Yangtze River Protection and Ecological Restoration Program (P171644) — Central Basin Component

Stakeholder Engagement Framework (SEF)

CPMO

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Executive Summary

China, with the support of the World Bank is implementing the Yangtze River Protection and Ecological Restoration Program (hereinafter, the "Project"). The development objective of the Program is: to improve institutional arrangements for ecological protection and water pollution abatement in select regions of the Yangtze River Basin. The Project comprises Program-for-Results (PforR) financing for provincial components in Hunan and Jiangxi; and Investment Project Financing (IPF) for a central basin component to support technical assistance (TA) activities at the basin level (hereinafter, the "Central Basin Component").

The World Bank's Environmental and Social Framework (ESF) applies to the Central Basin Component. This Stakeholder Engagement Framework (SEF) is specifically developed for the Central Basin Component to guide the stakeholder engagement for preparing and implementing the central IPF component, while the E&S management documents for the PforR component are separated prepared following the World Bank's PforR policy and guidelines, and are not covered by this SEF.

All activities under the Central Basin Component are technical assistance (TA) activities. Since proposals are being prepared, and their TA implementation agency and mode, etc. have not been determined, this SEF lays down principles and strategies of stakeholder engagement for the TA activities.

Based on stakeholder identification, project-affected parties mainly include: a) parties affected by TA activities, mostly fieldwork investigators; and b) parties affected by downstream activities of TA activities, mainly including industrial and agricultural enterprises and workers, breeders (including cooperatives), other residents (including farmers, ethnic minorities), industry park authorities, departments of county (district) / township governments, etc. (to be verified and tracked in implementation). Specifically, vulnerable groups under the Central Basin Component may be those affected by downstream activities, mainly including: a) ethnic minority residents; b) farmers; and c) enterprise workers. Other stakeholders mainly include the relevant ministries / commissions, provincial and local authorities, river / lake chiefs, the public, industry associations, research institutes, NGOs, media, etc.

On the basis of stakeholder identification and analysis, this framework defines the responsibilities of the Central Program Management Office (CPMO) and TA implementation agency at different stages of the Central Basin Component (preparation, research and review), and the corresponding information disclosure and stakeholder engagement strategies, including key points and methods.

At the preparation stage, Changjiang (Yangtze) Water Resources Commission (CWRC), on behalf of the NDRC YREB Office in the Department of Infrastructure Development, conducted preliminary stakeholder engagement and consultation, including information disclosure, and public consultation meetings with the ministries and commissions concerned and research institutions. The engagement and consultation outcomes provide the following suggestions into the implementation of the Central Basin Component:

- The management of the Yangtze River Basin involves numerous and complex stakeholders, so conducting stakeholder engagement as early as possible is essential to the successful implementation of the Central Basin Component;
- The TA activities do not involve substantial E&S risks themselves. Attention should be paid to E&S risks of downstream activities, and how to include recommended E&S risks in the final TA outputs; and
- Extensive consultation and engagement should be conducted on the TA outputs to inform further improvement.

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Acronyms

CNY	Chinese Yuan
CPMO	Central Project Management Office
CWRC	Yangtze River Water Resources Commission
EHSG	World Bank Group Environmental, Health and Safety Guidelines
EIA	Environmental Impact Assessment
ESCP	Environmental and Social Commitment Plan
E&S	Environmental and Social
ESS	Environmental and Social Standard
ESF	Environmental and Social Framework
ESMF	Environmental and Social Management Framework
FI	Financial Intermediary
GRM	Grievance Redress Mechanism
IPF	Investment Project Financing
MEE	Ministry of Ecology and Environment
NDRC	National Development and Reform Commission
PforR	Program-for-Results
PLG	Program Leading Group
PRC	People's Republic of China
RAP	Resettlement Action Plan
SEF	Stakeholder Engagement Framework
SEP	Stakeholder Engagement Plan
TA	Technical Assistance
ToR	Terms of Reference
USD	US Dollar
YREB	Yangtze River Economic Belt

Units

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

1 Project Overview

1.1 Background

The Yangtze River originates from the Gradando main peak of the Tanggula Mountain in the Qinghai-Tibet Plateau, with a trunk stream length of over 6,300km, running through Qinghai, Sichuan, Tibet, Yunnan, Chongqing, Hubei, Hunan, Jiangxi, Anhui, Jiangsu and Shanghai provinces (autonomous regions / municipalities directly under the central government) into the East China Sea. Its tributaries extend to Gansu, Shaanxi, Guizhou, Henan, Zhejiang, Guangxi, Guangdong and Fujian provinces (autonomous regions), with a basin area of about 1.8 million km^2, accounting for 18.8% of China's land area. Since the beginning of reform and opening-up, China has experienced rapid economic and social development, yet at the huge cost of environmental sustainability. The government of China has already recognized this challenge, and is embarking upon a transition to a more balanced and sustainable economic growth model. One of the key urgent tasks is to address water and environment issues relating to challenges of integrated development and pollution control. The Yangtze River plays a major role in the historical, cultural and political identity of China as the "Mother River", while also being the country's social and economic powerhouse. It is also one of the world's most important economic arteries, and home to integrated global manufacturing supply chains. President Xi Jinping visited the Yangtze River three times in January 2016, April 2018 and November 2020, and made important speeches, drawing a blueprint for the protection of the Yangtze River and the high-quality development of the YREB.

Since the Yangtze River Basin is vast and complex, there are still some difficulties in its ecosystem protection and rehabilitation, and green development, such as incomplete understanding of ecosystems and its problems, unsound value realization mechanism for ecological products, and insufficient internal drivers to ecological protection and rehabilitation.

To address the environmental challenge in the Yangtze River basin, China has implemented a series of national actions for the ecological protection and restoration, developed a number of policies and regulations, invested significant resources on environmental protection, infrastructure and capacity building. Under this broad context, and with support from the World Bank, China is implementing this Yangtze River Protection and Ecological Restoration Program.

The Program Development Objective is to improve institutional coordination, enhance ecological protection and reduce water pollution in select regions of the Yangtze River Basin. The Program contributes to achievement of the Government's national strategy for the ecological protection and water pollution control in the Yangtze River through: (i) basin level coordination, policy development, and capacity-building; (ii) provincial level development of policies, regulations and guidelines; (iii) sub-basin level ecological protection and integrated water management through implementation of policy measures, regulations and guidelines; and (iii) county level investments aimed at reducing water pollution, including plastics. The Project consists of:

- Provincial components with Program-for-Results (PforR) financing, supporting activities in selected provinces; and
- A Central Basin Component with Investment Project Financing (IPF), supporting technical assistance activities at the central and basin level.

