing soil agriculture film residues 	<ul style="list-style-type: none"> Their support is the foundation of successful project implementation.
	Villager representatives	<ul style="list-style-type: none"> Increased workload by participating in program drafting and implementation; Difficult coordination without villager support 	
	Cooperatives	<ul style="list-style-type: none"> Increased work Increasing agricultural income by reducing soil agriculture film residues 	
	Office of Provincial Steering Committee	<ul style="list-style-type: none"> Reputational risks mainly 	<ul style="list-style-type: none"> Supporting the design of agriculture film management activities under PBIFM
	Shaanxi PMO	<ul style="list-style-type: none"> Reputational risks mainly 	<ul style="list-style-type: none"> Coordinating candidate villages; Offering E&S training related to the agriculture film management activities under PBIFM, reporting project progress and E&S performance to the Bank, and arranging stakeholder engagement funds
	County / district ARABs	<ul style="list-style-type: none"> Reputational risks mainly Sustainable benefits from project investment 	<ul style="list-style-type: none"> Implementing agriculture film management activities under PBIFM, including pilot village selection, agriculture film recycling program drafting and management
	Other local government agencies concerned	<ul style="list-style-type: none"> Reputational risks mainly 	<ul style="list-style-type: none"> Establishing an effective cross-sectoral communication mechanism to support the implementation of the agriculture film management activities under PBIFM.
	Third party service providers	<ul style="list-style-type: none"> No significant negative impact 	<ul style="list-style-type: none"> Ensuring the implementation process is open and transparent
	News media	<ul style="list-style-type: none"> No significant negative 	<ul style="list-style-type: none"> Promoting successful project

Type	Stakeholder	Impacts by the Project	Influence on the Project
		impact	implementation through policy publicity

3) Vulnerable groups

Vulnerable groups that may be affected by the agriculture film management activities under PBIFM related to the socioeconomic profile of the pilot villages. After the pilot villages are selected, an overall assessment will be conducted based on income level, key persons of recycling, etc., possibly including without limitation low income residents, elders, women, etc. Attention should be paid to their vulnerabilities in the analysis

2.2 Stakeholder Demand Analysis

After stakeholder identification, a social impact survey will be conducted on different stakeholders by means of Focus Group Discussions (FGDs), key informant interviews (KIIs), questionnaire survey, etc. to identify their needs (e.g. language, preferred notice(participation) method, special needs, if any, etc.; requirements for information disclosure and consultation for the project at different stages of the project implementation) for the Project to prepare for adequate information disclosure and meaningful stakeholder engagement.

2.2.1 Construction subprojects

The analysis will be based on the survey findings of different stakeholders in the construction subprojects. For project-affected parties, their needs should be analyzed from the perspective of E&S impacts; for other stakeholders, especially the PMOs and key government agencies, their needs should be analyzed from the perspective of E&S management. **Table 2-6** (taking transfer facilities and landfills as an example) and **Table 2-7** give examples for project-affected parties and other stakeholders respectively.

Table 2-6 Demand Analysis of Project-affected Parties of Typical Construction Subprojects (Example)

Facilities	Project-affected parties		Special needs	Preferred participation modes	
Transfer facilities	Workers	Direct workers	Staff responsible for transfer stations in [Name of District or County]	<ul style="list-style-type: none"> • A labor contract is signed; • Rest by rotation is arranged flexibly; • The salary level is raised; • A separate changing room is provided to women; • OHS is protected effectively; if any occupational hazard is involved, such hazard is known, health checkups are conducted regularly, and PPE is distributed; • Training on OHS (including COVID-19) and traffic safety is offered regularly. 	Team meeting, working group, etc.
		Contracted workers	Contracted workers constructing transfer stations in [Name of District or County]	<ul style="list-style-type: none"> • A labor contract is signed; • Construction safety is ensured effectively; • Salaries are paid timely; • Timely feedback to grievances is given. 	Team meeting, working group, etc.
	Nearby communities and residents, and those exposed to traffic safety risks (on the path of waste transfer trucks)		<ul style="list-style-type: none"> • Community residents are fully consulted in site selection for transfer stations; • Transfer stations are constructed and operated with minimum environmental disturbances to nearby communities; • Environmental monitoring data is disclosed to communities regularly; • Waste transfer trucks are enclosed where possible to reduce spillage, and transfer routes are optimized to reduce traffic safety risks; • Establish an effective community GRM to address community concerns timely, and improve waste collection and transfer management level. 	Community meeting; door to door publicity, bulletin board, WeChat group, etc.	
	Village collectives and villagers affected by LA for transfer stations in [Name of District or County]		<ul style="list-style-type: none"> • Compensation policies and rates are disclosed timely and communicated to every family; • Compensation is paid timely and fully; • LA does not affect long-term livelihoods. 	Face to face notification, information disclosure, village meeting, etc.	
Landfill closure	Workers	Direct workers: workers during [Name of Landfill] closure (including safety officers, special equipment operators) and O&M staff after closure		<ul style="list-style-type: none"> • OHS is protected effectively; if any occupational hazard is involved, such hazard is known, health checkups are conducted regularly, and PPE (personal protective equipment) is distributed; • Training on OHS (including COVID-19) and traffic safety is offered regularly; • Conforming PPE is available regularly; • Timely feedback to grievances is given; • The environmental and sanitation management level of the landfill is improved. 	Face to face notification, meeting, working group, etc.

Facilities	Project-affected parties	Special needs	Preferred participation modes
	Contracted workers: O&M contracted workers after [Name of Landfill] closure (e.g., contracted workers involved in leachate treatment and biogas power generation)	<ul style="list-style-type: none"> A labor contract is signed; Construction safety is ensured effectively; Timely feedback to grievances is given. 	Team meeting, working group, etc.
	Communities and residents around the site and affected by the access road	<ul style="list-style-type: none"> Environmental monitoring data is disclosed to communities regularly; Effective measures are taken to ensure the traffic safety of nearby community residents; The landfill poses no environmental and health risks to nearby communities during operation and after closure; Dumps are kept stable during construction and beyond to avoid community safety risks; Establish an effective community GRM to address community concerns timely. 	Community meeting; door to door publicity, bulletin board, WeChat group, etc.
	Villages and households affected by landfill land lease	<ul style="list-style-type: none"> Any adjustment to the land use plan is consulted with villagers after landfill closure to consider their needs; The land reuse mode is consulted with villagers. 	Community meeting, door to door notification, FGD, etc.

Table 2-7 Demand Analysis of Other Interested Parties of Construction Subprojects (Example)

Other interested party	Needs for interests	Preferred participation modes
Office of Provincial Steering Committee	<ul style="list-style-type: none"> The government agencies concerned and PMOs work closely to complete project preparation as required by the Bank, pass the Bank appraisal, and realize the PDO successfully; The ESCP should be prepared by the PMOs and government agencies concerned in consultation with the Bank. 	Official government document, e-mail, FGD, etc.
Shaanxi PMO	<ul style="list-style-type: none"> E&S management capacity building training is offered before start and during implementation, covering the ESF, E&S documents (ESCP, LMP, SEP, etc.), E&S clauses in the bidding documents, E&S performance monitoring, etc.; At the construction and operation stages, a special budget is needed to engage experienced external E&S specialists to promote ESCP implementation; Outstanding land issues of some facilities are solved. 	Official government document, FGD, seminar, training, etc.
PLGs of Baoji City and three counties (districts)	<ul style="list-style-type: none"> The city / county / district government agencies concerned work closely to complete project preparation as required by the Bank, pass the Bank appraisal, and realize the PDO successfully; The contents related to the city / county / district in the ESCP are fixed in consultation with the Bank; Outstanding land issues of some facilities are solved. 	Official government document, e-mail, FGD, workshop, training, etc.
County / district PMOs	<ul style="list-style-type: none"> E&S management capacity building training is offered before start and during implementation, covering the ESF, E&S documents (ESCP, LMP, SEP, etc.), E&S clauses in the bidding documents, E&S performance 	Official government document, FGD,

Other interested party		Needs for interests	Preferred participation modes
		<ul style="list-style-type: none"> monitoring, etc.; Implement the requirements in the ESF, ESCP and other relevant documents; Sufficient resources and staff are available to ensure ESCP implementation and improve E&S management level; Outstanding land issues of some facilities are solved. 	seminar
PIUs	PIUs at the construction stage	<ul style="list-style-type: none"> E&S management capacity building training is offered before start and during implementation, covering the ESF, E&S documents (ESCP, LMP, SEP, etc.), E&S clauses in the bidding documents, E&S performance monitoring, etc.; The management supports the implementation of the requirements in the ESF, ESCP and other relevant documents; Sufficient resources and staff are available to ensure the implementation of the ESCP, ESMF, LMP, SEP, etc.; The Project's design and management level is improved. 	Official government document, FGD, seminar
	PIUs at the operation stage	<ul style="list-style-type: none"> E&S management capacity building training is offered before start and during implementation, covering the ESF, ESCP, LMP, SEP, etc.; Preparation of E&S clauses in the bidding documents, contractor management, etc.; The management supports the implementation of the requirements in the ESF, ESCP and other relevant documents; Sufficient resources and staff are available to ensure the implementation of the ESCP, ESMF, LMP, SEP, etc.; Operational performance is improved and sustainable benefits are generated. 	Official government document, FGD, seminar
Government agencies of [Name of District or County]	Development and reform commission	<ul style="list-style-type: none"> The Project complies with the local regulations, and economic and industry development plans; The Project is implemented successfully. 	Official government document, e-mail, FGD
	Finance bureau	<ul style="list-style-type: none"> The Project is implemented successfully; Withdrawal and disbursement is conducted on schedule. 	Official government document, e-mail, FGD
	Housing and urban-rural development bureau	<ul style="list-style-type: none"> The Project complies with the local plans. 	Official government document, e-mail, FGD
	Urban administration and law enforcement bureau	<ul style="list-style-type: none"> The Project complies with the local plan; Learning the ESF requirements, and expecting the PMO or PIU to provide E&S management training and guidance 	training, FGD, etc.
	ARAB	<ul style="list-style-type: none"> The Project complies with the local plan; Learning the ESF requirements, and expecting the PMO or PIU to provide E&S management training and guidance 	training, FGD, etc.

Other interested party		Needs for interests	Preferred participation modes
		<ul style="list-style-type: none"> The agriculture film recycling requirements in the ESF, ESCP and other relevant documents are met. 	
	Federation of supply and marketing cooperatives	<ul style="list-style-type: none"> The Project complies with the local plan; Learning the ESF requirements, and expecting the PMO or PIU to provide E&S management training and guidance 	training, FGD, etc.
	Ecology and environment bureau	<ul style="list-style-type: none"> The Project complies with the local plan; Learning the ESF requirements, and expecting the PMO or PIU to provide E&S management training and guidance 	Official government document, e-mail, FGD
	Natural resources bureau	<ul style="list-style-type: none"> The PIUs learn the land use as early as possible; Site selection complies with the local plan; Outstanding land issues of some facilities are solved. 	Official government document, e-mail, FGD
	Health commission	<ul style="list-style-type: none"> Conduct three simultaneities for occupational disease protection facilities, and report to the health commission for registration; Strengthen the occupational disease regulation of relevant facilities during operation. 	Official government document, e-mail, FGD
	Emergency management bureau	<ul style="list-style-type: none"> Conduct three simultaneities for occupational disease protection facilities, and report to the health commission for registration; strengthen emergency management during operation. 	Official government document, e-mail, FGD
	LAR office	<ul style="list-style-type: none"> The PIUs improve the land use procedure as per the new Land Administration Law; The PIUs attach importance to early-stage information disclosure and public participation, and avoid potential conflicts where possible; LA and livelihood restoration are implemented as per ESS5, the RAP and SEP. 	Official government document, e-mail, FGD
	Labor and social security bureau	<ul style="list-style-type: none"> Supervise employers to sign labor contracts with public welfare cleaners, and provide them with basic security. 	Official government document, e-mail, FGD
Owners and third party operators of rear-end associated facilities		<ul style="list-style-type: none"> Learn the Bank's E&S management requirements for associated facilities; Monitor rear-end E&S management with the approval of the competent authority. 	Official government document, e-mail, FGD
Competent authorities of rear-end associated facilities		<ul style="list-style-type: none"> Communicate with them timely during construction and operation. 	Official government document, e-mail, FGD
Township governments / sub-district offices		<ul style="list-style-type: none"> Ensure that trucks purchased under the Project are suited to local conditions; Learn the ESF's requirements for direct worker management, GRM, etc., and get relevant training; Receive direction from the environmental sanitation authorities in front end waste transfer and direct worker management. 	Official government document, training, FGD, etc.
Village / community committees		<ul style="list-style-type: none"> Ensure that equipment purchased under the Project is suited to local conditions; Learn the ESF's requirements for direct worker management, GRM, etc.; 	FGD

Other interested party		Needs for interests	Preferred participation modes
		<ul style="list-style-type: none"> Receive direction from the environmental sanitation authorities in front end waste transfer and direct worker management. 	
Community property management companies		<ul style="list-style-type: none"> Provide sound waste separation equipment, give publicity and training on waste separation to residents; Waste is transferred timely, and environmental sanitation is ensured. 	Official government document, FGD
Urban and rural residents		<ul style="list-style-type: none"> Receive training and guidance on waste separation; Waste is transferred timely, and environmental sanitation is ensured. 	Community meeting, door to door publicity, etc.
NGOs	Women's federations of Baoji City and three counties (districts)	<ul style="list-style-type: none"> Women's rights are protected during construction and operation. 	FGD
	Other NGOs, e.g., IPE, Zero Waste, Friends of Nature, MSC	<ul style="list-style-type: none"> Promote the dialog and cooperation of the government, enterprises, scholars, the public and NGOs in domestic waste management 	FGD
Contractors		<ul style="list-style-type: none"> Learn the ESF's requirements for contractors' contracted workers management., and get relevant training; 	Official corporate document, e-mail, FGD
Design agency		<ul style="list-style-type: none"> Communicate with the EIA and SIA agencies to learn relevant findings and optimize the project design. 	Official corporate document, e-mail, FGD
Local media		<ul style="list-style-type: none"> Disclose the scope of construction and E&S documents; The Project is implemented successfully. 	FGD, fieldwork, etc.

To ensure that vulnerable groups fully participate in the Project, and protect their interests, particular attention should be paid the key features and needs of vulnerable groups during the SIA and public participation. **Table 2-8** provides an example.

**Table 2-8 Demand Analysis of Vulnerable Groups of Construction Subprojects
(Example)**

Vulnerable group	Needs and interests	Preferred notice modes
Village public welfare cleaners without subsidy and sufficient safety measures in [Name of District or County]	<ul style="list-style-type: none"> • Sign a labor contract, offer more job opportunities, and increase their income; • OHS is protected effectively, accident insurance is covered, and PPE is distributed regularly; • Provide safety training; • Provide other grievance redress channels in addition to village committees and township governments, so that timely feedback is given. 	Village meeting, face to face notification, written notification
Workers who have not signed a labor contract in the [Name of Subproject] in [Name of District or County]	<ul style="list-style-type: none"> • Sign a labor contract, and cover social insurance; • Offer training on OHS (including COVID-19) and traffic safety regularly; • Timely feedback is given to grievances. 	Face to face notification, written notification
Waste pickers at unofficial waste dumps in [Name of District or County]	<ul style="list-style-type: none"> • Receive suitable new jobs under the Project; • Attend training to improve skills. 	Face to face notification

2.2.2 TA subprojects

Different stakeholders have different needs for the TA subprojects. **Table 2-9** makes a preliminary analysis on the engagement demands of project-affected party and other stakeholders.

Table 2-9 Stakeholder Engagement Demand Analysis of TA Subprojects

Type	Stakeholder	Engagement demands
Project-affected parties	Impacts of the TA subprojects	
	Management personnel and researchers	<ul style="list-style-type: none"> • Sound measures are available to ensure their health and safety during fieldwork.
	Impacts of downstream activities under the TA subprojects (focus of analysis)	
	Cleaners	<ul style="list-style-type: none"> • Conduct adequate information disclosure and meaningful engagement in the TA subprojects; • Consider their needs in research findings, and protect their labor rights (labor contract, working hours, salary, social insurance, etc.) and OHS.
	Persons affected by LAR	<ul style="list-style-type: none"> • Consider their ideas, concerns and needs in the TA subprojects; • Consider their needs in research findings, including reasonable compensation and livelihood restoration measures.
Nearby community residents	<ul style="list-style-type: none"> • Consider their ideas, concerns and needs in the TA subprojects; • Consider their needs in research findings, including site selection and design optimization; there should be sufficient measures to ensure community health and safety during construction and operation. 	

Type	Stakeholder	Engagement demands
	Rural residents	<ul style="list-style-type: none"> Consider their ideas, concerns and needs in TA subprojects involving rural waste charging; Provide a rational program for low income residents in research findings to mitigate the impact of waste charging on them.
Other stakeholders	Office of Provincial Steering Committee	<ul style="list-style-type: none"> Coordinate project implementation at the provincial level, studying, formulating and implementing relevant policies Direct the project cities / counties / districts to improve urban and rural waste management and agriculture film recycling systems, piloting incentive mechanisms for urban and rural plastic waste reduction Strengthening policy coordination with the state authorities concerned
	Shaanxi PMO	<ul style="list-style-type: none"> Strengthen procurement management, and ensuring that relevant E&S requirements are included in the bidding documents Offer E&S training, reporting project progress and E&S performance to the Bank, and arranging stakeholder engagement funds
	County / district ARABs	<ul style="list-style-type: none"> Provide support for the TA subprojects involving agriculture film, and implement local agriculture film management activities under PBIFM.
	Local government agencies concerned	<ul style="list-style-type: none"> Establishing an effective cross-sectoral communication mechanism to support the implementation of the TA subprojects.
	TA research agencies	<ul style="list-style-type: none"> Learn stakeholder needs and suggestions through survey, FGD, interview, etc., and complete studies under the TA subprojects on this basis.
	The public	<ul style="list-style-type: none"> Acquire project information from available channels; Full consult the public in the research of relevant technical routes and implementation programs, and give timely feedback to concerns.
	Industry associations	
	Research institutes	
News media	<ul style="list-style-type: none"> Participate in information disclosure, policy publicity, public meetings, etc. 	

Vulnerable groups that may be affected by the TA subprojects, who would live in remote areas with low literacy levels and have limited means to access information (e.g., rarely using smart phones, Web and other new media). They are likely to be excluded and bear disproportionate losses, and unable to fully participate in the consultation process.

Therefore, their engagement demands differ greatly from those of other stakeholders, including:

- Face-to-face communication is preferred;
- An understandable language should be used at information disclosure and consultation meetings;
- Times and venues of consultation meetings should be selected in consideration of their availability;

- In the TA subprojects, negative impacts of technical standards, policies and project implementation on them should be considered, and feasible mitigation measures should be taken.

Downstream activities of the TA subprojects may pose potential social impacts and risks to ethnic minority residents, such as LA, labor and working conditions, OHS, and community health and safety. In addition, the adjustment of waste facilities and layout may affect their daily habits. For ethnic minority residents, their needs in spoken language and written language (if any) and customs should also be considered for communication in information disclosure and engagement activities.

2.2.3 Agriculture film management activities under PBIFM

Different stakeholders have different needs for the agriculture film management activities under PBIFM. **Table 2-10** makes a preliminary analysis.

Table 2-10 Stakeholder Engagement Demand Analysis of Agriculture film management activities under PBIFM

Type	Stakeholder		Engagement demands
Project - affected parties	Pilot village cleaners		<ul style="list-style-type: none"> • Increase income for increased workload. • There are less impurities in agriculture films picked for convenient pickup.
	Villagers buying and using agriculture film recycling equipment		<ul style="list-style-type: none"> • Receive training on equipment operation.
	Township governments and village committees of pilot villages		<ul style="list-style-type: none"> • Receive guidance and training on the agriculture film recycling program; • Receive active support from farmers; • Sufficient funds are available to incentivize farmers to recycle agriculture films; • Pilot subprojects are sustainable; • Summarize experience and change behavior.
Other stakeholders	Farmers and cooperatives	Farmers	<ul style="list-style-type: none"> • Full consult villagers for the pilot program, and make decisions through village congresses; • Villager representatives are elected by villagers; • Agriculture film collection and transport modes are diversified, scientific and cost-effective; • The pilot program is implemented openly and transparently.
		Villager representatives	<ul style="list-style-type: none"> • Relevant work receives great support from township governments and county / district ARABs; • The pilot program reflects most villagers' ideas and village conditions.
		Cooperatives	<ul style="list-style-type: none"> • The pilot program is developed in consultation with cooperatives; • Agriculture film collection and transport modes are diversified, scientific and cost-effective; • The pilot program is implemented openly and transparently.

Type	Stakeholder	Engagement demands
	Agricultural material outlets	<ul style="list-style-type: none"> Consult agricultural material outlets on the pilot program.
	Government agencies concerned	Steering Committee
		Shaanxi PMO
		county / district ARABs
	News media	<ul style="list-style-type: none"> Participate in policy publicity, public meetings, etc.

The vulnerable groups involved in the agriculture film management activities under PBIFM include low income residents, elders, women, etc. Particular attention should be paid to their needs, such as recycling program design (including participatory manuals), to ensure that the program is inclusive and sustainable. Relevant information should be disclosed to them and their difficulties and needs should also be communicated during implementation.

3 Summary of Prior Stakeholder Engagement Activities

3.1 Completed Stakeholder Engagement Activities

By the project appraisal, the Shaanxi PMO, county / district PMOs, PIUs and SIA agency had conducted a series of engagement activities, including more than 30 meetings, 65 FGDs (including 528 persons of 42 FGDs for Batch 1 Subprojects), 450 KIIs (including 354 KIIs for Batch 1 Subproject), field visit for all the Batch 1 Subprojects and some of other subprojects with clear location, and 2,794 questionnaire survey on residents for Batch 1 Subprojects to discuss the scope of the Project, potential E&S risks and impacts, communicate with associated EIA and feasibility study agencies on relevant findings, and provide support for design optimization. Please refer to the stand-alone Stakeholder Engagement Plan (SEP) for Batch 1 Subprojects for more detailed information about the completed stakeholder engagement activities and the main findings that were related to the Batch 1 subprojects (see Section 3, Appendixes 1 and 2 of the SEP).

Target groups of public participation include workers, village / community officials and residents, nearby communities and residents, schools, persons affected by LAR, operators of existing facilities, owners and third party operators of associated facilities, heads of PMOs and PIUs, government agencies concerned, township governments, EIA and feasibility study agencies, etc.

The prior public participation activities are summarized as follows:

Interview with government agencies concerned: The Shaanxi PMO discussed the scope of construction and E&S risk management procedures with the city / county / district PMOs and agencies concerned through seminars or other means; the SIA agency interviewed the agencies concerned (including natural resources bureaus and health commissions of counties/districts) which have great influence on the subprojects by interviews or hotlines to learn the applicable regulations, technical standards and requirements in LAR, OHS, and community health and safety, etc., thereby developing impact and risk elimination or mitigation measures in compliance with the applicable domestic regulations and ESSs of the World Bank.

Key informant interview: The SIA agency interviewed key informants (mainly including PIUs and their authorities, persons responsible of existing facilities, owners and third party operators of associated facilities, EIA agency, and township and village officials) both in the field and online to learn potential E&S risks of existing facilities, associated facilities and future project activities (including LAR, working conditions, OHS, community health and safety, traffic

safety, NIMBY, etc.), existing management measures, and E&S risk management suggestions for future operation.

FGD: The SIA agency held FGDs with workers of existing facilities, community workers, nearby residents, school teachers or faculties, etc. to learn their working conditions, working hours, overtime, remuneration, OHS training, protection, physical checkup, etc., and concerns, needs and suggestions on noise, odor and traffic safety risks during construction and operation.

Questionnaire survey: A questionnaire survey was conducted on rural residents in some counties / districts to learn the current situation of agriculture film treatment. Most of the respondents say that waste agriculture films are discarded in fields without treatment, which are very harmful to the local environment and soil. Most of the respondents directly incinerate such films in the fields or channels or deliver them to waste bins. Only less than 1/3 of the respondents deliver them to village collection points or recovery sites, mainly due to difficult collection. Over half of the respondents are willing to have waste agriculture films reflective films recovered with monetary compensation.

Based on the completed stakeholder engagement activities, the suggestions for future batches of subprojects are as follows:

- Complete facility site selection and land approval as soon as possible. For land used for project facilities, the Shaanxi PMO, county / district PMOs and PIUs should communicate with the county / district governments and natural resources bureaus to ensure compliance with the applicable state laws and regulations. In particular, land pre-examination opinions should be obtained from competent authorities before the submission of E&S documents.
- For landfills on leased land, there may be four O&M scenarios after closure, and pertinent measures should be taken for effective management: If the land continues to be leased after the land closure, the prorated land rental will be paid per the schedule set out in the land leasing agreements; If the leased land is to be returned to the villages/farmers after landfill closure, the PMO will support preparation of a technical assessment to confirm the feasibility of return (including any risks/mitigation measures if needed); If the leased land is to be reused for other purposes after the landfill closure, the PMO and local government will support “good faith negotiations” to seek consent from the villages/villagers and adjust the provisions for compensation; If a new facility funded by the Bank loan proceeds is to be built on the landfill that

is closed, the land shall be acquired and the population living within the specific exclusion zone shall be relocated per the RAP that is to be cleared by the Bank and before starting the civil works.

- In the establishment of effective integrated urban and rural waste systems, attention should be paid to working conditions of front end community workers to improve their safety awareness. There are many community workers at the township level, mostly being public welfare cleaners. Few townships have not covered accident insurance for them, and transfer vehicles provided to some cleaners are not insured, so there are traffic safety risks. Therefore, the county / district environmental sanitation authorities should supervise the management of these front end community workers.
- Some workers at transfer and disposal facilities may be exposed to OHS risks. Labor protection and OHS management of operators for landfills (especially the county and township levels) should be strengthened, because these facilities do not conduct occupational hazard screening and physical checkup. The county / district PMOs and PIUs should communicate with local health commissions to ensure its implementation.
- Attention should be paid to NIMBY risks of waste facilities. Sites of waste facilities (such as waste collection points, waste sorting pavilions, central waste collection sites, etc.) should be selected in full consultation with nearby community residents. The SIA unit shall design effective mechanisms and procedures for the reference of PMO and the Construction Contractor during activity implementation. A sustainable information disclosure and public participation mechanism should be established during the construction and operation of waste disposal facilities (especially WTSs surrounded by concentrated communities and closure of the landfill with great impact). The survey found that the odor, mosquitoes and flies, noise and waste and dust blown by the wind during the operation of Baoji Hongligou Landfill had a significant impact on the life of the villagers in Xiao'an Village within a straight-line distance of 150 meters. The landfill was closed in 2013 due to the continuous petitions and complaints of the villagers. Therefore, attention should be paid to noise, odor and traffic safety risks for nearby communities and other sensitive points including schools to reduce impacts.
- Attention should be paid to public participation in the whole implementation stage of the agriculture film management activities under PBIFM. It is feasible to include waste agriculture films in integrated urban

and rural waste collection and transfer systems for disposal at terminal facilities (e.g., landfilling, incineration). However, current agriculture film recovery prices are low, and incentives should be provided to make farmers more active in agriculture film recovery. The PMOs and county / district ARABs may direct the pilot village to develop and implement a proper, feasible, and sustainable participatory agriculture film recycling program based on the suggestions and needs of villagers and the actual situation of villages through adequate information disclosure and meaningful consultation at all stages including pilot village selection and program formulation.

3.2 Completed Information Disclosure Activities

The Shaanxi PMO disclosed the draft E&S documents on its official website on September 23, 2022 (including ESMF, ESCP, SEF, LMP Framework, etc.) (see Figure 3-1).



Figure 3-1 Disclosure of Draft E&S Documents of the Project

According to WB’s comments and the feedbacks from the public, Shanxi PMO further modified draft E&S documents that were cleared by WB in November 2022. After then, Shaanxi PMO re-disclosed the final E&S documents on the official website of <http://sndrc.shaanxi.gov.cn/fgyw/tzgg/FBjQbe.htm> on 23 November 2022. Please refer to Figure 3-2.



Figure 3-2 Final E&S Documents Disclosure

4 Stakeholder Engagement Strategies and Procedures

The Project involves extensive stakeholders. Only if all stakeholders participate actively in the Project through extensive information disclosure can the subprojects be implemented successfully.

This strategy will first identify the stakeholder engagement procedures and agencies responsible. By clarifying the engagement responsibilities of all agencies responsible, and in combination with the procedural requirements for the engagement and implementation of stakeholders, plans are formulated corresponding to different target groups from information disclosure and public engagement.

4.1 Construction Subprojects

4.1.1 Procedure

The stakeholder engagement procedure for the construction subprojects is as follows:

- At the preparation stage, the county / district PMOs and PIUs should conduct information disclosure and public consultation according to ESS10 under the direction of the Shaanxi PMO to identify risks and impacts, and improve the project design; a SEP will be prepared, and submitted to the Bank for review and approval;
- At the construction and implementation stage, the county / district PMOs and PIUs will conduct information disclosure and stakeholder engagement as per the SEP; the Shaanxi PMO will appoint a social consultant to monitor stakeholder engagement implementation, and report to the Bank. Project impact and risk management and other matters will be adjusted based on the stakeholder engagement in this stage.

4.1.2 Organizations: responsibilities and resources

For future batches of subprojects, agencies for stakeholder engagement will be identified, and arrangements of resources including staff and funds should be provided. For construction subprojects, the Office of Provincial Steering Committee, PMOs at all levels and PIUs should assume corresponding responsibilities in the implementation of stakeholder engagement.

The Office of Provincial Steering Committee consists of the provincial development and reform commission, finance department, ecology and environment department, housing and urban-rural development department, agriculture and rural affairs department, commerce department, rural revitalization bureau, and federation of supply and marketing cooperatives, and the participating prefecture-level cities (Baoji, Xianyang, Weinan, Yulin, Hanzhong and Ankang). It will coordinate project implementation, make unified institutional, personnel and financial arrangements, and make decisions on major matters. Its main responsibilities include coordinating relevant provincial government agencies concerned and PMOs to clarify relevant investment activities, agreeing with the Bank on the ESCP, and coordinating the communication and integration of various government agencies concerned on key issues.

The Shaanxi PMO will appoint at least one environmental specialist and one social specialist to take charge of the Project's E&S matters, and recruit an external environmental specialist and an external social specialist to provide technical support. It will coordinate the government agencies concerned, PIUs, EIA, SIA and feasibility agencies to promote design optimization and E&S management document preparation through communication and feedback, direct and supervise the work of the county / district PMOs and PIUs, and track and solve major E&S issues.

The city / county / district PMOs will each appoint at least one internal environmental specialist and an internal social specialist, coordinate stakeholder engagement under the direction of the Shaanxi PMO's environmental and social specialists, and monitor E&S performance. The PMOs promise to provide sufficient funds for this. They will check the feasibility of subproject E&S plans, provide budget arrangements, institutions, and resources and define the responsibilities, and monitor stakeholder engagement and grievance redress at the construction and operation stages, and report to the Bank through the Shaanxi PMO..

The PIUs, as the one responsible for stakeholder engagement, will also appoint dedicated staff for E&S management, and costs involved will be included in their own budgets. They will conduct consultation and participation on design optimization and site selection, check the feasibility of subproject E&S plans, provide budget arrangements and resources and define the responsibilities,

implement the SEP at the construction and operation stages, and report to the Shaanxi PMO and the Bank through the county / district PMOs.

The township governments will also appoint dedicated staff for E&S management, and costs involved will be included in their own budgets. They will conduct consultation from community villagers on site selection of front-end waste facilities, learn needs of villagers and cleaners, and give timely feedback.

4.1.3 Key Points and Methods of Information Disclosure

Information disclosure will be mainly conducted by the Shaanxi PMO, Baoji city and county / district PMOs, and PIUs. Since information disclosed and disclosure methods may vary from locations and people, it is necessary to plan key points, target groups, times, methods, agencies responsible, etc. **Table 4-1** provides a template for future reference of subsequent batches of investments.

Disclosed information will include the E&S documents disclosed to the public before the project appraisal, and information on the LMP, GRM and external E&S monitoring. For different facilities, key targets groups and contents of information disclosure should vary, such as:

- Collection facilities: focusing on communities and residents, and relevant workers (mainly including contracted, direct and community workers).
 - For community residents, focusing on potential sites and risks, community GRM, and external E&S monitoring;
 - For contracted workers at the construction stage and direct, contracted and community workers at the operation stage, focusing on relevant contents in the LMP (including GRM), and external E&S monitoring.
- Transfer facilities, sorting facilities, bulk waste dismantling center, etc.: focusing on relevant workers, nearby communities and residents, villagers and villagers affected by LA.
 - For contracted workers, focusing on relevant contents in the LMP (including GRM), and external E&S monitoring;
 - For direct workers at the operation stage, focusing on relevant contents in the LMP (including GRM), environmental monitoring data, and external E&S monitoring;
 - For nearby communities and residents, focusing on the scope of

construction, community GRM, environmental monitoring data, and external E&S monitoring;

- For villagers affected by LA, focusing on LA compensation policies and rates, and compensation distribution programs
- Landfill closure: focusing on relevant workers, nearby communities and residents, and villagers affected by land lease.
 - For contracted workers, focusing on relevant contents in the LMP (including GRM), domestic environmental monitoring data at the construction stage, and external E&S monitoring and reporting to the World Bank;
 - For direct and contracted workers at the operation stage, focusing on relevant contents in the LMP (including GRM), environmental monitoring data, and external E&S monitoring;
 - For nearby communities and residents, focusing on the scope of construction, community GRM, environmental monitoring data, and external E&S monitoring; (A health and safety risk assessment is required for residents within the sanitary protection zone (SPZ) and safety exclusion zone of a landfill.)
 - For villages and villagers affected by land lease for landfills, focusing on the new land use plan after landfill closure, including compensation payment and distribution.
- Downstream associated or relevant facilities: for nearby communities and workers, focusing on the social audit, ESCP, GRM, and external E&S monitoring during the Project implementation.

