

**Environmental and Social Safeguard Framework  
Of Foreign Environmental Cooperation Center**

**( 2020 Edition )**

## **Introduction**

Foreign Environmental Cooperation Center, Ministry of Ecology and Environment of China (FECO) is committed to protecting the environment and caring for the human's common homeland. This Environmental and Social Safeguard Framework (ESSF) draws on the safeguard requirements and policies of the Global Environment Facility (GEF) and the Green Climate Fund (GCF) and will apply to all projects for which FECO serves as the Project Implementing Agency of GEF and GCF<sup>1</sup>.

The ESSF is composed of three parts: 1. overarching principles; 2. environmental and social safeguard standards (ESSS); 3. procedures for implementing the environmental and social safeguard standards. The ESSF is to be used together with other policy documents, including FECO's Gender Mainstreaming Standard and FECO's Accountability and Grievance Mechanism.

FECO's implementation team, supported by external experts, will make sure that the policy and procedures are properly executed during the whole project cycle including project development, review and approval, implementation, monitoring and evaluation, by both FECO staff and its Executing Partners. Within the Framework, FECO also establishes its Accountability and Grievance Mechanism for external communication and stakeholder response.

The ESSF is a working document which will be modified and improved as FECO gathers more experience and increases its capacity to incorporate ESSS into its work.

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<sup>1</sup> FECO has been accredited GEF Project Agency by June 2015 and GCF Implementing Entity by December 2016.

## **Overarching Principles**

With the objective of: (i) strengthening the environmental and social outcomes of projects; (ii) avoiding, reducing or mitigating adverse risks<sup>2</sup> and impacts<sup>3</sup> on people and the environment; and (iii) safeguarding environmental and social rights and interests of the public, especially the vulnerable groups, FECO formulates the Environmental and Social Safeguard Standards according to Chinese and international practices.

FECO will not support activities that do not comply with national laws and obligations under international laws, whichever is the higher standard.

FECO applies a precautionary approach to its project design and implementation and reviews its project activities to ensure they do not cause negative environment and social effects. FECO requires the application of Environmental and Social Standards I-XI to avoid adverse environmental and social risks and impacts, or where avoidance is not possible, to minimize, mitigate, and compensate for potential adverse risks and impacts.

To ensure the implementation of the safeguard standards, FECO has developed an environmental and social safeguard management process. This process will be integrated within FECO's project appraisal, approval, management and evaluation cycle.

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<sup>2</sup> Environmental and Social Risk means a combination of the probability of a certain hazard occurrence and the severity of impacts resulting from such an occurrence.

<sup>3</sup> Environmental and Social Impact means any change, potential or actual, to the physical, natural, or cultural environment, and related impacts on surrounding communities and workers, resulting from a project or program, including direct, indirect, cumulative and transboundary impacts and the impacts of Associated Facilities, and including both adverse and beneficial impacts

## **Environmental and Social Safeguard Standards**

At project level, FECO Environmental and Social Safeguard Standard I-XI set out specific requirements relating to different environmental and social issues, and these standards will be fully considered throughout FECO's project cycle.

### **I. Environmental and Social Assessment**

1. A proposed project must undergo Environmental and Social Assessment (ESA) so as to ensure the project implemented by FECO can produce environmental and social benefits, avoid or reduce environmental damage and make the project sustainable. Results of ESA shall be the decision-making basis of the project.

2. Use a screening process for each proposed project, as early as possible, to determine the appropriate extent and type of ESA so that appropriate studies are undertaken commensurate with the significance of potential risks and impacts.

3. In ESA, comprehensive consideration shall be given to direct, indirect, and cumulative environmental and social risks throughout the project life cycle, including those specifically identified in standard II-XI. Trans-boundary environmental issues and global environmental issues shall also be taken into account on the basis of giving full respect to state sovereignty and international agreements.

4. ESA shall take into account whether the project is in line with the state laws and regulations on environmental protection, the national plan for environmental protection and the requirements for implementing international environmental conventions and donor's business development plan or strategy. Project activities shall not conflict with the national and international requirements.

5. ESA shall be carried out based on recent environmental and social baseline data at an appropriate level of detail. Alternative solutions in site selection, design, technology and other aspects of a project shall be examined, including the no-project alternative. The justification for a certain choice shall be explained.

6. At any feasible circumstance, preferential consideration shall be given to preventive measures. Where avoidance is not possible, minimize or reduce risks and impacts to acceptable levels. Once risks and impacts have been minimized or reduced, mitigate, where significant residual risks and impacts remain, compensate for or offset them where technically and financially feasible.

7. Environmental and social management plan (ESMP) shall consist of the set of mitigation, monitoring, and institutional measures to be taken during implementation and operation of a project to eliminate adverse environmental and social risks and impacts, offset them, or reduce them to acceptable levels. The ESMP shall also include the measures and actions needed to implement these measures. The ESMP shall be appropriately-scaled and adequately budgeted.

8. Disadvantaged or vulnerable groups or individuals, including persons with disabilities, that are or may be affected by a project or program shall be identified as early as possible, and differentiated measures shall be adopted to ensure that adverse risks and impacts do not fall disproportionately on them, and they are not

disadvantaged in sharing development benefits and opportunities resulting from the project. These measures shall be included in ESMP or relative documents.