The World Bank's Environmental and Social Framework (ESF) applies to the Central Basin Component. This Stakeholder Engagement Framework (SEF) is specifically developed for the Central Basin Component to guide the stakeholder engagement at the preparation and implementation stages

of the Central Basin Component, while the E&S management documents for the PforR component are prepared separately following the World Bank's PforR policy and guidelines, and are not covered by this SEF.

1.2 Project Description

1.2.1 Activities

All activities under the Central Basin Component are research and capacity building activities, including 6 research areas and 30 research topics (see Table 1-1 for details). It covers key issues in the aquatic environment rehabilitation the Yangtze River Basin, such as pollution source control, water ecosystem rehabilitation research (including important lakes and tributaries), solid waste recycling and utilization, value realization of ecological products, research on management mechanism/capacity building and on construction of informatization means, etc. Systematic solutions, technical guidelines, standards and policy suggestions will be proposed to promote the green development of the Yangtze River Basin. See Table 1-1.

Table 1-1 Activities under the Central Basin Component

Sub Component	Research topic	Description
Water pollution screening and source tracing	Traceability analysis of the key pollutant (phosphorus) in the Yangtze River	Analyzing the spatial and temporal distribution of key pollutants in the Yangtze River, identifying key areas (watersheds) for key pollutant control (represented by total phosphorus), and the evolution of sediment flux and total phosphorus influx. Designing a traceability analysis technical system for key pollutants (phosphorus), identifying the non-point source of phosphorus pollution and building a response platform for emergency conditions when phosphorus exceeds standard.
	Study on phosphorus migration and transformation in the Yangtze River, and influencing factors	Studying the migration and conversion pattern of phosphorus, analyzing key influencing factors, and analyzing the carryover effect of water resources and hydropower projects on phosphorus, and the impact on the phosphorus pollution distribution in the basin, analyzing the influencing factors and the retention effect of water conservancy and hydropower construction on phosphorus.
	Study on a technical system for the prevention and control of total phosphorus in the Yangtze River	Reviewing domestic and overseas experience in regulatory mechanisms, and pollution prevention and control for total phosphorus emissions; studying phosphorus wastewater limits for enterprises in the Yangtze River Basin; designing a comprehensive regional total phosphorus prevention and control technical system.
	Traceability analysis and emergency prevention and control system of total phosphorus in the Yangtze River under extreme weather	Studying the source and emergency prevention and control system of total phosphorus in the Yangtze River under extreme weather conditions; identifying the point and non-point phosphorus sources under extreme weather; studying the hydrodynamic process and adsorption, migration and transformation mechanism of phosphorus, and the technical system for phosphorus pollution prevention and control.
Water ecosystem correlation	Analysis of regional	Defining the overall ecological layout of the

Sub Component		Research topic	Description
research		features and correlation of Yangtze River water ecosystems	Yangtze River Basin, studying the correlation of ecological factors in typical ecological areas, and establishing an aquatic ecological network with mountains, waters, forests, fields, lakes and grasslands being key nodes
		Study on the relevance and stress effect of ecological elements	Analyzing and evaluating impacts of different types of human activities on basin ecological factors, and identifying key influencing factors and indicators under stress relationships
		Study on water ecosystem restoration technology	Summarizing methods and features of different ecological protection and rehabilitation techniques, and proposing an integrated water and land protection and rehabilitation framework and governance plan covering all ecological factors of the Yangtze River Basin
		Policy suggestions for integrated mountain, river, forest, farmland, lake and grassland protection	Studying the establishment of a cross-sectoral collaborative protection mechanism, and a performance evaluation system for the typical ecological environment of the YREB, and proposing policy suggestions on ecological flow supervision and management for medium and small rivers, and formulating technical guidelines for river and lake health assessment.
Study on protection and rehabilitation of key lake and tributary systems	Case analysis of protection and rehabilitation of two lake systems	Investigation and analysis of water ecological environment of Poyang and Dongting Lakes	Sorting out recent observation data and research findings on the aquatic ecological environment, studying the adaptation of aquatic ecosystems to lake changes, and analyzing the current aquatic ecological environment and changes of both lakes
		Study on the health assessment of the ecosystems of Poyang and Dongting Lakes	Establishing a health evaluation system for the aquatic ecological environment of both lakes, evaluating the health level of aquatic ecosystems, and establishing an appropriate wetland habitat model
		Case study on the protection and rehabilitation technology and institutional arrangements for the ecosystems of Poyang and Dongting Lakes	Compiling and analyzing cases of aquatic ecosystem protection and rehabilitation, and institutional building for the Yangtze River Basin, establishing collaborative techniques for the aquatic ecosystem protection and rehabilitation of both lakes, and proposing a regional interactive management mechanism
		Study on water ecological protection and rehabilitation in key regions of Poyang and Dongting Lakes	Defining a health standard for the aquatic ecosystem protection and rehabilitation of both lakes, establishing an overall spatial layout for aquatic ecosystem protection and rehabilitation, and studying relevant models and measures
	Study on protection and rehabilitation of key tributary systems in the upper Yangtze River	Investigation and evaluation of water ecological environment of the Jialing and Wujiang Rivers	Investigating the aquatic ecological environment of the Jialing, Wujiang and Chishui Rivers, and analyzing the ecosystem health level distribution and evolution of the three rivers
		Study on protection and rehabilitation system of the Jialing and Wujiang River Basins	Developing the overall objectives and layout of the aquatic ecosystem protection and rehabilitation of the Jialing, Wujiang and Chishui Rivers, proposing suggestions to improve the water and soil conservation system, evaluating the integrated aquatic ecological environment governance system, establishing a rights and liabilities system for the aquatic ecological environment, and formulating guidelines on compensation for the