Table 4-1 Key Points of Information Disclosure for Construction Subprojects

Stage	Key points	Area involved	Target groups	Channels	Time	Agencies responsible
Front end collection facilities ([Name of District or County]: [Name of Subproject])						
Preparation (design)						
Construction						
Operation						
Transfer facilities ([Name of District or County]: [Name of Subproject])						
Preparation (design)						
Construction						
Operation						
Landfill closure ([Name of District or County]: [Name of Subproject])						
Preparation (design)						

Stage	Key points	Area involved	Target groups	Channels	Time	Agencies responsible
Construction						
Operation						
Other "Name of facility" ([Name of District or County]: [Name of Subproject])						
Preparation (design)						
Construction						
Operation						
Associated facility ([Name of District or County]: [Name of Subproject])						
Preparation (design)						
Construction						
Operation						

For different types of subprojects and stakeholders, different information disclosure methods should be used, such as:

- For all stakeholders, disclosing the project information, E&S documents, E&S impacts and risks management measures, environmental monitoring reports, E&S external monitoring and reporting, LA and compensation, etc. on the websites of the PMOs or PIUs;
- For affected workers: disclosing the project information, LMP, GRM, etc. by the PIUs' websites, brochure, worker meeting, WeChat account, QQ account, etc.; and disclosing occupational diseases and their consequences through signed labor contracts for workers exposed to occupational hazard risks;
- For community residents, disclosing the project information, E&S documents, environmental monitoring reports, landfill environmental health and safety evaluation conclusion, and risk management measures, etc. by community bulletin board, community meeting, brochure distribution, door-to-door visit, etc.
- For vulnerable groups, tailoring information disclosure measures, including door-to-door interview, face-to-face interview, and supply of a suitable form.

All disclosed information will be fully recorded, and suggestions and feedback are recoded and filed. Table 4-2 provides a template.

Table 4-2 Information Disclosure Record Template

Disclosed Information	Venue	Method	Target stakeholders	Comments and feedback received	Agencies responsible

4.1.4 Key Points and Methods of Stakeholder Engagement

At different stages of the construction subprojects, the Shaanxi PMO, Baoji City / county / district PMOs and PIUs will conduct meaningful stakeholder engagement activities respectively. Meaningful engagement is a two-way process that should:

- begin early on during project planning, collect preliminary comments on the Project, and affect the project design;
- encourage stakeholders to give feedback, especially as a way to affect the project design, and involve stakeholders in identifying and mitigating E&S impacts and risks;
- be conducted continuously with the emergence of impacts and risks;
- disclose and disseminate relevant, transparent, objective, meaningful and readily available information in advance in order to conduct meaningful engagement with stakeholders in a culturally appropriate manner, using the local language and in a form understood by them within a timeframe;
- consider and respond to feedback;
- support the extensive participation of all project-affected parties; and
- be free from external manipulation, interference, intimidation and discrimination.

The PIUs will conduct stakeholder engagement activities at the preparation, construction and operation stages, and the depth and breadth of the SEP will depend on the scale and complexity of E&S impacts.

Different types of facilities have different priorities at different stages. The stakeholder engagement program should include key points, target groups, times, venues, modes, agencies responsible, etc., as shown in **Table 4-3**. Special approaches should be applied to vulnerable groups to prevent them from being excluded from the mainstream engagement procedure (see [Section 4.1.5](#)).

The priorities of stakeholder engagement of different types of facilities at different stages are described briefly here:

For all project activities with outstanding issues (e.g., nonconforming land use, no labor contract, unsound community GRM), the focus at the preparation stage is consult workers, community residents and government agencies

concerned based on the social audit findings to optimize management measures and GRMs.

For collection facilities: Community residents should be consulted on site selection and potential risks of waste collection points and central waste collection sites at the preparation stage, and on attitudes and grievance redress at the operation stage; for different types of workers, especially community workers, the focus is consulting with workers on relevant contents in the LMP (including GRM) to learn their needs, and monitoring LMP implementation, including grievance redress.

For transfer and sorting facilities: At the preparation stage, for different types of workers (including contracted workers of contractors and direct workers at the operation stage), the focus is consulting with workers on relevant contents in the LMP (including GRM) to learn their needs and improve GRM, and monitoring LMP implementation at construction and operation stages, including grievance redress. For nearby communities and residents, the focus is learning their attitudes to impacts of construction and operation of facilities, improving the community GRM, and monitoring community residents' attitudes and grievance redress.

For landfill closure involving land lease: Except meaningful consultation with workers and community residents, needs of villagers affected by land lease should also be consulted, and they should be consulted on compensation or terms for further lease or the feasibility of returning the land to the communities.

For associated facilities or downstream relevant facilities: The operators and agencies concerned should be coordinated to support the social audit and monitoring, and discuss solutions to emerging issues.

Table 4-3 Stakeholder Participation and Consultation Plan for Construction Subprojects

Stage	Topic	Scope	County / district	Target groups	Time	Venue	Preferred mode	Agencies responsible
front end collection facilities ([Name of District or County]: [Name of Subproject])								
Preparation (design)								
Construction								
Operation								
transfer facilities ([Name of District or County]: [Name of Subproject])								
Preparation (design)								
Construction								
Operation								
landfill closure ([Name of District or County]: [Name of Subproject])								

Stage	Topic	Scope	County / district	Target groups	Time	Venue	Preferred mode	Agencies responsible
Preparation (design)								
Construction								
Operation								
Other facility ([Name of District or County]: [Name of Subproject])								
Preparation (design)								
Construction								
Operation								
Associated facility ([Name of District or County]: [Name of Subproject])								
Preparation (design)								
Construction								
Operation								

4.1.5 Engagement Strategy for Vulnerable Groups

For vulnerable groups affected by construction subprojects, their features and needs should be considered in information disclosure and consultation activities, and a pertinent program should be developed. Their vulnerabilities in education, information acquisition ability, etc. should be considered in information disclosure and engagement activities. An understandable language should be used and the notification method used to ensure that they receive relevant information timely. Moreover, the time and venue of consultation should be determined based on the needs of vulnerable groups.

See **Table 4-4** proposed engagement plan for vulnerable groups.

Table 4-4 Information Disclosure Plan for Vulnerable Groups for Construction Subprojects (Example)

Stage	Target groups	Area involved	Key points	Disclosure mode	Time	Agencies responsible
Preparation	Village public welfare cleaners without subsidy and sufficient safety measures	[Name of District or County]	Scope of construction, LMP (including GRM)	Special meeting, face to face notification	One month before construction	PIUs, township governments
	Waste pickers at unofficial waste dumps	[Name of District or County]	Scope of construction	face to face notification		
	Workers who have not signed a labor contract	[Name of District or County]	LMP	Special meeting, face to face notification		PIUs
Operation	Village public welfare cleaners	[Name of District]	Safety training	Special meeting, face to face notification	During construction	PIUs, township governments

Stage	Target groups	Area involved	Key points	Disclosure mode	Time	Agencies responsible
	without subsidy and sufficient safety measures	or County]	information	to face notification		governments
	Waste pickers at unofficial waste dumps	[Name of District or County]	Potential job opportunities	face to face notification		
	Workers who have not signed a labor contract	[Name of District or County]	Safety training information	Special meeting, face to face notification		PIUs

4.2 TA Subprojects

4.2.1 Procedure

The stakeholder engagement procedure for the TA subprojects is as follows:

- At the preparation stage, the Shaanxi PMO prepares ToRs including stakeholder engagement requirements, and submits to the Bank for review;
- The Shaanxi PMO includes the requirements of the ToRs (including stakeholder engagement) in the bidding documents and contract;
- The TA research agencies prepare a detailed work plan based on the ToRs, including a stakeholder engagement program, and submit it to the Shaanxi PMO for review;
- At the research stage, the TA research agencies implement stakeholder engagement activities according to the stakeholder engagement program, and Shaanxi PMO conducts external monitoring, and reports to the Bank regularly. The stakeholder engagement will inform the corresponding TA studies and the formulation of recommendations to manage the downstream E&S risks and impacts properly. The TA outputs/final products will document both the stakeholder engagement processes and the outcomes.

4.2.2 Organizations: responsibilities and resources

The TA subprojects are implemented through the following 3 stages mainly: 1) preparation stage; 2) research stage; and 3) review stage. During stakeholder engagement, the Shaanxi PMO, City / county / district PMOs and TA research

agencies will assign dedicated staff and provide a budget. For the resource arrangement of PMOs at all levels, please refer to the relevant descriptions in construction subprojects. Their responsibilities in the TA subproject stakeholder engagement are mainly defined here.

Shaanxi PMO: preparing ToRs for TA activities, reviewing the stakeholder engagement program of research agencies of TA activities, and disclosing research findings for comments from stakeholders;

City / county / district PMOs: providing coordination and support for stakeholder engagement activities conducted by the TA research agencies.

TA research agencies: preparing a stakeholder engagement program complying with the ESS10 and implementing it

4.2.3 Key Points and Methods of Information Disclosure

1) Key points

Information disclosure will be conducted by the Shaanxi PMO and TA research agencies mainly, where disclosed information mainly includes:

Preparation stage: the scope, nature and duration of the TA subprojects; external communication and grievance redress channels of the Shaanxi PMO and TA research agencies;

Research stage: stakeholder engagement program, potential impacts and risks, and mitigation measures (especially for vulnerable groups);

Review stage: draft and final research findings.

2) Key methods

The Shaanxi PMO and TA research agencies will disclose the above information to project-affected parties and other interested parties in an understandable language at appropriate places for not less than 7 working days.

Different information disclosure methods should be used for different stakeholders, mainly including:

- For affected residents: bulletin board, poster, FGD;
- For affected enterprises and workers: notification through competent authorities and industry associations, bulletin board, FGD;

- For the public: official websites of the Shaanxi PMO and TA research agencies, WeChat, TV, etc.

All disclosed information will be fully recorded. **Table 4-5** provides a template.

Table 4-5 Information Disclosure Record Template for TA Subprojects

Disclosed Information	Venue	Method	Target stakeholders	Comments and feedback received	Agencies responsible

4.2.4 Key Points and Methods of Stakeholder Engagement

At different stages of the TA subprojects, the Shaanxi PMO, city / county / district PMOs and PIUs will conduct meaningful stakeholder engagement activities respectively. Meaningful engagement is a two-way process that should:

- begin early on during project planning, collect preliminary comments on the Project, and affect the project design;
- encourage stakeholders to give feedback, especially as a way to affect the project design, and involve stakeholders in identifying and mitigating E&S impacts and risks;
- be conducted continuously with the emergence of impacts and risks;
- disclose and disseminate relevant, transparent, objective, meaningful and readily available information in advance in order to conduct meaningful engagement with stakeholders in a culturally appropriate manner, using the local language and in a form understood by them within a timeframe;
- consider and respond to feedback;
- support the extensive participation of all project-affected parties; and
- be free from external manipulation, interference, intimidation and discrimination.

The stakeholder engagement strategy shall be as follows:

1) Key points

a) Shaanxi PMO

The Shaanxi PMO will conduct stakeholder engagement activities at the preparation and review stages.

Preparation stage: Before the start of the TA subprojects, the Shaanxi PMO will conduct necessary consultation activities with competent authorities, industry associations, research institutes, representative enterprises, residents, etc. to learn their attitudes to and suggestions on the studies under the TA subprojects, and their needs and concerns, and further define the purpose, scope and tasks of these studies.

Before the start of each TA subproject, the Shaanxi PMO will identify the main stakeholders with the support of external E&S specialists, specify stakeholder engagement requirements complying with the Bank's ESS10 in the ToRs, and submit to the Bank for review.

The stakeholder engagement requirements in the ToRs should include:

- Stakeholder Identification;
- SEP: information disclosure, public participation, etc.
- GRM;
- Management responsibilities;
- Funding (budget) and implementation arrangements for stakeholder engagement activities

Review stage: Cross-city / county / district, cross-sector engagement activities involving primary stakeholders will be organized, including relevant decision-making authorities, local governments, industry associations, research institutes, enterprise and public representatives, news media, etc., to collect comments on research findings and give timely feedback.

b) TA research agencies

The research agencies of the TA subprojects should conduct adequate stakeholder engagement in the whole research stage of the TA subprojects.

Research stage: At the start of the studies under the TA subprojects, the research agencies of the TA subprojects should make detailed stakeholder engagement arrangements according to the ToRs (possibly as part of the work plan), and submit to the Bank for review and confirmation. Such plan should ensure the timely supply of relevant project information, establish smooth stakeholder engagement channels, and give timely feedback on all stakeholders' needs and concerns. During research, the research agencies of the TA subprojects will conduct information disclosure and public participation according to the

stakeholder engagement arrangements (to be updated regularly during research), and report implementation to the Shaanxi PMO regularly. With the progress of the studies under the TA subprojects, this plan may be further improved, and submitted to the Bank for review and confirmation.

The key points of stakeholder engagement arrangements are:

- Details of the studies under the TA subprojects;
- Detailed stakeholder identification and analysis: with focus on identifying negatively affected stakeholder (especially vulnerable groups), and decision-making authorities related to the studies under the TA subprojects, and analyzing their influence on the sub-projects and impacts by the sub-projects;
- SEP, including scope, subjects, time, venue, mode, etc.;
- Participation plan for vulnerable groups, including scope, time, venue, mode, etc.;
- Responsibilities of agencies concerned, such as the Shaanxi PMO and TA research agencies;
- Funding, responsibilities and resources for stakeholder engagement;
- Detailed arrangements of the external communication mechanisms and GRMs;
- Stakeholder engagement procedure and emergency response in consideration of COVID-19 and other infectious diseases;
- Estimated budget for implementing stakeholder engagement activities;
- Arrangements for documenting the completed stakeholder engagement activities, outcomes and how they inform respective TA studies and the formation of recommendations.

Table 4-6 Template of Stakeholder Participation and Consultation Plan for TA Subprojects

No.	Date	Venue	Main activity	Target stakeholder	Method	Agency responsible
1						
2						
3						

Review stage: After the draft research findings are created, stakeholder engagement activities organized by the Shaanxi PMO or self-organized will be conducted to collect comments from relevant decision-making authorities, local governments, industry associations, research institutes, enterprise representatives, resident representatives, news media, etc. The draft research findings will be revised based on the feedback, and feedback given on the comments and suggestions received.

2) Key methods

The stakeholder engagement methods include without limitation:

- Key informant interview;
- FGD;
- Door-to-door interview;
- Questionnaire survey and online public consultation;
- Public meeting;
- Seminar and symposium;
- Hearing, etc.

At different stages of the TA subprojects, different engagement methods should be applied to different stakeholders, as detailed in Table 4-7. Special methods should be applied to vulnerable groups to prevent them from being excluded. See [Section 4.2.5](#) for details.

Table 4-7 Modes of Stakeholder Engagement for TA Subprojects

Stage	Scope	Time	Main stakeholders	Participation mode
Preparation	Discussing the research scope and methods of the TA subprojects, etc.	Before the beginning of the studies under the TA subprojects	Relevant decision-making authorities, local governments, enterprise reps., etc.	Seminar, FGD, etc.
Research	All stakeholders give constructive comments on the technical solutions, standards, policies, etc. of the TA subprojects.	During the studies under the TA subprojects	Relevant decision-making authorities, local governments, representative enterprises, cleaners, reps of vulnerable groups	Seminar, symposium, key informant interview, FGD, door-to-door interview, anonymous questionnaire survey, etc.
Review	Collect stakeholder comments on the research findings under the TA subprojects, revise them, and give feedback timely.	Review of the research findings under the TA subprojects	Relevant decision-making authorities, local governments, representative enterprises, cleaners, reps of vulnerable groups	Seminar, symposium, hearing, FGD, door-to-door interview, anonymous questionnaire survey, online consultation, etc.

All public consultation and participation activities, their findings and suggestions and how stakeholder engagements inform the studies, and the formulation of recommendations will be recorded in the final outputs/final products. Table 4-8 provides a record template.

Table 4-8 Public Participation Record Template for TA Subprojects

Date	Venue	Activity	Method	Participants	Agencies responsible	Findings, suggestions and subsequent actions

4.2.5 Engagement Strategy for Vulnerable Groups

For vulnerable groups, their features and needs should be considered in information disclosure and engagement activities.

1) Information disclosure strategy

These groups are live in remote areas and have limited access to education and information technology (e.g., rarely using smart phones, Web and other new media). They are likely to be excluded from the design and construction of the TA subprojects. Therefore, their vulnerabilities in education, information acquisition ability, etc. should be considered in information disclosure activities. An understandable language should be used and the notification method used to ensure that they receive relevant information timely.

2) Engagement strategy

Take appropriate measures to ensure that vulnerable groups express their concerns and suggestions freely during engagement, including:

- Hold an FGD with them separately, or interview them one by one, and use the local language during communication;
- Ensure that consultation times and venues are suited to their needs; for example, engagement activities for farmers should not be conducted in the busy season, and those for workers should not be conducted at workplaces;
- Describe reasons for adoption or non-adoption of their views (if any) as part of consultation, and give feedback.

If any TA or construction subproject involves any ethnic minority areas or is related to ethnic minority residents, information disclosure and stakeholder engagement will be conducted in a culturally appropriate, and gender- and generation-inclusive manner in accordance with the Bank's ESS7 during the studies under the TA subprojects to ensure that ethnic minority residents are engaged meaningfully, and their comments are incorporated into the research

findings or project design, so that ethnic minority culture, knowledge and customs are considered in the research findings, project design and risk management suggestions, and ethnic minority residents are fully respected and benefit equally in future downstream activities, mainly including:

- Encourage ethnic minority communities to participate in plans and policies involved in the studies under the TA subprojects;
- Respect ethnic minority customs and taboos, and appoint staff familiar with local customs and languages for information disclosure and communication;
- Provide sufficient time for decision-making by ethnic minority communities; and
- Provide traffic arrangements to the nearest venue for ethnic minority residents in remote areas.
- Document the stakeholder engagement processes, outcomes, and how the stakeholder engagement would inform the studies and the formulation of recommendations in the final TA outputs/final products.

4.3 Agriculture Film Management Activities under PBIFM

4.3.1 Procedure

In the first year of implementation, the Shaanxi PMO will implement a TA activity to develop a county-level subsidization program and a recycling system. Based on Section 4.2 above and Section 7.2 of the ESM, the principled requirements for public participation and implementation procedure should be defined in the findings of this TA activity.

The agriculture film management activities under PBIFM mainly include 3 stages, focusing on that each pilot village details and implements a participatory agriculture film recycling program which meets the characteristics and needs of the village according to their own conditions and is recognized by the villagers. The procedural requirements for stakeholder engagement are as follows:

- Pilot village selection stage: The county / district PMO and ARAB determine the scope and principles of pilot village selection based on the Stage 1 TA research findings, prepare a participatory agriculture film recycling program, and submit it to the Shaanxi PMO for review; the

county / district ARAB consults with the township governments, villages and other stakeholders, and organizes declaration. The county / district agriculture film recycling program should define details and procedural arrangements in village participatory programs, which will be submitted to the Bank for confirmation after review by the Shaanxi PMO.

- Village program refinement stage: The village committee conduct information disclosure and consultation under the direction of the county / district ARAB and PMO, and according to the county / district program to form its own participatory agriculture film recycling program, which will be disclosed after approval by most villagers, and included in the village rules. The village program will be reviewed by the Shaanxi PMO.
- Program implementation stage: The village committee implements the village program under the direction of the county / district ARAB and PMO, and summarizes the whole recovery process of agriculture film collection from fields, storage, transport, verification, and incentive fund distribution (including information disclosure and public participation) for timely adjustment and optimization; the county / district ARAB and PMO summarize local good practices of agriculture film recycling and long-term voluntary recycling mechanism, and conduct experience sharing; the Shaanxi PMO offers technical guidance in coordination with the provincial and municipal agriculture and rural affairs authorities, monitors implementation, and reports to the Bank in the external social monitoring reports of subprojects.

4.3.2 Organizations responsibilities and resources

For the agriculture film management activities under PBIFM, the pilot village committees are primarily responsible for stakeholder engagement, and will appoint dedicated staff for implementation. The Shaanxi PMO, county / district PMOs and ARABs will assign dedicated staff to direct, coordinate and support implementation, and relevant costs are included in their own budgets. For the resource arrangement of PMOs at all levels, please refer to the relevant descriptions in construction subprojects. Their responsibilities in the stakeholder engagement of the agriculture film management subproject are mainly defined here.

Shaanxi PMO: appointing social specialists to direct the county / district participatory agriculture film **recycling program**, checking village participatory agriculture film recycling programs by sampling, and monitoring implementation

City / county / district PMOs: providing coordination and support for stakeholder engagement under the agriculture film management activities under PBIFM conducted by the county / district ARABs including the scope and principles of pilot village selection;

County / district ARABs: determining the scope and principles of pilot village selection, preparing a participatory agriculture film recycling program, directing villages to prepare village participatory programs, and supervising the implementation thereof.

Village committees of pilot villages: organizing consultation of villagers, preparing a participatory agriculture film recycling program, and implementing it.

4.3.3 Key Points and Methods of Information Disclosure

1) Key points

Information disclosure under the agriculture film management activities under PBIFM is conducted by the county / district ARABs and pilot village committees mainly. The key points of information disclosure are:

- Pilot village selection stage: scope, nature, duration and basic requirements;
- Village program refinement stage: village participatory agriculture film recycling programs and GRM for farmers;
- Program implementation stage: verification results, incentive fund distribution, etc.

2) Key methods

The pilot village committees will disclose the above information to project-affected parties and other stakeholders in an understandable language at appropriate places for not less than 7 working days. All disclosed information will be fully recorded. Table 4-9 provides a template.

Table 4-9 Public Participation Record Template for Agriculture film management activities under PBIFM

Disclosed Information	Venue	Method	Target stakeholders	Comments and feedback received	Agencies responsible

4.3.4 Key Points and Methods of Stakeholder Engagement

At different stages of the agriculture film management activities under PBIFM, the Shaanxi PMO, city / county / district ARABs and pilot village committees will conduct meaningful stakeholder engagement activities respectively.

1) Shaanxi PMO

- Pilot village selection stage: strengthening communication to learn local needs, and providing coordination and support; defining the scope and procedural requirements on villager consultation in the county / district participatory agriculture film recycling program, and providing guidance; the **scope and procedure arrangement** in the program will be submitted to the World Bank Project Team for confirmation after being reviewed by the Shaanxi PMO.
- Village program refinement stage: providing coordination, support and guidance for village program preparation, and reviewing village programs;
- Program implementation stage: providing coordination, support and guidance for program implementation, monitoring stakeholder engagement implementation of agriculture film recycling, and reporting to the Bank

2) City / county / district PMOs

Providing coordination and support for stakeholder engagement to the county / district ARABs, including transport arrangements, land use for agriculture film storage sites, agriculture film terminal treatment, coordination with sanitation systems, etc.; organizing ARABs, township and village officials, and villager representatives for experience sharing

3) County / district ARABs

- Pilot village selection stage: The county / district ARAB prepares the county / district participatory agriculture film recycling program,

consults with the township governments, villages and other stakeholders, and organizes declaration.

Key points of stakeholder engagement in the county / district agriculture film recycling program:

- Basic principle: on a voluntary basis, and empowering villagers to participate in decision-making;
- Conducting stakeholder identification and analysis, including vulnerable groups;
- Defining key aspects of the program, including villager representative selection, institutional and personnel arrangements (including third party service provider selection), and key implementation steps (including agriculture film collection, transport, checking, incentive distribution, etc.);
- Defining organizational arrangements for information disclosure and stakeholder engagement, including staff, responsibilities, budget and GRM.

- Village program refinement stage: directing township governments and village committees to prepare village programs, defining key points and methods of information disclosure and stakeholder engagement, and submitting them to the Shaanxi PMO through the county / district PMOs and ARABs;
- Program implementation stage: directing the villages to implement village programs, reporting implementation to the Shaanxi PMO quarterly, and summarizing local good practices regularly of agriculture film recycling and long-term voluntary recycling mechanism for experience sharing.

4) Village committees to implement pilots

- Pilot village selection stage: The village committee holds a village congress to decide on declaration or not;
- Village program refinement stage: conducting villagers' congresses, FGDs and other forms to discuss and determine the detailed participatory agriculture film recycling, identifying and analyzing stakeholders, and clarifying the scope and methods of information disclosure and consultation in key links, including information disclosure and engagement activities, target groups, times, venues, methods, responsible persons, etc. These key links may vary from village to village and may include (but are not limited to) the selection of villagers' representatives, the arrangements of institutions and personnel responsible for implementation, the selection and employment of third-party service

companies, and key implementation steps, such as methods of agriculture film collection from fields, storage, transport, verification, and incentive fund allocation and distribution; each village incorporates the implementation mechanism and performance evaluation into village regulations and non-governmental agreements;

- Program implementation stage: The village committee implements the village program under the direction of the county / district ARAB and PMO, and summarizes the whole recovery process of agriculture film collection from fields, storage, transport, verification, and incentive fund distribution (including information disclosure and public participation) for timely adjustment and optimization.

All public consultation and participation activities, and their findings and suggestions will be recorded. Table 4-10 provides a record template.

Table 4-10 Public Participation Record Template for Agriculture film management activities under PBIFM

Date	Venue	Activity	Method	Participants	Agencies responsible	Findings, suggestions and subsequent actions

4.3.5 Engagement Strategy for Vulnerable Groups

For vulnerable groups that may be affected by the agriculture film management activities under PBIFM, their features and needs should be considered in information disclosure and engagement activities.

1) Information disclosure strategy

These groups have low educational and income levels, or are elderly, they are likely to be excluded from the agriculture film recycling program. Therefore, their vulnerabilities in education, information acquisition ability, etc. should be considered in information disclosure activities. An understandable language should be used and the notification method used to ensure that they receive relevant information timely.

2) Engagement strategy

Take appropriate measures to ensure that vulnerable groups express their concerns and suggestions freely during engagement, including:

- Hold an FGD with them separately, or interview them one by one, and use the local language during communication;
- Ensure that consultation times and venues are suited to their needs;
- Describe reasons for adoption or non-adoption of their views (if any) as part of consultation, and give feedback.

5 External Communication Mechanisms and GRMs

An effective and responsive GRM facilitates project progress by providing clear and accountable means for project beneficiaries and affected persons to raise complaints, including concerns of possible tensions and feelings of exclusion, as well as to seek remedies when they believe they have been affected by the project. The GRM shall be designed proportionate to the nature, scale and significance of a project's potential impacts and risks, including channels, written records, procedure disclosure, transparent decision-making, appeal procedure, etc. while complying with principles of confidentiality, data privacy and transparency. The final design of the GRM will be validated and adjusted as needed during project implementation in consultation with relevant stakeholders to ensure its relevance and ease of use.

An overall level GRM for the whole project will be established in three levels, which is described in section 5.1. For each subproject, specific GRM will be improved or established respectively once the subproject are identified. Section 5.2, 5.3 and 5.4 respectively provide the guidance for the GRM establishment for construction subproject, TA subproject and subproject.

5.1 Project overall level GRM

The project will establish a project-level mechanism, intending to address project-related complaints specifically at three levels as shown in Figure 5-1. Under the project GRM, PMOs at different levels will take the roles of coordination/collaboration among subprojects and various government authorities and entities involved for grievance redress. The proposed operational structure is intended to serve as a guide for the implementation of GRM between and among the PMOs, PIUs and related governments involved in the Project. This organizational structure involves specific coordination/collaboration mechanisms for the in-place grievance redress mechanisms at the PIU/TA contractor level (including community level), City, District/County level, and Provincial level.

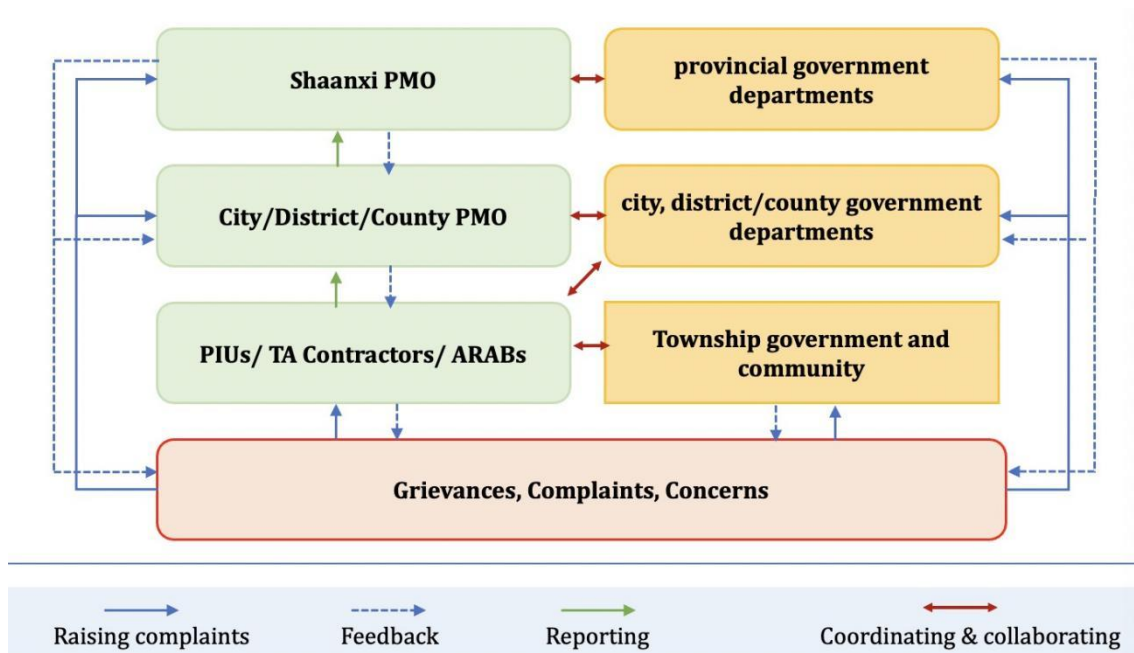


Figure 5-1 Project-level GRM

The project GRM is expected to address concerns promptly and effectively, in a transparent manner that is culturally appropriate and readily accessible to call project-affected parties, at no cost and without retribution. The mechanism, process or procedure will not prevent access to judicial or administrative remedies. Handling of grievances will be done in a culturally appropriate manner and be discreet, objective, sensitive and responsive to the needs and concerns of the project-affected parties. Individuals who submit their comments or grievances have the right to request anonymity. Confidentiality should be declared during the process of disseminating GRM information. The project GRM shall set out explicit provisions and mechanisms to allow for anonymous complaints to be raised and addressed.

Communities and individuals who believe that they are adversely affected by the Project may submit complaints to existing project-level GRMs or the Bank's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaint to the Bank's independent Inspection Panel. For information on how to submit complaints to the Bank's corporate Grievance Redress Service (GRS), please visit <http://www.worldbank.org/en/projects-operations/products-and-services/griev>

ance-redress-service. For information on how to submit complaints to the Bank's Inspection Panel, please visit www.inspectionpanel.org.

5.2 GRMs for Construction Subprojects

Since details of the construction subprojects are unknown, principled requirements for GRM establishment are defined here. Once the construction subprojects are identified, the PIUs should establish and implement effective GRMs accordingly.

Based on preliminary identification, grievances related to E&S risks may be from the following risk points:

✧ **Workers**

- Labor contract
- Working hours, overtime allowance, leave entitlement
- Salaries and benefits
- OHS (COVID-19 spreading) risks
- PPE distribution

✧ **Community health and safety**

- Community disturbances due to environmental impacts (noise, vibration, dust, waste, wastewater, etc.)
- Community safety risks (fire, explosion, traffic safety, COVID-19 spreading, etc.)

Accordingly, for each construction subproject, two GRMs should be established:

- GRM for affected residents and nearby communities
- GRM for workers, namely direct workers, contracted workers and primary supply workers

1) GRM for affected persons and communities

Such GRM should include the following channels, where community residents may file an appeal through any one or more of these channels.

a) PIUs: Each PIU will assign a person specially to collect and handle appeals, including those from other government channels;

b) Government authorities, including local offices for letters and visits, ecology and environment bureaus, LAR offices, etc., where appeal modes include hotline, online platform, letter / visit, reception day, etc., with feedback given to the PIUs; administrative mediation can also be used for handling the complaints.

c) Community organizations, including village / community committees, township governments / sub-district offices, etc., with feedback given to the PIUs and competent authorities

Each PIU shall designate/engage a department and appoint a focal point for the grievance redress. Any affected community, individual or organization may file an appeal through the above channels, which should be disclosed on websites of government authorities and PIUs, and in communities, including the appeal procedure and timing, to ensure transparency; community residents may file appeals in different modes, including personal delivery, or filing by mobile phone, text message, mail, e-mail and website.

Based on best practices, the final institutionalized GRM should encompass a system that involves but not limited to the following steps:

- Grievance registration

Complainants may visit, call or send a letter or e-mail to the focal point to register their grievances related to the subprojects. Each subproject shall maintain a record-book to register the complaints

- Grievance processing

Depending on the nature of grievance, this step may include verification, investigation, negotiation, mediation or arbitration, coordination with appropriate agencies and decision-making. Verification includes gathering of documents, proofs and facts, as well as clarifying background information in order to have a clear picture of the circumstances surrounding the grievance case.

- Feedback provision

The complaining party will be informed on the outcome of grievance resolution in the timely and appropriate matter.

- Escalation (if necessary, resolution through mediation and/or court process)

After receiving an appeal, the full-time officer of the PIU will record it in appeal logs, and investigate it. Once the investigation is completed, the officer will notify the appellant of the resolution in writing, by phone or text message, including the date of receipt, appellant's name, brief description, measures taken (including remedies, resolutions and results), and date of resolution. With the coordination of PMOs of different level, the focal point will be informed of all the related grievances managed by government agencies and there will be collaboration between the PIUs and government agencies for the grievances investigation and resolution. All records and arising resolutions will be reflected in annual E&S monitoring reports.

2) GRM for workers

Such GRM should include the following two types of channels, where project workers may file an appeal through any one or both of these channels.

a) Internal channels

The PIUs should improve their internal GRMs, designate/engage departments and appoint dedicated staff to handle worker grievances, and keep written records.