9. Any risks or potential adverse impacts on women, men, girls and boys shall be identified as early as possible as part of project or program screening and reflected in relevant safeguards instruments, and differentiated by gender where relevant, including adverse risks and impacts on gender equality, gender-based violence (GBV), and sexual exploitation and abuse. Discrimination against women or girls, or gender-based discrimination shall be prevented. In case incidences of GBV and/or sexual exploitation and abuse occur, established reporting and response protocols shall be in place, with (i) specific procedures for GBV including confidential reporting with safe and ethical documenting of GBV cases indicating when and where to report incidents, and what follow-up actions will be undertaken and (ii) modalities to provide services and redress to survivors.

10. External experts and environmental and institutions with relevant qualifications but without interest relationship with the project shall be employed to make the assessment. For those projects with high risks and much controversy or involving serious environmental concerns in many aspects, independent expert advisory group shall be organized to provide consultation recommendations on all aspects of the environmental and social assessment.

11. In the process of project preparation, stakeholders including those project-impacted communities or related vulnerable groups and local NGOs shall be invited to participate in the assessment as early as possible, so as to ensure that their reasonable demands, as decision-making basis, can be effectively conveyed to the decision makers. In the whole process of project implementation, constant consultation shall be made with stakeholders to deal with ESA-related issues. Such consultations should be gender responsive; free of manipulation, interference, coercion, discrimination and intimidation; and responsive to the needs and interests of disadvantaged and vulnerable groups. Appropriate complaint mechanism shall be designed according to the risks and impact degree of the project, so as to understand and solve the affected population and groups' concerns and complaints on the environmental and social risks and impact of the project.

12. The requirements of the "Measures for Public Participation in Environmental Protection", "Provisional Measures for Public Participation of Environmental Impact Assessment" and "Guidelines for Disclosure of Government Information about EIA of Construction Project" shall be strictly abided by. The complete text of ESA report and related tables (except those contents involving national security) shall be disclosed in a timely manner. If there is any amendment, the new version also shall be disclosed in time.

13. ESA documents and ESMP should be submitted for public consultation and disclosure prior to project appraisal. The documents should include public records of Stakeholder Engagement throughout the project cycle. In cases where confidentiality is necessary to protect stakeholders from harm, statistical information is recorded and made publicly available.

14. Specific requirements on ESA are described in "Environmental and Social

Safeguard Standards of FECO – ESA”.

## **II. Natural Habitats, Biodiversity Conservation and Sustainable Management of Living Natural Resources**

1. Preferential support shall be given to those projects that help protect natural habitats<sup>4</sup> and improve service functions of the ecosystem.

2. At any feasible circumstance, FECO projects should be sited on lands already converted (excluding any lands that were converted in anticipation of the project). The project shall not cause significant conversion<sup>5</sup> or degradation<sup>6</sup> of natural habitats unless there is no alternative site and the comprehensive analysis shows that the overall benefits of the project greatly exceed the environmental cost expended. If ESA shows that the project would lead to significant conversion or degradation of natural habitats, appropriate measures shall be adopted to eliminate or reduce the adverse impacts on natural habitats, keeping such impacts within socially defined limits of acceptable environmental change.

3. No project shall be constructed at any critical natural habitat unless (1) the project would not cause adverse impact on the self-recovery capacity and ecological functions of the habitats; (2) the project would not lead to any reduction in the number of known rare or critically endangered species or loss of habitat area, and would not affect the survival of the main ecological system with local representativeness; (3) adverse impacts are on a limited scale that result from conservation actions that achieve a Net Gain of the Biodiversity values; (4) if a project is sited in a natural reserve established according to law, the activities with relation to the project must abide by the requirements of relevant laws and regulations of the state and be coordinated with competent administrative departments, local communities and other stakeholders, and supplementary projects shall be arranged and implemented so as to improve and promote the protection of the natural reserve.

4. All project activities should not contravene applicable international environmental treaties or agreements.

5. Appropriate measures should be taken to avoid the introduction or utilization of invasive alien species, whether accidental or intentional, and will support activities to mitigate and control their further spread.

6. FECO will not support projects that purchase primary production from supply chain sources that are contribution to significant conversion of natural and/or critical habitats.

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<sup>4</sup> Natural habitats are land and water areas where the ecosystems' biological communities are formed largely by native plant and animal species, and human activity has not essentially modified the area's primary ecological functions.

<sup>5</sup> Significant conversion refers to the elimination or severe diminution of the integrity of a critical or other natural habitat caused by a major, long term change in land or water use. Significant conversion may include, for example, land clearing; replacement of natural vegetation (e.g., by crops or tree plantations); permanent flooding (e.g., by a reservoir); drainage, dredging, filling, or channelization of wetlands; or surface mining.

<sup>6</sup> Degradation refers to the modification of a critical or other natural habitat that substantially weakens the habitat's ability to maintain viable populations of its native species.

7. If a project or program involves production or harvesting of living natural resources, these activities shall be carried out consistent with good sustainable management practices, including industry-specific standards, where such standards exist.

8. If a projects or program involves forest restoration, these activities shall maintain or enhance biodiversity and ecosystem functionality, and shall be environmentally appropriate, socially beneficial and economically viable.