Sub Component		Research topic	Description
			aquatic ecological environment of key tributaries in the upper Yangtze River
		Study on protection strategy for the Jialing and Wujiang River water ecosystems	Conducting research on the rehabilitation of river aquatic life passages and key aquatic habitats, ecology-oriented reservoir construction dispatching strategies, load balance-oriented water resources optimal allocation strategies, and mechanisms for aquatic ecosystem protection and rehabilitation
		Study on ecological protection and rehabilitation strategies of typical river segments	Establishing models and measures for the aquatic ecosystem protection and rehabilitation of the Jialing, Wujiang and Chishui Rivers, and models and measures for conducting protection and rehabilitation in key areas
Research on integrated solid waste utilization		Study on phosphorus slag treatment and comprehensive utilization technology	Developing modified phosphorus tailings rehabilitation techniques for heavy metal polluted sediment / soil, and studying the high-value utilization of phosphorus tailings
		Study on key technologies of manganese mines ecological rehabilitation	Conducting ecological rehabilitation studies in manganese mining areas, and developing a set of systematic and sustainable manganese ore ecological rehabilitation techniques
		Study on integrated technology of organic solid waste utilization	Proposing a technical solution for toxic / hazardous substance reduction and recycling, and developing techniques for the safe and efficient recycling and utilization of organic solid waste
		Study on technology of inorganic solid waste utilization	Developing refined pretreatment techniques to sort out inorganic solid waste efficiently, and whole-chain inorganic solid waste processing techniques
Research on value realization mechanisms of ecological products		Ecological product investigation and status identification	Conducting ecological product investigation and data collection to learn their current situation
		Study on ecological product investigation and monitoring mechanism	Studying ecological product investigation and monitoring methods, and proposing policy suggestions on establishing a sound title identification and registration system
		Study on the valuation mechanism of ecological products	Establishing a valuation indicator system and approach for ecological products, and valuation standards, and studying the possibility of ecological product valuation into economic evaluation or environmental impact assessment
		Study on the operation and development mechanism of ecological products	Reviewing ecological product operation and development paths and models in different places, analyzing key issues, and conducting development pattern research
		Study on protection and compensation mechanism of ecological products	Providing research inputs/advice for potential establishment of ecological protection and compensation mechanisms in different parts of the Yangtze River Basin, and proposing a compensation and punishment mechanism based on quantitative indicators of ecological damage
		Study on the key issues of the value realization mechanism of aquatic ecological products	Providing research inputs/advice for options for optimizing the spatial allocation of water resources through cross-regional water diversion work, studying ecological value realization mechanisms for water resources projects, and studying water rights trading mechanisms
Capacity building, and		Promoting the	Enhancing the cooperation mechanism of river and

Sub Component	Research topic	Description
international exchanges and training	enforcement of river and lake chiefs in the Yangtze River Basin	lake chiefs in the Yangtze River Basin, carrying out workshops and discussions on the mechanism of rive and lake chiefs in the Yangtze River Basin, and conducting research on the mechanism for promoting trans-provincial river and lake chiefs.
	International exchanges and training on coordination and management system for river and lake protection and governance	Conducting exchanges on collaborative protection and governance of key rivers and lakes both at home and abroad
	Discussions and exchanges on collaborative governance of rivers and lakes, and promotion of green development systems and policies	Studying collaborative governance and protection systems and policies for lakes and rivers, giving publicity to the green development concept, and promoting green development
	Study on YREB Resource and environmental supervision and management information sharing mechanism, technical research and capacity building	Conducting current data investigation and evaluation, studying indicator systems for resource and environmental supervision and management, mechanisms for supervision and management data gathering, and data sharing techniques, and developing a prototype information sharing system
	Extension and publicity of project outcomes	Expanding knowledge sharing, promoting project outcome implementation, and conducting publicity

In Figure 1-1, the yellow part shows the geographic location of the Yangtze River Basin[1] in China, and the purple circles indicated the key research areas of the Project, namely typical lakes (Dongting and Poyang Lakes) and tributaries (Jialing, Wujiang and Chishui Rivers).

1.2.2 Types of Activities

According to the Bank's Advisory Notes on TA and the ESF, TA activities are classified into three types:

- **Type I**: activities that assist the preparation of future investments in infrastructure or other sectors, such as feasibility studies, detailed technical designs, safeguard instruments, bid documents, etc. in preparation for the future construction of physical infrastructure or for the implementation of other activities with potentially significant physical impacts;
- **Type II**: activities that often support the drafting of policies, programs, plans, strategies, laws and/or regulations that can be expected to have direct or indirect E&S impacts when implemented
- **Type III**: capacity building activities of the borrower.

[1] The Yangtze River Basin refers to Qinghai Province, Sichuan Province, Tibet Autonomous Region, Yunnan Province, Chongqing Municipality, Hubei Province, Hunan Province, Jiangxi Province, Anhui Province, Jiangsu Province and Shanghai Municipality, and the relevant county-level administrative divisions in Gansu Province, Shaanxi Province, Henan Province, Guizhou Province, Guangxi Zhuang Autonomous Region, Guangdong Province, Zhejiang Province and Fujian Province involved in the catchment region formed by the trunk stream and tributaries of the Yangtze River, and relevant lakes.

The Central Basin Component does not involve physical works, and does not have any feasibility study or design in support of future investments, so the activities under the Central Basin Component fall into Types II and III mainly:

- **Activities of Categories 1-5** are mostly research TA activities, including water environment pollution investigation and traceability research, water ecosystem correlation research, system protection and rehabilitation, solid waste recycling and utilization technology research, and ecological product value research, and fall into **Type II**.
- **Activities of Category 6** are mostly international exchanges, training, seminars, information sharing, outcome extension, publicity, and other capacity building activities, and fall into **Type III**.