For direct workers, existing GRMs of its teams (front end cleaners) and facilities (transfer and terminal disposal facilities) should be extended to the PIUs and competent authorities.

For contracted workers, contractors are required to establish internal GRMs, such as level by level reporting, or reporting to on-site management personnel, and coordinate with the PIUs' grievance redress departments.

For community workers, the county / district environmental sanitation authorities should extend their responsibilities to direct and supervise the management of community workers, including grievance redress.

The grievance redress procedure will be clearly designed in the subproject or activity specific SEPs, including the steps of at least "registration, investigation, feedback, escalation" as shown in the section above "GRM for affected persons and communities".

b) External channels

External channels include local human resources and social security authorities, women's federations, federations of trade unions, etc. Appeal modes include hotline, online platform, letter / visit, etc. with feedback given to the PIUs. Administrative mediation can also be used for handling the complaints.

All appeal channels will be disclosed on websites of government authorities and PIUs, and at internal worker meetings; different appeal modes should be provided, including personal delivery, or filing by mobile phone, text message, mail, e-mail and website.

Each agency should appoint a full-time officer to record appeals in appeal logs, and investigate them. Once the investigation is completed, the officer will notify the appellant of the resolution in writing, by phone or text message, including the date of receipt, appellant's name, brief description, measures taken (including remedies, resolutions and results), and date of resolution. With the coordination of PMOs of different level, the focal point will be informed of all the related grievances managed by government agencies and there will be collaboration between the PIUs and government agencies for the grievances investigation and resolution. All records and arising resolutions will be reflected in annual E&S monitoring reports.

Project workers may also use the mediation procedure stipulated in the Labor Law:

- Stage 1: The party proposing arbitration should file a written application to the labor dispute mediation committee within 60 days. Generally, the committee should make a decision within 60 days after receipt. If the parties have no objection to such decision, such decision will apply. The committee is composed of representatives of the labor authority, trade unions of the same level, and employers, and chaired by the representative of the labor authority.
- Stage 2: If any party has an objection to the decision, it may file a suit in a people's court within 15 days after receipt.

5.3 GRMs for TA Subprojects

Usually, the Project's GRMs include: 1) the GRM for project workers, and 2) the GRM for relevant communities and the broader public (including ethnic minority residents).

As offices under the government agencies concerned, the PMOs have developed and implemented a sound labor management system for direct workers, including a GRM, where all direct workers can use such mechanism easily and solve problems quickly, so there is no need to establish a new GRM for direct workers. The research design agencies of the TA subprojects are usually research or higher education institutions, which usually have sound labor management measures, a good working environment, a sophisticated labor union and a worker GRM; their workers are well trained to protect themselves. In the E&S section of the ToRs for the subprojects (see the template in Appendix 5 to the ESMF), the NPMO and PPMOs will require the research agencies of the TA subprojects to establish and maintain a normally functioning GRM to collect and respond to grievances of researchers (if any).

Under the Project, a GRM will be established to handle grievances from communities and the public (including ethnic minority residents). Any individual or organization having any concern or grievance about the Project may file an appeal through the following steps:

Stage 1: The appellant may file an appeal to the relevant TA research agency, which should give a reply within 10 working days.

Stage 2: If the appellant is dissatisfied with the reply of Stage 1, it may file an appeal to the county / district / city / Shaanxi PMO, which should give a reply within 10 working days.

Stage 3 (external legal proceedings): If the appellant is still dissatisfied with the reply of Stage 2, it may resort to external legal proceedings.

The PMOs and TA research agencies will disclose GRMs on their own websites. When receiving an appeal, the E&S officer will record it in appeal records or bulletins, and investigate and handle it. The E&S officer should analyze and sum up such appeal records or bulletins regularly to identify main sources and causes, communicate with researchers timely, and optimize the research scope of the TA subprojects where reasonable and feasible.

5.4 GRMs for Agriculture film management activities under PBIFM

The PIUs of the agriculture film management activities under PBIFM—county / district ARABs—should establish a GRM for villagers and cooperatives. Existing community GRMs may be utilized.

Villagers and cooperatives may file grievances based on processes of village committees, township governments and county / district ARABs. Once a GRM is defined, it will be disclosed on the official website of the ARAB and in the pilot village, including procedure, timing and modes, such as face to face, telephone, SMS, mail, e-mail and website.

The grievance redress procedure will be clearly designed in the relevant SEPs, including the steps of at least “registration, investigation, feedback, escalation” as shown in the section above “GRM for affected persons and communities”.

After receiving a grievance, the ARAB officer will include it in records, investigate it, and notify the solution to the griever by means of letter, telephone or SMS. Such records include the date of receipt, griever, brief description, measures taken (including remedies, resolution or results) and solution date. All such records will be included in semiannual E&S monitoring reports.

Reporting on SEA/SH and cases of abuse by staff will be highlighted and community members will be encouraged to report cases of violence they witness in or around the work sites and related public spaces. This would help to ensure that women and girls especially have a voice when they experience any kind of violence during project implementation. Where applicable, this can be done by raising awareness of safe and anonymous mechanisms that anyone can use to report SEA/SH, as well as awareness on the redress mechanisms offered through the project and other local institutions.

6 Implementation and Monitoring of Stakeholder Engagement

The Shaanxi PMO will review and supervise the preparation and implementation of the stakeholder engagement program, and ask the city / county / district PMOs, PIUs of construction subprojects and agriculture film management activities under PBIFM, and TA research agencies to conduct fair, open, just and transparent public participation and consultation to protect the interests of all stakeholders, and promote successful project implementation. The Shaanxi PMO, city / county / district PMOs, PIUs of construction subprojects and agriculture film management activities under PBIFM, and TA research agencies will arrange full-time staff and a budget to conduct information disclosure and public participation activities.

During project implementation, the city / county / district PMOs, PIUs of construction subprojects and agriculture film management activities under PBIFM, and TA research agencies will keep records of all stakeholder engagement, information disclosure, and grievance redress and feedback activities. The PIUs of construction subprojects and agriculture film management activities under PBIFM, and TA research agencies will report to the Shaanxi PMO through their local PMOs quarterly. The Shaanxi PMO will report the preparation and implementation of the stakeholder engagement program to the Bank semiannually.

Table 6-1 SEP Monitoring Indicators

No.	Indicator	Unit	Frequency	Agencies responsible
1	Preparation stage			
	Participation activities	/	Quarterly	Shaanxi PMO, city / county / district PMOs, PIUs of construction subprojects and agriculture film management activities under PBIFM, and TA research agencies
	Number of participants	/	Quarterly	
	<i>Where: women</i>	/	Quarterly	
	<i>Enterprise workers</i>	/	Quarterly	
	<i>Farmers</i>	/	Quarterly	
	<i>Urban residents</i>	/	Quarterly	
	<i>Nearby community residents</i>	/	Quarterly	
2	Construction stage of construction subprojects / research stage of TA subprojects / planning stage of agriculture film management activities under PBIFM			
	Participation activities	/	Quarterly	Shaanxi PMO, city / county / district PMOs, PIUs of construction subprojects and agriculture film management activities under PBIFM, and TA research agencies
	Number of participants	/	Quarterly	
	<i>Where: women</i>	/	Quarterly	
	<i>Enterprise workers</i>	/	Quarterly	
	<i>Farmers</i>	/	Quarterly	
	<i>Urban residents</i>	/	Quarterly	
	<i>Nearby community residents</i>	/	Quarterly	
3	Operation stage of construction subprojects / review stage of TA subprojects /			

No.	Indicator	Unit	Frequency	Agencies responsible
	implementation stage of agriculture film management activities under PBIFM			
	Participation activities	/	Quarterly	Shaanxi PMO, city / county / district PMOs, PIUs of construction subprojects and agriculture film management activities under PBIFM, and TA research agencies
	Number of participants	/	Quarterly	
	<i>Where: women</i>	/	Quarterly	
	<i>Enterprise workers</i>	/	Quarterly	
	<i>Farmers</i>	/	Quarterly	
	<i>Urban residents</i>	/	Quarterly	
	<i>Nearby community residents</i>	/	Quarterly	
5	Number of grievances and concerns received	/	Quarterly	Shaanxi PMO, city / county / district PMOs, PIUs of construction subprojects and agriculture film management activities under PBIFM, and TA research agencies
6	Number of grievances and concerns handled	/	Quarterly	Shaanxi PMO, city / county / district PMOs, PIUs of construction subprojects and agriculture film management activities under PBIFM, and TA research agencies

Appendix 1 Preliminary Identification of Typical Project-affected Parties of Typical Construction Subprojects

Facilities	Project-affected party		Impacts by the Project	Influence on the Project
Collection facilities	Workers	Direct workers	Cleaners responsible for public space cleaning, transfer and collection point O&M in [Name of District or County]	
			Cleaners employed directly by township governments in [Name of District or County] for waste collection and transfer and facility O&M	
		Contracted workers	Contracted workers of waste collection and transfer in townships	
		Community workers	Cleaners and workers responsible for waste collection and transfer in [Name of Village] (mostly being public welfare jobs)	
	Cleaners responsible for waste collection and transfer in [Name of Community]			
	Nearby communities and residents, and those exposed to traffic safety risks			
Waste pickers at township unofficial waste dumps				
Transfer facilities	Workers	Direct workers	Workers operating transfer stations in [Name of District or County]	
			Workers operating the transfer truck parking and maintenance center in [Name of District or County]	
		Contracted workers	Contracted workers constructing the [Name of Transfer Station]	
	Nearby communities and residents, and those exposed to traffic safety risks			
	Village collectives and villagers affected by LAR	[Name of District or County]	[Name of Village] and villagers affected by the [Name of Transfer Station]	
Bulk waste dismantling center	Workers	Direct workers	Workers of the [Name of District or County] bulk waste dismantling center, including sorters, equipment operators, cleaners, etc.	
		Contracted workers	Contracted workers constructing the [Name of District or County] bulk waste dismantling center	
	[Name of Village] and villagers affected by LAR			
	Nearby community residents, and communities and residents exposed to traffic safety risks			
	[Name of Village] and villagers affected by land lease			

Facilities	Project-affected party		Impacts by the Project	Influence on the Project	
Landfill closure	Workers	Direct workers	Direct workers: workers during [Name of landfill" closure in [Name of District or County] (including safety officers, special equipment operators) and O&M staff after closure		
		Contracted workers	O&M contracted workers after [Name of landfill" closure in [Name of District or County] (e.g., contracted workers involved in leachate treatment and biogas power generation)		
	Communities and residents around the site and affected by the access road				
	[Name of Village] in [Name of District or County] and households affected by landfill land lease				

Appendix 2 SEP Template for Construction Subprojects

Note on the use of this template:

According to ESS10, stakeholder engagement proportionate to impacts and risks should be conducted for all construction subprojects. Based on preliminary identification, the construction subprojects have substantial E&S risks, **for which a SEP should be prepared and implemented according to ESS10**. This template will direct the PIUs to prepare a SEP after the scope of the construction subprojects is defined. The depth and breadth of the SEP will depend on the scale and complexity of E&S impacts.

1. Introduction

a) Basic description

Briefly describe the project, the stage of the project, and its purpose. Describe location and, where possible, include a map of the project site(s) and surrounding area, showing communities and proximity to sensitive points.

b) Potential E&S risks

For ESS2-ESS8, briefly analyze the Project's potential E&S impacts and risks, and describe substantial risks.

2. SEP objectives

According to the Bank's Environmental and Social Framework (ESF), and ESS10—Stakeholder Engagement and Information Disclosure, stakeholder engagement is an inclusive process that runs through the project lifecycle. Its proper design and implementation are essential to the successful management of E&S risks.

The main objectives of stakeholder engagement for the construction subprojects include without limitation:

- Establishing a systematic stakeholder engagement approach to help the PIUs identify stakeholders, and establishing and maintaining constructive relationships with them, especially project-affected parties;
- Conducting stakeholder engagement in the whole project lifecycle;
- Enabling stakeholders to obtain appropriate project information, including the project purpose, nature, size and duration, potential impacts and mitigation measures;
- Identifying stakeholders' concerns, needs and grievances, and considering their opinions in project design and E&S management;
- Obtaining stakeholder feedback on project impacts (especially E&S impacts) and mitigation measures;
- Giving feedback on grievance redress to communities;
- Giving full consideration of stakeholder expectations during decision-making and project implementation to avoid potential conflicts

3. Brief summary of prior stakeholder engagement activities

If consultation or disclosure activities have been undertaken to date, provide a summary of those activities and the information disclosed in Table 1, **especially suggestions on improving subproject design and management**.

Table 1 Template for Prior Public Participation and Consultation Activities

Date	Participants	Methods	Venue	Number of participants	Purpose	Findings suggestions /	Subsequent actions

4. Preliminary stakeholder identification and analysis

a) Stakeholder identification

According to ESS10 and the Project's characteristics, the Project's stakeholders include: project-affected parties, other interested parties and vulnerable groups.

- Project-affected parties are individuals or groups affected or potentially affected by the Project, including those affected directly and indirectly.
- Other interested parties are individuals or groups potentially interested in the Project.
- Vulnerable groups refer to those more likely to be affected adversely during project preparation, implementation and operation due to personal vulnerabilities, including gender, language, age and disability.

It should be noted that during the stakeholder identification of the construction subprojects, subproject stakeholders should be identified in detail based on its E&S impacts and risks, especially project-affected parties; among other interested parties, particular attention should be paid to government authorities with the approval power.

Table 2 provides a stakeholder identification table for a typical construction subproject for reference.

Table 2 Example of Stakeholder Identification for Construction Subprojects

Stakeholder	Influence on the Project	Impacts by the Project
Project-affected parties	Direct, contracted and primary supply workers	Playing an important role in successful project construction and operation
	Nearby community residents	Their support is the foundation for successful project implementation.
	The public	Their participation and support is the foundation for successful project implementation.
Other interested parties	MOT and NPMO	Overall project coordination and management
	Provincial transport departments and PPMOs	Coordinating and managing provincial pilot subprojects
	PIUs	Implementing subprojects
	Local Development and reform commissions	Initiating and approving subprojects
	Local finance authorities	Managing the Project's financial plan
	Highway / railway /	Developing and supervising the

Stakeholder	Influence on the Project	Impacts by the Project
civil aviation / maritime authorities	implementation of industry plans and policies	on them.
Local ecology and environment authorities	Approving EIA documents of construction projects, inspecting the environmental performance of completed projects, and approving and regulating pollutant discharge permits	The Project has no significant negative impact on them.
Local planning and natural resources authorities	Approving land use, adjusting land plans, and issuing land use permits	The Project has no significant negative impact on them.
Housing and urban-rural development authorities	Determining project sites and construction (e.g., hydrogen refueling station), and conducting design approval, bidding, construction permission, quality inspection, safety management, registration, etc.	The Project has no significant negative impact on them.
Local emergency management authorities	Approving and supervising work safety permits, and supervising the safety of the production, storage, use, transport and operation of hazardous chemicals (including hydrogen)	The Project has no significant negative impact on them.
Local market regulation authorities	Approving special equipment, standards and qualifications for hydrogen energy	The Project has no significant negative impact on them.
Local labor and social security authorities, civil affairs authorities, women's federations, disabled persons' federations, etc.	Protecting the rights and interests of laborers, the poor, ethnic minority residents, women and the disabled	The Project has no significant negative impact on them.
Sub-district offices / township governments	Conducting LA, handling grievances of community residents, etc.	The Project has no significant negative impact on them.
Community / village committees	Organizing and coordinating community work, handling grievances of community residents, etc.	The Project has no significant negative impact on them.
Design agencies	Responsible for project design	Needs of stakeholders, and E&S impacts and risks should be considered in project design.
NGOs (including industry associations and NPOs)	Giving advice on project design, and supervising project implementation to some extent	The Project has no significant negative impact on them.
Contractors	Constructing basic facilities and installing equipment	Implementing policies on labor management, working conditions and OHS as required by the PIUs, and handling grievances from nearby communities during construction
Primary suppliers	Supplying materials, equipment, etc. for the Project	Implementing policies on labor management, working conditions and OHS as required by the PIUs
Local media	Giving publicity on the Project and related policies	The Project has no significant negative impact on them.

b) Stakeholder demand analysis

Based on different stakeholders' roles in the Project, a social impact survey should be conducted by various means including FGDs, key informant interview and questionnaire survey to identify their

needs for the Project, such as language, preferred notice modes or special needs if any, and project information disclosure and consulting during implementation of subprojects. The survey results may be set out in the format of Table 3.

Table 3 Summary of Stakeholder Needs

Stakeholder	Need for the Project	Need for engagement		
		Mode of information disclosure	Mode of public participation	Language need

It should be noted that if the subproject to be implemented has any adverse E&S risk or any impact on ethnic minority residents, the PIU will appoint an independent specialist to assist in identifying impacts and risks, and conduct stakeholder analysis and engagement.

The meaningful consultation process should be free from external manipulation, interference, intimidation and discrimination, including:

- Conduct meaningful consultation early on during project planning to collect preliminary views on the project proposal and provide inputs into the project design;
- Disclose information in a culturally appropriate manner, using the local language and also consider any specific need of ethnic minority residents affected disproportionately;
- Encourage stakeholders to give feedback, and respond to such feedback timely in a culturally appropriate manner to identify and mitigate E&S impacts and risks;
- Keep written records of consultation activities, share such records with participants, and disclose actions for issues proposed at meetings;
- Handle grievances timely and properly based on the GRMs.

5. Stakeholder engagement program

The stakeholder engagement program is prepared based on stakeholder analysis, especially demand analysis, and implemented for different stakeholders at project preparation, implementation and operation stages respectively under each subproject activity. After analysis, the demand of stakeholders at project implementation and operation stages are generally same.

The purpose of the program is as follows:

- Consulting with primary stakeholders regularly to notify the project purpose, design, scope and activities;
- Making clear the communication mechanism to ensure that their needs are met.

a) Information disclosure

For a subproject, E&S information should be disclosed at appropriate places and in an understandable language to collect opinions.

The scope of information disclosure includes:

- E&S documents (possibly including ESIA, LMP, SEP, etc.);
- Environmental monitoring report

The main modes of information disclosure include:

- Official website;
- For project workers: website, brochure, meeting, WeChat, QQ, etc.;
- For affected communities and persons: bulletin board, meeting, brochure, visit, etc.;
- For vulnerable groups: visit, face-to-face interview, proper information format, Braille (when necessary) or other tailored modes.

All disclosed information will be fully recorded. Table 4 provides a template.

Table 4 Information Disclosure Record Template

Disclosed Information	Venue	Method	Target stakeholders	Agencies responsible

b) Proposed strategy for consultation

Stakeholder engagement is a two-way process that runs through the whole project lifecycle. Positive and meaningful stakeholder engagement will solve complex social issues, and win public trust and support. The following strategy will be adopted:

- Conduct meaningful consultation early on during project planning to collect preliminary views on the project proposal and provide inputs into the project design;
- Consider information needs of vulnerable groups (e.g., disability, reading and writing abilities, gender, mobility, language differences and accessibility);
- Keep written records of consultation activities in tables (as shown in Table 5);
- Share records with participants after public consultation meetings, and disclose relevant issues and actions timely;
- Encourage stakeholders to give feedback, and respond to such feedback timely in a culturally appropriate manner to identify and mitigate E&S impacts and risks;
- Ensure that all people can attend all public meetings;
- Conduct stakeholder engagement continually with the appearance of impacts and risks;
- Support active and inclusive interactions with all project-affected parties; and
- Handle grievances timely and properly, and ensure that appellants are free from manipulation, interference, intimidation and discrimination.

Table 5 Template for Public Consultation and Participation Plan

No.	Target stakeholder	Topic	Date	Venue	Method	Agency responsible	Findings / suggestions	Subsequent actions
1	Workers							
2	Community residents							
3	Persons affected by LA and/or HD							
4	Ethnic minority residents							
5	Key government authorities							
							

c) Proposed strategy to incorporate views of vulnerable groups

Since vulnerable groups, for their vulnerabilities, are likely to bear disproportionate losses, and be excluded and unable to fully participate in the consultation process. Therefore, appropriate measures should be taken to ensure that the fully participate in project activities. The format of Table 4 may also be used here.

6. Resources and responsibilities for implementing stakeholder engagement activities

The PIUs will assign E&S commissioners to prepare SEPs and implement relevant activities, and ensure an adequate budget.

7. GRM

At the construction and operation stages, it is necessary to respond to people's opinions timely to ensure that all needs and doubts are addressed properly. Therefore, it is especially important to establish a normative and complete GRM to ensure successful project implementation, and all appeal records and resolutions will be saved through the annual E&S monitoring mechanism, and reported to the PMO/PIUs.

The scope, scale and type of the GRM should match the nature and scale of potential impacts and risks. There are usually two GRMs for the construction subprojects.

One is on the project level, for affected communities and residents mainly.

The other is on the worker level, for direct and contracted workers mainly.

Existing GRMs of the PIUs should be used directly or adjusted where possible.

A GRM should include the following factors:

- Multiple grievance channels, including personal submission, mobile phone, e-mail and website;
- Written records;
- An open procedure, specifying grievance acceptance, feedback and resolution times;
- Grievance procedure and decision-making transparency;
- Appeal procedure when resolution is impossible.

8. Monitoring and reporting

The PIUs of the construction subprojects will develop a detailed monitoring and reporting system based on this SEP, and report to the PMOs through the routine monitoring and reporting mechanism, and Shaanxi PMO should incorporate the SEP implementation performance into the semiannual E&S performance monitoring and reporting.

Appendix 3 Stakeholder Engagement Requirements for TA Subprojects

Note: Although the studies under the TA subprojects will not produce substantial E&S risks, the application and implementation of research findings may produce substantial E&S risks. Therefore, at the preparation stage, stakeholder engagement requirements should be defined in the ToRs. See Section 1 of this appendix for the key points to be included. Before the start of the studies, the research / design agencies will propose detailed and feasible stakeholder engagement arrangements in their work plans. See Section 2 of this appendix for the key points to be included.

1. Key stakeholder engagement requirements in the ToRs

- Stakeholder identification;
- SEP: information disclosure, public participation, etc.;
- GRM;
- Responsibility plan, and management responsibilities;
- Funding (budget) and implementation arrangements for stakeholder engagement activities.

2. Key stakeholder engagement arrangements in the work plan

- Details of the studies under the TA subprojects;
- Detailed stakeholder identification and analysis: with focus on identifying negatively affected stakeholder (especially vulnerable groups), and decision-making authorities related to the studies under the TA subprojects, and analyzing their influence on the Project and impacts by the Project;
- SEP, including scope, subjects, time, venue, mode, etc.;
- Participation plan for vulnerable groups, including scope, time, venue, mode, etc.;
- Responsibilities of agencies concerned, such as the Shaanxi PMOs and TA research agencies;
- Funding, responsibilities and resources for stakeholder engagement;
- Detailed arrangements of the external communication mechanisms and GRMs;
- Stakeholder engagement procedure and emergency response in consideration of COVID-19 and other infectious diseases; and
- Estimated budget for implementing stakeholder engagement activities.

**World Bank-financed
China Plastic Waste Reduction Project (Shaanxi)
—Batch 1 Subprojects**

Stakeholder Engagement Plan

**Foreign Loan Project Management Office of Shaanxi Province
November 2022**

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Acronyms

ARAB	Agriculture and Rural Affairs Bureau
ESS	Environmental and Social Standard
EIA	Environmental Impact Assessment
E&S	Environmental and Social
ESCP	Environmental and Social Commitment Plan
ESF	Environmental and Social Framework
EIA	Environmental Impact Assessment
ESMF	Environmental and Social Management Framework
ESCP	Environment and Social Commitment Plan
ESMP	Environmental and Social Management Plan
ESS	Environmental and Social Standard
FGD	Focus Group Discussion
GRM	Grievance Redress Mechanism
HD	House Demolition
KII	Key Informant Interview
LA	Land Acquisition
LMP	Labor Management Procedure
OHS	Occupational Health and Safety
O&M	Operation and Maintenance
PIU	Project Implementation Unit
PRC	People's Republic of China
PSC	Project Steering Committee
RAP	Resettlement Action Plan
SEF	Stakeholder Engagement Framework
SEP	Stakeholder Engagement Plan
SIA	Social Impact Assessment
TA	Technical Assistance
USD	US Dollar
WTS	Waste Transfer Station

Units

Currency unit	=	Yuan (CNY)
US\$1.00	=	RMB 7.19 ¹²
1 hectare	=	15 mu

¹² As of October 16, 2022.

Executive Summary

China Plastic Waste Reduction Project (Shaanxi) (hereinafter, the “Project”) is the second phase of the World Bank-financed program to support China in tackling plastic wastes reduction. The Project will be implemented by Shaanxi Province, and will be submitted to the World Bank Board of Executive Directors for approval in March 2023. The Project will cover 11 counties / districts in the Yellow River and Yangtze River basins in Shaanxi Province (including Baoji City).

By the project appraisal, the locations and scope of construction of subprojects in Linwei District, and Chengcheng County, as well as some subprojects in Chencang District and Baoji City had been identified (hereinafter, the “Batch 1 subprojects” or “batch 1 investments”). This Stakeholder Engagement Plan (SEP) for the Batch 1 subprojects has been prepared according to the procedures and principles specified in the Stakeholder Engagement Framework (SEF). This SEP is a dynamic document and will be updated as the Project progresses.

This SEP identifies project-affected parties and agencies with substantial influence on the Project (especially in terms of essential permitting) by each subproject and analyzed the projects impacts to them and the stakeholders’ influence to the project to better inform the preparation, design, implementation and operation of the Batch 1 subprojects.

The Project’s project-affected parties include:

a) Project workers, including:

- Workers responsible for front end waste collection and transfer, and front end collection facility operation and maintenance (O&M), mainly including direct workers employed or engaged by the PMO/PIUs and township governments, contracted workers of township service outsources, and community workers;
- Workers responsible for the O&M of the waste transfer stations (WTSs), truck parking & maintenance center and sorting center, mainly direct workers employed or engaged by the PIUs;
- Workers responsible for landfill closure and subsequent maintenance, mainly including direct workers employed or engaged by the Project Implementation Units (PIUs) and contracted workers of some service outsourcing companies; and
- Contracted workers of contractors responsible for facility construction and equipment installation at the construction stage (or during the process of landfill closure);

b) Communities and residents located ambient to project facilities and along the waste transportation routes;

c) Villages and villagers affected by land acquisition (LA) for some WTSs.

Vulnerable groups under the Project mainly include the following 3 types: a) village cleaners on public welfare jobs with only low subsidy from higher jurisdictional authority (without funding added by village committees) and/or insufficient health and safety protection consideration; b) waste pickers at unofficial waste dumps; and c) workers without a labor contract at some existing facilities.

Other interested parties mainly include government agencies concerned, township governments, village / community committees, NGOs, local media, design agency, contractors, etc. The key government agencies responsible for social related approval, permitting and supervision have been identified, mainly including natural resources bureaus responsible for land use approval, and health commissions responsible for occupational health and safety (OHS) management and monitoring.

On the basis of preliminary stakeholder identification and analysis, this SEP defines the responsibilities and resources of the Project Steering Committee (PSC), Shaanxi PMO, Baoji City PMO, as well as Linwei, Chengcheng and Chencang District/County PMOs and PIUs in respect of stakeholder engagement, and lays down strategies for information disclosure and stakeholder engagement.

Information disclosure and stakeholder engagement will be focused on the issues identified in the social audit and social assessment, including nonconformities in employment terms and working conditions of sanitation workers, OHS management of WTSs and landfills, outstanding land use issues of some landfills, and community health and safety concerns of residents near the Chengcheng Landfill. At the preparation stage, adequate communication were conducted with all types of workers, communities, government agencies concerned (including natural resources bureaus, health commissions, township governments, etc.) to put forward justified and feasible solutions, and disclose the relevant E&S assessment documents, labor management procedure (LMP), worker and community grievance redress mechanisms (GRMs), among others.

At the construction and operation stage, information disclosure and stakeholder engagement will be conducted with the two main target groups, i.e., all types of workers and community residents, with focus on:

- For all types of workers, disclose relevant contents of the LMP, and optimize the GRMs through meaningful consultations with relevant workers.
- For community residents, locations of front end collection facilities will be discussed with community residents; reasonable suggestions of community residents will be adopted in the location selection and operation of WTSs, sorting center, etc. to avoid or at least minimize

disturbance and traffic (road safety) risks to nearby communities; for community residents close to landfills, especially those within the safety exclusion zone of the Chengcheng Landfill, meaningful consultation will be conducted with them to collect their comments and consider their reasonable suggestions to inform the design and the formulation of construction and O&M plans.

- In particular, for vulnerable groups, a special arrangement for information disclosure and stakeholder engagement strategy has been prepared for them based on their vulnerabilities and special needs.

The Social Impact Assessment (SIA) agency conducted comprehensive communication and engagement with all types of stakeholders at the preparation stage. The Social Audit Report and SIA Report have also proposed optimization and improvement measures to manage E&S risks and improve project design, based on their comments and suggestions, and these measures have been negotiated and accepted by the Shaanxi PMO, city / county / district PMOs and PIUs of the first batch investments. In terms of project management, engagement timelines for project-affected parties and stakeholders of substantial influence should be included in the project implementation schedule.

- **Stakeholder engagement should be conducted early on and run through the whole project lifecycle, and great attention shall be paid to NIMBY (not-in-my-back-yard) risks of facilities at the early stage.** For communities, schools and other sensitive sites near waste disposal facilities, priorities should be put on the management of noise, odor and traffic safety risks during operation.
- **Workers at transfer and disposal facilities are exposed to OHS risks.** For most landfills, transfer facilities and sorting facilities, regulatory requirements on occupational health hazards screening and testing and occupational health checkups are not well implemented, the city / county / district PMOs and PIUs should learn relevant requirements and procedures in consultation with local health commissions, and implement them in project implementation.
- **To establish effective integrated urban and rural waste management systems, attention should be paid to working conditions of frontend community workers to improve their safety awareness.** Improve the labor rights and safety management of community workers, including labor contract signing, safety training, accident insurance and GRM improvement. The county / district environmental sanitation authorities should direct and supervise the labor and OHS management for the frontend waste collection systems.
- **Assess health and safety risks for residents within the safety exclusion zone of the Chengcheng Landfill.** Communicate with the

government agencies concerned as early as possible to learn the domestic safety risk management measures, conduct a focused assessment based on the Bank Environment and Social Framework (ESF), and disclose the assessment results timely.

- **Determine compensation plan for villages and villagers affected by land lease for some facilities.** Part of the land used for the Yaotou Landfill in Chengcheng County and the Majiagou Landfill in Linwei District was leased (rather than acquired) for historical reasons. The compensation plan after landfill closure should be determined through consultation with these villages and villagers. The PMO/PIUs shall learn the villagers' concerns and decide to continue the lease or return the land to villages and villagers per the technical assessment as required by domestic regulations.
- **Optimize the project design and facility locations through good faith consultations with stakeholders.** During the implementation, locations of front end waste collection points and waste collection sites, and appropriate types/models of front end collection vehicles should be selected in consultation with community residents. For example, a higher power model should be selected for waste collect in the Xishan area in Chencang District.

1 Introduction

1.1 Background

China Plastic Waste Reduction Project (Shaanxi) (hereinafter, the “Project”) is the second phase of the World Bank-financed program to support China in tackling plastic wastes pollution. The Project will be implemented by Shaanxi Province, and will be submitted to the World Bank Board of Executive Directors for approval in March 2023. The Project will be implemented by Shaanxi Province from 2023 to 2029. The project development objective is to provide information for plastic waste management at the national level, improve plastic waste management at the provincial level, and reduce plastic pollution in city-level solid waste in selected underserved areas. The Project will cover 11 counties / districts in the Yellow River and Yangtze River basins in Shaanxi Province (including Baoji City).

At the preparation stage, the Shaanxi PMO, city / county / district PMOs and project implementation units (PIUs) determined the project counties / districts of the Batch 1 subprojects, including Linwei District and Chengcheng County in Weinan City, Chencang District in Baoji City, and Baoji City. Project activities mainly include the construction of front end facilities (including purchasing waste bins and vehicles), transfer facilities (including purchasing trucks to transport wastes and constructing a truck parking and maintenance center), and a sorting center, landfill closure (including leachate treatment plant reconstruction), etc. See Table 1-1.

Table 1-1 Scope of Construction of the Batch 1 subprojects

County / district	Activity	Scope of construction
Linwei District	Collection facilities	Construction of 510 waste collection points, each provided with 9 waste bins (rural)
		Construction of 500 community waste sorting pavilions (waste collection points), each installed with 2 other waste bins, 2 recyclable waste bins, 2 kitchen waste bins and 1 hazardous waste bins (urban)
	Transfer facilities (including trucks)	Reconstruction of 3 urban waste transfer stations (WTSs); construction of 5 township WTSs;
		49 3t compression and transfer trucks (village / community to WTS); 21 12t box hook arm trucks (WTS to WTE plant)
	Sorting facility	Reconstruction of 135t/d sorting center
Disposal facility	Closure of the Majiagou Landfill	
Chengcheng County	Collection facilities	Purchase of 195 electric door-to-door collection trucks
	Transfer facilities (including trucks)	Construction of 1 urban WTS and 9 township WTSs
		40 2t hanging bucket trucks (village / community to WTS); 2 14t box hook arm trucks, 9 10t box hook arm trucks (urban WTS to WTE plant); one 8t rear loading compression and transfer truck; 6 2t hanging bucket trucks (village to WTE plant)
Disposal facility	Closure of the Chengcheng Landfill	
	Closure of the Yaotou Landfill	
Chencang District	Collection facilities	Construction of 170 waste collection points, each provided with a 240L waste bins (rural)
		Construction of 500 domestic waste sorting pavilions, each provided with 3 240L other waste bins, 1 240L recyclable waste bin, 1 240L

County / district	Activity	Scope of construction
		kitchen waste bin and 1 240L hazardous waste bin (urban)
		Construction of 30 central waste collection sites, and reconstruction of 2 central waste collection sites
		Cleaning vehicles, including 5 new energy washing and sweeping vehicles, fallen leaf cleaning vehicles and sprinkling vehicles
	Transfer facilities (including trucks and a truck maintenance center)	Construction of 2 urban WTSs and 3 township WTSs;
		Transfer trucks, including 3 20t transfer trucks, 7 12t compression and transfer trucks, 8 8t compression and transfer trucks, 3 12t mobile box hook arm trucks, 14 transfer site washing and sweeping vehicles, etc.
		Construction of a 11,000 m ² waste transfer truck maintenance center, including 15 parking spaces for 8t compression and transfer trucks, 15 parking spaces for 12t compression and transfer trucks, 15 parking spaces for 12t mobile box hook arm trucks, 5 20t box hook arm trucks, 300 for other sanitation vehicles, 30 charging piles, etc.
Baoji City	Disposal facility	Closure of the Changshougou Landfill

Source: Feasibility Study Report, August 2022

1.2 Scope and Application

A consolidated SEP¹³ has been prepared for the Batch 1 subprojects. Due to the similarity of different subprojects, this SEP makes a comprehensive analysis of the stakeholders by facility type for the first batch of investments in Baoji City, Linwei District, Chengcheng County and Chencang District, and describes special items separately in relevant sections to present unique contexts, particular stakeholder characteristics, special consideration to promote effective information disclosure and meaningful consultation.