9. Project and program supported activities shall conform with applicable frameworks and measures related to access and benefit sharing in the utilization of genetic resources.

10. In projects that could affect biodiversity, natural habitats, or ecosystem services<sup>7</sup>, experienced experts shall be employed to take part in each phase of the project and ensure that effective mitigation measures will be stipulated and implemented.

11. Reasonable opinions and rights of local communities and other stakeholders shall be taken into full account, so as to enable them to participate in the planning, design, implementation, monitoring and evaluation of the project.

12. The mitigation measures and critical habitat protection plan shall be timely publicized in a right place and in a form and language understandable to the project-affected population and other stakeholders.

### **III. Resource Efficiency and Pollution Prevention**

1. Projects shall explore technically and financially feasible measures for the efficient use of energy, water, and other resources and material inputs. Such measures will integrate the principles of cleaner production<sup>8</sup> into product design and production processes with the objective of conserving raw materials, energy, and water. Where benchmarking data are available for resource intensive projects, a comparison to establish the relative level of efficiency will be undertaken.

2. Projects shall implement technically and financially feasible options to reduce project-related GHG emissions, including alternative locations, the use of renewable or low-carbon energy sources, sustainable agriculture, forestry and livestock management practices.

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<sup>7</sup> Ecosystem services are the benefits that people, including businesses, derive from ecosystems. Ecosystem services are organized into four types: (i) provisioning services, which are the products people obtain from ecosystems; (ii) regulating services, which are the benefits people obtain from the regulation of ecosystem processes; (iii) cultural services, which are the nonmaterial benefits people obtain from ecosystems; and (iv) supporting services, which are the natural processes that maintain the other services.

<sup>8</sup> Cleaner production means “the continuous application of measures for design improvement, utilization of clean energy and raw materials, the implementation of advanced processes, technologies and equipment, improvement of management and comprehensive utilization of resources to reduce pollution at source, enhance the rates of resource utilization efficiency, reduce or avoid pollution generation and discharge in the course of production, provision of services and product use, so as to decrease harm to the health of human beings and the environment.” (Cleaner Production Promotion Law of the People's Republic of China, Chapter 1 Article 2)

3. If a project is expected to produce significant quantities of GHG<sup>9</sup>, the emission shall be tracked and reported in accordance with internationally recognized methodologies and good practice<sup>10</sup>.

4. When the project is a potentially significant consumer of water, measures shall be taken to ensure that it does not have significantly adverse impacts. The project should consider alternative water supplies or water consumption offsets to reduce the total demand for water resources within the available supply.

5. Projects shall avoid or minimize the release of pollutants including wastes, hazardous materials and pesticides. This applies to the release of pollutants to air, water, and land due to routine, non-routine, and accidental circumstances. Pollution prevention and control technologies and practices consistent with international good practice<sup>11</sup> shall be applied during the entire project cycle.

6. To address adverse risks and impacts on existing ambient conditions (such as air, surface water, groundwater, and soils), a number of factors will be considered, including the finite assimilative capacity of the environment, existing and planned land use, existing ambient conditions, the project's proximity to ecologically sensitive or protected areas, the potential for cumulative impacts with uncertain and irreversible consequences, and strategies for avoiding and minimizing the release of pollutants.

7. Projects shall avoid the generation of hazardous and nonhazardous waste materials. Where waste generation cannot be avoided, projects shall reduce the generation of waste, and recover and reuse waste in a manner that is safe for human health and the environment. Where waste cannot be recovered or reused, it will be treated, destroyed, or disposed of in an environmentally sound manner that includes the appropriate control of emissions and residues resulting from the handling and processing of the waste material. If the generated waste is considered hazardous, reasonable alternatives for its environmentally sound disposal will be adopted while adhering to the limitations applicable to its transboundary movement. When hazardous waste disposal is conducted by third parties, the project will use contractors that are reputable and legitimate enterprises licensed by the relevant government regulatory agencies and, with respect to transportation and disposal, obtain chain of custody documentation to the final destination.

8. Projects shall consider the use of less hazardous substitutes for such chemicals and materials and will avoid the manufacture, trade, and use of any substances listed under the Stockholm Convention on Persistent Organic Pollutants, or other chemicals and hazardous materials subject to international bans or phase-outs due to their high toxicity to living organisms, environmental persistence, potential for bioaccumulation,

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<sup>9</sup> The significant threshold to be considered for these requirements is generally more than 25,000 tonnes of CO<sub>2</sub> - equivalent per year for the aggregate emissions of direct and indirect sources. The quantification of emissions should consider all significant sources of GHG emissions, including non-energy related sources such as methane and nitrous oxide, among others.

<sup>10</sup> Estimation methodologies are provided by the Intergovernmental Panel on Climate Change, various international organizations, and relevant national agencies.

<sup>11</sup> As reflected in internationally recognized standards such as the World Bank Group's Environmental, Health and Safety Guidelines. These standards contain performance levels and measures that will normally be acceptable and applicable to projects.



or potential for depletion of the ozone layer.

9. Projects shall avoid or, when avoidance is not feasible, minimize and control release of hazardous materials resulting from their production, transportation, handling, storage and use. Where avoidance is not possible, the health risks, including potential differentiated effects on men, women and children, of the potential use of hazardous materials will be addressed in the social and environmental assessment.