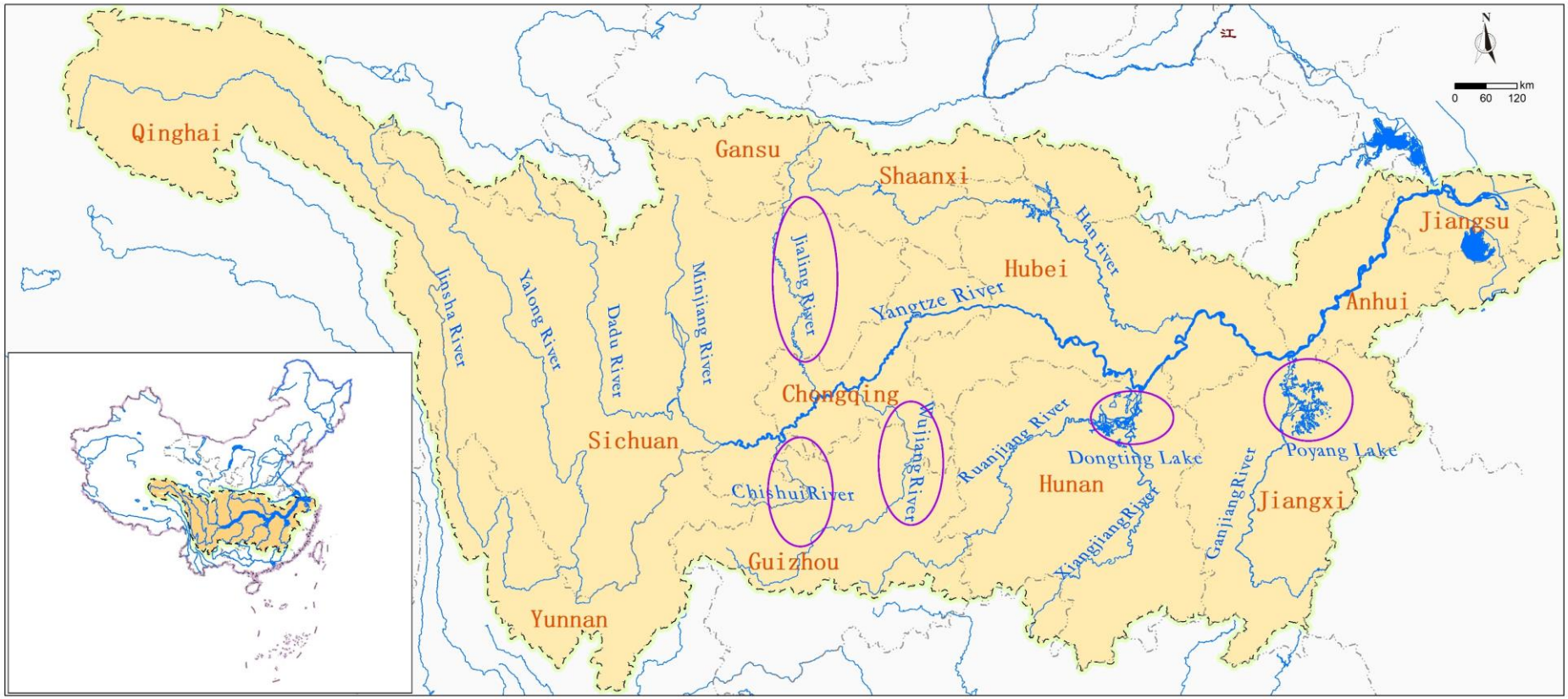

Figure 1-1 Research Range of the Central Basin Component

1.3 Institutional Arrangements

A **Program Leading Group (PLG)** will be established for the Project under the Infrastructure Development Department of the National Development and Reform Commission (NDRC), composed of members from the ministries and commissions concerned. The PLG will be responsible for overall guidance and coordination of the Project, and provide guidance on the top level design of the Project.

A **central program management office (CPMO)** is proposed to be established for the Central Basin Component within the NDRC YREB Office in the Department of Infrastructure Development [2], supported by Changjiang (Yangtze) Water Resources Commission (CWRC). The CPMO is responsible for the implementation of the Central Basin Component.

The CPMO will also establish an **Expert Advisory Committee**, which will consist of experienced experts in water resources, ecology, environmental protection, socio-economy, information technology, etc. The committee will provide technical advice on the key issues of TA studies.

1.4 Objectives of this SEF

The Central Basin Component will be implemented through IPF supporting TA activities at the central level. This SEF applies to all TA activities under the Central Basin Component. According to the Bank's ESF and ESS10, 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 this SEF are:

- Identifying and analyzing stakeholders based on available information, and guiding the subsequent establishment of a systematic stakeholder engagement approach;
- Defining the engagement responsibilities, strategies and methods of the CPMO and TA implementation agency at different stages of the Central Basin Component (preparation, research and review), and the corresponding engagement requirements; and
- Establishing an external communication mechanism at the Central Basin Component level, and defining requirements for the TA implementation agency to establish a Grievance Redress Mechanism (GRM) and a monitoring mechanism.

[2] The administrative arrangement to formalize the organizational set-up for CPMO is to be confirmed before the end of Appraisal.

2 Stakeholder Analysis

2.1 Stakeholder Identification

According to ESS10 and the Central Basin Component's characteristics, the Central Basin Component'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 Central Basin Component, including those affected directly and indirectly. Other interested parties are individuals or groups potentially interested in the Central Basin Component. Vulnerable groups refer to those more likely to be potentially adversely affected during preparation, implementation and implementation of activities under the Central Basin Component due to personal vulnerabilities, including gender, language, age and disability.

Since the Central Basin Component was still at the preparation stage when this SEF was prepared, and the specific activities are unknown, comprehensive and detailed stakeholder identification and engagement demand analysis cannot be performed at present. Once more detailed information is available on the scope of the individual activities, stakeholders will be identified in greater detail during the implementation stage.

(1) Stakeholder identification of Type II TA activities

The activities of Categories 1-5 under the Central Basin Component are Type II TA activities, including water environment pollution investigation and traceability research, water ecosystem correlation research, system protection and rehabilitation, solid waste recycling and utilization technology research, and ecological product value research, etc.

1) Project-affected parties

Project-affected parties are hose potentially affected by the TA activities themselves, and potential impacts of downstream activities of these activities, including:

Impacts from the TA activities itself: These activities do not involve physical works, and have minor E&S risks. The main project-affected party is fieldwork consulting and research staff, such as those involved in the site survey about water pollution traceability, water ecology and ecological product research, who may be exposed to occupational health and safety impacts.

Potential downstream impacts of TA activities: Research on technologies, standards and policies in areas such as pollution prevention and control, water ecological restoration, comprehensive utilization of solid waste, and ecological compensation, once adopted and implemented, may lead to downstream activities and environmental and social risks/impacts. For instance, recommendations for the TA outputs may lead to downstream activities such as pollution treatment facilities, ecological system rehabilitation works or river/lake connection works, which will may cause adverse environmental impacts during construction and operation stages; ecological protection policies may lead to social impacts, such as land use change, access restriction or restriction of resource use; promotion of solid waste utilization technologies may lead to establishment of new industrial enterprises; recommendations from basin studies may also have implications on aquatic life, water use and right, water resource allocation, and even broader implications of hydrology, climate change, urbanization and industrialization. Therefore, potential project-affected parties from these activities mainly include:

- Industrial enterprises and workers, e.g., phosphate mining, phosphorous chemical (phosphate fertilizer, phosphorous-containing pesticide and yellow phosphorus manufacturing, etc.) and phosphorgypsum enterprises;
- Agricultural enterprises and workers, e.g., agricultural enterprises affected by aquatic ecosystem rehabilitation and non-point source pollution control;
- Breeders (including cooperatives);
- Other residents (including farmers, ethnic minorities);
- Industry park authorities;
- Departments of county (district) / township governments, etc.

Table 2-1 Identification and Analysis of Project-affected Parties Involved in Type II TA Activities

Project-affected party	Influence on the Central Basin Component	Impact by the Central Basin Component
Impacts of TA activities		
Fieldwork consulting and research staff	Playing a crucial role in research	Fieldwork consulting and research staff, such as those involved in water pollution, water ecology and ecological product research, may be exposed to occupational health and safety impacts.
Potential impacts of downstream activities of TA activities		
Industrial enterprises and workers	Weak influence	The implementation of total phosphorus control, ecological protection and rehabilitation, etc. may increase their costs or close them down, reducing workers' income or making them unemployed.
Agricultural enterprises and workers	Weak influence	The implementation of aquatic ecological protection, etc. may lead to relocation or restriction on land use, and new technical standards may increase production costs.
Breeders (including cooperatives)	Weak influence	The implementation of aquatic ecological protection, etc. may lead to restriction on land and water use, and new technical standards may increase cultivation and stockbreeding costs.
Other residents (including farmers, ethnic minorities)	Weak influence	Once implemented, solid waste utilization and aquatic ecosystem rehabilitation technologies, and value realization mechanisms for ecological products may involve the construction of WWTPs, leading to resettlement. Once implemented, total phosphorus control programs, policy suggestions for integrated mountain, river, forest, farmland, lake and grassland protection, water ecosystem rehabilitation technologies, protection and compensation mechanism of ecological products, etc. may lead to restriction on land and water use, and changes in livelihoods of farmers and ethnic minority residents.
Industry park authorities	Their participation and support are the foundation of the successful implementation of these activities.	The implementation of the TA outputs (e.g., pollutant control, and ecological protection and rehabilitation standards, programs and policies) may bring more costs and coordination pressure due to park improvement or industry restructuring.
Departments of county (district) / township governments	Their participation and support are the foundation of the successful implementation of these activities.	Relevant policies should be implemented as required by the government, imposing greater pressure and responsibilities, and making coordination more difficult.