This SEP identifies stakeholders involved in the Batch 1 subprojects, their needs, the Project's impacts on them and their influence on the Project systematically, and proposes measures to ensure effective and inclusive engagement throughout the life cycle of relevant sub-projects. At the preparation stage, consultation was conducted with key stakeholders (especially project-affected parties) to collect their suggestions on the project design, environment and social (E&S) risk management, and project construction and operation. This SEP also identifies stakeholders of project-related facilities, assess the impact of the project on these facilities and develop appropriate action plans. This SEP also conducts stakeholder engagement on the concept of including non-recyclable mulch film into waste treatment systems for disposal in the future, and makes arrangements for meaningful consultation with agencies and groups concerned on the feasibility of implementation.

After this SEP is approved by the Bank, Foreign Loan Project Management Office of Shaanxi Province (Hereinafter referred to as "Shaanxi PMO") will split this SEP by county / district with the assistance of the E&S experts, who will offer training to the PMOs, PIUs and government agencies concerned. The Shaanxi PMO will appoint an independent external social consultant to monitor and evaluate stakeholder engagement activities of the city / county / district PMOs and PIUs,

¹³An SEF has been prepared for the subsequent batches of subprojects, which have not confirmed the technical details (location, size, technical solution, layout, etc.) at the Appraisal stage.

and conduct dynamic adjustment according to the Bank Environmental and Social Framework (ESF).

1.3 Objectives

According to the Bank's ESF, and ESS10—Stakeholder Engagement and Information Disclosure, stakeholder engagement is an inclusive process that runs through the project lifecycle. Its proper design and implementation is critical to successful E&S risk management. The main objectives of stakeholder engagement for the Batch 1 subprojects include but are not limited to:

- Identify stakeholders involved in the p 1 subprojects (Linwei District, Chengcheng County, Chencang District and Baoji City), including project-affected parties (especially vulnerable groups), and key government agencies, individuals and groups having substantial influence on the Project, and analyze the Project's impacts on them and their influence on the Project.
- Identify the Project's environmental and social (E&S) risks and impacts based on stakeholders engagement carried out during project preparation by PMOs and social assessment agency, and analyze stakeholders' concerns in the site selection and land use of waste facilities, labor contract management, occupational health and safety (OHS), traffic safety, etc., thereby supporting site selection, SIA scoping, the identification of risk management measures, and project decision-making.
- In the project lifecycle, optimize the project design through the coordination of SIA agency with the environment impact assessment (EIA) and feasibility study agencies, including optimizing front-end facility site selection in Linwei/Chengcang districts and the safety design of the access road of the Changshougou Landfill.
- Further improve the environment and social commitment plan (ESCP), environment and social management plan (ESMP), GRM, etc. based on stakeholder feedback about the project E&S impacts (including perceived) and mitigation measures, and define the responsibilities and resources of the agencies responsible, thereby supporting successful project construction and operation.
- Through the formulation and implementation of the SEP, further integrate information disclosure and stakeholder engagement requirements of different government agencies concerned, and establish an inter-sectoral interaction mechanism. Identify more suitable entry points for complying with the Bank ESF, expand the depth and width of information disclosure and stakeholder engagement, further develop relevant measures, and

establish GRMs for communities and workers, and adjust relevant arrangements dynamically.

2 Policies Framework for Stakeholder Engagement

The Shaanxi PMO promises to conduct information disclosure, stakeholder engagement and grievance redress in accordance with the applicable state laws and regulations, the Bank ESF, and local conditions. The requirements in this chapter constitute the basis for stakeholder engagement activities under the Batch 1 subprojects.

2.1 PRC Laws and Regulations on Stakeholder Engagement

China has been exploring institutional mechanisms to improve the transparency and participation level of governance, and involve the public in decisions and projects affecting their lives. The laws and regulations on stakeholder engagement applicable to the Project include:

- **Comprehensive**
 - Constitution of the People's Republic of China (PRC) (amended in 2018);
 - Organic Law of Village Committees (amended in 2018);
- **EIA**
 - Land Administration Law (amended in 2019);
 - Law on Environmental Impact Assessment (effective from 2003, amended in 2018);
 - Measures for Public Participation in Environmental Impact Assessment (effective from 2019);
 - Administrative Measures for the Disclosure of Corporate Environmental Information (effective from 2022)
- **Social stability risk assessment (SSRA) and LAR**
 - Measures for Announcement of Land Acquisition (effective from 2010);
 - Interim Measures for Social Stability Risk Assessment for Major Projects (effective from 2012);
 - Guide on Disclosure of Grass-root Government Affairs in Rural Land Acquisition (effective from 2019);

2.1.1 General Laws and Regulations

The Constitution and other laws on grass-root community organizations actively promote public participation in public affairs.

Article 2 of the Constitution of the PRC (amended in 2018) stipulates, “The people shall administer state affairs and manage economic, cultural and social affairs through various channels and in various ways in accordance with the law.”

The **Organic Law of Village Committees** (amended in 2018) guarantees the autonomy and grass-root democracy of rural residents, and protects their basic rights and interests. The main requirements for public participation are as follows:

- A village meeting shall be held with over half of villagers aged above 18 years or representatives of over 2/3 of households in the village present, and resolutions shall be adopted by over half of those present. (Article 22)
- Any matter involving villagers’ interests shall be handled as resolved at a village meeting. (Article 24)

The **Organic Law of Community Committees** (amended in 2018) guarantee the autonomy and grass-root democracy of urban residents, and protects their basic rights and interests. The main requirements for public participation are as follows:

- A village meeting shall be held with over half of residents aged above 18 years or representatives of over 2/3 of households in the community present, and resolutions shall be adopted by over half of those present. (Article 9)
- A community meeting shall be convened and chaired by the community committee, and shall be held as proposed by over 1/5 of residents aged above 18 years, over 1/5 of households or over 1/3 of community groups. Any matter involving residents’ interests shall be handled as resolved at a village meeting. (Article 10)

2.1.2 Information Disclosure and Public Participation in SSRA

In August 2012, the National Development and Reform Commission issued the Interim Measures for Social Stability Risk Assessment (SSRA) of Major Fixed Asset Investment Projects, requiring that an SSRA be conducted for major investment projects. Specifically, it requires that measures be taken to avoid or reduce social risks and impacts, and create a win-win situation between the project and local communities. The project proponent shall:

- Conduct an SSRA;
- Conduct public consultation;
- Identify and assess social risks and impacts;
- Propose mitigation measures to manage identified risks;
- Assess the project’s social stability risk level after the mitigation measures are taken; and
- Submit a social stability risk analysis (as a chapter of the FSR or a

standalone report).

It should be noted that the applicability of SSRA depends on the nature and scale of a subproject, and it does not apply to all subprojects.

2.1.3 Information Disclosure and Public Participation in EIA

China's EIA laws and regulations are increasingly geared to international practices. The Law on Environmental Impact Assessment (amended in 2018) requires that stakeholders be consulted in the whole EIA process. In addition, the Measures for Public Participation in Environmental Impact Assessment issued by the Ministry of Ecology and Environment in 2019 propose requirements on public participation for projects involving EIA.

In practice, the following provisions apply extensively to projects requiring an EIA report:

- Disclose the project name, site or route, scope of construction, etc.;
- After the EIA agency is determined, disclose the contractor's name and contact information, EIA agency's name, link to the public opinion form and means of submission; after the draft EIA report is completed, disclose its link or hardcopy, means and period for public comments, etc.;
- Conduct information disclosure online, through local media and by local posting;
- Conduct consultation by questionnaire, household survey, meeting or otherwise;
- Allow the public to give comments and suggestions by letter, fax, e-mail, etc.

The project proponent and EIA agency should consider stakeholder engagement results carefully, and record the reason for adoption or non-adoption in the EIA report.

The Administrative Measures for the Disclosure of Corporate Environmental Information (effective from 2022) specify the types of enterprises to disclose environmental information according to law, agencies concerned, responsibilities, scope and deadline of disclosure, etc. Information disclosed includes basic information on production and environmental protection, corporate environmental management, pollutant generation, control and emissions, emergency measures, etc.

2.1.4 Information Disclosure and Public Participation in LAR

The **Measures for Announcement of Land Acquisition** (effective from 2010) specify information disclosure and public consultation requirements for communities and residents affected by LAR. After an LA plan is approved, the government shall disclose it to the affected village collective and collect comments; the government shall also disclose DMS results, and the LA compensation and

resettlement program, and APs may apply for a public hearing if they have an objection.

In China, LA information disclosure has been an important aspect of whole-process LA management to solve the transparency problem. The **Guide on Disclosure of Grass-root Government Affairs in Rural Land Acquisition** (effective from 2019) further improves the grass-root government affairs disclosure mechanism, and protects people's rights of information, participation, expression and supervision practically.

More importantly, the **Land Administration Law** effective from 2020 strengthens early-stage stakeholder engagement to manage LAR risks, and protect affected farmers' interests. Article 47 stipulates that LA shall be applied for only if the following activities have been completed:

- a) conducting a current status survey;
- b) conducting a SSRA;
- c) disclosing the range and purpose of acquisition, current status, compensation rate, resettlement mode, social security, etc. for not less than 30 days;
- d) collecting comments from stakeholders;
- e) holding a public hearing if most APs think that the land compensation and resettlement program does not conform to the laws and regulations;
- f) conducting land and asset registration;
- g) entering into compensation and resettlement agreements with APs

2.2 Bank ESSs

Since October 2018, the Bank has applied the new ESF in investment project financing operations, making comprehensive provisions on whole-process stakeholder engagement and information disclosure. The Bank ESF includes a standalone ESS on stakeholder engagement – ESS10, which is therefore the key standard on information disclosure and public consultation. Its key provisions include:

- Communicate with stakeholders continually in the project lifecycle and start early;
- Prepare and implement an SEP, which describes the timing, scope and methods of engagement in the project lifecycle;
- Disclose project information, so that stakeholders learn the Project's risks and impacts, and potential opportunities;
- Conduct meaningful consultation with all stakeholders in a culturally appropriate manner, and provide them with timely, relevant,

understandable and accessible information, so that they are free from manipulation, interference, intimidation and discrimination.

- Keep records of stakeholder engagement, including a brief description, an abstract of feedback, and the reason for giving or not giving feedback; and
- Establish and implement a GRM to receive and solve grievances.

Other ESSs in the Bank ESF raise further requirements (summarized as below) on stakeholder engagement/information disclosure in other ESSs for certain E&S risks¹⁴ that are deemed relevant to the specific subproject activities per the environmental and social assessment:

- **ESS1** defines stakeholder engagement and information disclosure requirements during the ESIA and when a major change involving additional risks occurs (Part E (paragraphs 51-53)).
- **ESS2** specifies that relevant workers and trade unions should be consulted during the ESIA (footnote 2), and that an appropriate GRM should be provided to different types of workers (Part 3, paragraphs 21-23).
- **ESS4** requires that an emergency response plan (ERP) be prepared for potential community health and safety impacts, and resources provided for training and emergency drilling to enhance the capacity of communities to health and safety risks.
- **ESS5** highlights community engagement and grievance redress, and requires that needs of women and vulnerable groups be considered in the whole process of LAR. ESS5 also highlights that coordination with different government agencies be strengthened during LAR implementation and livelihood restoration. (Part C)

2.3 Gaps between PRC Laws and Regulations, and Bank ESSs

In general, China has formulated relevant regulations and policies to communicate with different stakeholders by theme, and relevant work is done by competent authorities. The laws and regulations of China raise requirements for SSRA, EIA, LAR process, etc. for stakeholder engagement in construction projects, including fully covering all stakeholders, collecting their comments, and involving them in the LAR impact survey result verification. To improve transparency, government agencies and project owners should disclose project information as much as possible.

In terms of project implementation, China's policies on information disclosure and stakeholder engagement have some gaps from, ESS10, mainly including:

¹⁴ ESS6, ESS7, ESS8 and ESS9 are currently not relevant to the Batch 1 subprojects.

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- **China's policies do not require the preparation and implementation of an SEP.** China's policies require that information disclosure and public participation in construction projects be conducted by theme, and there is no systematic planning and no effective communication mechanism between agencies concerned, so that information is not fully shared and integrated, and stakeholder engagement is ineffective.
 - **Not all construction projects are subject to public participation and information disclosure.** For example, public participation in EIA is required for special plans involving public environmental rights and construction projects requiring an EIA report only, and not required for construction projects requiring an EIA report form or registration form only; only enterprises with great environmental impacts and public attention are required to disclose corporate environmental information.
 - **Domestic projects pay attention to pre-approval public participation, and somewhat neglect stakeholder engagement during construction and operation.** For some construction projects, public participation is a prerequisite to government approvals (e.g., approvals of feasibility study, EIA and LA), so construction agencies attach importance to such early stage participation, but there is no requirement or arrangement of organization and fund for stakeholder engagement and grievance redress at the construction stage.
 - **In general, domestic modes of information disclosure and stakeholder engagement mainly include questionnaire survey and public hearing.** For example, the Measures for Public Participation in Environmental Impact Assessment require that information disclosure shall be conducted at least by the internet, newspaper and posting, while TV and other new media (WeChat, etc.) are rarely used. In-depth public participation, such as public meetings, hearing and expert discussion meetings, is required only for construction projects with many doubtful public opinions on environmental impacts. In the process of EIA and SSRA, the public participation is mostly through questionnaire survey rather than focus group discussions (FGDs), interviews, etc., and there is limited two-way feedback mechanism. As a result, conflicts arising from inadequate stakeholder engagement may defer the project implementation.

In the preparation and implementation of the Project, information disclosure and stakeholder engagement should be conducted as per the ESF. The analysis of such similarities and gaps between national law and ESF will help identify entry

points for stakeholder engagement, and participation modes suited to project impacts and local conditions.

The Batch 1 subprojects will integrate information disclosure and stakeholder engagement requirements of different government agencies concerned, establish an inter-sectoral interaction mechanism, and expand the depth and width of information disclosure and stakeholder engagement on the basis of ESS10, with particular attention paid to vulnerable groups, and establish mechanisms for community and worker complaints redressing and the whole project monitoring. This SEP specifies the responsibilities for information disclosure and public consultation of the PMOs and PIUs at different stages, and will help handle stakeholder concerns in collaboration with agencies concerned (SIA, EIA and feasibility study agencies, etc.).

3 Summary of Previous Stakeholder Engagement

Activities

3.1 Summary of Previous Activities

Stakeholder engagement activities conducted by the project appraisal include: a) jointly facility site selection by the PMOs and government agencies concerned; b) solving key issues in project design and planning through government internal coordination meetings; and c) information disclosure and public consultation activities conducted by the SIA, EIA and feasibility study agencies at the preparation stage.

At the preparation stage, the SIA agency conducted a series of engagement activities by means of FGD, key informant interview (KII), field visit, questionnaire survey, etc. to discuss the scope of the Project, potential E&S risks and impacts, and provide support for design optimization. Target groups of public participation include workers, village / community officials and residents, nearby communities and residents, schools, persons affected by LAR, operators of existing facilities, owners and third party operators of project-related facilities, heads of PMOs and PIUs, government agencies concerned, township governments, EIA and feasibility study agencies, etc. See Table 3-1.

All completed activities have been conducted according to the applicable domestic procedures, including communication and coordination with competent authorities, and information disclosure and public participation during the EIA and project implementation.

The SIA agency has extended the depth and width of stakeholder engagement activities based on the ESF to cover more stakeholders in the whole waste management chain from frontend collection to rear-end supporting facilities, and applied more modes of information disclosure and participation for different stakeholders' characteristics, needs and influence to learn their attitudes, needs and suggestions more comprehensively, and further improve the project design and relevant management measures. An appropriate action plan has been prepared systematically to direct subsequent information disclosure, public consultation, community communication, grievance redress, etc. in the Batch 1 subprojects.

Public participation activities that have been conducted are summarized as follows:

Joint site selection: Under the direction of the Shaanxi PMO, the county / district PIUs, SIA agency, EIA agency, township governments, natural resources offices, and village committees have jointly selected 58 sites. The SIA agency has changed 10 sites based on the distribution of socially sensitive sites and nearby communities' suggestions. Through site selection, nearby schools, kindergartens, residential houses and other sensitive sites are avoided, and LAR impacts are minimized.

Coordination of land use: In May 2022, a topical meeting on WTS site selection was chaired by Tian Jin, head of the United Front Work Department of the Linwei District CPC Committee (also a member of the district PLG), involving the district natural resources bureaus, federation of supply and marketing cooperatives, creation and innovation base, and ESC. It was resolved that the land ownership of the 4 WTSs remained unchanged, and the ESC would be responsible for construction. Through government coordination, the land use problem has been solved.

Interview with government agencies concerned: The SIA agency interviewed the agencies concerned (mainly including city / county / district natural resources bureaus, health commissions, etc.) to learn the applicable regulations, technical standards and requirements related to facility land use, OHS, community health and safety, etc., thereby developing risk mitigation measures in compliance with the applicable domestic regulations and ESSs.

Key informant interview: The SIA agency interviewed key informants (mainly including PIUs and their authorities, persons responsible of existing facilities, owners and third party operators of project-related facilities, EIA agency, and township and village officials) both in the field and online to learn potential E&S risks of existing facilities, project-related facilities and future project activities (including LAR, working conditions, OHS, community health and safety, traffic safety, NIMBY, etc.), existing management measures, and E&S risk management suggestions for future operation.

FGD: The SIA agency held FGDs with workers of existing facilities, community workers, nearby residents, school teachers, etc. to learn their working conditions, working hours, overtime, remuneration, OHS training, protection, physical checkup, etc., and concerns and suggestions on noise, odor and traffic safety risks during construction and operation.

Table 3-1 Statistics of Engagement Activities

Subjects	Linwei District	Chengcheng County	Chencang District	Baoji City	Total
Heads of PIUs	6	7	5	3	21
Heads of existing facilities	6	6	2	3	17
Workers	66	5	6	4	81
Where: direct workers	15	11	8	5	39
Community workers	35	43	20		98
Contracted workers	6	5	2	7	20
Township governments	17	18	29	2	66
Village / community committees	35	26	30	1	92
Nearby community residents	66	75	70	6	217
Nearby schools	4	11	/	/	15
Interview with government agencies concerned	49	27	22	2	100
Where: health commissions	4	3	4	/	11
Natural resource bureaus	3	2	3	/	8
Labor and social security	7	2	2	/	11

Subjects	Linwei District	Chengcheng County	Chencang District	Baoji City	Total
y bureaus					
Housing construction bureaus	5	2	1	/	8
Ecology and environment bureaus	5	2	3	/	10
Agriculture and rural affairs bureaus	3	3	4	/	10
Women's federations	4	3	2	/	9
Emergency management bureaus	2	3	1	/	6
Political and legislative affairs committees	2	/	/	/	2
Market regulation bureaus	1	1	/	/	2
Federations of trade unions	7	2	2	/	11
Federation of supply and marketing cooperatives	2	2	/	/	4
Quality supervision stations	/	2	/	2	4
Ethnic and religious affairs bureaus	4	/	/	/	4
Feasibility study agency	3	2	3	/	8
EIA agency	4	4	/	/	8
Questionnaire survey	1237	584	955	18	2794

Questionnaire survey: The SIA agency also conducted a questionnaire survey on local residents with the support of the city / county / district PMOs (urban areas: officials, teachers, property management workers, cleaners, residents, etc.; rural areas: officials, cleaners, transfer workers, farmers, etc.) to learn their attitudes to and suggestions on waste sorting and site selection. Due to limited time and COVID-19, the survey was conducted both on site and electronically. 1,008 valid copies were collected from urban areas, and 1,768 from rural areas, from 97 villages / communities in 42 townships / sub-districts, including 4 communities in 4 sub-districts and 38 villages in 14 townships in Linwei District, 2 communities in one sub-district and 22 villages in 9 townships in Chengcheng County, 4 communities in 3 sub-districts and 26 villages in 10 townships in Chencang District, and one village in one township in Baoji City (see Table 3-2).

Table 3-2 Distribution of Questionnaire Survey Sample

City / county / district	Urban areas			Rural areas		
	Sub-districts	Communities	Copies	Townships	Villages	Copies
Linwei District	4	4	478	14	38	759
Chengcheng County	1	2	104	9	22	480
Chencang District	3	4	426	10	26	529
Baoji City	/	/	/	1	1	18
Total	8	10	1008	34	87	1786

In Baoji City, the survey covers nearby communities of the Changshougou Landfill only.

3.2 Questionnaire Survey Results

1) Questionnaire survey for urban residents

The survey on urban residents covers 10 communities in Linwei District, Chengcheng County and Chencang District, including officials, teachers, property management workers, community cleaners, enterprise employees, sanitation workers, etc. 68% of the respondents are women, and the respondents aged 46-60 years are the most.

For waste collection and sorting, 97.72% of the respondents support the Project, 94.64% support waste sorting pavilions in communities, and over 50% choose a maximum distance of waste sorting pavilions of 20-30m.

For recyclable disposal, 69.35% would sell cardboards, plastic bottles and other recyclables to recycling sites, with monthly income of 1-5 yuan.

For waste transfer, 67.26% prefer transfer out of communities; 74.8% think that the transfer frequency is not enough and protective measures are inadequate.

For grievance redress channel related to waste disposal, 41.47% think that the most effective channel is community committees, 23.51% choose government agencies concerned, such as urban administration bureaus, and ecology and environment bureaus.

For the Project's impacts, 71.43% think that potential risks of waste sorting pavilions, waste collection sites and WTSs are noise and odor.

2) Questionnaire survey for rural residents

The survey on rural residents covers 86 villages in 33 townships in Linwei District, Chengcheng County, Chencang District and Baoji City, including township and village officials, township and village cleaners, transfer workers, farmers, etc. 37% of the respondents are women, and the respondents aged 18-45 years are the most. 97.72% of the respondents support the Project.

For waste collection and sorting, over 90% of the respondents support waste sorting into recyclable and other waste, and 70% expect the shortest distance of a waste collection point to be 50m.

For recyclable disposal, most rural residents would sell cardboards, plastic bottles and other recyclables to recycling sites, with monthly income of 1-5 yuan.

For waste transfer, most respondents think that the deficiencies in existing waste transfer facilities are the low frequency of waste transfer and inadequate protection during transfer.

For waste disposal, over 60% think that the most urgent waste disposal problem is waste transfer and treatment, followed by waste sorting. Over 50% think that the Project will improve the local waste disposal level significantly.

For mulch film hazards and disposal, most respondents think that used mulch film would be very harmful to the local environment and soil if not disposed of; most respondents in Chencang District choose dump it in fields / ditches or into waste bins, or burn it locally, and only 32.9% choose recycling; 64.9% in Linwei District and 61.4% in Chengcheng County choose sale after collection. The main reason for not putting it to village collection sites or selling it for recycling is

difficult picking; over 50% are willing to recover used mulch film by monetary compensation.

For the Project's impacts, most respondents in Chencang District think that the Project will affect nearby market towns and schools, while most respondents in Linwei District and Chengcheng County think that the Project will have no impact.

For grievance redress channel related to waste disposal, most respondents think that the most effective channel is government agencies at or above the county / district level, followed by village committees.

3.3 Findings and Suggestions

Through the stakeholder engagement activities completed at the preparation stage, many meaningful findings and suggestions have been generated in relation to facility site selection, system design and operation, land approval, working conditions and OHS management, etc., as summarized in Appendix 1.

- **Stakeholder engagement should be conducted early on and run through the whole project lifecycle, and great attention paid to NIMBY risks of facilities at the early stage.** For communities, schools and other sensitive sites near waste disposal facilities, emphasis should be put on the management of noise, odor and traffic safety risks during operation.
- **Workers at transfer and disposal facilities are exposed to OHS risks.** For most landfills, transfer facilities and sorting facilities, occupational hazard screening and occupational health checkups are not implemented, the city / county / district PMOs and PIUs should learn relevant requirements and procedures in consultation with local health commissions, and implement them in project implementation.
- **To establish effective integrated urban and rural waste management systems, attention should be paid to working conditions of front end community workers to improve their safety awareness.** Improve the labor rights and safety management of community workers, including labor contract signing, safety training, accident insurance and GRM improvement. The county / district environmental sanitation authorities should direct and supervise their management.
- **Formulate and monitor the health risk management plan for residents within safety exclusion zone of the Chengcheng Landfill.** Meaningful consultation should be conducted with the concerned households during the thematic assessment on community health and safety risks to learn their concerns, attitudes and needs, incorporate reasonable needs into the relevant management plan, and community

management monitored during and after landfill closure, including grievance redress.

- **Determine resettlement follow-up programs for villages and villagers affected by land lease for some facilities.** Part of the land used for the Yaotou Landfill in Chengcheng County and the Majiagou Landfill in Linwei District is leased for historical reasons. Resettlement programs after closure should be determined through consultation with these villages and villagers, such as continued lease or return.
- **Optimize the project design and selected locations.** Locations of front end waste collection points and waste collection sites, and front end collection vehicles should be selected in consultation with community residents. For example, a higher power model should be selected for waste collect in the Xishan area in Chencang District.

3.4 Solutions Based on Social Audit Findings

On September 14 and 15, 2022, the social audit team conducted meaningful communication on the social audit findings, improvement measures and ESCP with the Shaanxi PMO, city / county / district PMOs, county / district natural resources bureaus, PIUs, and design agency. In particular, adequate communication was conducted on land use, design and future monitoring for substantial risks of some landfill closure subprojects in land use (e.g. outstanding issues in land approval of some landfills to be closed), OHS (e.g., no occupational hazard screening and no occupational health checkup), and community health and safety (e.g. residents within the safety exclusion zone of the Chengcheng Landfill). The social audit team proposed to improve the LMP, strengthen community communication, and health and safety management, and complete land use procedures, and agreed on the ESCP.

3.5 Information Disclosure Completed at the Preparation Stage

During the preparation of the E&S documents of the Batch 1 subprojects, the SIA and EIA agencies communicated with the Shaanxi PMO, city / county / district PMOs and government agencies concerned on the impacts and risks identified, and mitigation measures.

The Shaanxi PMO disclosed the draft E&S documents of the Batch 1 subprojects on its official website on September 23, 2022 (including EIA report, social audit report, SIA report, SEP, LMP, RAP, ESMF, ESCP, SEF, LMPF, etc.) (see Figure 3-1).



Figure 3-1 Disclosure of Draft E&S Documents for Batch 1 Subprojects

According to WB’s comments and the feedbacks from the public, Shanxi PMO further modified draft E&S documents that were cleared by WB in November 2022. After then, Shaanxi PMO re-disclosed the final E&S documents on the official website of <http://sndrc.shaanxi.gov.cn/fgyw/tzgg/FBjQbe.htm> on 23 November 2022. Please refer to Figure 3-2.



Figure 3-2 Final E&S Documents Disclosure

4 Stakeholder Identification and Analysis

4.1 Stakeholder Identification

According to the Bank's ESS10, the Project's stakeholders include: project-affected parties, other interested parties and vulnerable groups:

- **Project-affected parties** are individuals or groups affected or potentially affected by the Project, including those affected directly and indirectly.
- **Other interested parties** are individuals or groups potentially interested in the Project.
- **Vulnerable groups** refer to those who may be more likely to be adversely affected by the project impacts and/or more limited than others in their ability to take advantage of a project's benefits. Such an individual/group is also more likely to be excluded from/unable to participate fully in the mainstream consultation process and as such may require specific measures and/or assistance to do so.

For the Batch 1 subprojects, stakeholder identification covers the construction and operation stages of existing facilities or activities, as well as Bank-supported new projects or activities. From the perspective of waste collection and transfer systems, stakeholder identification in the Batch 1 subprojects covers the whole process of waste management, from cleaning and collection to transfer and then to disposal (e.g., landfills, incineration plants). Stakeholders identified are analyzed below:

1) Project-affected parties

Since different facilities have different types and levels of E&S impacts, project-affected parties will be identified and analyzed by facility type. Common facilities will be analyzed generally, and special ones will be analyzed separately.

The Batch 1 subprojects' project-affected parties include:

- **Project workers, including direct, contracted and community workers**, excluding primary supply workers:
 - **Direct workers** are those employed directly by the PMOs and PIUs in relation to the project, responsible for O&M of the front end waste cleaning and transfer, WTSs, sorting center and landfills closure, including:
 - Sanitation workers employed by the environmental sanitation authorities¹⁵, responsible for waste collection and transfer in

¹⁵ The environmental sanitation authorities are the agencies responsible for environmental sanitation and facility management under the county / district governments, namely the Linwei District, Chengcheng County and Chencang District ESCs.

urban public spaces in Linwei and Chencang Districts¹⁶, and the O&M of waste sorting pavilions and urban waste collection sites (in Chencang District only);

- Sanitation workers employed by the township governments in Linwei and Chencang Districts¹⁷, responsible for waste collection and transfer, and the O&M of waste collection points and rural waste collection sites (in Chencang District only);
 - Workers employed by the environmental sanitation authorities, responsible for the operation of the WTSs in Linwei District, Chengcheng County and Chencang District;
 - Workers employed by the Chencang District Waste Management Service Center, responsible for the operation of the transfer truck parking and maintenance center;
 - Workers employed by Linwei District Used Material Recycling Company under the Linwei District Federation of Supply and Marketing Cooperatives, responsible for the operation of the sorting center in Linwei District;
 - Workers employed by the environmental sanitation authorities, responsible for construction of and maintenance after the closure of the Majiagou, Chengcheng, Yaotou and Changshougou Landfills
- **Contracted workers** are those employed by third parties (contractors, subcontractors, etc.) in relation to the Project's core functions, mainly including contracted workers dealing with project construction, and workers employed by service outsourcing companies for certain project activities, including:
- Construction contractor workers of all subprojects in Linwei District, Chengcheng County, Chencang District and Baoji City;
 - Workers of waste collection and transfer service outsourcing companies in some townships in Linwei District;

¹⁶ Investment activities in Chengcheng County do not involve the construction of urban front end facilities, and mainly involve the purchase of electric collection vehicles for villages.

¹⁷ No ESC is established at the township level; for future integrated urban and rural sanitation services, the ESCs will extend their functions to the township level, but will be responsible for directing rural sanitation management and waste collection and transfer, and township sanitation workers will still be employed by the township governments directly as direct workers; in Chengcheng County, village-level investment activities mainly involve the purchase of electric collection vehicles for villages, and do not involve the construction of front end collection sites.

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- Workers of O&M service outsourcing companies after the closure of the Majiagou and Changshougou Landfills, such as workers of leachate treatment and biogas power generation plants;
 - **Community workers** are those employed by communities, providing services related to project activities, mainly including rural cleaners and transfer workers, mostly on public welfare jobs:
 - Village cleaners and transfer workers on public welfare jobs in Linwei District, Chengcheng County, Chencang District, responsible for waste collection and transfer, and the cleaning and maintenance of front end waste collection points in Linwei and Chencang Districts. (After project completion, the current pattern that villages and village groups are responsible for engaging community cleaners will not change, but managing village-community workers's relationship will be normalized and regulated in align with the integration of urban and rural waste management.)
 - Property management cleaners in urban residential communities in Linwei District and Chencang District;
 - Cleaners and transfer workers of the Chengcheng County Mining Bureau¹⁸.
 - **Nearby community residents and social sensitive sites**, mainly including communities, kindergartens, schools, stores around waste facilities and affected by transfer trucks, mainly including:
 - **Communities near front end collection facilities:** Front end collection facilities mainly include waste collection points and waste sorting pavilions in Linwei District and Chengcheng County, and waste collection sites in Chencang District. Such facilities are small in scale, and have insignificant E&S impacts on nearby communities, but the sites selection need to proactively consult the communities to seek feedbacks;
 - **Communities near transfer and sorting facilities:** There is no settlement or any other building within the health protection distance

¹⁸Within the jurisdiction of the Chengcheng County Mining Bureau, there is a resident population of 19,000, and there are 5 communities and two office buildings. It employs and manages 23 cleaners and 5 transfer workers. After project completion, the Chengcheng County Mining Bureau will still be responsible for cleaning, and waste transfer will be handed over to the county ESC.