#### **IV. Pest Management**

1. ESA shall confirm that all project-related pest management shall be implemented according to the provisions of integrated pest management (IPM)<sup>12</sup>; biological or environment-friendly control methods shall be promoted and used so as to reduce the reliance on chemical pest-control products.

2. Best management practices and the FAO code of conduct<sup>13</sup> shall be used to handle, store, use and dispose pest control products according to the laws and regulations of our country so as to reduce pest-related health and environmental risks as far as possible.

3. As necessary, IPM shall be promoted through policy, system and capacity construction, so as to control and monitor the sale and use of pest control products.

4. FECO does not finance the use or handling of formulated products that fall in WHO classes IA and IB<sup>14</sup>, or formulations of products in Class II, if (a) the country lacks restrictions on their distribution, management and use; or (b) they are likely to be used by, or be accessible to, lay personnel, farmers, or others without training, equipment, and facilities to handle, store, and apply these products properly.

5. For any project identified to involve pest management issues, a pest management plan (PMP) will be prepared and submitted for public consultation and disclosure prior to appraisal.

#### **V. Community Health, Safety and Security**

1. FECO established this standard to (i) anticipate and avoid adverse risks and impacts on the health and safety of the affected community during the project cycle from both routine and non-routine circumstances; and (ii) ensure that the safeguarding of personnel and property is carried out in a manner that avoids or minimizes risks to the affected communities. Requirements of this standard apply to projects that may pose significant risks to community health and safety. Occupational health and safety requirements for workers are included in Standard X, and environmental standards to avoid or minimize risks and impacts on human health and the environment due to

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<sup>12</sup> Integrated pest management (IPM) refers to a mix of farmer-driven, ecologically based pest control practices that seeks to reduce reliance on synthetic chemical pesticides. It involves (a) managing pests (keeping them below economically damaging levels) rather than seeking to eradicate them; (b) relying, to the extent possible, on nonchemical measures to keep pest populations low; and (c) selecting and applying pesticides, when they have to be used, in a way that minimizes adverse effects on beneficial organisms, humans, and the environment.

<sup>13</sup> The FAO code of conduct refers to The Food and Agriculture Organization's International Code of Conduct on Pesticide Management (2013).

<sup>14</sup> [http://www.inchem.org/documents/pds/pdsotter/class\\_2009.pdf](http://www.inchem.org/documents/pds/pdsotter/class_2009.pdf)

pollution are included in Standard III.

2. Where the project includes new buildings and structures that will be accessed by members of the public, considerations should be given to the incremental risks of the public's potential exposure to operational accidents or natural hazards, especially the special needs and exposure of disadvantaged or vulnerable groups or individuals, in particular women and children.

3. When structural elements or components are situated in high-risk locations, and their failure or malfunction may threaten the safety of communities, projects or programs engage one or more external experts with relevant and recognized experience in similar projects, separate from those responsible for the design and construction, to conduct a review as early as possible in project development and throughout the stages of project design, construction, operation, and decommissioning

4. Projects shall avoid or minimize the potential for community exposure to hazardous materials and substances that may be released by the projects. Special care will be exercised to avoid or minimize public exposure by modifying, substituting, or eliminating the condition or material causing the potential hazards. The executing agency shall exercise commercially reasonable efforts to control the safety of deliveries of hazardous materials, and of transportation and disposal of hazardous wastes, and shall implement measures to avoid or control community exposure to pesticides, in accordance with the requirements of Standard III and Standard IV.

5. Projects shall avoid or minimize adverse health and safety risks and impacts to affected communities resulted from the projects' direct impacts on priority ecosystem services<sup>15</sup>. Risks and potential impacts on priority ecosystem services that may be exacerbated by climate change will be identified where appropriate and feasible. Adverse impacts on priority ecosystem services should be avoided, and if these impacts are unavoidable, the executing agency shall implement mitigation measures in accordance with Standard II.

6. Projects shall avoid or minimize the potential for community exposure to water-borne, water-based, water-related, and vector-borne diseases, and communicable diseases that could result from project activities, taking into consideration differentiated exposure to and higher sensitivity of vulnerable groups. At the same time, the projects will avoid or minimize transmission of communicable diseases that may be associated with the influx of temporary or permanent project labor.

7. The executing agencies shall assist and collaborate with the affected communities, local government agencies, and other relevant parties, in the preparations to respond to accidental and emergency situations in a manner appropriate to prevent and mitigate any harm to people and/or the environment. The emergency preparedness and response activities, resources, and responsibilities, shall be documented and disclosed to affected communities, relevant government agencies, or other relevant parties.

8. Where the project involves engagement of security personnel to protect

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<sup>15</sup> With respect to this standard, ecosystem services are limited to provisioning and regulating services as defined in of Standard II.

facilities and personal property, security arrangements should be proportional and consistent with applicable national laws and good international industry practice. Potential risks posed by security arrangements to those within and outside the project area shall be assessed.

## **VI. Safety of Dams**

1. FECO will not implement projects or programs that would involve the construction or rehabilitation of large dams<sup>16</sup> or complex dams<sup>17</sup> with GEF funding.