2) Other interested parties

Other interested parties include:

- Office of the Leading Group for Promoting the Development of the Yangtze River Economic Belt;
- CPMO;
- Ministries and commissions, and provincial and local authorities concerned: including the NDRC, Ministry of Natural Resources, Ministry of Ecology and Environment, Ministry of Agriculture and Rural Affairs, Ministry of Forestry and Grassland Administration, etc., the governments of the 19 provinces / municipalities in the Yangtze River Basin, and their decision-making authorities
- TA implementation agencies;
- River / lake chiefs;
- Industry associations;
- The broad public;
- Research institutes;
- NGOs;
- News media, etc.

Table 2-2 Identification and Analysis of Other Interested Parties Involved in Type II TA Activities

Other interested party	Impact on the Central Basin Component	Impact by the Central Basin Component
NDRC (infrastructure development department)	Directing and coordinating the implementation of the Central Basin Component, controlling the top-level design, and establishing a cross-sectoral / regional coordination mechanism to ensure successful implementation	No significant negative impact
CPMO	Reviewing and supervising the implementation of the Central Basin Component, retaining relevant experts to conduct technical consulting, and reviewing and inspecting the TA outputs	No significant negative impact
Ministries and commissions, and provincial and local authorities concerned	Developing and regulating plans, standards and policies on the Yangtze River Basin	No significant negative impact
River / lake chiefs	Organizing and leading lake and river management and conservation	No significant negative impact
TA implementation agencies	Conducting studies, and giving professional advice on policies, standards and technologies	Stakeholder needs, and E&S risks and impacts should be considered.
The broader public	Participating in the ecological protection and rehabilitation of the Yangtze River Basin, utilizing resources rationally, and promoting green development	Benefiting from improved ecology
Industry associations	Supporting TA activities, and giving advice on policies, standards and techniques	No significant negative impact
Research institutes	Supporting TA activities, and giving advice on policies, standards and techniques	No significant negative impact
NGOs: WWF, Alashan Ecological Foundation, IPE, China Zero Waste Alliance, Friends of Nature, etc.	Promoting dialogue and cooperation among the government, enterprises, scholars, the public and NGOs in the management of the Yangtze River Basin, and giving advice on policies, standards and technologies	No significant negative impact

News media	Conducting diversified publicity and education on the ecological protection and green development of the Yangtze River Basin, and supervising illegal acts	No significant negative impact

3) Vulnerable groups

Based on preliminary identification, vulnerable groups potentially affected by the Central Basin Component mainly include enterprise workers affected by downstream activities of the TA activities, farmers and ethnic minorities affected by land acquisition or restriction on land use, etc. They are often disadvantaged, because they are either workers in affected industries or live in underdeveloped remote areas or have limited livelihoods and information sources. Their social and economic status will restrict them from participating in the TA studies. So the potential downstreatm risks and impacts would likely fall disproportionately on the ethnic minorities.

Table 2-3 Identification and Analysis of Vulnerable Groups

Vulnerable group	Impact on the Central Basin Component	Impact by the Central Basin Component
Enterprise workers	Their participation and support is the foundation of the successful implementation of these activities.	The implementation of the TA outputs may increase their costs or close them down, reducing workers' income or making them unemployed.
Farmers	Their participation and support is the foundation of the successful implementation of these activities.	The implementation of the TA outputs may lead to restriction on land and water use, and changes in livelihoods.
Ethnic minorities	Their participation and support is the foundation of the successful implementation of these activities.	The implementation of the TA outputs may lead to restriction on land and water use, and changes in livelihoods.

(2) Stakeholder identification of Type III TA activities

Category 6 activities are Type III activities, mostly about capacity building, involving such stakeholders as the CPMO and TA implementation agency mainly. They are important for and influential on the Central Basin Component.

2.2 Engagement Demand Analysis of Stakeholders

Different stakeholders have different needs for the Central Basin Component, as analyzed in Table 2-4.

Table 2-4 Stakeholder Engagement Demand Analysis

Type	Stakeholder	Demand analysis
Project-affected parties	Fieldwork consulting and research staff	Sound measures are available to ensure their health and safety during fieldwork.
	Industrial enterprises and workers	Conduct information disclosure and meaningful consultation for enterprises timely during TA activities, and consider their needs in the TA outputs.
	Agricultural enterprises and workers	Conduct information disclosure and meaningful consultation for enterprises timely during TA activities, and consider their needs in the TA outputs.
	Breeders (including cooperatives)	Collect their ideas, concerns and needs during TA activities, and consider them in the TA outputs.
	Other residents (including farmers, ethnic minorities)	Collect their ideas, concerns and needs during TA activities, and consider them in the TA outputs.
	Industry park authorities	Fully collect their opinions and suggestions during TA activities.
	Departments of county (district) / township governments	Fully collect their opinions and suggestions during TA activities.

Type	Stakeholder	Demand analysis
Other interested parties	Office of the Leading Group for Promoting the Development of the Yangtze River Economic Belt	Ensure the successful implementation of the Central Basin Component.
	CPMO	Ensure the successful implementation of the Central Basin Component.
	Ministries and commissions, and provincial and local authorities concerned	Implement the Central Basin Component in accordance with the applicable state laws and regulations, and the relevant plans for the YREB and the Yangtze River Basin, and establish an effective cross-sectoral / regional communication mechanism.
	TA implementation agency	Collect stakeholder needs and suggestions by means of survey, focus group discussion (FGD), seminar, interview, etc., and complete TA activities on this basis.
	River / lake chiefs	Acquire understandable project information from accessible sources, fully consult the public, NGOs, parks and enterprises during the studies, and give timely feedback.
	Public	
	Industry associations	
	Research institutes	
	NGOs: WWF, Alashan Ecological Foundation, IPE, China Zero Waste Alliance, Friends of Nature, etc.	
	News media	Participate in key information release conferences, public meetings, public hearings, etc.