(8m) of the WTSs in Linwei District, Chengcheng County and Chencang District, and the sorting center in Linwei District. The sensitive sites out of the health protection distance but close to such facilities include:

- A high school (Weinan Experimental Junior High School) 17m away from the Shunli WTS in Linwei District;
 - A community 10m away from the sorting center in Linwei District;
 - A kindergarten (Huifu Kindergarten, with 6 workers and 70 kids) 50m west of the Zhaozhuang Town WTS in Chengcheng County.
- **Communities around landfills:** There is no settlement or any other building within the health protection distance (500m) of the Yaotou, Majiagou and Changshougou Landfills, but there is a settlement within the health protection distance of the Chengcheng Landfill, and it may be exposed to community health and safety impacts; the Changshougou Landfill has a slope instability risk, and may affect Groups 11 and 12 of Baoling Village, several downstream enterprises (including the leachate treatment plant, WTE plant, biogas power plant and office building of Solid Waste Management Center) and nearby road transportation may have safety risks.
 - **Communities run through by transfer trucks:** Waste transfer trucks run through some communities, schools, etc., and may pose traffic safety risks. Attention should be **paid** to those residents, such as several households near the access road of the Changshougou Landfill.
 - **Village collectives and villagers affected by LAR:** Most facilities under the Batch 1 subprojects will use existing land, and do not involve additional LAR. 12 new WTSs involve additional LAR, affecting 12 villages; most of the land used is collective construction land, and only two WTSs will affect 4 households with 16 persons in two villages.
 - LAR for two WTSs in Linwei District: LAR for the Jiaoxie Town WTS will affect two households with 9 persons in Xinzhai Village, and LAR for the Weilan Road WTS will affect two households with 7 persons in Hanma Village;
 - LAR for 7 WTSs in Chengcheng County (Chengguan, Wangzhuang, Fengyuan, Jiaodao, Weizhuang, Zhuangtou, Siqian and Yaotou Towns)

will affect collective construction land or industrial and mining land in 7 villages, and do not affect villagers.

- LAR for 3 WTSs in Chencang District (Xinjie, Xiangquan and Tuoshi Towns) will affect collective construction land in Xinjie, Shiyao and Mengjiayuan Villages, and do not affect villagers.
- **Vulnerable groups, such as waste pickers at township unofficial waste dumps.** In township unofficial waste dumps in Linwei District, Chengcheng County and Chencang District, a small number of villagers pick waste. Each township unofficial waste dump has one or two waste pickers, but they mostly do not live on waste picking. There are about 36 township unofficial waste dumps, and about 50 waste pickers in total. With the improvement of waste systems in the 3 counties / districts, waste will not be transferred to such dumps, thereby potentially affecting the income of these waste pickers. These waste pickers are usually poorly educated and unskilled, and relatively difficult to enjoy development opportunities generated by the Project.

See Table 4-1 for details.

Table 4-1 Identification and Analysis of Project-affected Parties¹⁹

Type	Project-affected party		Impacts by the Project	Influence on the Project	
Collection facilities	Workers	Direct workers	Responsible for waste collection and transfer in urban public spaces in Linwei and Chencang Districts, and the O&M of waste sorting pavilions and urban waste collection sites (in Chencang District only)	Inconsistent employment terms, working hours, salaries and benefits with legal requirements, OHS impacts during operation (including COVID-19 spreading), traffic safety risks during transfer truck driving	Responsible for waste transfer, site cleaning, security, waste handling, etc., playing an important role in successful project operation
			Sanitation workers employed by the township governments in Linwei and Chencang Districts, responsible for waste collection and transfer, and the O&M of waste collection points and rural waste collection sites (in Chencang District only)	Inconsistent employment terms, salaries and benefits with legal requirements, OHS impacts during operation (including COVID-19 spreading), traffic safety risks	
		Contracted workers	Workers of waste collection and transfer service outsourcing companies in some townships in Linwei District	Inconsistent employment terms with legal requirements, OHS impacts during operation (including COVID-19 spreading), traffic safety risks	
		Community workers	Village cleaners and transfer workers on public welfare jobs in Linwei District, Chengcheng County, Chencang District, responsible for waste collection and transfer, and the cleaning and maintenance of front end waste collection points (in Linwei and Chencang Districts only)	Inconsistent employment terms and insurance (accident) with legal requirements, OHS impacts during operation (including COVID-19 spreading), traffic safety risks, especially on rainy and snowy days, and in hilly areas	
			Property management cleaners in urban residential communities in Linwei District and Chencang District;	COVID-19 spreading risks	
			Cleaners and transfer workers of the Chengcheng County Mining Bureau	OHS impacts during operation (including COVID-19 spreading), traffic safety risks; Potential job transfer at the operation stage	

¹⁹ This table identifies and analyzes project-affected parties by facility type, and describes any special subproject separately.

Type	Project-affected party			Impacts by the Project	Influence on the Project
	Nearby communities and residents, and those exposed to traffic safety risks			Noise, dust, odor and other environmental impacts during the construction and operation of transfer stations and transfer truck maintenance center (including COVID-19 spreading), traffic safety risks	They should be consulted on site selection; their support is the foundation of successful project construction and operation.
	Waste pickers at township unofficial waste dumps			With the improvement of waste systems in the 3 counties / districts, waste will not be transferred to such dumps, thereby potentially affecting their income. They are relatively difficult to enjoy development opportunities generated by the Project.	Negligible influence on the Project
Transfer facilities	Workers	Direct workers	Responsible for WTS operation in Linwei District, Chengcheng County and Chencang District	Inconsistent employment terms, working hours, salaries and benefits with legal requirements, OHS impacts during landfill gas and leachate treatment (including COVID-19 spreading), traffic safety risks	Responsible for waste transfer, site cleaning, security, waste handling, etc., playing an important role in successful project operation
			Responsible for transfer truck maintenance center operation in Chencang District		
	Contracted workers	Contractor workers of WTS construction in Linwei District, Chengcheng County and Chencang District	Construction safety, COVID-19 spreading risks, etc.	Playing an important role in successful project construction and operation	
		Contractor workers of the transfer truck maintenance center in Contractor workers			
	Nearby communities and residents, and those exposed to traffic safety risks			Noise, dust, odor and other environmental impacts during the construction and operation of transfer stations and transfer truck maintenance center (including COVID-19 spreading), traffic safety risks	Their support is the foundation of successful project construction and operation.
Villages and villagers affected by LAR	Linwei District	4 households with 16 persons affected by LAR for the Jiaoxie Town and Weilan Road WTSs	Losing land due to project construction	They should be consulted on site selection; their satisfaction with compensation, resettlement and livelihood restoration relates to project construction and operation; their support is the foundation	

Type	Project-affected party		Impacts by the Project	Influence on the Project
				of successful project implementation.
		Chengcheng County	8 villages affected by LAR for 8 WTSs	Affecting the villages' income slightly because the acquired land is unused construction / industrial and mining land They support WTS construction. Their support is the foundation of successful project construction and operation. The distribution and use of LA compensation will affect project construction to some extent.
		Chencang District	3 villages affected by LAR for 3 WTSs	Affecting the villages' income slightly because the acquired land is unused construction land They should be consulted on site selection. They support WTS construction. Their support is the foundation of successful project construction and operation. The distribution and use of LA compensation will affect project construction to some extent.
Sorting facilities ²⁰	Workers	Direct workers	Workers of the Linwei District sorting center, including sorters, operators, cleaners, etc.	Inconsistent employment terms, working hours, salaries and benefits with legal requirements, OHS impacts during operation (including COVID-19 spreading) Playing an important role in successful project operation
		Contracted workers	Contractor workers of the Linwei District sorting center	Inconsistent employment terms, salaries and benefits with legal requirements, OHS impacts during construction (including COVID-19 spreading) Playing an important role in successful project operation
	Nearby communities and residents, and those exposed to traffic safety risks			Noise, dust, odor and other environmental impacts during the construction and operation of the sorting center (including COVID-19 spreading) Their support is the foundation of successful project construction and operation.

²⁰ In the Batch 1 subprojects, only the subprojects in Linwei District involves sorting facilities.

Type	Project-affected party		Impacts by the Project	Influence on the Project	
Landfill closure	Workers	Direct workers	O&M workers during and after landfill closure	Inconsistent employment terms, working hours, salaries and benefits with legal requirements, OHS impacts during landfill gas and leachate treatment (including COVID-19 spreading)	Their support is the foundation of successful closure and maintenance.
		Contracted workers	Workers of O&M service outsourcing companies after the closure of the Majiagou and Changshougou Landfills, such as workers of leachate treatment and biogas power generation plants		
	Nearby communities and residents, and those exposed to traffic safety risks		Community health and safety impacts due to odor, landfill gas poisoning and explosion, slope instability risk during landfill closure (including COVID-19 spreading), traffic safety risks	Their support is the foundation of successful closure and operation. Their understanding and support of environmental, health and safety impacts is the foundation for the proper handling of community relations.	
	Villages and villagers affected by land lease for landfills		Land occupation, land rental / compensation payment, health and safety risks after closure, obtain the opportunity to share the benefits in case of land use change	Their understanding and support of land use, environmental, health and safety impacts is the foundation for the proper handling of community relations.	

2) Other interested parties

Based on the available project information, other interested parties involved in the construction subprojects include without limitation:

- PSC;
- Shaanxi PMO;
- City / county / district PLGs;
- City / county / district PMOs²¹;
- PIUs;
- Provincial, city / county / district government agencies concerned: including development and reform commissions, finance bureaus, urban administration bureaus, federations of supply and marketing cooperatives, ARABs, health commissions, natural resources bureaus, ecology and environment bureaus, market regulation bureaus, housing and urban-rural development bureaus, labor and social security bureaus, etc.;
- Owners and third party operators of project-related facilities or relevant facilities;
- Township governments / sub-district offices and village / community committees;
- Community property management companies;
- Urban and rural residents;
- NGOs, including industry associations and NPOs;
- Design, SIA and EIA agencies;
- Contractors;
- Local media, etc.

The key approval authorities include natural resources bureaus, health commissions, etc. See Table 4-2.

Table 4-2 Identification and Analysis of Other Interested Parties

Other interested party	Influence on the Project
PSC	• Coordinating project implementation at the provincial level, studying, formulating and implementing relevant policies, directing the project cities / counties / districts to improve urban and rural waste management and mulch film recycling systems, piloting

²¹ The Linwei District PMO is established at the Linwei District ESC, the Chengcheng County PMO at the district agriculture and rural affairs bureau, the Chencang District PMO at the district urban administration and law enforcement bureau, and the Baoji City PMO at the municipal urban administration and law enforcement bureau.

Other interested party		Influence on the Project	
		incentive mechanisms for urban and rural plastic waste reduction, and strengthening policy coordination with the state authorities concerned	
Shaanxi PMO		<ul style="list-style-type: none"> Responsible for overall project management, and promoting coordination between the SIA, EIA and design agencies, and provincial government agencies concerned Strengthening procurement management, and ensuring that relevant E&S requirements are included in the bidding documents Offering E&S training, reporting project progress and E&S performance to the Bank, and arranging stakeholder engagement funds 	
City / county / district PLGs		<ul style="list-style-type: none"> Making decisions on project implementation at the city / county / district level, including coordinating government agencies concerned, conducting institutional integration, and arranging budgets and operating funds; Handling outstanding issues in landfill land use 	
City / county / district PMOs		<ul style="list-style-type: none"> Preparing for and implementing local subprojects, giving directions and conducting supervising Setting up relevant agencies and arranging budgets to implement E&S measures, and conducting information disclosure, public consultation and grievance redress 	
PIUs	Construction stage	Linwei District ESC ²²	<ul style="list-style-type: none"> Constructing the subprojects in Linwei District Implementing the E&S requirements in the bidding documents, and managing the performance of contracted workers Implementing the ESCP and E&S management measures
		Chengcheng County ESC ²³	<ul style="list-style-type: none"> Constructing the subprojects in Chengcheng County Implementing the E&S requirements in the bidding documents, and managing the performance of contracted workers Implementing the ESCP and E&S management measures
		Baoji City SWMC ²⁴	<ul style="list-style-type: none"> Constructing Changshougou Landfill closure Implementing the E&S requirements in the bidding documents, and managing the performance of contracted workers Implementing the ESCP and E&S management measures
		Chencang District Urban Administration and Law Enforcement Bureau	<ul style="list-style-type: none"> Constructing the subprojects in Chencang District Implementing the E&S requirements in the bidding documents, and managing the performance of contracted workers Implementing the ESCP and E&S management measures
	Operation stage	Linwei District ESC	<ul style="list-style-type: none"> Operating the Batch 1 subprojects (except front end collection facilities and sorting center)
		Linwei District Used Material Recycling Company ²⁵	<ul style="list-style-type: none"> Operating the sorting center
		Township governments and village committees in Linwei District	<ul style="list-style-type: none"> Operating and maintaining township and village front end waste transfer and collection facilities; coordinating and managing community workers
		Chengcheng County ESC	<ul style="list-style-type: none"> Operating the Batch 1 subprojects in Chengcheng County (except front end collection facilities) Implementing the ESCP and E&S management measures
		Township	<ul style="list-style-type: none"> Responsible for waste collection and transfer, and the O&M of

²² A public institution under the Linwei District Government

²³ A public institution under the Linwei District Federation of Supply and Marketing Cooperatives

²⁴ A public institution under the Baoji Municipal Urban Administration and Law Enforcement Bureau

²⁵ A public institution under the Linwei District Federation of Supply and Marketing Cooperatives

Other interested party		Influence on the Project
	governments and village committees in Chengcheng County	waste collection points
	Chengcang District Waste Management Service Center ²⁶	<ul style="list-style-type: none"> Operating the Batch 1 subprojects in Chengcang District (except front end collection facilities) Implementing the ESCP and E&S management measures
	Township governments and village committees in Chengcang District	<ul style="list-style-type: none"> Operating and maintaining township and village front end waste collection points, and 28 rural collection sites
	Baoji City SWMC ²⁷	<ul style="list-style-type: none"> Operating the Changshougou Landfill after closure Implementing the ESCP and E&S management measures
City / county / district agencies concerned ²⁸	Development and reform commissions	<ul style="list-style-type: none"> Responsible for project initiation and approval
	Finance bureaus	<ul style="list-style-type: none"> Handling on-lending matters, and providing fiscal budgets for sustainable operation of integrated urban and rural waste management systems
	Housing and urban-rural development bureaus	<ul style="list-style-type: none"> Planning local urban and rural domestic waste collection, transfer and disposal systems
	Urban administration and law enforcement bureaus	<ul style="list-style-type: none"> Implementing the ESCP and relevant E&S management measures; The Chengcheng County Urban Administration and Law Enforcement Bureau will direct and supervise the Chengcheng County ESC to construct the subprojects in the county, and receive and handle relevant grievances; The Chengcang District Urban Administration and Law Enforcement Bureau will direct and supervise the Chengcang District Waste Management Service Center to implement the subprojects in the district, and receive and handle relevant grievances; The Baoji Municipal Urban Administration and Law Enforcement Bureau will direct and supervise the Baoji City SWMC to implement Changshougou Landfill closure, and receive and handle relevant grievances.
	Chengcheng County Agriculture and Rural Affairs Bureau	<ul style="list-style-type: none"> Implementing the ESCP and relevant E&S management measures; The Chengcheng County PMO hereunder is responsible for routine project management, including finance, bidding, procurement and reporting to the Shaanxi PMO.
	Linwei District Federation of Supply and Marketing Cooperatives	<ul style="list-style-type: none"> Implementing the ESCP and relevant E&S management measures; Directing and supervising Linwei District Used Material Recycling Company to implement the sorting center, and receive and handle relevant grievances
	Ecology and environment bureaus	<ul style="list-style-type: none"> Approving EIA documents of construction projects, and solid (hazardous) waste operation, transfer, disposal and utilization activities, directing the EIA registration of construction projects, and

²⁶ A public institution under the Chengcang District Urban Administration and Law Enforcement Bureau

²⁷ A public institution under the Baoji Municipal Urban Administration and Law Enforcement Bureau

²⁸ The county / district government agencies concerned have the same responsibilities, which are described together; Baoji City has only one subproject (Changshougou Landfill closure), so the agencies concerned mainly include the development and reform commission, finance bureau, urban administration and law enforcement bureau, health commission, natural resources bureau, and ecology and environment bureau.

Other interested party		Influence on the Project
		conducting post-EIA
	Natural resources bureaus	<ul style="list-style-type: none"> • Approving land use, and securing land for domestic waste collection, transfer and disposal facilities; • Adjusting the land use plan for sanitation facilities; • Handling outstanding issues in landfill land use
	Health commissions	<ul style="list-style-type: none"> • Conducting occupational disease monitoring, special surveys, OHS risk assessment, and OHS management; • Directing the building of the technical system for occupational health checkup and occupational disease diagnosis; • Organizing occupational hazard management, and occupational disease prevention and control; • Regulating the OHS management of project-related facilities
	Emergency management bureaus	<ul style="list-style-type: none"> • Approving and supervising work safety permits • Regulating major safety issues of facilities
	County / district LAR offices	<ul style="list-style-type: none"> • Conducting LA; • Providing data and policy documents on LA, and assisting in surveys
	Labor and social security bureaus	<ul style="list-style-type: none"> • Drafting working hours, resting and leave policies for workers according to the state policies; • Drafting special labor protection policies on child and underage labor; • Coordinating the rights protection of workers and investigating major cases; • Directing employers to sign labor contracts with workers, and ensuring that job and social insurance subsidies are paid; • Supervising the implementation of working conditions and the Labor Law
Owners and third party operators of project-related facilities		<ul style="list-style-type: none"> • Providing services for rear end urban and rural domestic waste disposal
Competent authorities of project-related facilities		<ul style="list-style-type: none"> • Providing support and coordination for rear end urban and rural domestic waste disposal, and ensuring that plant construction progress is coordinated with the project schedule
Township governments / sub-district offices		<ul style="list-style-type: none"> • Organizing, coordinating, directing and supervising waste separation; • Recruiting and managing cleaners and transfer workers for front end waste collection and transfer; coordinating and managing directly employed cleaners; ensuring that the management of contracted workers is conforming in coordination with service outsourcing companies; • Handling land use, community relations, grievance redress, etc.
Village / community committees		<ul style="list-style-type: none"> • Organizing, communicating and promoting community waste separation, and recruiting and managing village cleaners and transfer workers
Community property management companies		<ul style="list-style-type: none"> • Organizing, communicating and promoting community waste separation, and recruiting and managing village cleaners and transfer workers
Urban and rural residents		<ul style="list-style-type: none"> • Conducting household waste separation, benefiting from improved waste systems and environment
NGOs	Women's federations	<ul style="list-style-type: none"> • Protecting the rights of women and children
	Other NGOs, e.g., IPE, Zero Waste, Friends of Nature, MSC	<ul style="list-style-type: none"> • Offering guidance and training on domestic waste separation; • Promoting the dialog and cooperation of the government, enterprises, scholars, the public and NGOs in domestic waste management
Contractors		<ul style="list-style-type: none"> • Constructing project facilities; • Implementing the ESCP and relevant E&S management measures;

Other interested party	Influence on the Project
	<ul style="list-style-type: none"> Implementing policies on labor management and OHS as required by the PIUs; Handling community grievances during construction
EIA, SIA and external M&E agencies	<ul style="list-style-type: none"> Drafting appropriate E&S measures as per the ESF Developing appropriate procedures to implement the ESSs as per the ESF, and based on project activities, and E&S impacts and risks Conducting stakeholder engagement with the support of PMOs, and giving feedback to other agencies
Design agency	<ul style="list-style-type: none"> Conducting project design; Optimizing the project design based on the SIA suggestions
Local media	<ul style="list-style-type: none"> Supporting the Project through policy publicity

3) Vulnerable groups

The Bank defines vulnerable groups as individuals or groups more likely to be adversely affected by a project and subject to more restrictions in the ability to receive the project benefits. They are more likely to be excluded from the mainstream engagement procedure. Based on the information available, vulnerable groups that may be affected by the Project include cleaners of front end facilities waste pickers at unofficial waste dumps, and workers who have not signed a labor contract at the sorting center in Linwei District and the Yaotou Landfill in Chengcheng County.

Table 4-3 Identification and Analysis of Vulnerable Groups²⁹

Facility type	Vulnerable group	Vulnerability	Impacts by the Project	Influence on the Project
Collection facilities	Village public welfare cleaners without subsidy and sufficient safety measures Linwei District, Chengcheng County and Chencang District	They are usually poor, elderly and poorly educated, have less training opportunities, and are more likely to be excluded from the mainstream engagement procedure.	Traffic safety risks	Responsible for the cleaning of front end waste collection and transfer sites Their work is the foundation of successful project operation.
Sorting facilities	Workers who have not signed a labor contract at the sorting center in Linwei District	They have not signed a labor contract, their rights are not protected, so they are more likely to be adversely affected by the Project.	Potentially exposed to OHS risks, and not entitled to endowment, medical and work injury insurance	Their support is the foundation of successful project construction and operation.
Landfill closure	Workers who have not signed a labor contract at the Yaotou Landfill in Chengcheng County	They have not signed a labor contract, their rights are not protected, so they are more likely to be adversely affected by the Project.	Potentially exposed to OHS risks, and not entitled to endowment, medical and work injury insurance	Their support is the foundation of successful project construction and operation.
Township unofficial waste dumps	Waste pickers at township unofficial waste dumps	They are usually poor and poorly educated, and are more likely to be excluded from the mainstream engagement procedure.	With the improvement of waste systems, the unofficial waste dumps may be abandoned, thereby potentially affecting	Negligible

²⁹ This table identifies and analyzes project-affected parties by facility type, and describes any special subproject separately.

Facility type	Vulnerable group	Vulnerability	Impacts by the Project	Influence on the Project
			their income.	

4.2 Abstract of Stakeholder Needs

After stakeholder identification, a social impact survey will be conducted on different stakeholders by means of FGD, key informant interview, questionnaire survey, etc. to identify their needs for the Project (e.g., language, preferred notification mode and special needs and interests) to prepare for adequate information disclosure and meaningful stakeholder engagement. See Tables 4-4 and 4-5.

Table 4-4 Needs of Project-affected Parties

Type	Project-affected party		Needs	Participation modes	
Collection facilities	Workers	Direct workers	Responsible for waste collection and transfer in urban public spaces in Linwei and Chencang Districts, and the O&M of waste sorting pavilions and urban waste collection sites (in Chencang District only)	<ul style="list-style-type: none"> Rest by rotation is arranged flexibly; The salary level is raised; Regular health checkups are offered; Traffic safety management is improved to avoid traffic accidents. 	Meeting, working group, etc.
		Direct workers	Sanitation workers employed by the township governments in Linwei and Chencang Districts, responsible for waste collection and transfer, and the O&M of waste collection points and rural waste collection sites (in Chencang District only)	<ul style="list-style-type: none"> A formal labor contract is signed; Vehicles provided are suited to local topography; Regular health checkups are offered; Traffic safety management is improved to avoid traffic accidents. 	Meeting
		Contracted workers	Workers of waste collection and transfer service outsourcing companies in some townships in Linwei District	<ul style="list-style-type: none"> Conforming PPE is distributed regularly; Traffic safety management is improved to avoid traffic accidents; Timely feedback to grievances is given. 	Face to face notification, meeting, working group, etc.
		Community workers	Village cleaners and transfer workers on public welfare jobs in Linwei District, Chengcheng County, Chencang District, responsible for waste collection and transfer, and the cleaning and maintenance of front end waste collection	<ul style="list-style-type: none"> A labor contract is signed, OHS is protected, and accident insurance covered; An additional salary is granted for additional cleaning and maintenance of waste collection points; Conforming PPE is distributed regularly; Regular OHS (including COVID-19) and traffic safety training is offered; More grievance redress channels are available, and timely 	Face to face notification

Type	Project-affected party			Needs	Participation modes
			points (in Linwei and Chencang Districts only)	feedback is given.	
			Property management cleaners in urban residential communities in Linwei District and Chencang District;	<ul style="list-style-type: none"> An additional salary is granted for additional cleaning and maintenance of waste collection points; Waste sorting does not add to their workload. 	Community meeting
			Cleaners and transfer workers of the Chengcheng County Mining Bureau	<ul style="list-style-type: none"> ESC jobs are notified to them immediately, and first made available to them; Their jobs are stable. 	Meeting, working group, etc.
	Nearby communities and residents, and those exposed to traffic safety risks			<ul style="list-style-type: none"> They are fully consulted on site selection for waste collection points, waste sorting pavilions, etc.; The operation of waste collection points, waste sorting pavilions has minimal environmental disturbance to nearby communities; Waste transfer trucks are enclosed where possible to reduce spillage, and transfer routes are optimized to reduce community disturbance. 	Community meeting; door to door publicity, bulletin board, etc.
	Waste pickers at township unofficial waste dumps			<ul style="list-style-type: none"> Their income is not reduced after urban and rural waste management integration; Suitable jobs are first made available to them; They are trained to improve skills. 	Face to face notification
Transfer facilities	Workers	Direct workers	Responsible for WTS operation in Linwei District, Chengcheng County and Chencang District	<ul style="list-style-type: none"> A labor contract is signed; Rest by rotation is arranged flexibly; The salary level is raised; A separate changing room is provided to women; OHS is protected effectively; if any occupational hazard is involved, such hazard is known, health checkups are conducted regularly, and PPE distributed; Training on OHS (including COVID-19) and traffic safety is offered regularly. 	Team meeting, working group, etc.
			Responsible for transfer truck maintenance center operation	<ul style="list-style-type: none"> A labor contract is signed, and social insurance covered; Rest by rotation is arranged flexibly; 	Team meeting, working group,

Type	Project-affected party			Needs	Participation modes
	Contracted workers		in Chencang District	<ul style="list-style-type: none"> Salaries are paid timely. 	etc.
			Contractor workers of WTS construction in Linwei District, Chengcheng County and Chencang District	<ul style="list-style-type: none"> A labor contract is signed; Construction safety is ensured effectively; Salaries are paid timely; Timely feedback to grievances is given. 	Team meeting, working group, etc.
			Contractor workers of the transfer truck maintenance center in Contractor workers		
	Nearby communities and residents, and those exposed to traffic safety risks			<ul style="list-style-type: none"> Community residents are fully consulted in site selection for WTSs; WTSs are constructed and operated with minimum environmental disturbances to nearby communities; Environmental monitoring data is disclosed to communities regularly; Waste transfer trucks are enclosed where possible to reduce spillage, and transfer routes are optimized to reduce traffic safety risks; Establish an effective community GRM to address community concerns timely, and improve waste collection and transfer management level. 	Community meeting; door to door publicity, bulletin board, WeChat group, etc.
	Villages and villagers affected by LAR	Linwei District	4 households with 16 persons affected by LAR for the Jiaoxie Town and Weilan Road WTSs	<ul style="list-style-type: none"> Compensation policies and rates are disclosed timely; Compensation is paid timely and fully; LA does not affect long-term livelihoods. 	Face to face notification, information disclosure, village meeting, etc.
		Chengcheng County	8 villages affected by LAR for 8 WTSs (involving unused collective construction / industrial and mining land)	<ul style="list-style-type: none"> Compensation policies and rates are disclosed timely; Compensation is paid timely and fully; The LA compensation for collective land is used transparently. 	Face to face notification, information disclosure, village meeting, etc.
		Chencang District	3 villages affected by LAR for 3 WTSs	<ul style="list-style-type: none"> Compensation policies and rates are disclosed timely; Compensation is paid timely and fully; The LA compensation for collective land is used transparently. 	Face to face notification, information

Type	Project-affected party			Needs	Participation modes
					disclosure, village meeting, etc.
Sorting facilities ³⁰	Workers	Direct workers	Workers of the Linwei District sorting center, including sorters, operators, cleaners, etc.	<ul style="list-style-type: none"> • A labor contract is signed, and social insurance covered; • Rest by rotation is arranged flexibly; • Salaries are paid timely; • OHS is protected. 	Team meeting, working group, etc.
		Contracted workers	Contractor workers of the Linwei District sorting center	<ul style="list-style-type: none"> • A labor contract is signed; • Construction safety is ensured effectively; • Salaries are paid timely; • Timely feedback to grievances is given. 	Team meeting, working group, etc.
	Nearby communities and residents, and those exposed to traffic safety risks			<ul style="list-style-type: none"> • The sorting center constructed and operated with minimum environmental disturbances to nearby communities; • Environmental monitoring data is disclosed to communities regularly; • Establish an effective community GRM to address community concerns timely, and improve facility management level. 	Community meeting; door to door publicity, etc.
Landfill closure	Workers	Direct workers	O&M workers during and after landfill closure	<ul style="list-style-type: none"> • OHS is protected effectively; if any occupational hazard is involved, such hazard is known, health checkups are conducted regularly, and PPE distributed; • Training on OHS (including COVID-19) and traffic safety is offered regularly; • Conforming PPE is available regularly; • Timely feedback to grievances is given; • The environmental and sanitation management level of the landfill is improved. 	Face to face notification, meeting, working group, etc.
		Contracted workers	Workers of O&M service outsourcing companies after the closure of the Majiagou and Changshougou Landfills, such as workers of leachate treatment and biogas power	<ul style="list-style-type: none"> • A labor contract is signed; • Construction safety is ensured effectively; • Timely feedback to grievances is given. 	Team meeting, working group, etc.

³⁰ In the Batch 1 subprojects, only the Linwei District subproject involves sorting facilities.

Type	Project-affected party		Needs	Participation modes
		generation plants		
	Nearby communities and residents, and those exposed to traffic safety risks		<ul style="list-style-type: none"> • Environmental monitoring data is disclosed to communities regularly; • Effective measures are taken to ensure the traffic safety of nearby community residents; • The landfill poses no environmental and health risks to nearby communities during operation and after closure; • Dumps are kept stable during construction and beyond to avoid community safety risks; • Establish an effective community GRM to address community concerns timely. 	Community meeting; door to door publicity, bulletin board, WeChat group, etc.
	Villages and villagers affected by land lease for landfills		<ul style="list-style-type: none"> • Any adjustment to the land use plan is consulted with villagers after landfill closure to consider their needs; • Rental is paid timely and fully; • The returned land has no health and safety impact; • The land reuse mode is consulted with villagers. 	Community meeting, door to door notification, FGD, etc.

Table 4-5 Needs of Other Interested Parties

Other interested party	Needs	Participation modes
PSC	<ul style="list-style-type: none"> • The government agencies concerned and PMOs work closely to complete project preparation as required by the Bank, pass the Bank appraisal, and realize the PDO successfully; • The ESCP should be prepared by the PMOs and government agencies concerned in consultation with the Bank. 	Official government document, e-mail, FGD, etc.
Shaanxi PMO	<ul style="list-style-type: none"> • E&S management capacity building training is offered before start and during implementation, covering the ESF, E&S documents (ESCP, LMP, SEP, etc.), E&S clauses in the bidding documents, E&S performance monitoring, etc.; • At the construction and operation stages, a special budget is needed to engage experienced external E&S specialists to promote ESCP implementation; • Outstanding land issues of some facilities are solved. 	Official government document, FGD, seminar, training, etc.
City / county / district PLGs	<ul style="list-style-type: none"> • The city / county / district government agencies concerned work closely to complete project preparation as required by the Bank, pass the Bank appraisal, and realize the PDO successfully; 	Official government document, e-mail, FGD,

Other interested party		Needs	Participation modes
		<ul style="list-style-type: none"> The contents related to the city / county / district in the ESCP are fixed in consultation with the Bank; Outstanding land issues of some facilities are solved. 	workshop, training, etc.
City / county / district PMOs		<ul style="list-style-type: none"> E&S management capacity building training is offered before start and during implementation, covering the ESF, E&S documents (ESCP, LMP, SEP, etc.), E&S clauses in the bidding documents, E&S performance monitoring, etc.; Implement the requirements in the ESF, ESCP and other relevant documents; Sufficient resources and staff are available to ensure ESCP implementation and improve E&S management level; Outstanding land issues of some facilities are solved. 	Official government document, FGD, seminar
PIUs	PIUs at the construction stage	<ul style="list-style-type: none"> E&S management capacity building training is offered before start and during implementation, covering the ESF, E&S documents (ESCP, LMP, SEP, etc.), E&S clauses in the bidding documents, E&S performance monitoring, etc.; The management supports the implementation of the requirements in the ESF, ESCP and other relevant documents; Sufficient resources and staff are available to ensure the implementation of the ESCP, ESMF, LMP, SEP, etc.; The Project's design and management level is improved. 	Official government document, FGD, seminar
	PIUs at the operation stage	<ul style="list-style-type: none"> E&S management capacity building training is offered before start and during implementation, covering the ESF, ESCP, LMP, SEP, etc.; Preparation of E&S clauses in the bidding documents, contractor management, etc.; The management supports the implementation of the requirements in the ESF, ESCP and other relevant documents; Sufficient resources and staff are available to ensure the implementation of the ESCP, ESMF, LMP, SEP, etc.; Operational performance is improved and sustainable benefits are generated. 	Official government document, FGD, seminar
City / county / district government agencies	Development and reform commissions	<ul style="list-style-type: none"> The Project complies with the local regulations, and economic and industry development plans; The Project is implemented successfully. 	Official government document, e-mail, FGD
	Finance bureaus	<ul style="list-style-type: none"> The Project is implemented successfully; Withdrawal and disbursement is conducted on schedule. 	Official government document, e-mail, FGD
	Housing and urban-rural	<ul style="list-style-type: none"> The Project complies with the local plans. 	Official government document, e-mail, FGD

Other interested party		Needs	Participation modes
concerned ³¹	development bureaus		
	Urban administration and law enforcement bureaus	<ul style="list-style-type: none"> The Project complies with the local plan; Learning the ESF requirements, and expecting the PMO or PIU to provide E&S management training and guidance 	Training, FGD, etc.
	Chengcheng County Agriculture and Rural Affairs Bureau	<ul style="list-style-type: none"> The Project complies with the local plan; Learning the ESF requirements, and expecting the PMO or PIU to provide E&S management training and guidance The mulch film recycling requirements in the ESF, ESCP and other relevant documents are met. 	Training, FGD, etc.
	Linwei District Federation of Supply and Marketing Cooperatives	<ul style="list-style-type: none"> The Project complies with the local plan; Learning the ESF requirements, and expecting the PMO or PIU to provide E&S management training and guidance 	Training, FGD, etc.
	Ecology and environment bureaus	<ul style="list-style-type: none"> The Project complies with the local plan; Learning the ESF requirements, and expecting the PMO or PIU to provide E&S management training and guidance 	Official government document, e-mail, FGD
	Natural resources bureaus	<ul style="list-style-type: none"> The PIUs learn the land use as early as possible; Site selection complies with the local plan; Outstanding land issues of some facilities are solved. 	Official government document, e-mail, FGD
	Health commissions	<ul style="list-style-type: none"> Conduct three simultaneities for occupational disease protection facilities, and report to the health commission for registration; Strengthen the occupational disease regulation of relevant facilities during operation. 	Official government document, e-mail, FGD
	Emergency management bureaus	<ul style="list-style-type: none"> Conduct three simultaneities for occupational disease protection facilities, and report to the health commission for registration; strengthen emergency management during operation. 	Official government document, e-mail, FGD
	LAR offices	<ul style="list-style-type: none"> The PIUs improve the land use procedure as per the new Land Administration Law; The PIUs attach importance to early-stage information disclosure and public participation, and avoid potential conflicts where possible; LA and livelihood restoration are implemented as per ESS5, the RAP and SEP. 	Official government document, e-mail, FGD
	Labor and social security bureaus	<ul style="list-style-type: none"> Supervise employers to sign labor contracts with public welfare cleaners, and provide them with basic security. 	Official government document, e-mail, FGD

³¹ The county / district government agencies concerned have the same responsibilities, which are described together; Baoji City has only one subproject (Changshougou Landfill closure), so the agencies concerned mainly include the development and reform commission, finance bureau, urban administration and law enforcement bureau, health commission, natural resources bureau, and ecology and environment bureau.