2. If a project involves dam safety, qualified institutions shall be assigned to supervise the planning, design and construction of the dam. Necessary dam safety measures shall be adopted and implemented in the process of design, bidding, construction, operation and maintenance of the dam and related structures.

3. For a large dam, an independent external panel is required and a separate dam safety plan is to be prepared. For a small dam<sup>18</sup> with height between 10 and 15 meters which do not have serious safety issues, the dam safety plan should be part of the environmental and social management plan (ESMP).

4. Where a project relies or may rely on the performance of an existing dam or a dam under construction (DUC), the safety status of the existing dam or DUC (and its appurtenances) should be inspected and evaluated in the ESA. The proposed project should include safety-related measures or remedial work to upgrade the existing dams or DUC when necessary.

5. Construction activities of the project shall be undertaken by selected contractors with relevant qualification and experiences.

6. Periodic safety investigation of new and repaired dams shall be made after completion. All the detailed plans shall be reviewed, and appropriate remedial actions shall be taken as necessary.

7. Dam safety report should be submitted for public consultation and disclosure prior to appraisal.

## **VII. Cultural Heritage**

1. Any cultural heritage, including tangible heritage<sup>19</sup> and intangible heritage<sup>20</sup>,

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<sup>16</sup> Large dams are defined as dams with a height of 15 meters or greater from the lowest foundation to crest or dams between 5 meters and 15 meters impounding more than 3 million cubic meters.

<sup>17</sup> Complex dams are defined as dams that (i) could cause safety risks, such as an unusually large flood-handling requirement, location in a zone of high seismicity, foundations that are complex and difficult to prepare, retention of toxic materials, or potential for significant downstream impacts.

<sup>18</sup> Small dams are normally less than 15 meters in height. This category includes, for example, farm ponds, local silt retention dams, and low embankment tanks.

<sup>19</sup> Tangible cultural heritage includes movable or immovable objects, sites, structures, groups of structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. Tangible cultural heritage may be located in urban or rural settings, and may be above or below land or under the water.

<sup>20</sup> Intangible cultural heritage includes practices, representations, expressions, knowledge, skills

identified as part of the screening or assessment processes described under Minimum Standard I should be appropriately preserved throughout the project or program cycle.

2. Qualified experts, local residents and other stakeholders shall be consulted and field-based surveys shall be carried out to identify the presence and significance of cultural heritage, assess the nature and extent of potential risks and impacts of the project on these resources and design appropriate compensation plan.

3. In the periods of site selection and design of a project, all feasible project alternatives shall be analyzed so as to prevent cultural heritage from being damaged or destroyed. Where viable and feasible alternatives do not exist to avoid adverse risks and impacts to cultural heritage, appropriate measures to minimize or mitigate such adverse risks and impacts shall be developed through meaningful consultations with stakeholders and relevant authorities.

4. If a project has impact on cultural heritage, it is necessary to consult with the state or local cultural heritage protection agencies, as well as qualified experts, local residents, and other relevant stakeholders. All project activities must be implemented according to relevant laws and regulations, international conventions or best practices, such as the “Law of the People’s Republic of China on Protection of Cultural Relics” and the “Opinions on Strengthening and Improving Protection and Management of World Cultural Heritages”.

5. Qualified experts, local residents and other stakeholders shall be consulted to determine whether disclosure of information regarding cultural heritage would compromise or jeopardize the safety or integrity of the cultural heritage or would endanger sources of information. In such cases, sensitive information may be omitted from public disclosure. If the project-affected parties (including individuals and communities) hold the location, characteristics, or traditional use of the cultural heritage in secret, appropriate measures shall be put in place to maintain confidentiality.

6. Where a project or program prevents access to previously accessible cultural heritage sites, based on consultations with stakeholders, continued access shall be allowed, or alternative access route shall be provided, subject to overriding health, safety and security considerations.

7. Where a project or program involves the commercial use of cultural heritage, the affected parties shall be informed of (i) their rights under national law, and (ii) the scope, nature and impacts of the potential use, and arrangements shall be made to ensure the fair and equitable sharing of benefits from such use.

8. Management and protection measures shall be formulated in advance so as to protect the cultural heritage that may be discovered by “chance” during project implementation.

9. For any project identified to involve cultural heritage issues, where appropriate, a cultural heritage management plan will be developed and submitted for

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- as well as the instruments, objects, artifacts and cultural spaces associated therewith - that communities and groups recognize as part of their cultural heritage, as transmitted from generation to generation and constantly recreated by them in response to their environment, their interaction with nature and their history.

public consultation and disclosure prior to appraisal.

### **VIII. Involuntary Resettlement**

1. If a project involves resettlement, it shall be considered in the project design and resettlement plan to provide more development opportunities to the displaced persons and ensure them to get sufficient benefits from the development, services and construction of the project and related facilities.

2. All the displaced people have rights to get compensation for their losses of property or get assistance equivalent to the losses. Those displaced persons lack of legal rights on the lost property shall not be excluded from those having rights to get compensation.

3. Compensation rate presented in the resettlement plan shall be based on the total compensation for the losses of properties of the affected collectives or individuals. It is absolutely not allowed to discount or reduce the compensation amount by depreciation or other reasons.