2.3 Engagement Demand Analysis of Vulnerable Groups

Vulnerable groups involved in the Central Basin Component may be poorly educated, live in remote areas, have limited information sources, and are more likely to suffer disproportionate losses, and be excluded from participation and consultation. Therefore, their needs differ greatly from those of other stakeholders, including:

- Face-to-face communication is preferred;
- An understandable language should be used in information disclosure and participation;
- Their accessibility should be considered when the venue and time of a consultation meeting are determined;
- Potential impacts of implementing the TA outputs on vulnerable groups should be considered, and feasible mitigation measures taken, including compensation mechanisms.

For ethnic minority residents, their needs in language, culture, identity and customs should also be considered. In information disclosure and participation activities, ethnic minority languages should be used where possible, and ethnic minority customs considered in means of communication.

3 Stakeholder Engagement Activities during Project Preparation

3.1 Completed Stakeholder Engagement Activities

During the preparation stage, the CWRC, on behalf of the NDRC YREB Office in the Department of Infrastructure Development, conducted preliminary stakeholder engagement and consultation with ministries, commissions and research institutes concerned, mostly on the scope of research, potential E&S risks, preliminary stakeholder identification, and appropriate E&S risk management measures, as detailed in Table 3-1. The E&S documents, including ESMF, SEF, and ESCP have taken into account the advice and comments received from the stakeholer engagement during the preparation.

Table 3-1 Completed Stakeholder Engagement Activities

Time	Venue	Stakeholders	Topic	Mode	Feedbacks Received
Dec. 23, 2020	Wuhan	NDRC, and other ministries and commissions concerned	Discussing research directions and other points of the project proposal	Seminar	The study should cover typical lakes and key tributaries. The research will focus on key water and environmental issues which should be dealt with in a systematic way.
Jan. 20, 2021	Online		Project management plan, and contents of the project proposal	Video	The study objective and contents should be further improved to better align with the project PDO.
May 13, 2021	Beijing		Further discussing the contents of the project proposal	Seminar	The agreements on proposed contents were basically achieved.
May 29, 2021	Wuhan	Institute of Soil and Water Conservation, CRSRI, Institute of Hydroecology, etc.	Defining pollution source flux, phosphorus migration and transformation pattern, etc., and stakeholders involved	Seminar	The study area on pollution soure,especially for phosphorus need to be futher explored, and the E&S impacts and identification of stakeholders should be modified accordingly.
Jun. 8, 2021	Wuhan		Further defining research ideas and methods, and related E&S risks and impacts	Seminar	The suggestions have been incorporated into the revised proposal, and the identified E&S risks and impacts are appropriate.
Jun. 10, 2021	Beijing	NDRC, and other ministries and commissions concerned	Contents of project proposal, E&S risk discussions	Seminar	The proposed studies are necessary and feasible. The E&S impacts and risks should be further refined according to the modified project proposal.
Jun. 28, 2021	Beijing		Conducting E&S training and discussions	Meeting, video	The ESMF sand SEF have been formulated well and can be operated likelihood with no objection. The E&S risks were adequately screened and properly classified. The stakeholders have idenfied and analyzed comprehensivly in line with the proposed studies, which can guide skakeholder engagement effectively during the implementation.

3.2 Completed Information Disclosure Activities

The draft E&S documents were prepared during the preparation stage by E&S experts based on the opinions and suggestions from key parties.

The draft E&S documents including ESMF, ESCP and SEF of the Central Basin Component were domestically disclosed to the public and potential affected persons (www.cjw.gov.cn/zwc/gsgg/56781.html) on July 25, 2021 to collect opinions and suggestions for incorporation into the final documents, which will be re-disclosed locally after the Bank reviews and clears it, and on the Bank's website before Appraisal. No comments were received from the domestic disclosure.

Figure 3-1 Disclosure of Draft E&S Documents of the Central Basin Component

3.3 Findings and Suggestions

Based on the completed stakeholder engagement activities, the findings and suggestions are as follows:

- The management of the Yangtze River Basin involves numerous and complex stakeholders, so conducting stakeholder engagement as early as possible is essential to the successful implementation of the Central Basin Component;

- The TA activities do not involve substantial E&S risks themselves. Attention should be paid to E&S risks of downstream activities, and how to include recommended E&S risks in the final outputs;
- Extensive consultation and engagement should be conducted on the TA outputs by various means for improvement.

4 Stakeholder Engagement Strategy

The Central Basin Component involves numerous stakeholders over a very large area. Only if information disclosure is conducted extensively, and active stakeholder engagement is realized can the TA activities, and proposed technical solutions, standards, policies, etc. be implemented successfully.

This strategy is prepared for stakeholder engagement conducted by the **CPMO and TA implementation agencies** during the TA activities, mainly including:

- Information disclosure should be conducted, including information on the TA activities, abstracts of outcome reports, etc.;
- Key stakeholders should be engaged at different stages to discuss suggestions on the TA activities, relevant E&S risks and impacts, and mitigation measures; and
- A transparent GRM should be established to ensure that stakeholder needs are addressed.

4.1 Resources and Responsibilities

NDRC retains responsibility for implementation of the loan and hosts the CPMO. The CPMO will be hosted by the NDRC YERB Office in the Department of Infrastructure Development. CWRC is supposed to support implementation as a program implementation agency and be responsible for the daily management of the E&S related elements[3].

The TA activities under the Central Basin Component involve three main stages, namely: **1) preparation stage; 2) research stage; and 3) review stage**. During stakeholder engagement, the CPMO and TA implementation agency have different responsibilities at different stages, and costs involved are included in their respective budgets.

1) CPMO

Preparation stage: conducting consultation and participation activities for the scope of the TA activities, relevant E&S risks, and mitigations, preparing TORs including stakeholder engagement requirements, and submitting them to the Bank for review;

Research stage: reviewing the TA implementation agency's stakeholder engagement program;

Review stage: disclosing the TA outputs, and organizing diversified consultation activities to collect stakeholder opinions

2) TA implementation agency

Research stage: preparing a stakeholder engagement program complying with ESS10 at the early stage of the TA activities, implementing the stakeholder engagement program approved by the Bank during the TA activities, and reporting implementation to the CPMO quarterly;

Review stage: participating in stakeholder engagement activities organized by the CPMO or itself, learning different stakeholders' opinions and suggestions on the TA outputs, modifying or improving the TA outputs as appropriate, and giving timely feedback

4.2 Information Disclosure Strategy

1) Key information for disclosure

[3] The administrative arrangement to formalize the organizational set-up for CPMO is to be confirmed before the end of Appraisal.

Information disclosure is conducted by the CPMO and TA implementation agency mainly, mainly including:

Preparation stage: the scope, nature and duration of the TA activities, and external communication mechanism and GRM of the CPMO and TA implementation agencies;

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

Review stage: the draft and final TA outputs

2) Main methods

The CPMO and TA implementation agency will disclose the above information to project-affected parties and other interested parties in an understandable language at appropriate locations for not less than 7 working days.