Other interested party		Needs	Participation modes
Owners and third party operators of project-related facilities		<ul style="list-style-type: none"> Learn the Bank's E&S management requirements for project-related facilities; Monitor rear-end E&S management with the approval of the competent authority. 	Official government document, e-mail, FGD
Competent authorities of project-related facilities		<ul style="list-style-type: none"> Communicate with them timely during construction and operation. 	Official government document, e-mail, FGD
Township governments / sub-district offices		<ul style="list-style-type: none"> Ensure that trucks purchased under the Project are suited to local conditions; Learn the ESF's requirements for Direct worker management, GRM, etc., and get relevant training; Receive direction from the environmental sanitation authorities in front end waste transfer and Direct worker management. 	Official government document, training, FGD, etc.
Village / community committees		<ul style="list-style-type: none"> Ensure that equipment purchased under the Project is suited to local conditions; Learn the ESF's requirements for Direct worker management, GRM, etc.; Receive direction from the environmental sanitation authorities in front end waste transfer and Direct worker management. 	FGD
Community property management companies		<ul style="list-style-type: none"> Provide sound waste separation equipment, give publicity and training on waste separation to residents; Waste is transferred timely, and environmental sanitation is ensured. 	Official government document, FGD
Urban and rural residents		<ul style="list-style-type: none"> Receive training and guidance on waste separation; Waste is transferred timely, and environmental sanitation is ensured. 	Community meeting, door to door publicity, etc.
NGOs	City / county / district women's federations	<ul style="list-style-type: none"> Women's rights are protected during construction and operation. 	FGD
	Other NGOs, e.g., IPE, Zero Waste, Friends of Nature, MSC	<ul style="list-style-type: none"> Promoting the dialog and cooperation of the government, enterprises, scholars, the public and NGOs in domestic waste management 	FGD
Contractors		<ul style="list-style-type: none"> Learn the ESF's requirements for Direct worker management, GRM, etc., and get relevant training; 	Official corporate document, e-mail, FGD
Design agency		<ul style="list-style-type: none"> Communicate with the EIA and SIA agencies to learn relevant findings and optimize the project design. 	Official corporate document, e-mail, FGD
Local media		<ul style="list-style-type: none"> Disclose the scope of construction and E&S documents; The Project is implemented successfully. 	FGD, fieldwork, etc.

To ensure that vulnerable groups fully participate in the Project, and protect their interests, particular attention should be paid the key features and needs of vulnerable groups during the SIA and public participation. See Table 4-6.

Table 4-6 Needs of Vulnerable Groups

Facility type	Vulnerable group	Needs	Participation modes
Collection facilities	Village public welfare cleaners without subsidy and sufficient safety measures in Linwei District, Chengcheng County and Chencang District	<ul style="list-style-type: none"> • Sign a labor contract, offer more job opportunities, and increase their income; • OHS is protected effectively, accident insurance is covered, and PPE distributed regularly; • Provide safety training; • Provide other grievance redress channels in addition to village committees and township governments, so that timely feedback is given. 	Village meeting, face to face notification, written notification
	Waste pickers at unofficial township waste dumps	<ul style="list-style-type: none"> • Receive suitable new jobs under the Project; • Attend training to improve skills. 	Face to face notification
Sorting facilities	Workers who have not signed a labor contract at the sorting center in Linwei District	<ul style="list-style-type: none"> • Sign a labor contract, and cover social insurance; • Offer training on OHS (including COVID-19) and traffic safety regularly; • Timely feedback is given to grievances. 	Face to face notification, written notification
Landfill closure	Workers who have not signed a labor contract at the Yaotou Landfill in Chengcheng County	<ul style="list-style-type: none"> • Sign a labor contract, and cover social insurance; • Offer training on OHS (including COVID-19) and traffic safety regularly; • Work safety and health is protected effectively • Timely feedback is given to grievances. 	Face to face notification, written notification

5 Stakeholder Engagement Program

This SEP is prepared for the agencies responsible for stakeholder engagement activities in the Batch 1 subprojects at the preparation, construction and operation stages. This SEP specifies the main responsibilities and resources of different agencies responsible for different facilities and activities, and develops a detailed information disclosure and stakeholder engagement program for different stakeholders in different types of facilities. The key points of stakeholder engagement include:

- Conducting information disclosure, including the scope of construction, E&S documents, E&S risks and impacts, mitigation measures, environmental monitoring indicators, external E&S monitoring reports, grievance redress results, LAR compensation, etc.;
- Engaging with key stakeholders at different stages on project design improvement, E&S risks and impacts, mitigation measures, concerns, and appropriate information disclosure modes to prepare the ESMP;
- Discussing with the Shaanxi PMO, city / county / district PMOs, and key government agencies to discuss measures and actions in the ESCP;
- Conducting proper information disclosure, engagement and feedback, and establishing GRMs at the construction and operation stages to ensure that reasonable needs of stakeholders are met.

5.1 Agencies Responsible, and Responsibilities and Resources

5.1.1 Agencies Responsible

The PSC, PMOs and PIUs will be responsible for stakeholder engagement, mainly including:

- **PSC:** consisting of the provincial development and reform commission, finance department, ecology and environment department, housing and urban-rural development department, agriculture and rural affairs department, commerce department, rural revitalization bureau, and federation of supply and marketing cooperatives, and the participating prefecture-level cities (Baoji, Xianyang, Weinan, Yulin, Hanzhong and Ankang)
- Shaanxi PMO;
- City / county / district PLGs;

- Baoji City PMO³²;
- 3 county / district PMOs;
- PIUs: Some subprojects have different PIUs at the construction and operation stages. See Table 5-1 for the details of the PIUs.

Table 5-1 PIUs of the Batch 1 Subprojects

County / district	Facility type	Main activity	Construction stage	Operation stage
Linwei District	Collection facilities	Rural: waste collection points and waste bins	Linwei District ESC	Township governments, village committees
		Urban: waste sorting pavilions and waste bins		Linwei District ESC
	Transfer facilities	WTS construction and reconstruction, and purchase of villages		Linwei District ESC
	Sorting facilities	sorting center		Linwei District Used Material Recycling Company
	Disposal facilities	Majiagou Landfill closure		Linwei District ESC
Chengcheng County	Collection facilities	Purchase of rural electric collection vehicles (including waste bins)	Chengcheng County Agriculture and Rural Affairs Bureau	Township governments, village committees
	Transfer facilities	WTS construction and purchase of villages		Chengcheng County ESC
	disposal facilities	Yaotou Landfill closure Chengcheng Landfill closure		
Baoji City	disposal facilities	Changshougou Landfill closure	Baoji City SWMC	Baoji City SWMC
Chencang District	Collection facilities	Rural: waste collection points and waste bins	Chencang District Urban Administration and Law Enforcement Bureau	Township governments, village committees
		Urban: waste sorting pavilions and waste bins		Chencang District Waste Management Service Center
	Transfer facilities	Collection site construction and reconstruction, WTS and truck maintenance center construction, and purchase of villages		Chencang District Waste Management Service Center

5.1.2 Responsibilities

This section will describe the responsibilities of the agencies responsible for stakeholder engagement.

³² In the Project, only Baoji City has established a city PMO, responsible for the management of the subprojects in Baoji City, and the subprojects in Chencang, Weibin, Jintai and Fengxiang Districts in Baoji City; there is no city PMO in the other project cities, such as Weinan City (governing Linwei District and Chengcheng County).

1) PSC and Shaanxi PMO

The main responsibilities of the PSC are:

- **Preparation stage:** coordinating with the provincial government agencies concerned and city / county / district PMOs, and defining PIUs of relevant subprojects;
- **Construction and operation stages:** promoting government agencies concerned to solve key issues at the construction and operation stages by means of FGD

The Shaanxi PMO has overall accountability for implementing and monitoring the SEP in accordance with the ESCP. The main responsibilities of the Shaanxi PMO are:

- **Preparation stage:** defining organizational, budgetary, construction and operation arrangements, coordinating government agencies concerned, PIUs, and EIA, SIA and feasibility study agencies to promote project design optimization and E&S document preparation; preparing E&S documents for the Batch 1 subprojects, confirming the contents of such documents, and agreeing on the ESCP with the Bank
- **Construction stage:** defining E&S terms in the procurement plan through communication with the PIUs; updating the scope of construction in coordination with the PIUs and government agencies concerned; monitoring stakeholder engagement implementation through the external monitor, and giving feedback; reviewing semiannual E&S monitoring reports of the Batch 1 subprojects, and submitting a summary report to the Bank for review; tracking and solving E&S issues at the construction stage.
- **Operation stage:** monitoring stakeholder engagement implementation through the external monitor, and giving feedback; reviewing semiannual E&S monitoring and final reports (including SEP implementation and summary) on the Batch 1 subprojects, and submitting a summary report to the Bank for review; tracking and solving E&S issues at the operation stage

2) Linwei District

The agencies concerned involved in the subprojects in Linwei District include the Linwei District PMO, Linwei District ESC, Linwei District Used Material Recycling Company and township governments. The Linwei District PMO is at the Linwei District ESC, which is also the construction stage PIU, also responsible for the operation of all subprojects except the sorting center; Linwei District Used Material Recycling Company under the Linwei District Federation of Supply and Marketing Cooperatives is responsible for the operation of the sorting center; the

township governments are responsible for village waste collection and transfer, and the O&M of front end facilities (waste collection points).

The main responsibilities of the Linwei District PMO and ESC are:

- **Preparation stage:** conducting consultation on technical solutions, sites, etc. to learn stakeholder needs and optimize the project design; conforming the feasibility of the ESCP, ESMP, LMP, SEP and RAP, and defining budgets, agencies, resources and responsibilities in coordination with government agencies concerned and PIUs; preparing E&S documents matching E&S risks and complying with the Bank ESF, including an SEP, and submitting to the Shaanxi PMO; disclosing project information and E&S documents
- **Construction stage:** conducting information disclosure and stakeholder engagement activities for workers, nearby communities, etc. to learn their attitudes to, and comments and suggestions on the Project, solving such risks and issues, and giving feedback, and confirming sites selected for front end waste collection points and waste sorting pavilions; preparing semiannual E&S monitoring reports (including SEP implementation), and submitting to the Shaanxi PMO; tracking and solving E&S issues at the construction stage
- **Operation stage:** conducting information disclosure and stakeholder engagement activities for workers (including direct, contracted and community workers), nearby communities, etc. to learn their attitudes to, and comments and suggestions on E&S risks and issues at the operation stage, solving such risks and issues, and giving feedback, and monitoring the stakeholder engagement implementation of the sorting center; preparing semiannual E&S monitoring and final reports (including SEP implementation and summary of all subprojects), and submitting to the Shaanxi PMO; preparing semiannual E&S monitoring and final reports (including SEP implementation and summary), and submitting to the Shaanxi PMO; tracking and solving E&S issues at the operation stage

The main responsibilities of the Linwei District Used Material Recycling Company are:

- **Operation stage:** conducting information disclosure and stakeholder engagement activities for workers, nearby communities, etc. to learn their attitudes to, and comments and suggestions on E&S risks and issues of the sorting center at the operation stage, addressing relevant concerns timely; preparing E&S monitoring and completion reports, and submitting to the Linwei District PMO; preparing semiannual E&S monitoring and final

reports (including SEP implementation and summary), and submitting to the Shaanxi PMO and Bank through the Linwei District PMO

The main responsibilities of the township governments are:

- **Preparation stage:** conducting stakeholder engagement activities in coordination with the ESC, and consulting local residents on site selection for waste collection points;
- **Construction and operation stages:** conducting information disclosure and stakeholder engagement activities for communities in coordination with the ESC to learn comments and suggestions on E&S risks and issues; learning needs and expectations of sanitation workers, solving such risks and issues, and giving feedback;

3) Chengcheng County

The agencies concerned involved in the subprojects in Chengcheng County include the Chengcheng County PMO, Chengcheng County ESC and township governments. The Chengcheng County PMO is at the Chengcheng County Agriculture and Rural Affairs Bureau; the PIU at the construction and operation stages is the Chengcheng County ESC under Chengcheng County Urban Administration and Law Enforcement Bureau; the township governments are responsible for village waste collection and transfer.

The main responsibilities of the Chengcheng County PMO are:

- **Preparation stage:** conforming the feasibility of the ESCP, ESMP, LMP, SEP and RAP, and defining budgets, agencies, resources and responsibilities in coordination with government agencies concerned and PIUs; disclosing project information and E&S documents, and addressing relevant concerns timely
- **Construction stage:** monitoring stakeholder engagement and grievance redress at the construction stage, reviewing semiannual E&S monitoring reports (including SEP implementation), and submitting to the Shaanxi PMO and the Bank
- **Operation stage:** monitoring stakeholder engagement and grievance redress at the operation stage; reviewing semiannual E&S monitoring and final reports (including SEP implementation and summary), and submitting to the Shaanxi PMO and the Bank

The main responsibilities of the Chengcheng County ESC are:

- **Preparation stage:** conducting consultation on technical solutions, sites, etc. to learn stakeholder needs and optimize the project design; conforming the feasibility of the ESCP, ESMP, LMP, SEP and RAP, and defining budgets, agencies, resources and responsibilities; disclosing

project information and E&S documents, and addressing relevant concerns timely

- **Construction stage:** conducting information disclosure and stakeholder engagement activities for workers, nearby communities, etc. to learn their attitudes to, and comments and suggestions on the Project, addressing relevant concerns timely; learning comments and suggestions of nearby community residents on Chengcheng Landfill closure, and taking mitigation measures where possible; preparing semiannual E&S monitoring reports (including SEP implementation), and submitting to the Shaanxi PMO and Bank through the Chengcheng County PMO
- **Operation stage:** conducting information disclosure and stakeholder engagement activities for workers (including direct, contracted and community workers), nearby communities, etc. to learn their attitudes to, and comments and suggestions on E&S risks and issues at the operation stage, solving such risks and issues, and giving feedback; for nearby community residents of the Chengcheng Landfill, defining appropriate measures and actions to address community health and safety risks, and conducting follow-up monitoring based on relevant comments, and in accordance with the applicable regulations, technical standards, ESIA, and domestic and international good practices in consultation with the ecology and environment, safety, and other competent authorities, and nearby communities; preparing semiannual E&S monitoring and final reports (including SEP implementation and summary), and submitting to the Shaanxi PMO and Bank through the Chengcheng County PMO

The main responsibilities of the township governments are:

- **Preparation stage:** conducting stakeholder engagement activities in coordination with the ESC, and consulting local residents on site selection for waste collection points
- **Construction and operation stages:** conducting information disclosure and stakeholder engagement activities for communities in coordination with the ESC to learn comments and suggestions on E&S risks and issues; learning needs and expectations of sanitation workers, solving such risks and issues, and giving feedback

4) Chencang District

The agencies concerned involved in the subprojects in Chencang District include the Chencang District PMO, Chencang District Urban Administration and Law Enforcement Bureau, and Chencang District Waste Management Service Center. The Chencang District PMO is at the Chencang District Urban

Administration and Law Enforcement Bureau, which is also the construction stage PIU; the Chencang District Waste Management Service Center is the operation stage PIU, and the township governments are responsible for front end rural waste collection and transfer, and the O&M of front end facilities (waste collection points and sites).

The main responsibilities of the Chencang District PMO, and Urban Administration and Law Enforcement Bureau are:

- **Preparation stage:** conducting consultation on technical solutions, sites, etc. to learn stakeholder needs and optimize the project design; conforming the feasibility of the ESCP, ESMP, LMP, SEP and RAP, and defining budgets, agencies, resources and responsibilities in coordination with government agencies concerned and PIUs; preparing E&S documents matching E&S risks and complying with the Bank ESF, including an SEP, and submitting to the Baoji City PMO; disclosing project information and E&S documents, and addressing relevant concerns timely
- **Construction stage:** conducting information disclosure and stakeholder engagement activities for workers, nearby communities, etc. to learn their attitudes to, and comments and suggestions on the Project, and addressing relevant concerns timely; preparing semiannual E&S monitoring reports (including SEP implementation), and submitting to the Shaanxi PMO and Bank through the Baoji City PMO
- **Operation stage:** conducting information disclosure and stakeholder engagement activities for workers, nearby communities, etc. to learn their attitudes to, and comments and suggestions on E&S risks and issues at the operation stage, solving such risks and issues, and giving feedback, and directing and supervising stakeholder engagement implementation; reviewing semiannual E&S monitoring and final reports (including SEP implementation and summary of all subprojects), and submitting to the Shaanxi PMO and Bank through the Baoji City PMO; reviewing semiannual E&S monitoring and final reports (including SEP implementation and summary), and submitting to the Shaanxi PMO and Bank through the Baoji City PMO

The main responsibilities of the Chencang District Waste Management Service Center are:

- **Operation stage:** conducting information disclosure and stakeholder engagement activities for workers, nearby communities, etc. to learn their attitudes to, and comments and suggestions on E&S risks and issues at the operation stage, addressing relevant concerns timely; preparing semiannual E&S monitoring and final reports, and submitting to the

Chencang District PMO; preparing semiannual E&S monitoring and final reports (including SEP implementation and summary), and submitting to the Chencang District PMO

The main responsibilities of the township governments are:

- **Preparation stage:** conducting stakeholder engagement activities in coordination with the ESC, and consulting local residents on site selection for waste collection points
- **Construction and operation stages:** conducting information disclosure and stakeholder engagement activities for communities in coordination with the ESC to learn comments and suggestions on E&S risks and issues; learning needs and expectations of sanitation workers, solving such risks and issues, and giving feedback

5) Baoji City

The agencies concerned involved in the subprojects in Baoji City include the Baoji City PMO and Baoji City SWMC. The Baoji City PMO is at the Baoji Municipal Urban Administration and Law Enforcement Bureau, and the Baoji City SWMC under the bureau is responsible for Changshougou Landfill closure.

The main responsibilities of the Baoji City PMO are:

- **Preparation stage:** conforming the feasibility of the ESCP, ESMP, LMP, SEP and RAP, and defining budgets, agencies, resources and responsibilities in coordination with government agencies concerned and PIUs; disclosing project information and E&S documents, and addressing relevant concerns timely
- **Construction stage:** monitoring stakeholder engagement and grievance redress at the construction stage; reviewing semiannual E&S monitoring reports (including SEP implementation) of Changshougou Landfill closure prepared by the Baoji City SWMC, and semiannual E&S monitoring reports (including SEP implementation and summary) of the subprojects in Chencang District prepared by the Chencang District PMO, and submitting to the Shaanxi PMO and the Bank; tracking and solving E&S issues at the operation stage
- **Operation stage:** monitoring stakeholder engagement and grievance redress at the operation stage; reviewing semiannual E&S monitoring reports (including SEP implementation) of Changshougou Landfill closure prepared by the Baoji City SWMC, and semiannual E&S monitoring and final reports (including SEP implementation and summary) of the subprojects in Chencang District prepared by the Chencang District PMO, and submitting to the Shaanxi PMO and the Bank; tracking and solving

E&S issues at the operation stage

The main responsibilities of the Baoji City SWMC are:

- **Preparation stage:** conducting consultation on technical solutions, sites, etc. to learn stakeholder needs and optimize the project design; conforming the feasibility of the ESCP, ESMP, LMP, SEP and RAP, and defining budgets, agencies, resources and responsibilities
- **Construction stage:** conducting information disclosure and stakeholder engagement activities for workers, nearby communities, etc. to learn their attitudes to, and comments and suggestions on the Project, addressing relevant concerns timely; preparing semiannual E&S monitoring reports (including SEP implementation), and submitting to the Shaanxi PMO and Bank through the Baoji City PMO
- **Operation stage:** conducting information disclosure and stakeholder engagement activities for workers (including direct workers, contracted workers), nearby communities, etc. to learn E&S risks and issues at the operation stage, solving such risks and issues, and giving feedback; preparing semiannual E&S monitoring and final reports (including SEP implementation and summary), and submitting to the Shaanxi PMO and Bank through the Baoji City PMO

5.1.3 Resources

The PSC consists of the provincial development and reform commission, finance department, ecology and environment department, housing and urban-rural development department, agriculture and rural affairs department, commerce department, rural revitalization bureau, and federation of supply and marketing cooperatives, and the participating prefecture-level cities (Baoji, Xianyang, Weinan, Yulin, Hanzhong and Ankang). It will coordinate project implementation, make unified institutional and financial arrangements, and make decisions on major matters.

The Shaanxi PMO will appoint at least an environmental and a social focal points to take charge of the Project's E&S matters, and recruit an external environmental specialist and an external social specialist to provide technical support. The E&S specialists to be hired will establish the process in due time. The main responsibilities include:

- Managing the implementation of the ESCP, ESMP, SEP, etc., and coordinating the government agencies concerned and city / county / district PMOs;
- Defining E&S requirements in the procurement plan, and coordinating the PIUs to meet them;
- Directing and supervising the stakeholder engagement work of the city /

county / district PMOs and PIUs.

The city / county / district PMOs will each appoint an internal environmental and an internal social focal points, coordinate stakeholder engagement under the direction of the Shaanxi PMO's environmental and social specialists, and monitor E&S performance. The PMOs promise to provide sufficient funds.

The PIUs, as the main agencies responsible for stakeholder engagement, will also appoint dedicated staff for E&S management, and costs involved will be included in their own budgets.

As agreed with PMOs of different levels, the Shaanxi PMO, Baoji PMO and county/district PMOs, and the project PIUs will mobilize adequate budget from the Project loan and the counterpart fundings to implement the planned disclosure/engagement activities in this SEP:

- Allocate budget from the project loan under Component 3 Project Management, Monitoring & Evaluation and Component 1C: Institutional Strengthening and Capacity Building Fees to:
 - Recruit external E&S specialists;
 - Provide related trainings on E&S risk management and stakeholder engagement;
 - Carry out external E&S monitoring (including the elements on stakeholder engagement).
- Mobilize and allocate the counterpart funds on an annual basis at the upfront of each year prior to the implementation of relevant engagement activities, including (but not limited to):
 - Stakeholder disclosure and engagement activities organized by the PMOs, PIUs and relevant government authorities;
 - Dissemination and provision of information materials;
 - Provision of transportation, venues, and subsidies.

All stakeholders will be periodically kept informed as the project develops, including reporting on project environmental and social performance and implementation of the stakeholder engagement plan and grievance mechanism. Shaanxi PMO will prepare semi-annual reports regarding environmental and social impacts, grievances and project achievement and will present these to stakeholders. The semi-annual external monitoring reports will elaborate on the budget allocation for E&S work (including stakeholder engagement).

5.2 Proposed Strategy for Information Disclosure

Information disclosure will be conducted by the Shaanxi PMO, city / county / district PMOs and PIUs mainly. Information to be disclosed and disclosure methods may vary by locations and targeted people. Information on environmental and

social aspects of the project should be released in a timely and language-friendly manner to affected parties and other stakeholders in an appropriate location so that stakeholders can have rich inputs on the design and implementation of the project. See Table 5-2 for the information needs to be disclosed.

For the Batch 1 subprojects, disclosed information will include the E&S documents disclosed to the nearby communities and residents, workers concerned, and the public before the project appraisal, and information on the LMP, GRM and external E&S monitoring. For different facilities, key targets groups and contents of information disclosure should include but be not limited to:

- Collection facilities: focusing on communities and residents, and relevant workers (mainly including contracted, direct and community workers).
 - For community residents, focusing on potential sites and risks of the sites selection, community GRM, and external E&S monitoring;
 - For contracted workers at the construction stage and direct, contracted and community workers at the operation stage, focusing on relevant contents in the LMP (including GRM), and external E&S monitoring.
- Transfer facilities: focusing on relevant workers, nearby communities and residents, villages and villagers affected by LA
 - For contracted workers, focusing on relevant contents in the LMP (including GRM), and external E&S monitoring;
 - For direct workers at the operation stage, focusing on relevant contents in the LMP (including GRM), environmental monitoring data, and external E&S monitoring;
 - For nearby communities and residents, focusing on the activities and scope of construction, community GRM, environmental monitoring data, and external E&S monitoring;
 - For villagers affected by LA, focusing on LA compensation policies and rates, and compensation distribution programs
- Sorting facilities: focusing on relevant workers, and nearby communities and residents
 - For contracted workers, focusing on relevant contents in the LMP (including GRM), and external E&S monitoring.
 - For direct workers at the operation stage, focusing on relevant contents in the LMP (including GRM), environmental monitoring data, and external E&S monitoring;

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- For nearby communities and residents, focusing on the activities and scope of construction, community GRM, environmental monitoring data, and external E&S monitoring.
 - Landfill closure: focusing on relevant workers, nearby communities and residents, and villagers affected by land lease
 - For contracted workers, focusing on relevant contents in the LMP (including GRM), environmental monitoring data, and external E&S monitoring;
 - For direct and contracted workers at the operation stage, focusing on relevant contents in the LMP (including GRM), environmental monitoring data, and external E&S monitoring;
 - For nearby communities and residents, focusing on the activities and scope of construction, community GRM, environmental monitoring data, and external E&S monitoring; In particular, for the residents within the health protection distance around Chengcheng Landfill, focusing on the disclosure of the corresponding closure plan to ensure the health of community residents and the relevant measures after closure, as well as the regular environmental and social monitoring results; For villages and villagers affected by land lease for the Majiagou Landfill, disclose the new land use plan, new compensation and distribution plan if concerned.
 - Project-related facilities: For nearby communities and workers, disclose the relevant part of the social audit, ESCP, GRM, and external E&S monitoring.

Table 5-2 Disclosed Information and Disclosure Arrangements for Different Types of Facilities

Stage	Disclosed information ³³	County / district	Target groups	Disclosure channels	Time	Agencies responsible
Front end collection facilities (Linwei District: construction of rural waste collection points and purchase of villages, construction of urban waste sorting pavilions and purchase of waste bins; Chengcheng County: purchase of electric collection vehicles (including waste bins); Chencang District: construction of urban and rural centralized collection sites, construction of rural waste collection points and purchase of villages, construction of urban waste sorting pavilions and purchase of waste bins)						
Preparation (including design)	Social audit report, SIA report, SEP, LMP, ESCP	Linwei District, Chengcheng County, Chencang District	Villages / communities, residents and community workers	Government websites	Two rounds of disclosure before project appraisal	Shaanxi PMO, 3 county / district PMOs
Construction	Potential sites and impacts		Nearby communities and residents	On site, village / community bulletin boards, etc.	One month before construction	PMO, township governments, village committees, community property management companies
	Information on contracted workers in the LMP and GRM		Contracted workers	Meeting	During construction	PMO, contractors
	GRM for community residents		Nearby communities and residents	On site, village / community bulletin boards, etc.		PMO, township governments, village committees, community property management companies
	Information on contractor labor management and community management performance in external E&S monitoring reports		Contracted workers, nearby communities and residents	On site, village / community bulletin boards, etc.		PMO

³³ The Shaanxi PMO and county / district PMOs will disclose all E&S documents twice, where the draft documents will be disclosed in September 2022, and the final documents disclosed in November 2022. This table sets out most pertinent documents, procedures, information, and E&S risks and impacts only.

Stage	Disclosed information ³³	County / district	Target groups	Disclosure channels	Time	Agencies responsible
Operation	information on direct, contracted and community workers in the LMP, and GRM		Project workers	Written notification, meeting	During operation	PIUs, township governments, village / community committees
	GRM for community residents		nearby communities and residents, nearby communities and residents	Meeting, village / community bulletin boards, etc.		PIUs, township governments, village / community committees
	Information on front end collection systems and labor management performance in external E&S monitoring reports		Nearby residents, direct workers, community workers	PIU websites Facility site and community bulletin boards, etc.		PIUs
Transfer facilities (Linwei District: construction and reconstruction of WTSs, and purchase of vehicles; Chengcheng County: reconstruction of urban fixed WTSs and rural mobile WTSs, and purchase of vehicles; Chencang District: construction and reconstruction of collection sites, construction of WTSs, truck maintenance center, and purchase of vehicles)						
Preparation (including design)	Relevant information in social audit report, SIA report, EIA report, SEP, LMP and ESCP	Linwei District, Chengcheng County, Chencang District	The public, government agencies concerned	Government websites, meeting	Two rounds of disclosure before project appraisal	Shaanxi PMO, 3 county / district PMOs
	RAP, detailed LAR impacts, LAR compensation program, etc.		Affected village and 4 households	Community meeting, brochure, community bulletin board, door-to-door notification, etc.	One month before agreement signing	PIUs, township governments
Construction	WTS information, including: scope and time of construction, E&S impacts and mitigation measures		WTS nearby communities and residents	On-site and community bulletin boards, etc.	During construction	PMO, PIUs, township governments
	Information on direct workers and contracted workers in the LMP, and GRM	Project workers	Written notification, meeting	PIUs, contractors		

Stage	Disclosed information ³³	County / district	Target groups	Disclosure channels	Time	Agencies responsible
	GRM for community residents		WTS nearby communities and residents	On-site and community bulletin boards, etc.		PMO, PIUs, township governments, village / community committees
	Information on contractor performance in external E&S monitoring reports		nearby residents, direct workers, contracted workers	On-site and community bulletin boards, etc.		PMO, PIUs
Operation	GRM for community residents		Nearby communities and residents	On-site and community bulletin boards, etc.	During operation	PIUs, village committees
	Information on direct, contracted and community workers in the LMP, and GRM		Project workers	Written notification, meeting		PIUs, township governments, village / community committees
	Environmental monitoring data, and information on WTSs and labor management performance in external E&S monitoring reports		The public, project workers, nearby communities and residents	PIU websites Facility site and community bulletin boards, etc.		PIUs
sorting facilities						
Preparation (including design)	Relevant information in social audit report, SIA report, EIA report, SEP, LMP and ESCP	Linwei District	The public, workers, government agencies concerned	Government websites, meeting	Two rounds of disclosure before project appraisal	Shaanxi PMO, Linwei District PMO
Construction	Sorting facility information, including: scope and time of construction, E&S impacts and mitigation measures		Nearby communities	Meeting, on-site and community bulletin boards, etc.	One month before construction	PMO, PIUs, township governments
	Information on direct workers and contracted workers in the LMP, and GRM		Project workers	Written notification, meeting	During construction	PIUs, contractors

Stage	Disclosed information ³³	County / district	Target groups	Disclosure channels	Time	Agencies responsible
	GRM for community residents		Nearby communities and residents	On-site and community bulletin boards, etc.		PIUs, township governments, village / community committees
	Environmental monitoring data and contractor performance in external E&S monitoring reports		nearby residents, direct workers, contracted workers	Meeting, on-site and community bulletin boards, etc.		PMO, PIUs
	Information on direct workers in the LMP, and GRM		Project workers	Written notification, meeting		PMO, PIUs
Operation	GRM for community residents		Nearby communities and residents	Meeting, on-site and community bulletin boards, etc.	During operation	PIUs
	Environmental monitoring data, and information on sorting center and labor management performance in external E&S monitoring reports		The public, project workers, nearby communities	Meeting, on-site and community bulletin boards, etc.		PMO, PIUs
	Disposal facilities – landfill closure: (Linwei District: Majiagou Landfill closure; Chengcheng County: Yaotou Landfill closure, Chengcheng Landfill closure; Baoji City: Changshougou Landfill closure)					
Preparation (including design)	Social audit report, SIA report, EIA report, SEP, LMP, ESCP	Linwei District, Chengcheng County, Baoji City	The public, government agencies concerned	Government websites, meeting	Two rounds of disclosure before project appraisal	Shaanxi PMO, city / county / district PMOs
Closure	Subproject information, including: scope and time of construction, E&S impacts and mitigation measures	Linwei District, Chengcheng County, Baoji City	The public, nearby communities	Meeting, on-site and community bulletin boards, etc.	One month before construction	PMO, PIUs, township governments
	Mitigation measures for community health and safety		Nearby communities and residents	Meeting, on-site and community bulletin	During construction	Chengcheng County PMO, PIUs,

Stage	Disclosed information ³³	County / district	Target groups	Disclosure channels	Time	Agencies responsible
	risks of the Chengcheng Landfill			boards, etc.	During construction	township governments
	Information on direct workers and contracted workers in the LMP, and GRM		Project workers	Written notification, meeting		PIUs, contractors
	GRM for community residents		Nearby communities, residents and other facilities	Meeting, on-site and community bulletin boards, etc.		PIUs
	Environmental monitoring data and contractor performance in external E&S monitoring reports		The public, project workers, landfill nearby communities	On-site and community bulletin boards, etc.		PMO, PIUs
O&M	GRM for direct and contracted workers after landfill closure in the LMP		Project workers	Written notification, meeting	After closure	PIUs, service outsourcing companies
	GRM for community residents		Nearby communities and residents	On-site and community bulletin boards, etc.		PIUs, township governments
	Environmental monitoring results of the Chengcheng Landfill	Chengcheng County	Villages affected by land lease	Meeting, community bulletin boards, etc.		PMO, PIUs, township governments
	Land reuse plan and benefit distribution plan after closure	Linwei District				
	Information on sorting center and labor management performance in external E&S monitoring reports	Linwei District, Chengcheng County, Baoji City	project workers, landfill nearby communities	On-site and community bulletin boards, etc.		PMO, PIUs
Downstream project-related facilities (Linwei District: Weinan WTE Plant; Chengcheng County: Chengcheng County WTE Plant; Chencang District: Baoji City WTE Plant)						
Preparation	Relevant information in social audit report and ESCP	Linwei District, Chengcheng	The public, contractors / operators of project-related facilities, government	Government websites, meeting	Two rounds of disclosure before project appraisal	Shaanxi PMO, 3 county / district PMOs

Stage	Disclosed information ³³	County / district	Target groups	Disclosure channels	Time	Agencies responsible
		County, Chencang District	agencies concerned			
Implementation	GRMs for community residents and workers	County, Chencang District	Nearby communities and residents, workers	On-site and community bulletin boards, etc.	During project activities	Shaanxi PMO, 3 county / district PMOs, contractors / operators of project-related facilities
	Information on project-related facilities in external E&S monitoring reports					PMOs, contractors / operators of project-related facilities

For different types of subprojects and stakeholders, different information disclosure methods should be used, such as:

- For all stakeholders, disclosing the project information, E&S documents, E&S management measures, environmental monitoring reports, E&S external monitoring report, land acquisition and the compensation, etc. on the websites of the PMOs or PIUs;
- For affected workers: disclosing the project information, LMP, GRM, etc. by the PIUs' websites, brochure, worker meeting, WeChat account, QQ account, etc. Workers exposed to OHS risk should be informed of the occupational diseases and the consequences through the signed labor contracts.
- For community residents, disclosing the project information, E&S documents, environmental monitoring reports, relevant health and safety management measures, etc. by community bulletin board, community meeting, brochure distribution, door-to-door visit, etc.
- For vulnerable groups, tailoring information disclosure measure, including door-to-door interview, face-to-face interview, and supply of a suitable form

All disclosed information will be well documented, and comments and feedback received should be recorded and filed. Table 5-3 provides a template.