4. If a project needs to expropriate cultivated land, land-based resettlement shall be preferred according to the distribution principles of collective land. If land-based income of the displaced persons just accounts for a small portion of their total income, cash compensation or employment opportunities can be provided as long as they agree.

5. The use value of the houses or housing land, or places for running business, and agricultural production places replaced in land expropriation shall be at least equal to that of the expropriated land.

6. The transition period of resettlement shall be as short as possible. Property compensation shall be paid before the displaced people being affected for them to construct new houses and move or replace their fixed assets. Measures to mitigate relocation impact shall be adopted before actual resettlement start. The displaced persons without getting replacement houses shall be provided with transitional aids of certain level till they get replacement houses.

7. In the process of formulating resettlement plan, it is necessary to consult with the displaced persons and accept their requests and recommendations. Resettlement plan shall be disclosed to the displaced persons in a form understandable to them.

8. After resettlement, the community services and accessible resources shall be kept at the original level or better than before.

9. The resettlement plan shall include appropriate institutional arrangement, ensuring that the resettlement plan and restoration measures can be designed, planned and implemented effectively in a timely manner.

10. Effective internal and external monitoring mechanisms shall be established appropriately for the monitoring of the implementation of resettlement measures.

11. Necessary complaint mechanism shall be established and the content of complaint procedures shall be presented to the displaced persons.

12. This standard is not applicable to Global Environment Facility (GEF) funded projects.

### **IX. Indigenous People**

1. Project impacts shall be sorted out as early as possible so as to identify if the proposed project involves rights and interests of ethnic groups, or so-called indigenous peoples, in the locality.

2. The positive or adverse impacts of a project on indigenous peoples shall be evaluated through social impact assessment or similar method. In the process of designing benefit distribution and impact mitigation measures, indigenous peoples' preference shall be taken into full account. Indigenous-cultural adaptability of the project benefits shall be precisely identified, and appropriate measures shall be adopted to avoid or mitigate adverse impacts of the project on indigenous peoples.

3. Effective consultation shall be conducted with affected indigenous communities and related indigenous organizations to solicit their participation in designing, implementing and monitoring of the project, and avoid adverse impacts. If such avoidance is not feasible, appropriate measures shall be adopted to minimize or mitigate the adverse impacts or provide compensation for them. A complaint mechanism in accordance with indigenous cultural tradition and gender equality shall be established to understand and address the concerns of the indigenous peoples.

4. Following activities must be agreed by the affected indigenous peoples: (1) exploiting indigenous cultural resources and knowledge for commercial purpose; (2) moving indigenous peoples away from their traditional habitats; (3) exploiting natural resources in their habitats for commercial purpose, which may cause adverse impact on their life.

5. Prohibiting indigenous peoples to use relevant resources or moving them away from the reserve or natural resources shall be avoided as far as possible. If such avoidance is not feasible, the affected indigenous peoples shall be ensured to participate in the design, implementation, supervision and assessment of the natural resources exploitation in the affected areas, enabling them to share the project benefits.

6. The project agency shall absorb the knowledge of the indigenous peoples and make the affected indigenous communities take part in the formulation of Indigenous People Development Plan on the basis of social impact assessment and under the help of qualified and experienced experts. The content of an Indigenous People Development Plan shall include: keeping consultation and coordination with the affected indigenous peoples and their communities in the process of project implementation; specifying measures to ensure the affected indigenous peoples to receive benefits in accordance with their cultural traditions; identifying measures to avoid, minimize, mitigate or compensate for adverse impacts. These measures shall include complaint procedures, monitoring and evaluation arrangements, budget and time schedule of project implementation conforming to their cultural traditions.

7. Before a project is approved, the draft of Indigenous People Development Plan shall be disclosed timely to the affected groups and other stakeholders at a right place and in a form and language understandable to them. If there is any amendment, the amended or final version also shall be disclosed to them in a timely manner.

8. Experts with relevant qualifications and experiences shall be employed to monitor the implementation of the Indigenous People Development Plan. If possible,

a participatory manner can be used, on the basis of basic survey and monitoring, to assess the results of the plan. The monitoring report shall be disclosed.

9. This standard is not applicable to GEF funded projects.

## **X. Labor and Working Conditions**

1. FECO establishes this standard to (i) promote the fair treatment, non-discrimination, and equal opportunity of workers; (ii) establish, maintain, and improve the worker-management relationship; (iii) promote compliance with national employment and labor laws<sup>21</sup>; (iv) protect the fundamental rights of workers, including vulnerable categories of workers such as children, migrant workers, workers engaged by third parties, and workers in the supply chain; (v) promote safe and healthy working conditions, and the health of workers; and (vi) avoid the use of forced labor.

2. Written labor management procedures applicable to the project shall be developed and these procedures shall set out the way in which project workers will be managed, in accordance with the requirements of national laws and this standard.

3. Project workers shall be provided with clear and understandable information and documentation, which set out their rights under national laws, including their rights related to hours of work, wages, overtime, compensation and benefits, as well as those arising from this standard. Project workers shall be paid on time and on a regular basis and shall be provided with adequate periods of rest, holiday and sick, maternity and family leave, as required by national laws.