For different stakeholders, different methods of information disclosure should be used, including:

- For affected residents: community bulletin board, and focus group discussion (FGD);
- For affected enterprises and workers: notification by authorities, industry associations, etc., workplace notice, and FGD;
- For the public: official websites and WeChat public accounts of the CPMO and TA implementation agency, and social media;

All disclosed information should be recorded fully. Table 4-1 provides a record template.

Table 4-1 Information Disclosure Record Template

Disclosed information	Venue	Method	Target stakeholders	Opinions and feedback received	Agencies responsible

4.3 Stakeholder Engagement Strategy

At different stages of the Central Basin Component, the CPMO and TA implementation agencies will conduct meaningful stakeholder consultation. Stakeholder engagement is a two-way process that should:

- Conduct meaningful consultation early on during project planning to collect preliminary views on the project proposal and provide inputs into the project design;
- Encourage stakeholders to give feedback, especially as a means to affect the project design, and involve stakeholders in identifying and mitigation of E&S risks and impacts;
- Conduct stakeholder engagement continuously with the emergence of risks and impacts;
- Disclose relevant, transparent, objective, meaningful and accessible information in advance in order to conduct meaningful consultation in relevant local languages and forms easily understood by stakeholders in a culturally appropriate manner in a certain time frame;
- Consider and address feedback;
- Support active and extensive interactions with all project-affected parties; and
- Be free from external manipulation, interference, threat, discrimination, and intimidation.

Specifically, the stakeholder engagement strategy is as follows:

(1) Key points

a) CPMO

The CPMO should conduct stakeholder engagement activities at the preparation and review stages.

Preparation stage: Before the beginning of the TA activities, the CPMO will conduct necessary consultation activities with government agencies concerned, industry associations, research institutes, NGOs, typical enterprises, residents, etc. to learn their opinions and suggestions on the TA activities, needs and concerns and further define the purpose, scope and requirements of the TA activities.

Before initiating each TA activites, the CPMO, with the support of external E&S experts, will identify the primary categories of stakeholders and set out the requirements regarding stakeholder engagement in the TOR consistent with ESS10. The TORs are subject to the Bank review.

The stakeholder engagement requirements in the TORs should include:

- Stakeholder identification;
- Stakeholder engagement plan: information disclosure, public participation, etc.
- Grievance Redress Mechanism;
- Responsible agencies, management functions and responsibilities;
- The financial (budget) and implementation arrangements for implementing stakeholer engagement, etc.

Review stage: organizing cross-sectoral / regional stakeholder engagement activities, including competent authorities, local governments, industry associations, research institutes, industry parks, enterprise representatives, resident representatives, NGOs, news media, etc., collecting opinions on the TA outputs extensively, and giving timely feedback

b) TA implementation agencies

The TA implementation agency should conduct adequate stakeholder engagement during the TA activities.

Research stage: At the beginning of the TA activities, the TA implementation agency will formulate the plan for stakeholder engagement (consistent with ESS10) as part of the TA work plan according to the TORs, and submit it to the Bank for review. Such plan should ensure that relevant project information is provided timely, and a smooth stakeholder engagement channel be established to communicate all stakeholder needs and concerns timely. During the TA activities, the TA implementation agency will conduct information disclosure and public participation according to the stakeholder engagement implementation plan (updated periodically), and report stakeholder engagement to the CPMO regularly. With the progress of the TA activities, this plan may be further improved, and submitted to the Bank for review.

The key points of the stakeholder engagement plan (forming part of the TA work plan) are:

- Details of the TA activities;
- Detailed stakeholder identification and analysis: focusing on the identification of adversely affected stakeholders (especially vulnerable groups), and key authorities related to the TA

activities, and the analysis of their impacts on the Central Basin Component and the Central Basin Component's impacts on them;

- Stakeholder engagement plan, including the scope, subjects, time, venue and approach of engagement;
- Engagement plan for vulnerable groups, including the scope, time, venue and mode of engagement;
- The responsibilities of involved agencies, like CPMO, TA implementation agencies, among others;
- The financial and implementation responsibilities and resources of the TA implementation agencies in the execution of stakeholder engagement;
- Detailed arrangements of the external communication mechanism and GRM;
- Contingency on consultation processes and alternative means for enforcing stakeholer engagement due to the risks of COVID-19 or other communicable diseases; and
- Estimanted **budget** for enforcing stakeholder engagement.

Table 4-2 provides a template of the public participation and consultation plan.

Table 4-2 Template of Public Participation and Consultation Plan

No.	Date	Venue	Key activities	Target stakeholders	Methods	Agencies responsible
1						
2						
3						

Review stage: After the draft TA outputs are formed, it will participate in stakeholder engagement activities organized by the CPMO or itself, learn different stakeholders' opinions and suggestions on the TA outputs, modify or improve the TA outputs as appropriate, and give timely feedback.

(2) Main methods

The methods of stakeholder engagement including without limitation:

- Key informant interview;
- Seminar;
- FGD;
- Door-to-door interview;
- Questionnaire survey;
- Public meeting; and
- Public hearing

At different stages of the TA activities, the TA implementation agency should apply different engagement methods to different stakeholders, as shown in Table 4-3. Special methods should be applied to vulnerable groups to prevent them from being excluded from the TA activities. See Section 4.4.

Table 4-3 Stakeholder Engagement Methods

Stage	Scope	Time	Key stakeholders	Methods
Preparation	Discussing the scope of TA activities, methods, etc.	Before TA activities	Competent authorities, local governments, industry associations, NGOs, research institutes, etc.	FGD, etc.

Research	Collecting opinions on technical solutions, standards, policies, etc. from stakeholders	During TA activities	Competent authorities, local governments, industry associations, NGOs, research institutes, public reps., industry parks, reps. enterprises, vulnerable group reps.	FGD, key informant interview, door-to-door interview, questionnaire survey, etc.
Review	Collecting opinions on the TA outputs from stakeholders, modifying and improving them, and giving timely feedback	Review of the TA outputs	Competent authorities, local governments, Industry associations, NGOs, Research institutes, public reps., industry parks, reps. enterprises, vulnerable group reps.	FGD, public hearing, door-to-door interview, questionnaire survey, online survey, etc.

All public consultation and participation activities will be recorded. Table 4-4 provides a record template.

Table 4-4 Public Participation Record Template

Date	Venue	Activity	Method	Participants	Organizer	Findings, suggestions and subsequent actions

4.4 Engagement Strategy for Vulnerable Groups

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

(1) Information disclosure strategies

Vulnerable groups involved in the Central Basin Component may be poorly educated, live in remote areas, have limited information sources, and are more likely to suffer disproportionate losses, and be excluded from participation and consultation. Therefore, information disclosure should be conducted in an understandable language and in a manner of face-to-face notification to ensure that they receive relevant information timely.