Table 5-3 Information Disclosure Record Template

Disclosed Information	Venue	Method	Target stakeholders	Comments and feedback received	Agencies responsible

5.3 Proposed Strategy for Consultation

At different stages of the construction subprojects, the Shaanxi PMO, city / county / district PMOs and PIUs will conduct meaningful stakeholder engagement activities respectively. Meaningful engagement is a two-way process that should:

- begin early on during project planning, collect preliminary comments on the Project, and affect the project design;
- encourage stakeholders to give feedback, especially as a way to affect the project design, and involve stakeholders in identifying and mitigating E&S impacts and risks;
- be conducted continuously with the emergence of impacts and risks;

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- disclose and disseminate relevant, transparent, objective, meaningful and readily available information in advance in order to conduct meaningful consultation with stakeholders in a culturally appropriate manner, using the local language and in a form understood by them within a timeframe;
 - consider and respond to feedback;
 - support the extensive participation of all project-affected parties; and
 - be free from external manipulation, interference, intimidation, and discrimination.

5.3.1 Scope

The PIUs will conduct stakeholder engagement activities at the preparation, construction and operation stages, and the depth and breadth of the SEP will depend on the scale and complexity of E&S impacts.

Different types of facilities have different priorities at different stages. See Table 5-4. Special approaches should be applied to vulnerable groups to prevent them from being excluded from the mainstream engagement procedure (see Section 5.4).

At the preparation stage, for collection, transfer and sorting facilities, stakeholder engagement is focused on collecting comments and suggestions from workers and community residents based on the deficiencies in worker and community management found in the social audit to optimize management measures and improve GRMs; for landfills, especially Chengcheng Landfill, meaningful consultation should be conducted with residents within the protection distance on community health and safety risks to learn their attitudes and needs, and reasonable needs should be included in relevant risk management plans.

The priorities of stakeholder engagement of different types of facilities at different stages are as follows:

- Collection facilities: focusing on communities and residents, and relevant workers (mainly including direct, contracted and community workers)
 - Community residents should be consulted on site selection and potential risks at the preparation stage, improve the grievance mechanism, monitor their attitudes towards to the impacts and grievance redress at the operation stage;
 - For different types of workers, especially community workers, the focus is consulting with them on relevant land management issues, improvement of the LMP (including GRM) to learn their needs, and monitoring LMP implementation, including grievance redress.
- Transfer facilities and sorting facilities: focusing on relevant workers, nearby communities and residents, LA-affected villages and villagers.

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- For different types of workers, the focus is consulting with them on relevant contents in the LMP (including GRM) to learn their needs, and monitoring LMP implementation, including grievance redress;
 - For nearby communities and residents, the focus is learning their attitudes to impacts of facilities, improving the community GRM, and monitoring community residents' attitudes and grievance redress.
 - Landfill closure: focusing on relevant workers, nearby communities and residents, and villagers affected by land lease
 - For workers, including contracted workers at the construction stage and direct workers at the operation stage, the focus is consulting with them on relevant contents in the LMP (including GRM) to learn their needs, and monitoring LMP implementation, including grievance redress;
 - For nearby communities and residents, especially residents within the health protection distance of the Chengcheng Landfill, adequate consultation on mitigation measures for community health and safety risks in the landfill closure and O&M plans should be conducted with nearby community residents., Learn their attitudes and needs, incorporate reasonable needs into the relevant management plan, and community management monitored during and after closure, including grievance redress.
 - For the Yaotou Landfill, if the land lease contract is extended, the relevant compensation should be paid timely and fully in full consultation with villagers, and concerns addressed timely.
 - For the village and villagers affected by land lease for the Majiagou Landfill, meaningful consultation should be conducted with them on the land reuse plan after closure to learn their needs and negotiate a new plan for benefits distribution; if the land return to the villagers, adequate technical demonstration and evaluation should be carried out, and relevant villages and villagers be clearly informed of the evaluation results.
 - Project-related facilities: Coordinate the waste incineration plants related operators and government, to support the social audit and monitoring, and discuss solutions to emerging issues.

Table 5-4 Stakeholder Engagement Program for Different Types of Facilities

Stage	Topic	Scope	County / district	Target groups	Time	Venue	Preferred modes	agencies responsible
Front end collection facilities (Linwei District: construction of rural waste collection points and purchase of villages, construction of urban waste sorting pavilions and purchase of waste bins; Chengcheng County: purchase of electric collection vehicles (including waste bins); Chencang District: construction of urban and rural centralized collection sites, construction of rural waste collection points and purchase of villages, construction of urban waste sorting pavilions and purchase of waste bins)								
Preparation (including design)	Taking remedies for deficiencies found in the social audit	Improving community worker contract management, safety risk management and GRM	3 counties / districts	Community workers, village committees, township governments, PIUs	Before construction	Meeting rooms of county / district PMOs	FGD	County / district PMOs
		Improving rural direct worker contract management, safety risk management and GRM		Direct workers, PIUs, township governments			FGD	
		Improving rural contracted worker contract management, safety risk management and GRM	Linwei District and other counties / districts (if involved)	Contracted workers, PIUs, township governments			FGD	
		Contract management, working hours, salaries, GRM, etc. of direct workers employed by environmental sanitation authorities	3 counties / districts	Front end direct workers, PIUs, township governments			FGD	
		Improving the community GRM		Nearby communities and residents, PIUs, township governments			Communities	

Stage	Topic	Scope	County / district	Target groups	Time	Venue	Preferred modes	agencies responsible
	Defining agencies and resources for E&S risk management	Confirming the ESCP, and defining budgets, agencies, resources and responsibilities in coordination with government agencies concerned and PIUs		Government agencies concerned, PIUs, township governments		Meeting rooms of city / county / district PMOs	FGD	Shaanxi PMO, county / district PMOs
		Defining township level supervision functions of the Linwei District and Chengcheng County ESCs, and Chencang District Waste Management Service Center		Government agencies concerned, PIUs, township governments		Meeting rooms of county / district PMOs	FGD	
		Capacity building of PIUs		Information on front end collection and transfer facilities in the LMP, and community health and safety management		Government agencies concerned, PIUs, township governments	Meeting rooms of PIUs	
	Improving the project design	Functions and sizes of new facilities	Linwei District, Chencang District	Village / community committees, community residents, schools, township governments, government agencies concerned	Before construction	Communities	FGD	PIUs, township governments
		Model selection for collection vehicles	3 counties / districts	Village committees, township		Meeting rooms of township governments	FGD	PIUs, township governments

Stage	Topic	Scope	County / district	Target groups	Time	Venue	Preferred modes	agencies responsible
				governments				
	Land use coordination	Obtaining land approval from natural resources bureaus	Linwei District, Chencang District	Natural resources bureaus, township governments		Meeting rooms of PIUs	FGD, key informant interview	PIUs
Construction	Site selection	Agreeing on land use with community residents	Linwei District, Chencang District	Village committees, community residents, schools, township governments, government agencies concerned	Before construction	Communities	FGD	PIUs, township governments
	Contractor and labor management	Implementation of the ESMP by contractors	3 counties / districts	Contractors, contractor worker reps.	During construction	Facility sites	FGD	PIUs
	Community management	Nearby communities' attitudes to, and comments and suggestions on E&S risks and impacts during construction	City / county / district	Nearby community residents, schools, etc.	During construction	Facility sites, nearby communities, etc.	FGD	PIUs, township governments
Operation	Community worker management	Training on contents related to community workers in the LMP (including GRM) and monitoring	3 counties / districts	community workers	During operation	Township governments, village / community committees	FGD	PIUs, township governments
	Direct worker management	Training on contents related to direct workers of environmental		Environmental sanitation authorities		Environmental sanitation authorities		PIUs

Stage	Topic	Scope	County / district	Target groups	Time	Venue	Preferred modes	agencies responsible
		sanitation authorities in the LMP and monitoring		direct workers				
		Training on contents related to township direct workers in the LMP and monitoring		Rural direct workers				
	Contracted worker management	Training on contents related to contracted workers in the LMP (including GRM) and monitoring	Linwei District and other counties / districts (if involved)	Contracted workers		Township governments, village / community committees		township governments
	Issues and solutions	Finding solutions for E&S issues	3 counties / districts	Government agencies concerned, township governments, village / community committees, workers, nearby community residents		During operation		Facility sites, nearby communities, etc.
Transfer facilities (Linwei District: construction and reconstruction of WTSS, and purchase of vehicles; Chengcheng County: reconstruction of urban fixed WTSS and rural mobile WTSS, and purchase of vehicles; Chencang District: construction and reconstruction of collection sites, construction of WTSS, truck maintenance center, and purchase of vehicles)								
Preparation (including design)	Taking remedies for deficiencies found in the social audit	Coordinating land use for WTSS	3 counties / districts	Village / community committees, community residents, schools,	Before construction	Communities	FGD, key informant interview	County / district PMOs, PIUs, township governments

Stage	Topic	Scope	County / district	Target groups	Time	Venue	Preferred modes	agencies responsible
				government agencies concerned				
		Improving labor contract management, working hours, remuneration and OHS management		Direct workers, PIUs		Meeting rooms of environmental sanitation authorities	FGD	County / district PMOs
		Improving the GRM for WTS workers		Direct workers, PIUs		Meeting rooms of environmental sanitation authorities	FGD	
		Defining OHS management requirements during the operation of waste facilities		Direct workers, health commissions, PIUs		Meeting rooms of environmental sanitation authorities	Key informant interview	
		Improving the community GRM		Nearby communities and residents, PIUs, township governments		Communities	FGD	
		Confirming the ESCP, and defining budgets, agencies, resources and responsibilities in coordination with government agencies concerned and PIUs		Government agencies concerned, PIUs, township governments		Meeting rooms of PMOs	FGD	
	Capacity building of PIUs	Training on WTSS in the LMP		Government agencies concerned,		Meeting rooms of PIUs	FGD	

Stage	Topic	Scope	County / district	Target groups	Time	Venue	Preferred modes	agencies responsible
				PIUs, township governments, village / community committees				
		Community health and safety management	3 counties / districts	PIUs, township governments	Before construction	Meeting rooms of county / district PMOs	FGD	
	Improving project design	Further optimizing WTS sites and layout		Feasibility study agency, EIA agency, government agencies concerned, resident reps.	Before construction	Meeting rooms of PIUs	FGD	PIUs
	LAR	Negotiating and signing land use contract, payment compensation, and discussing the compensation distribution program		Government agencies concerned, village committees, villagers	Before construction	Meeting rooms of township governments	Village meeting, door to door interview	PIUs, township governments
	Contractor management	Preparation of the ESMP, including worker and community management		Contractors, contractor worker reps.	Before construction	Meeting rooms of township governments	FGD	PIUs
Labor management	Training on contents related to contracted workers in the LMP and monitoring	Contracted workers		During construction	Meeting rooms of facility sites	FGD	PIUs	
Construction	Community management	Nearby communities' attitudes to, and comments and suggestions on E&S risks and impacts during		Nearby community residents, schools, etc.	During construction	Facility sites, nearby communities, etc.	Community meeting	PIUs, township governments

Stage	Topic	Scope	County / district	Target groups	Time	Venue	Preferred modes	agencies responsible
		construction						
Operation	Direct worker management	Training on contents related to direct workers of environmental sanitation authorities in the LMP and monitoring		Direct workers	During operation	Facility sites	FGD	PIUs
	Community management	Nearby communities' attitudes to, and comments and suggestions on E&S risks and impacts during operation		Nearby community residents, schools, etc.	During operation	Facility sites, nearby communities, etc.	Community meeting	PIUs, township governments
	Issues and solutions	Finding solutions for E&S issues		Government agencies concerned, township governments, village / community committees, workers, nearby community residents	During operation	Facility sites, nearby communities, etc.	FGD, key informant interview	county / district PMOs, PIUs, township governments
Sorting facilities (Linwei District: sorting center)								
Preparation (including design)	Taking remedies for deficiencies found in the social audit	Improving personnel policies of the sorting center, including labor contract management and worker GRM	Linwei District	Workers at the sorting center	Before construction	Offices of existing facilities	Key informant interview, FGD	Linwei District PMO and PIU
		Defining OHS management requirements during the		District health commission		Meeting room of PMO or health	Key informant interview	Linwei District PMO and PIU

Stage	Topic	Scope	County / district	Target groups	Time	Venue	Preferred modes	agencies responsible
		operation of sorting center				commission		
		Improving the community GRM		Nearby communities and residents		Communities	FGD	Linwei District PMO and PIU, township governments
	Defining agencies and resources for E&S risk management	Confirming the ESCP, and defining budgets, agencies, resources and responsibilities in coordination with government agencies concerned and PIUs		Government agencies concerned, PIUs, township governments		Meeting room of the Linwei District PMO	FGD	Shaanxi PMO, Linwei District PMO
	Capacity building of PIUs	Training on the sorting center in the LMP		Government agencies concerned, PIUs, township governments		Meeting room of the Linwei District PMO		
		Community health and safety management		PIUs, township governments		Meeting room of the Linwei District PMO		
	Improving project design	Optimizing the project design and facility layout		Feasibility study agency, EIA agency, government agencies concerned, resident reps.		Meeting rooms of PIUs		
	Construction	Contracted worker management		Training on the LMP for contracted workers and monitoring		Contracted workers	During construction	Facility sites
Community		Nearby communities'	Nearby	During	Facility sites,	Community	Linwei	

Stage	Topic	Scope	County / district	Target groups	Time	Venue	Preferred modes	agencies responsible
	management	attitudes to, and comments and suggestions on E&S risks and impacts during construction		community residents	construction	nearby communities, etc.	meeting	District PMO and PIU, township governments
Operation	Direct worker management	Training on the LMP for direct workers and monitoring		Direct workers	During operation	Facility sites	FGD	Linwei District PMO and PIU
	Contracted worker management	Training on the LMP for contracted workers and monitoring		Contracted workers	During operation	Facility sites	FGD	Linwei District PMO and PIU
	Community management	Nearby communities' attitudes to, and comments and suggestions on E&S risks and impacts during operation		Nearby community residents, schools, etc.	During operation	Facility sites, nearby communities, etc.	Community meeting	Linwei District PMO and PIU
	Issues and solutions	Finding solutions for E&S issues		Government agencies concerned, workers, nearby community residents, etc.	During operation	Facility sites, nearby communities, etc.	FGD, key informant interview	Shaanxi PMO, Linwei District PMO and PIU
disposal facilities -landfill closure: (Linwei District: Majiagou Landfill closure; Chengcheng County: Yaotou Landfill closure, Chengcheng Landfill closure; Baoji City: Changshougou Landfill closure)								
Preparation (including design)	Taking remedies for deficiencies found in the social audit	Improving the labor contract management of the Yaotou Landfill	Chengcheng County	Yaotou Landfill workers, PIUs	Before construction	Meeting room of the Chengcheng County PMO	FGD	Chengcheng County PMO
		Improving the land use procedures of the Majiagou and Yaotou	Chengcheng County, Linwei	Chengcheng County and Linwei District		Meeting rooms of the Chengcheng	FGD	Chengcheng County, Linwei

Stage	Topic	Scope	County / district	Target groups	Time	Venue	Preferred modes	agencies responsible
		Landfills	District	Natural Resources Bureaus, Yaotou Town Government, PIUs		County and Linwei District PMOs		District PMO
		Discussing non-compliance issues in land use of the Yaotou Landfill in Chengcheng County, and constraint factors and prerequisites in land use for landfill closure	Chengcheng County	Government agencies concerned (ecology and environment bureau, emergency management bureau, health commissions, etc.)		Facility sites, nearby communities, etc.	FGD, key informant interview	Shaanxi PMO, Chengcheng County PMO and PIU
		Improving LMPs and GRMs for all types of workers	Baoji City, Linwei District, Chengcheng County	All types of workers, PIUs		Facility sites, township governments, village committees	FGD	Baoji City, Chengcheng County and Linwei District PMOs
		Defining OHS management requirements during the operation of waste facilities		Baoji City, Chengcheng County, Linwei District health commissions, workers		Meeting rooms of the PMOs or health commissions	FGD	Baoji City, Chengcheng County and Linwei District PMOs
		Improving the community GRM		Community residents, village committees, township		Township governments, village committees	Community meeting	PIUs, township governments

Stage	Topic	Scope	County / district	Target groups	Time	Venue	Preferred modes	agencies responsible
				governments, etc.				
	Defining agencies and resources for E&S risk management	Confirming the ESCP, and defining budgets, agencies, resources and responsibilities in coordination with government agencies concerned and PIUs		Government agencies concerned, PIUs, township governments		City / Meeting rooms of county / district PMOs	FGD	Shaanxi PMO, Baoji City, Chengcheng County and Linwei District PMOs
	Improving project design	Optimizing the technical solution for closure	Baoji City, Linwei District, Chengcheng County	Feasibility study agency, EIA agency, government agencies concerned, resident reps.		Meeting rooms of PIUs	Seminar	PIUs
		Mitigation measures for community health and safety risks in the Chengcheng Landfill closure plan	Chengcheng County	Nearby community residents, government agencies concerned (ecology and environment bureau, emergency management bureau, etc.)		Facility sites, nearby communities, etc.	FGD, key informant interview	Chengcheng County PMO and PIU
		Design optimization for slope instability and traffic safety risks of the Changshougou Landfill	Baoji City	Nearby community residents, government agencies		Facility sites, nearby communities, etc.	FGD, key informant interview	Baoji City PMO and PIU

Stage	Topic	Scope	County / district	Target groups	Time	Venue	Preferred modes	agencies responsible
				concerned, design agency				
	Capacity building of PIUs	Training on WTSs in the LMP	Baoji City, Linwei District, Chengcheng County	Government agencies concerned, PIUs, township governments, village / community committees		Meeting rooms of PIUs	FGD	Baoji City, Chengcheng County and Linwei District PMOs
		Community health and safety management		PIUs, township governments				Meeting rooms of county / district PMOs
Closure	Contracted worker management	Training on the LMP for contracted workers and monitoring		Contracted workers				During construction
	Community management	Nearby communities' attitudes to, and comments and suggestions on E&S risks and impacts during construction	Nearby community residents, schools, etc.	During construction	Facility sites, nearby communities, etc.	Community meeting	PIUs, township governments	
	Direct worker management	LMP training for direct workers and monitoring	direct workers	During O&M	Facility sites	FGD	PIUs, township governments	
O&M	Contracted worker management	Training on the LMP for contracted workers and monitoring	Contracted workers	During O&M	Facility sites	FGD	PIUs, township governments	
	Community management	Determining the mode of land reuse	Baoji City, Linwei District,	Nearby community residents,	After closure	Nearby communities	FGD, key informant interview	PIUs, township governments

Stage	Topic	Scope	County / district	Target groups	Time	Venue	Preferred modes	agencies responsible
			Chengcheng County	persons affected by land lease, township governments, village committees				
		Consulting with villagers if the lease contract for the Yaotou Landfill is extended to collect relevant grievances and concerns	Chengcheng County	Affected villages and villagers	After closure	Township governments	Key informant interview, FGD	PIUs, township governments
		Consulting with villagers on land reuse after closure for the Majiagou Landfill to learn their expectations and determine the benefit distribution plan	Linwei District	Affected villages and villagers	After closure	Township governments	Key informant interview, FGD	PIUs, township governments
		Nearby communities' attitudes to, and comments and suggestions on E&S risks and impacts after closure	Baoji City, Linwei District, Chengcheng County	Nearby community residents, schools, etc.	During O&M	Facility sites, nearby communities, etc.	Community meeting	PIUs, township governments
	Issues and solutions	Finding solutions for E&S issues	Linwei District	Government agencies concerned, workers, nearby community residents, etc.	During operation	Facility sites, nearby communities, etc.	FGD, key informant interview	Linwei District PMOs and PIUs
Downstream project-related facilities (Linwei District: Weinan City WTE plant; Chengcheng County: Chengcheng County WTE Plant; Chencang District: Baoji City WTE Plant)								
Preparation	Social audit	Supporting the social	City /	Government	Preparation	Facility sites,	FGD, key	Shaanxi PMO,

Stage	Topic	Scope	County / district	Target groups	Time	Venue	Preferred modes	agencies responsible
		audit on project-related facilities	county / district	agencies concerned, PIUs and competent authorities, nearby community residents, workers, etc.	stage of project activities	nearby communities, etc.	informant interview	county / district PMOs
Implementation	M&E	Supporting the social monitoring on project-related facilities						
	Issues and solutions	Finding solutions to E&S issues						

5.3.2 Key Methods

The stakeholder engagement methods include without limitation:

- Key informant interview;
- FGD;
- Door-to-door interview;
- Questionnaire survey and online public consultation;
- Public meeting;
- Seminar and symposium;
- Hearing, etc.

All public consultation and participation activities, and their findings and suggestions will be recorded. Table 5-5 provides a record template.

Table 5-5 Public Participation Record Template

Date	Venue	Activity	Method	Participants	Agencies responsible	Findings, suggestions and subsequent actions

5.4 Proposed Strategy to Incorporate Views of Vulnerable Groups

For vulnerable groups, their features and needs should be considered in information disclosure and engagement activities.

1) Information disclosure strategy

These groups live in remote areas with low literacy levels and have limited access information technology (e.g., rarely using smart phones, Web and other new media). They are likely to be excluded from the design and construction of the TA subprojects. Therefore, their vulnerabilities in education, information acquisition ability, etc. should be considered in information disclosure activities. An understandable language should be used and the notification method used to ensure that they receive relevant information timely. See Table 5-6.

2) Engagement strategy

Take appropriate measures to ensure that vulnerable groups express their concerns and suggestions freely during engagement, including:

- The PIUs and township governments will conduct effective and meaningful consultation with identified vulnerable groups with priority. Hold an FGD with them separately, or interview them one by one to discuss their potential concerns about the Project. The PIUs will record issues discussed, and endeavor to address concerns.

-
- Use the local language during communication where possible, and ensure that consultation modes, times and venues are suited to their needs; for example, participation activities for village cleaners and transfer workers should be conducted in villages and non-busy hours, and participation activities for facility workers should be conducted at workplaces where possible.
 - Describe reasons for adoption or non-adoption of their views as part of consultation, and give feedback.

See Table 5-7.

Table 5-6 Information Disclosure Plan for vulnerable groups

Stage	Target groups	County / district	Disclosed information	Disclosure modes	Time	Agencies responsible
Preparation	Village public welfare cleaners without subsidy and sufficient safety measures Linwei District, Chengcheng County and Chencang District	3 counties / districts	Scope of construction, LMP for community workers (including GRM, etc.)	Special meeting, face-to-face notification	One month before construction	PIUs, township governments
	Waste pickers at township unofficial waste dumps	3 counties / districts	Scope of construction	Face-to-face notification	One month before construction	PIUs, township governments
	Workers who have not signed a labor contract at the sorting center in Linwei District	Linwei District	LMP	Special meeting, face-to-face notification	One month before construction	PIUs
	Workers who have not signed a labor contract at the Yaotou Landfill in Chengcheng County	Chengcheng County	LMP	Special meeting, face-to-face notification	One month before construction	PIUs
Operation	Village public welfare cleaners without subsidy and sufficient safety measures Linwei District, Chengcheng County and Chencang District	3 counties / districts	Safety training information	Special meeting, face-to-face notification	Operation stage	PIUs, township governments
	Waste pickers at township unofficial waste dumps	3 counties / districts	Potential job opportunities	Face-to-face notification	Operation stage	PIUs, township governments
	Workers who have not signed a labor contract at the sorting center in Linwei District	Linwei District	Safety training information	Special meeting, face-to-face notification	Operation stage	PIUs, township governments
	Workers who have not signed a labor contract at the Yaotou Landfill in Chengcheng County	Chengcheng County	Safety training information	Special meeting, face-to-face notification	Operation stage	PIUs, township governments

Table 5-7 Engagement Plan for Vulnerable Groups

Stage	Target groups	County / district	Scope	Time	Venue	Modes	Agencies responsible
Preparation	Village public welfare cleaners without subsidy and sufficient safety measures Linwei District, Chengcheng County and Chencang District	3 counties / districts	Discussing main risks and needs	Before construction	Village committees	FGD, interview, etc.	County / district PMOs, PIUs, township governments
	Waste pickers at township unofficial waste dumps	3 counties / districts	Learning basic information and needs	Before LA agreement signing	Offices of township governments	FGD, interview, etc.	County / district PMOs, PIUs, township governments
	Workers who have not signed a labor contract at the sorting center in Linwei District	Linwei District	Discussing main risks and needs	Before project appraisal	Yaotou Landfill	FGD, interview, etc.	Linwei District PMO, Linwei District Used Material Recycling Company
	Workers who have not signed a labor contract at the Yaotou Landfill in Chengcheng County	Chengcheng County	Discussing main risks and needs	Before landfill closure	Landfills	FGD, interview, etc.	Chengcheng County PMO and ESC
Operation	Village public welfare cleaners without subsidy and sufficient safety measures Linwei District, Chengcheng County and Chencang District	3 counties / districts	Learning labor contract signing, insurance, safety training, and grievance redress	Operation	Village committees	FGD, interview, etc.	County / district PMOs, PIUs, township governments
	Waste pickers at township unofficial waste dumps	3 counties / districts	Learning current conditions and needs, and offering suitable jobs	Operation	Offices of township governments	FGD, interview, etc.	County / district PMOs, PIUs, township governments
	Workers who have not signed a labor contract at the sorting center in Linwei District	Linwei District	Learning labor contract signing, salaries, working hours, safety training, occupational hazard protection and grievance redress	Operation	Facility sites	FGD, interview, etc.	Linwei District PMO, Linwei District Used Material Recycling Company
	Workers who have not signed a labor contract at the Yaotou Landfill in Chengcheng County	Chengcheng County	Learning labor contract signing, salaries, working hours, safety training, occupational hazard protection and grievance redress	Operation	Facility sites	FGD, interview, etc.	Chengcheng County PMO and ESC

5.5 Timelines

Table 5-8 sets out key times for information disclosure and decision-making.

Table 5-8 Schedule for Key Decisions on Stakeholders

Stage	Agencies responsible	Key decisions and information	Deadline
Preparation	Shaanxi PMO, Chengcheng County and Linwei District PMOs and PIUs	For subprojects with nonconforming land use (Yaotou and Majiagou Landfills), communicate with the local natural resources bureaus as soon as possible to obtain land approvals timely.	December 31, 2022 (before project appraisal)
	Chengcheng County PMO and PIU	Consultation with residents on health and safety risks management measures and optimizing the closure design or the Chengcheng Landfill	Before construction
	Shaanxi PMO, city / county / district PMOs and PIUs	Defining OHS management requirements for key facilities (WTSs and landfills), and including them in the LMP	August 30, 2022
	PSC, Shaanxi PMO, city / county / district PMOs and PIUs	Confirming the feasibility of the ESCP, ESMP, LMP, SEP and RAP, and defining budgets, agencies, resources and responsibilities	December 31, 2022 (before project appraisal)
		Confirming the ESCP	January 2023
Construction	Shaanxi PMO, city / county / district PMOs and PIUs	Construction progress, implementation of E&S measures, grievance redress, arising issues and solving	June 30 and December 31 of every year
Operation		Operation, implementation of E&S measures, grievance redress, arising issues and solving	June 30 and December 31 of every year

5.6 Review of Comments

The PIUs will record all comments and suggestions of stakeholders, and those adopted will be described in semiannual E&S environmental monitoring reports, and disclosed to the public.

The PIUs will consider suggestions raised at the preparation stage in the design process to make the project design more suited to their needs; for suggestions raised at the construction and operation stages, the PIUs will communicate with stakeholders to find the most effective solutions.

6 GRM

At the construction and operation stages, it is necessary to respond to all needs and concerns related to the Project. Therefore, it is important to establish normative GRMs, and all relevant records will be submitted to the Bank through the annual E&S monitoring mechanism.

GRMs under the Project mainly fall into three types:

- The first type includes GRMs for affected residents and nearby communities.
- The second type includes GRMs for project workers, including direct, contracted and community workers.
- The third type includes GRMs for persons affected by LAR.

GRMs for project workers and LAR-affected persons are described respectively in the LMP and RAP. This SEP only describes GRMs for community residents.

6.1 External Communication Mechanism

The PIUs have established an external communication mechanism for the Project, as shown in Table 6-1.

Table 6-1 External Communication Channels of Main PIUs

N o.	City / county / district	PIU	External communication channel
1	Linwei District	Linwei District ESC	<ul style="list-style-type: none"> • Address: Shengli Street East, Linwei District • Office telephone: 0913-8119885
		Linwei District Used Material Recycling Center	<ul style="list-style-type: none"> • Address: Huashan Street Central, Linwei District • Office telephone: 18291350005
2	Chengcheng County	Chengcheng County ESC	<ul style="list-style-type: none"> • Address: junction of Changning Street and Yucai West Road, Chengcheng County • Office telephone: 0913-86869600
3	Chengcang District	Chengcang District Urban Administration and Law Enforcement Bureau	<ul style="list-style-type: none"> • Address: No.21 South Ring Road, Chengcang District • Office telephone: 0917-6236717
		Chengcang District Waste Management Service Center	<ul style="list-style-type: none"> • Address: 7/F Chengjian Building, Central Street, Chengcang District • Office telephone:
4	Baoji City	Baoji City SWMC	<ul style="list-style-type: none"> • Address: Changshougou, Jinhe Town, Jintai District • Office telephone: 0917-8685806

6.2 GRM for Community Residents

The existing facilities have no formal and documented GRM for nearby community residents, who usually file grievances through village / community committees and township governments. Some residents file grievances through the government hotline 12345. Existing GRMs for community residents will be improved under the Project. Community residents may file grievances related to the Project through any one or more of the following channels. The GRM will be disclosed on the websites of the PIUs, contractors and government agencies. The nearby communities and residents will be informed of the GRM prior to the subproject construction and implementation.

1) PIUs

Prior to the construction of each subproject, the PIU shall assign a grievance focal point responsible for the grievance resolution, and disclose the contact information (such as hotline, online form, email address, reception area) and the phases of grievance redress.

In summary, the grievance procedure should include the following steps:

- Grievance registration

Complainants may visit, call or send a letter or e-mail to the focal point to register their grievances related to the subprojects. Each subproject shall maintain a record-book to register the complaints

- Grievance processing

Depending on the nature of grievance, this step may include verification, investigation, negotiation, mediation or arbitration, coordination with appropriate agencies and decision-making. Verification includes gathering of documents, proofs and facts, as well as clarifying background information in order to have a clear picture of the circumstances surrounding the grievance case.

- Feedback provision

The complaining party will be informed on the outcome of grievance resolution in the timely and appropriate matter.

- Escalation (if necessary, resolution through mediation and/or court process, please refer to Section 6.2 and 6.3)

Each township government will also assign a person specially to collect and handle appeals, and disclose relevant information on websites, bulletin boards, etc. Grievances received through all channels will be reported to the focal points for overall coordination and handling.

The PIUs and township governments will receive SEA/SH-related grievances anonymously and handle them confidentially.

All records and solutions will be reported to the Bank through annual E&S monitoring reports.

2) Government agencies

Including local offices for letters and visits, ecology and environment bureaus, LAR offices, etc., where appeal modes include hotline, online platform, letter / visit, reception day, etc., with feedback given to the PIUs. See Table 6-2.

Administrative mediation by relevant governments is also an effective channel to handle the appealing. Residents may raise complaints to the governments' offices for letters and visits at various levels by means of letters, e-mails, telephone or office visits. Disputes over environmental pollution between residents and legal persons may be settled by environmental protection administration bureau.