4. The employment of project workers shall be based on the principles of nondiscrimination and equal opportunity in recruitment and hiring, compensation (including wages and benefits), working conditions and terms of employment, access to training, job assignment, promotion, termination of employment or retirement, and disciplinary practices. Appropriate measures shall be taken to prevent and address harassment, intimidation, and/or exploitation, especially in regard to women<sup>22</sup>, children, migrant workers and persons with disabilities.

5. An analysis of alternatives to retrenchment shall be carried out prior to implementing any collective dismissals. If no alternative is available, a retrenchment plan shall be developed and implemented to reduce the adverse impacts of retrenchment on workers. The retrenchment plan shall be based on the principle of non-discrimination and reflect the consultation with workers and comply with collective agreements if they exist. All workers shall receive notice of dismissal and severance payments mandated by law in a timely manner.

6. Workers who participate, or seek to participate, in Workers' organizations and collective bargaining, should not be interfered, discriminated or retaliated against, and shall be provided with information needed for meaningful negotiation in a timely

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<sup>21</sup> Including Labor Law of the People's Republic of China, Labor Contract Law of the People's Republic of China (2012 Amendment), and Regulation on the Implementation of the Employment Contract Law of the People's Republic of China.

<sup>22</sup> The executing agency shall comply with the requirements of Regulations Concerning the Labor Protection of Female Staff and Workers and Special Rules on the Labor Protection of Female Employees.

manner.

7. The executing agency shall provide an easily accessible grievance mechanism for workers to raise workplace concerns, and the workers shall be informed of the mechanism at the time of recruitment. Workers may use these mechanisms without retribution, and the mechanism should not impede access to other judicial or administrative remedies that might be available under the law or through existing arbitration procedures, or substitute for grievance mechanisms provided through collective agreements.

8. Child labor shall not be used in connection with a project or program. Child labor includes both (i) labor below the minimum age of employment and (ii) any other work that is economically exploitative, or is likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral, or social development. National laws and provisions for the protection of minors<sup>23</sup> should be strictly observed.

9. Forced<sup>24</sup> or trafficked<sup>25</sup> labor shall not be used in connection with a project or program.

10. Workers shall be provided with a safe and healthy working environment. Responsibilities will include identifying potential hazards to workers, providing preventive and protective measures and equipment, training workers, documenting and reporting of accidents and diseases, and planning for emergency response. The preventive and protective measures shall be consistent with international good practice.

## **XI. Accountability and Grievance Mechanism**

1. The objective of the accountability and grievance mechanism is to secure FECO's compliance with the environmental and social Safeguard policy, and other policies and principles in the project cycle. FECO and the executing agencies shall hold themselves accountable for observance of environmental and social safeguard and other policy requirements, accessibility and responsiveness to the complainant, involvement of stakeholders, and proper actions of redress and remediation.

2. The Accountability and Grievance Mechanism follows the principle of fairness, where grievances are treated confidentially, impartially assessed and transparently handled; operates independently of all stakeholders, allowing impartial treatment with objectivity and independence.

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<sup>23</sup> Including Law of the People's Republic of China on the Protection of Minors (2012 Amendment), Provisions on the Prohibition of Using Child Labor, and Provisions on the Special Protection of Minor Workers.

<sup>24</sup> Forced labor consists of any work or service not voluntarily performed that is exacted from an individual under threat of force or penalty.

<sup>25</sup> Trafficking in persons is defined as the recruitment, transportation, transfer, harboring, or receipt of persons, by means of the threat or use of force or other forms of coercion, abduction, fraud, deception, abuse of power, or of a position of vulnerability, or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation. Women and children are particularly vulnerable to trafficking practices.



3. To ensure participation and social inclusion, the Accountability and Grievance Mechanism seeks to be accessible to as a wide range of project affected people as possible, to bring grievances and comments to the attention of the project executing agencies and FECO staff.

4. The Accountability and Grievance Mechanism is supported by qualified staff and resources to manage it, to ensure the means and power to investigate grievances and address non-compliance.

5. Specific requirements on accountability and grievance are described in “Accountability and Grievance Mechanism of Foreign Environmental Cooperation Center”.

# **Procedures for Implementing the Environmental and Social Safeguard Framework**

## **I. Steps of the Environmental and Social Safeguard Process**

The environmental and social safeguard management process follows FECO's project cycle, and the process includes four steps. Detailed tasks conducted at each step are:

### **1. Screening and Categorization**

#### **1.1. Screening**

Environmental and social screening is the systematic assessment and documentation of the potential environmental and socioeconomic risks and impacts (negative and positive) of a proposed project. Projects shall be screened as early as possible to identify environmental and social risks and potential impacts, including all risks referred to in Standards II–V above.

Projects are classified based on the level and magnitude of potential risks and impacts, including considerations of: (i) Direct, indirect, cumulative, and transboundary environmental and social risks and potential impacts, and the risks and impacts of associated facilities<sup>26</sup>; (ii) Physical, biological, socio-economic (including livelihoods), other social (including on social organization, health and human safety), and cultural resources; and (iii) Applicable national and local laws as well as directly relevant provisions of international treaties and agreements. At this stage, a safeguard category is initially assigned to the project:

**High risk:** Projects with potentially significant adverse environmental and social impacts that are irreversible, cumulative or unprecedented and /or raise significant concerns among potentially affected communities and individuals are categorized as high risk projects. High risk projects may present significant risks and impacts that extend beyond the defined activities and area, and may contribute to cumulative impacts. High risk projects are required to prepare comprehensive ESA reports to make overall assessment on their environmental and social risks and impacts.