(2) Consultation strategies

The methods used during consultation should ensure that vulnerable groups express their concerns and suggestions freely, including:

- FGDs should be held for them separately, or one-to-one interviews conducted, and the local language used where possible.
- The time and venue of consultation should be suited to their needs. For example, consultation activities for farmers should not be conducted in the busy season where possible, and participation activities for enterprise workers should be conducted at the work place where possible.
- As part of consultation, the reason for including / not including their views (if any) should be described, and feedback given in a timely manner.

If the TA activities involve ethnic minority communities or residents, information disclosure and meaningful stakeholder engagement should be conducted in a culturally appropriate, and gender

and generation-inclusive manner in compliance with ESS7 to ensure that their opinions are included in the TA outputs, and that they benefit equally from the TA outputs, mainly including:

- Ethnic minority communities are encouraged to participate and are effectively involved in the TA activities;
- Ethnic minority customs and taboos are respected, and staff learning ethnic minority customs and languages assigned for information disclosure and communication;
- Ethnic minority communities are given sufficient time for decision-making; and
- Traffic arrangements leading to the closest venue are provided to ethnic minority residents in remote areas if needed.

5 External Communication Mechanism and Grievance Redress Mechanisms

The CPMO and TA implementation agency will establish an external communication mechanism and GRMs for the Central Basin Component.

5.1 External Communication Mechanism

The CPMO and TA implementation agency will establish an external communication mechanism to respond to public concerns timely.

(1) CPMO

During the implementation, a stakeholder may contact the CPMO at any time. When receiving any message, the CPMO is committed to giving a reply timely. See Table 5-1.

Table 5-1 Contact Information of the CPMO

Contact information		Time of confirmation
E-mail	cjslw@126.com	Within 48 hours
Tel	027-82828114	Immediately or within 48 hours (for messages)

Note: The contact information is subject to further updating before commencing the implementation.

(2) TA implementation agencies

Within one month after the fixation of the TA implementation agency, it will establish an external communication mechanism, which will be disclosed in the SEP.

5.2 GRMs

Normally, the project's grievance redress mechanisms (GRMs) consist of one GRM for the project workers and one for the pertinent communities and the broader public (including stakeholders of downstream activities). ***Appendix 1 of ESM***F concluded that CWRC (the proposed Program Implementation Agency) has implemented appropriate mechanisms embedded in its existing HR system for direct workers, which are readily accessible to all workers and can address concerns promptly. The E&S section in the ToR **(see the template in Appendix 2 of ESMF**) will require the the TA implementation agencies to set up and maintain functioning GRMs to collect and respond to the complaints (if any) raised by the project contracted workers.

A GRM will be established to handle grievances from the the communities and public (including all stakeholders), as shown in Figure 5-1.

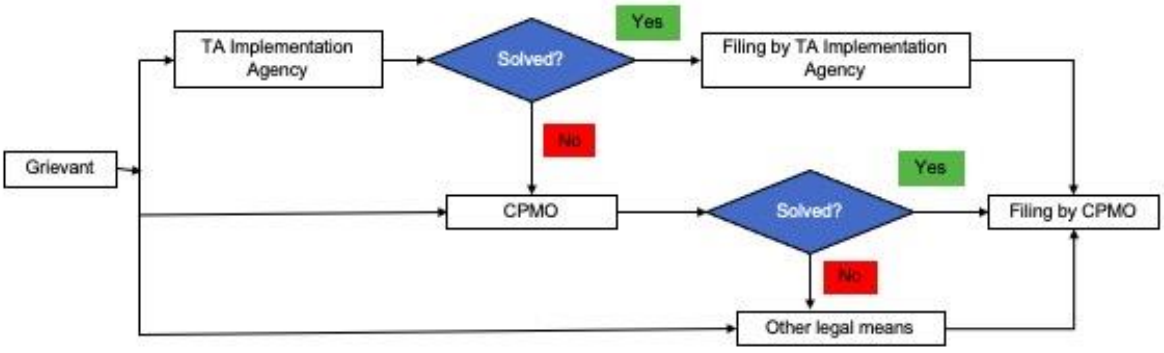

Figure 5-1 GRMs of the Central Basin Component

All grievances related to the Central Basin Component may be handled through the following procedure:

Stage 1: Any individual, enterprise or institution may file a grievance to the TA implementation agency, which should give a reply or solution within 10 working days.

Stage 2: If the individual, enterprise or institution is dissatisfied with the reply or solution of Stage 1, it may file a grievance to the CPMO, which should give a reply or solution within 10 working days.

Stage 3: If the individual, enterprise or institution is still dissatisfied with the reply or solution of Stage 2, it may resort to external legal proceedings.

The above procedure is not necessarily followed step by step, and they may select any channel directly as appropriate.

The CPMO and TA implementation agency will disclose the GRMs on their own websites. After receiving a grievance, the environment and social management officers of the CPMO or TA implementation agency will record it in a grievance log or bulletin, investigate and handle it. The officers of the CPMO and TA implementation agency should summarize these logs or bulletins regularly, identify key sources and causes, and communicate with the research staff timely for optimization when reasonable and feasible.

6 Implementation and Monitoring

The CPMO will review and supervise the development and implementation of the stakeholder engagement program, and ensure that the TA implementation agency conducts fair, just, open and transparent public participation and consultation in the whole project lifecycle, thereby protecting the interests of all stakeholders and promoting the successful implementation of the Central Basin Component. The CPMO and TA implementation agency will appoint full-time staff and a special budget for information disclosure and stakeholder engagement.

At the implementation stage, the CPMO and TA implementation agency will maintain all stakeholder engagement, information disclosure and grievance redress records, and report to the Bank semiannually through the routine reporting mechanism.

Table 9-1 Indicative Monitoring Indicators for Stakeholder Engagement Monitoring

No.	Indicator	Unit	Frequency	Agency responsible
1	**Preparation stage**			
	Engagement activities	/	Quarterly	CPMO
	Participants	/	Quarterly	
2	**Research stage**			
	Engagement activities	/	Quarterly	TA implementation agency
	Participants	/	Quarterly	
	Where: women	/	Quarterly	
	Enterprise workers	/	Quarterly	
	Farmers	/	Quarterly	
	Ethnic minority residents (if any)	/	Quarterly	
3	**Review stage**			
	Engagement activities	/	Quarterly	CPMO
	Participants	/	Quarterly	
	Where: women	/	Quarterly	
	Enterprise workers	/	Quarterly	
	Farmers	/	Quarterly	
	Ethnic minority residents (if any)	/	Quarterly	
4	Number of grievances and concerns received	/	Quarterly	CPMO and TA implementation agency
5	Number of grievances and concerns handled	/	Quarterly	CPMO and TA implementation agency