Table 6-2 Grievance Redress Channels of Government Agencies for the Project

No	City / county / district	Grievance redress channels	
1	Linwei District	Reception	<ul style="list-style-type: none"> · Linwei District Reception Hall for Visits (5# Building, District Administrative Center, No.83 Dongfeng Street, Linwei District) · Linwei District Branch of the Weinan Municipal Ecology and Environment Bureau (No.4 Nongyuan Road, Laocheng Street, Linwei District) · Service Hall of the Linwei District ESC (Shengli Street East, Linwei District) · Linwei District Federation of Supply and Marketing Cooperatives (1# Building, District Administrative Center, No.83 Dongfeng Street, Linwei District)
		Hotline	<ul style="list-style-type: none"> · Linwei District Reception Hall for Visits: 0913-2027110 · Linwei District Branch of the Weinan Municipal Ecology and Environment Bureau: 0913-2192094 · Service Hall of the Linwei District ESC: 0913-8119885 · Linwei District Federation of Supply and Marketing Cooperatives: 0913-3039248 · Citizen hotline: 12345 · Environmental protection hotline: 12369
		Online	<ul style="list-style-type: none"> · Official online complaint platform of the Linwei District Government: http://www.linwei.gov.cn/zmhd/
2	Chengcheng County	Reception	<ul style="list-style-type: none"> · Chengcheng County Reception Center for Visits (No.13, West Street, Chengcheng County) · Chengcheng County Branch of the Weinan Municipal Ecology and Environment Bureau (Guhui Street, Chengcheng County) · Chengcheng County Urban Administration and Law Enforcement Bureau (Changrong Road West, Chengcheng County (former industry park))
		Hotline	<ul style="list-style-type: none"> · Chengcheng County Reception Center for Visits: 0913-6712163 · Chengcheng County Branch of the Weinan Municipal Ecology and Environment Bureau: 0913-6712352 · Chengcheng County Urban Administration and Law Enforcement Bureau: 0913-6865600 · Citizen hotline: 12345

No	City / county / district	Grievance redress channels	
3	Chencang District		· Environmental protection hotline: 12369
		Online	· Official online complaint platform of the Chengcheng County Government: http://www.chengcheng.gov.cn/wlwz/
		Reception	· Chencang District Reception Hall for Visits (1/F, Agriculture Building, Huzhen Avenue, Chencang District) · Chencang District Branch of the Baoji Municipal Ecology and Environment Bureau (Lianzhai Segment, Chencang Avenue, Chencang District) · Chencang District Urban Administration and Law Enforcement Bureau (No.21 South Ring Road, Chencang District)
3	Chencang District	Hotline	· Chencang District Reception Hall for Visits: 0917-6231393 · Chencang District Branch of the Baoji Municipal Ecology and Environment Bureau: 0917-6238595 · Chencang District Urban Administration and Law Enforcement Bureau: 0917-6236717 · Citizen hotline: 12345 · Environmental protection hotline: 12369
		Online	· Official online complaint platform of the Chencang District Government: http://1.85.55.125/index.cmd?xzqhdm=610304&djjdm=610304000000446
4	Baoji City	Reception	· Reception Hall for Visits of the Baoji Municipal Administrative Center (Tower C, 6# Building, Baoji Municipal Administrative Center) · Baoji Municipal Ecology and Environment Bureau (5/F, West Podium, 1# Building, Baoji Municipal Administrative Center) · Baoji Municipal Urban Administration and Law Enforcement Bureau (3/F, Tower B, 6# Building, Baoji Municipal Administrative Center)
		Hotline	· Reception Hall for Visits of the Baoji Municipal Administrative Center: 0917-3261153 · Office of the Baoji Municipal Ecology and Environment Bureau: 0917-3260343 · Office of the Baoji Municipal Urban Administration and Law Enforcement Bureau: 0917-3263053 · Citizen hotline: 12345 · Environmental protection hotline: 12369
		Online	· Official complaint website of the Baoji Municipal Government: http://www.baoji.gov.cn/col/col39/index.html

3) Community organizations

Including village / community committees, township governments / sub-district offices, etc., with feedback given to the PIUs and competent authorities

Any affected community, individual or organization may file an appeal through the above channels, which should be disclosed on websites of government authorities and PIUs, and in communities, including the appeal procedure and timing, to ensure transparency; community residents may file appeals in different modes, including personal delivery, or filing by mobile phone, text message, mail, e-mail and website. After receiving an appeal, the full-time officer of the PIU will record it in appeal logs, and investigate it. Once the investigation is completed, the officer will notify the appellant of the resolution in writing, by phone or text message, including the date of receipt, appellant's name, brief description, measures taken (including remedies, resolutions and results), and date of resolution. All records and arising resolutions will be reflected in annual E&S monitoring reports.

Village committees and (urban) resident committees are to set up mediation committees for resolving daily disputes. No fees may be charged for mediation by the mediation committees. The mediation agreements are legally binding and are enforceable by the courts upon one party's request through compulsory execution. The two parties may also jointly apply for judicial confirmation of their mediation agreement by a court, within 30 days after the date on which the mediation agreement becomes effective.

7 Monitoring and Reporting

The city / county / district PIUs will record all stakeholder engagement, information disclosure and grievance redress activities of the Batch 1 subprojects, and report to their PMOs through the routine monitoring and reporting mechanism. The Chencang District PMO will report to the Baoji City PMO, and the Baoji City, Linwei District and Chengcheng County PMOs will report to the Shaanxi PMO.

The Shaanxi PMO will include SEP implementation in semiannual E&S performance monitoring report. See Table 7-1.

Table 7-1 Indicators for Stakeholder Engagement Monitoring

No.	Indicator	Unit	Frequency	Agencies responsible
1	Number of participation activities at the preparation stage	/	Quarterly	City / county / district PIUs
2	Number of participation activities at the construction and/or operation stages	/	Quarterly	
3	Number of participants in public participation activities	/	Quarterly	
3.1	<i>Where: direct workers (by type of work, gender, etc.)</i>	/	Quarterly	
3.2	<i>Contracted workers (by type of work, gender, etc.)</i>	/	Quarterly	
3.3	<i>Community workers (by type of work, gender, etc.)</i>	/	Quarterly	
3.3	<i>Nearby community residents (including women, elders, and other vulnerable groups)</i>	/	Quarterly	
4	Number of feedback messages received	/	Quarterly	
5	Number of grievances received	/	Quarterly	
6	Number of grievances handled	/	Quarterly	

Stakeholder engagement activities will be disclosed to stakeholders based on the information disclosure strategy proposed in Chapter 5 above.

In the project lifecycle, the city / county / district PMOs and PIUs will ensure that the grievance redress and communication mechanisms operate effectively to communicate with stakeholders timely.

Appendix 1 Summary of Completed Stakeholder Engagement Activities

Time	Venue	Stakeholder	Participants	Methods	Key points	Findings
Linwei District						
March 9	Fengyuan Town Government	Deputy town head, officials	12	FGD	Learning waste collection, transfer and disposal in Fengyuan Town, and discussing the scope of construction	<ul style="list-style-type: none"> • Since 2019, a third party service provider has been engaged for cleaning. • There are waste pickers in the landfill. • Local mulch film consumption is high, and mulch film is disposed of by piling and burning.
March 9-10	Beilei, Fengyuan and Xike Villages	Villagers, officials	15	Field visit, FGD	Learning the village profile, and collecting comments and suggestions	<ul style="list-style-type: none"> • The unofficial landfill in Xike Village has a spontaneous combustion risk. • Transfer trucks occasionally have spillage, producing strong odor and affecting the local environment. Villagers suggest improving such trucks or adjusting their route.
March 11	Xiangyang Sub-district	Head of private waste recycling station	6	Field visit	Learning local recyclable waste	<ul style="list-style-type: none"> • Small recycling stations recover waste from streets, and sell it to large ones. A small recycling station earns 800-900 yuan per trip, and recovers 2t of plastic waste per annum.
April 26	Linwei District Labor and Social Security Bureau	Section chief, community officials	7	FGD	Learning workers' rights protection, employment and GRM	<ul style="list-style-type: none"> • The labor and social security bureau is responsible for labor and social security management, coordination and supervision. It has a 24-hour complaint hotline (913-3030371). • The Project will generate more jobs, and improve the rural environment.
April 26	Linwei District Women's Federation	Director, officials	4	FGD	Learning women's federation's functions, women's rights, GBV risks, proportion of female officials, etc.	<ul style="list-style-type: none"> • The women's federation's mission is to protect the lawful rights and interests of women and children. Its rights protection hotline is 12338. • The Project will generate more jobs, and reduce land pollution, and is strongly supported.

Time	Venue	Stakeholder	Participants	Methods	Key points	Findings
April 26	Linwei District Civil Affairs Bureau	Deputy director, officials	4	FGD	Learning the identification criteria and supporting policies for vulnerable groups	<ul style="list-style-type: none"> The urban MLS standard is 620 yuan per month per capita, and the rural MLS standard is 4,836 yuan per annum per capita. Linwei District has 621 urban MLS households with 962 persons, including 416 females, and 8,616 rural MLS households with 17,718 persons, including 8,422 females. The interviewees think the Project will generate more public welfare jobs and bring more income, and expect it to be implemented as soon as possible.
April 26	Linwei District Ethnic and Religious Affairs Bureau	Deputy director, officials	4	FGD	Learning the current situation of ethnic minorities	<ul style="list-style-type: none"> In 2020, the district had a resident minority population of 3,368, mostly Hui. Minority residents are mostly located in Jiefang, Renmin and Zhannan Sub-districts, and Gushi and Yangguo Towns.
April 27	Linwei District Health Commission	Head, officials	6	FGD	Learning the health commission's responsibilities and requirements for the Project	<ul style="list-style-type: none"> The health commission is responsible for allocating the district's health resources and offering public health services.
April 27	Weinan Municipal Housing Construction Bureau	Section chief, staff	5	FGD	Learning the requirements and policies for sanitation facilities	<ul style="list-style-type: none"> The Project is a good supplement to the prevailing municipal waste management plan.
April 27	Linwei District Federation of Trade Unions	Director, staff	7	FGD	Learning the federation's responsibilities, procedure for worker rights protection, etc.	<ul style="list-style-type: none"> Workers may file complaints to trade unions or via hotlines. The worker service center also offers legal assistance and job referral services.
May 6	Weilan Road WTS	Master, security guards, cleaners, operators	8	Field visit	Learning the WTS's operation and workers' remuneration	<ul style="list-style-type: none"> The WTS has a floor area of 5 mu, a master, a security guard, two cleaners and one operator, aged 54-60 years. The operators work 9 hours a day. The salaries of the security guard and cleaners are lower than the local minimum salary standard.

Time	Venue	Stakeholder	Participants	Methods	Key points	Findings
						<ul style="list-style-type: none"> The land for the WTS is leased.
May 7	Banxi, Guojia, Guandao, Hanjia and Xianwang Villages	Village officials and villagers	12	Field visit, FGD	Learning the situation of waste collection and transfer, and attitudes to the Project	<ul style="list-style-type: none"> Each household pays 120 yuan per annum for cleaning, and village cleaners are paid 1,600 yuan per month. Suggestion on waste sorting: Cleaners are responsible for sorting, their income should be increased, and the village committee should strengthen publicity and supervision. Villagers think the Project is beneficial to them and support it.
May 8	Xinzhai Village, Jiaoxie Town	Village officials and villagers	3	Field visit, interview	Conducting a land use survey on WTSs	<ul style="list-style-type: none"> Two households are affected, and the acquired land is cultivated land. The AHs are willing to offer land as long as compensation is paid according to the policy.
May 8	Majiagou Landfill	Workers, villagers	7	Field visit, FGD	Learning the current situation of waste collection, and suggestions on waste sorting	<ul style="list-style-type: none"> The Majiagou Landfill will be closed down after the WTE plant is put into operation in March 2023. The interviewees have no objection to land lease.
May 7	Linwei District Ecology and Environment Bureau	Director, officials	5	Key informant interview	Learning the environmental regulatory requirements for landfills and WTE plants	<ul style="list-style-type: none"> The leachate treatment plant should conduct environmental monitoring (air, water and soil).
May 8	Linwei District Political and Legislative Affairs Committee	Officials	2	Key informant interview	Learning SSRA matters	<ul style="list-style-type: none"> Construction projects should be subject to an SSRA. The general procedure is project initiation, land pre-examination, SSRA, EIA and approval.
May 8, July 31	Linwei District Used Material Recycling Company	General manager, sorters, operators	4	FGD, key informant interview	Learning the company's operation, and workers' remuneration and security	<ul style="list-style-type: none"> There are 11 regular workers, responsible for administration. There are 11 temporary workers, including 2 drivers, 2 operators and 7 sorters. They have no labor contract. The temporary workers are not entitled to

Time	Venue	Stakeholder	Participants	Methods	Key points	Findings
						insurance and rest.
June 1-2	Nearby communities	Head, officials, property management staff, cleaners, residents	20	FGD, interview	Learning waste collection transfer, and collecting comments and suggestions	<ul style="list-style-type: none"> Cleaner salaries vary from community to community. All interviewees support the Project, and think that sorting pavilions should be set up on roadsides, and WTSs should have deodorization equipment.
June 23-24	Nearby communities, Weilan Road WTS, Chelei WTS	Workers, property management staff, residents	13	FGD, interview	Learning workers' remuneration and working conditions, and collecting comments and suggestions	<ul style="list-style-type: none"> The WTS runs an 8-hour working system. Workers are entitled to PPE, high temperature allowance, annual health checkup, and endowment, medical and accident insurance. Their average salary is 1,900 yuan per month. All interviewees support WTS reconstruction, and expect that measures be taken to reduce odor and noise.
Chengcheng County						
March 11	Weizhuang Town Sanitation Station	Master, sanitation workers	7	Field visit	Learning the station's operation, and sanitation workers' remuneration	<ul style="list-style-type: none"> Sanitation workers are paid 800-1,000 yuan per month, and provided with PPE (clothes, gloves and protective shoes).
March 12	Tiezhuang, Nansulao and Weizhuang Villages	Villagers, officials	20	Field visit, FGD	Learning the village profile, and collecting suggestions	<ul style="list-style-type: none"> The waste collection fee is 30 yuan per annum per capita. Waste is transferred to the WTE plant, and recyclable waste is sold.
March 12	Zhaozhuang Town Government	Town head, officials, village head	13	FGD	Learning the town profile and waste transfer	<ul style="list-style-type: none"> The town has 24 villages, with 1-3 unofficial waste dumps each, with pollution risks. The Project is supported. It is advised to build two WTSs in the town.
March 12-13	Bajiagou, Wu'an and Dangjiazhuang Villages	Village officials, villagers, cleaners	23	FGD, interview	Learning waste transfer, and collecting suggestions	<ul style="list-style-type: none"> Cleaners do cleaning once or twice a day, and work 3-4 hours a day, with a monthly subsidy of 500 yuan. Mulch film is burned for heating or stored on farmland.
April 6-8	Survey on	ESC, town and	55	Interview,	Learning preliminary site	<ul style="list-style-type: none"> 6 sites are close to a church, a

Time	Venue	Stakeholder	Participants	Methods	Key points	Findings
	preliminary sites of 18 WTSs in 9 townships	village officials, villagers		field visit	selection, and collecting comments	kindergarten, schools and houses, and should be relocated. All of them have been relocated. <ul style="list-style-type: none"> The WTS in Weizhuang Town is close to a household, and should be relocated. All interviewees support the Project, and suggest that some jobs be offered to them.
June 23	Church, health center and schools in Zhaozhuang Town	Relevant people, teachers and students	8	Interview	Introducing the Project, and collecting comments and suggestions	<ul style="list-style-type: none"> Waste is transferred to an unofficial waste dump twice a day. Transfer trucks drive slowly, and have almost no noise. The kindergarten's teachers think that the WTS has little impact on the kindergarten, and parents expect transfer trucks not to run through the kindergarten. All interviewees support WTS construction.
June 23-24	Villages and communities involved in 10 WTSs	ESC and village officials, villagers	30	Field visit, FGD	Collecting comments on site selection	<ul style="list-style-type: none"> The Weizhuang Village WTS has been relocated (formerly close to a household), 200m away. All interviewees support the Project.
Baoji City						
June 16	Changshougou WWTP	Workers	2	Field visit, interview	Learning workers' working conditions	<ul style="list-style-type: none"> There are 12 workers, managed by the SWMC. The WWTP operates around the clock in 3 shifts. The salary is 3,000 yuan per month, and the workers are entitled to overtime salaries, and endowment, medical and accident insurance. A health checkup is offered every two years. The workers file complaints to the manager directly, and are satisfied with the working environment.
June 16	Changshougou Landfill	Head, workers	2	Field visit, interview		<ul style="list-style-type: none"> There are 8 regular workers and 20 temporary workers, including two females. All of them have signed a labor contract, and work

Time	Venue	Stakeholder	Participants	Methods	Key points	Findings
						<p>on two shifts. A health checkup is offered every two years.</p> <ul style="list-style-type: none"> Workers may escalate complaints.
June 17	Xiao'an Village, Panxi Town	Villagers around the Hongligou Landfill	3	Field visit, interview	Learning impacts of the landfill on nearby villagers, and their attitudes to the Project	<ul style="list-style-type: none"> The landfill is 150m away from Xiao'an Village and 500m away from Zhangjialing Village. The landfill caused serious groundwater pollution and affects villagers' lives, and was closed down in 2013. Villagers may file complaints to competent authorities, via the government complaint hotline (12345) or mass media. Their complaints are usually handled in a reasonable time.
July 21	Baoji City Project Quality Supervision Station	Staff	3	Field visit, interview	Learning safety supervision during implementation	<ul style="list-style-type: none"> Safety management is based on the national or local standard. Safety pre-assessment is conducted by a third party. Safety protection measures are taken for highly dangerous projects and included in project budgets.
July 21	Baoling Village, Jintai District	Village officials, head of women's federation, cleaners	5	Field visit, interview	Learning impacts of the landfill on nearby villagers, and their attitudes to the Project	<ul style="list-style-type: none"> There is strong odor in summer, affecting downwind villagers. Free fly killing articles distributed by the government have little effect. Villagers expect the landfill to be closed down as soon as possible, and expect that more frequent disinfection be conducted in summer to improve the surrounding environment.
July 21	Xingbinzhuo Auto Service Co., Ltd.	Xingbinzhuo Auto Service Co., Ltd.	1	Field visit, interview	Learning impacts of trucks on nearby stores	<ul style="list-style-type: none"> The access road is being repaired. Traffic accidents are likely to occur. Traffic safety education for drivers should be strengthened, and warning signs set up.

Time	Venue	Stakeholder	Participants	Methods	Key points	Findings
July 21	Nearby community	Community residents	2	Field visit, interview	Learning impacts of trucks on nearby residents	<ul style="list-style-type: none"> There are few households near the access road, and there is strong odor in summer. Few trucks have spills, but this is handled by cleaners timely. There are traffic safety risks on rainy days.
Chencang District						
June 8	Chencang District Urban Administration and Law Enforcement Bureau	Director, PMO general engineer, planning section chief	3	Field visit, interview	Learning site selection	<ul style="list-style-type: none"> Chencang District has 11 townships, and plans to build 26 WTSs and 5 compression stations, and reconstruct two WTSs. The WTSs will be managed by the urban administration bureau. The Baoji City WTE Plant will be put into operation in 2023. Currently, urban waste is transferred to the Changshougou Landfill.
June 8	Chencang District Natural Resources Bureau	Deputy director, planning section chief	3	Field visit, interview	Learning the construction land policy for township sanitation facilities	<ul style="list-style-type: none"> The natural resources bureau strongly supports the Project. The land use complies with the applicable policy, and the site may be adjusted if necessary.
June 8	District ecology and environment bureau	Head	3	Field visit, interview	Learning the management of unofficial landfills and mulch film	<ul style="list-style-type: none"> The environmental law enforcement brigade supervises wastewater discharge, industrial pollution and urban environmental pollution mainly.
June 8	Chencang District Agro-technical Promotion Center	Head	3	Interview	Learning the use and collection of mulch film	<ul style="list-style-type: none"> 58,700 mu of land in the district uses mulch film. 278t of mulch film was recovered last year, less than 1/3 of annual consumption.
June 8	Chenguan Sub-district Office	Deputy head, officials	4	Field visit, interview	Learning WTS site selection and land use, and the management of cleaners	<ul style="list-style-type: none"> The land use for the WTS is conforming. Cleaners work on public welfare jobs, and are paid 300 yuan per month. Cleaners can hardly be recruited due to low income and hard work. Villagers may file complaints to competent authorities or via the government

Time	Venue	Stakeholder	Participants	Methods	Key points	Findings
						complaint hotline (12345).
June 8	Nanyang, Xiqin and Taigongmiao Villages	Village head, cleaners, villagers	14	Field visit, FGD	Learning local waste collection and transfer, cleaners, mulch film use and disposal, and villagers' attitudes to the Project	<ul style="list-style-type: none"> Cleaners work 4 hours a day, and are paid 1,300-1,500 yuan per month. They are entitled to PPE, accident insurance and cooling articles. Mulch film is stored in farmland for recycling. Villagers support the Project, and expect it to be implemented as soon as possible.
June 8	Yangping Town Government	Deputy town head, etc.	3	Field visit, interview	Learning local waste collection and transfer, and mulch film disposal, and discussing the scope of construction	<ul style="list-style-type: none"> The town has 15 villages, with 6 cleaners each, aged about 60 years. Each cleaner is paid 1,000 yuan per month, including a public welfare subsidy of 400 yuan, and the balance is paid by the village. 6,000 mu of land uses mulch film, accounting for 1/3 of all land. Mulch film is transferred to the landfill.
June 9	Sanlian, Xiqin and Yaodi Villages	Village head, villagers	12	Field visit, FGD	Learning local waste collection and transfer management, and discussing the scope of construction	<ul style="list-style-type: none"> Cleaners are paid 800 yuan per month and work 3-4 hours a day. Some of them have accident insurance. 150 mu of land uses mulch film, and used mulch film is stored on farmland and transferred to the landfill.
June 10	Muyi Town Government	Officials, staff	4	Field visit, FGD	Learning township cleaner management and mulch film collection	<ul style="list-style-type: none"> There are 6 cleaners in the town, paid 1,600 yuan per month and working 8 hours a day. All cleaners are insured, and PPE is distributed regularly. 8,700 mu of land uses mulch film, accounting for 1/3, and used mulch film is collected by farmers and delivered to the landfill.
June 10	Liming, Muyi and Qixi Villages	Village head, cleaners, villagers	11	Field visit, FGD	Learning village cleaning and cleaner management	<ul style="list-style-type: none"> There are 21 cleaners (1/3 being females), aged about 60 years, working 4-5 hours a day. They are on public welfare jobs,

Time	Venue	Stakeholder	Participants	Methods	Key points	Findings
						and paid 700 yuan per month (including a public welfare subsidy of 400 yuan per month). All of them are insured.
June 10	Zhouyuan Town Government	Deputy town head, staff	3	Field visit, FGD	Learning local waste collection and transfer	<ul style="list-style-type: none"> The town has 15 villages, with 4-6 cleaners each. Waste is transferred to the Changshougou Landfill.
June 10	Dongwang, Wenguang and Youli Villages	Village head, cleaners, villagers	13	Field visit, FGD	Learning village cleaning and cleaner management	<ul style="list-style-type: none"> There are 18 cleaners, all on public welfare jobs, paid 400 yuan per month, working 2-3 hours a day. Cleaners are not insured.
June 15	Wangouhao waste collection site	Sanitation workers	3	Field visit, interview	Learning working conditions	<ul style="list-style-type: none"> This site has 3 workers, who work 12 hours a day. They are paid 2,000 yuan per month, and have signed a labor contract.
June 15	Guangfu, Longxin and Lingyi Villages, Jiacun Town	Village head, villagers	8	Field visit, FGD	Learning village cleaning and cleaner management	<ul style="list-style-type: none"> Guangfu and Longxin Village has 15 cleaners, paid 100 yuan and 400 yuan per month each. Cleaners can hardly be recruited due to low income and labor outflow. In Lingyi Village, waste is dumped in a waste pond 20m away from the village, affecting the environment greatly.
July 19	Chencang District Health Commission	Section chief, staff	4	Field visit, interview	Learning OHS policies	<ul style="list-style-type: none"> The WWTP has 12 workers, working on 3 shifts around the clock. They are managed by the SWMC. A health checkup is offered every two years. They are satisfied with the working environment. Maintenance workers are paid 3,000 yuan, and entitled to endowment, medical and accident insurance.
July 19	Streets in Chencang District	cleaners	4	Field visit, interview	Learning cleaners' working conditions	<ul style="list-style-type: none"> All cleaners have signed a labor contract, and work 7 hours a day. There are two days off per month. The monthly salary is 1,800-2,000

Time	Venue	Stakeholder	Participants	Methods	Key points	Findings
						<p>yuan. They are entitled to endowment, medical and accident insurance.</p> <ul style="list-style-type: none"> The electricity subsidy for transfer vehicles is 25 yuan per month, and insufficient to cover actual expenses. Cleaners expect drinking water to be available, a separate changing room to be provided to women, and the electricity subsidy to be increased. Workers may file complaints to the supervisor.
July 20	Xiangong Town	Town officials	3	Field visit, interview	Learning local waste collection and transfer, cleaners, and mulch film use and disposal	<ul style="list-style-type: none"> The 8 transfer workers are managed by a third party, and 8 cleaners managed by the township government, including two on public welfare jobs. They are paid 1,000 yuan per month, work 8 hours a day, and are entitled to overtime salaries and accident insurance. Waste is not collected timely due to difficult recruitment.
July 20	Xinjie Village, Xinjie Town	Officials	2	Field visit, interview	Learning local waste collection and transfer, cleaners, and mulch film use and disposal	<ul style="list-style-type: none"> The town has 8 cleaners, including 3 females on public welfare jobs, paid 800 yuan per month, all having signed a labor contract. Managers are paid 1,500 yuan per month. The land used for the WTS is collective land, and villagers are willing to offer such land.
July 20	Yaojiaya Village, Xiangong Town	Village officials, villagers, women reps.	5	Field visit, interview	Learning local waste collection and transfer, and cleaner recruitment	<ul style="list-style-type: none"> The village has 12 cleaners (public welfare jobs) and one transfer worker, all having signed a labor contract, paid 400-800 yuan per month, without accident insurance. Waste is transferred to the landfill. A small transfer vehicle is provided but uninsured.
July 20	Xiangquan Town	Officials	3	Field visit,	Learning local waste	<ul style="list-style-type: none"> The town has 41 cleaners, paid 1,300









Time	Venue	Stakeholder	Participants	Methods	Key points	Findings
				interview	collection and transfer, cleaners, and requirements or policies for sanitation facilities	yuan per month. They are entitled to accident insurance, and work on rotation. <ul style="list-style-type: none"> Villagers may file complaints to competent authorities or via the government complaint hotline (12345).
July 20	Wangjiazhuang Village, Xiangquan Town	Village head, cleaners, officials, women reps.	5	Field visit, FGD	Learning local waste collection and transfer, and women's rights protection	<ul style="list-style-type: none"> There are 7 cleaners (public welfare jobs) and one transfer work. They are paid 400-1,500 yuan per month, and have signed a labor contract. They are not insured. This village is located in a hilly area, and the electric vehicle does not have enough power for driving. Cleaners can hardly be recruited due to low income.
July 20	Shiyao Village, Xiangquan Town	Village officials, women reps.	4	Field visit, FGD	Learning local waste collection and transfer, and attitudes to the Project	<ul style="list-style-type: none"> There are 4 cleaners, who have signed a labor contract but are not insured, work 5-6 hours a day, and are paid 1,300 yuan month. They are mostly about 50 years old. PPE is provided. Villagers support the Project.
July 20	Pingtou Town	Deputy town head, staff	3	Field visit, interview	Learning local waste collection and transfer, suggestions on waste sorting, and attitudes to the Project	<ul style="list-style-type: none"> There are 7 cleaners and 3 transfer workers in the town, all having signed a labor contract, and paid 800 yuan per month. They work 6-7 hours a day, and are entitled to accident insurance. Villagers' waste sorting awareness is low, and supervision is required.
Comprehensive						
July 22	Online Tencent meeting	Design agency, EIA agency	9	Seminar	Learning state laws and regulations on labor management, OHS, etc. for waste facilities, E&S risks of landfill closure, and WTE plant construction and operation, domestic	<ul style="list-style-type: none"> There are many national standards on the construction and operation of landfills and WTE plants, including OHS. WTE plants are usually run by third parties normatively, but the operation management of landfills (especially at the county and township levels) should be further strengthened.

Time	Venue	Stakeholder	Participants	Methods	Key points	Findings
					management procedures, etc.	<ul style="list-style-type: none"> • Landfills generate groundwater pollution, which is monitored regularly during operation, including self-monitoring and monitoring by environmental authorities. • The main risks of landfill closure include gas poisoning and explosion. Relevant measures are taken to reduce landfill gas levels. • O&M after closure includes landfill gas and leachate treatment and utilization, and equipment maintenance. This will be monitored. • After landfill closure, landscaping may be conducted. • The Changshougou Landfill has a slope instability risk, and will be subject to reinforcement and backfilling. It is largely controllable. There is no resident nearby.

Appendix 2 Fieldwork Photos

Linwei District	
	
<p>Interviewing the Linwei District Federation of Supply and Marketing Cooperatives to learn Federation of Supply and Marketing Cooperatives to learn basic information, relevant land documents, comments and suggestions</p>	<p>Interviewing the head and workers of Linwei District Used Material Recycling Company to learn basic information, working conditions, sorting process, comments and suggestions</p>
	
<p>Visiting Linwei District Health Commission to learn OHS requirements and policies</p>	<p>Interviewing the head of the Linwei District ESC Resident Service Center to learn the personnel policies, recruitment process, contract management, GRM, etc.</p>
	
<p>Interviewing the Linwei District Emergency Management Bureau to learn work safety and OHS policies, and implementation</p>	<p>Interviewing the Linwei District ESC to learn cleaners' daily work and remuneration</p>
	
<p>Interviewing the head and workers of an urban WTS in Linwei District to learn basic information, working conditions, comments and suggestions, etc.</p>	<p>Visiting Guandao Village, Guandao Town, Linwei District to learn the current situation of waste collection, transfer and disposal, and attitudes to and comments on WTS construction</p>

Chengcheng County

 <p>世行项目 邓城县农业农村局 时间: 2022.05.30 11:46 地点: 南阳市·邓城县司成镇 方位角: 南 151°</p>	 <p>世行项目 邓城县农特产品专业合作社 时间: 2022.05.30 14:43 地点: 南阳市·东四路小区 方位角: 南 160°</p>
<p>Interviewing the Chengcheng County Agriculture and Rural Affairs Bureau to learn its responsibilities, rural waste management and mulch film collection</p>	<p>Interviewing the Chengcheng County Federation of Supply and Marketing Cooperatives to learn how mulch film marketing and recycling enterprises are managed</p>
 <p>世行项目 时间: 2022.05.31 10:13 地点: 南阳市·邓城县市场监督管理局 方位角: 北 69°</p>	 <p>世行项目 邓城县应急管理局 时间: 2022.05.30 15:02 地点: 南阳市·城隍庙 方位角: 西北 317°</p>
<p>Interviewing the Chengcheng County Market Regulation Bureau to learn the regulation of mulch film quality</p>	<p>Interviewing the Chengcheng County Emergency Management Bureau to learn work safety and OHS policies, and implementation</p>
 <p>世行项目 环卫工作人员访谈 时间: 2022.05.30 16:38 地点: 南阳市·邓城县环卫局环卫管理站 邓州(邓州镇邓州环卫管理站环卫管理站委员余东) 方位角: 东 107°</p>	
<p>Interviewing a driver of the Chengcheng County ESC to learn drivers' daily work, remuneration, comments and suggestions</p>	<p>Interviewing a worker of an urban sanitation facility in Chengcheng County to learn workers' daily work, remuneration, comments and suggestions</p>
	
<p>Visiting the Yaotou Landfill in Chengcheng County to learn its management policies, working processes, working conditions, etc.</p>	<p>Visiting Zhongshe Village, Jiadao Town, Chengcheng County to learn the current situation of waste collection, land used for the WTS, and comments and suggestions</p>

Baoji City



Interviewing the Baoji Municipal Construction Project Quality and Safety Supervision Station to learn safety regulation requirements and measures



Interviewing village officials, villagers and cleaners in Baoling Village, Jintai District, Baoji City to learn the current situation of environmental sanitation, the landfill's impacts on villagers, and attitudes to and suggestions on the Project



Interviewing the head of the car service company beside the access road of the Changshougou Landfill in Baoji City to learn the driving safety of trucks and impacts on nearby residents (stores)



Interviewing residents beside the access road of the Changshougou Landfill in Baoji City to learn trucks' impacts and traffic safety



Interviewing staff members of the Baoji Municipal Urban Administration and Law Enforcement Bureau, and SWMC to learn the scope of landfill closure and its impacts, and the progress of the WTE plant under construction



Interviewing the head and workers of the leachate treatment plant of the Changshougou Landfill to learn the treatment process, working conditions, worker management policies, etc.

Chencang District



Visiting the Chencang District Health Commission to learn its OHS responsibilities, project implementation, and OHS policies for employers



Visiting the Planning Section of the Chencang District Natural Resources Bureau to learn the policy on sanitation facility land, and comments and suggestions on land use



Interviewing the head of the Energy and Environment Station of the Chencang District Agro-technical Extension Center to learn the use, management and collection of mulch film







Interviewing the Chencang District Urban Administration and Law Enforcement Bureau to learn the current situation of the urban sanitation system, working conditions and remuneration, comments and suggestions, etc.



FGD with officials, villagers and women in Yaojiaya Village, Xiangong Town, Chencang District to learn the current situation of waste collection and transfer, cleaner employment and management, suggestions on waste collection and transfer, women's rights, GRM, etc.



Interviewing officials of the Dongguan Sub-district Office in Chencang District to learn local environmental sanitation, cleaner employment and management, land use policies and measures, and attitudes to the Project

General	
	
<p>Discussion of project design details by the Shaanxi PMO, Linwei District PMO, SIA agency, FS agency and EIA agency</p>	<p>Discussion of subproject design and E&S issues by the SIA agency, FS agency and EIA agency</p>
	
<p>Joint survey on rural domestic waste management by the SIA agency, FS agency and EIA agency</p>	<p>Field visit by the Shaanxi PMO, Chengcheng County PMO, SIA agency, FS agency and EIA agency</p>

Appendix 3 Sample Grievance Redress Form

Internal No.	
Appellant's contact information	Name / anonymous
	Telephone: E-mail: Address:
Grievance	
Date of receipt	
Action taken	
Satisfied with the solution?	Yes No
Date of solution	
Is subsequent monitoring necessary?	
Suggestion to avoid similar occurrences	