**Moderate risk:** For projects with potential adverse impacts, but limited in scale, not unprecedented or irreversible, and generally limited to project area, it is necessary to prepare ESA statements to make analysis or special assessment on their environmental and social risks and impacts.

**Low risk:** For projects with minimum or no adverse environmental and social risks and impacts, there is no need to prepare ESA, but it is necessary to fill in the environmental and social risk and impact registration forms.

The screening is carried out once a project concept document is available and submitted to or be considered by FECO. An "Environmental and Social Screening and Categorization Framework" has been developed to support the screening. See

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<sup>26</sup> Associated Facility means a facility or addition to an existing facility not funded as part of the project that is necessary for the financial and/or operational viability of the project or program, and would not have been constructed or expanded if the project or program did not exist.

Appendix I for the “Environmental and Social Impact Screening Form”.

According to the Memorandum of Understanding between the GEF and FECO, “Involuntary Resettlement” and “Indigenous People” standards are not applicable to GEF funded projects to be implemented by FECO. In the environmental and social screening process, when these two standards are triggered, the project will be rejected as a potential GEF project.

## 1.2. Scoping

Scoping is applicable only for full-fledged ESA. The purpose of scoping is to identify and focus the ESA on significant environmental and social issues and to establish a Terms of Reference (TOR) for the ESA. Scoping is undertaken after a project has been classified as high risk. The results of scoping should be reflected in the TORs. Comprehensive TORs are developed for full-fledged ESAs, and more succinct ones for light ESAs.

## 2. Preparation of ESA Documents

The executing agency will contract with qualified institutions or external specialists to prepare appropriate ESA documents (ESA report, ESA statement, or Environmental and Social Risk and Impact Registration Form) following specific TOR.

Environmental and social management plan (ESMP) is an essential element of ESA report and ESA statement. ESMP includes the proposed mitigation measures, environmental monitoring and reporting requirements, related institutional or organizational arrangements, capacity development and training measures, implementation schedule, cost estimates, and performance indicators.

## 3. Review and Approval of the Safeguard Instrument

### 3.1. Review of ESA Documents

The review of ESA documents will be done before the executing agency finalizes the Project Document. The aim of this task is to evaluate the quality of the ESA and to determine whether the information provided in the ESA documents is sufficient for understanding potential risks and impacts of the project and its possible alternatives and for finalizing the project design in a way so as to avoid, minimize and/or mitigate adverse risks and impacts, and enhance benefits. The review also aims at reviewing the ESMP proposed by the ESA team.

Three tables are developed to assist the review of ESA documents (see Appendix II-IV). At this stage, the document is accepted or returned to the executing agency for further elaboration on specific issues raised by the FECO Team. In case the ESA and/or ESMP reports are rejected, project executing agencies may request a review by the FECO Team, explaining and justifying the points of disagreement. If, after the review, the rejection of the report is maintained, the executing agency may appeal such decision through FECO’s Grievance and Accountability System.

### 3.2. Safeguard Review of the Project Document

Final appraisal of the project will be carried out once the project document is available and submitted by the executing agency to FECO, and it includes the safeguard review of the project document. The purpose of the safeguard review is to assure that the project and its ESMP have incorporated adequate measures to avoid,

minimize or compensate potential environmental and social risks and impacts and that a suitable mechanism is conceptualized to assure the implementation of mitigation measures and monitoring of their effectiveness. This safeguard review is supported by FECO's Safeguard Assessment Form –Project Document Stage (see Appendix V).

#### **4. Mitigation, Management, Monitoring and Evaluation of Risks and Impacts during Project Implementation**

During project implementation, FECO and executing agencies are responsible for ensuring that the actions specified in ESMP are carried out, and for reporting regularly on compliance with these requirements via Progress Monitoring Reports<sup>27</sup> (See Template for Progress Monitoring Report in Appendix VI) and Progress Reports<sup>28</sup> (See Template for Progress Report in Appendix VII). Independent experts may continue to be involved in the monitoring of projects and in ensuring compliance with the ESMP. The ESMP should be reviewed and updated periodically, and adjusted as needed.

FECO will monitor the projects for compliance with the ESMP, by means of self-monitoring reports from executing agencies as well as, when appropriate, supervision missions by FECO staff or external experts.

Monitoring activities should involve direct participation of affected stakeholders, where possible, and in particular for projects with potentially significant adverse risks and impacts.

FECO must address compliance concerns and other grievances in a timely manner, through FECO's Accountability and Grievance Mechanism, even after project closure.

At the mid-term of a project, the Mid-Term Evaluation will assess whether the environmental and social risks and impacts are being vigilantly managed and monitored, and whether the requirements of the ESMP have been complied with. Corrective measures will be proposed as relevant. At the end of the project, the Terminal Evaluation will undertake a similar exercise. It will also assess long term impacts, if relevant.

## **II. Environmental and Social Safeguard Process in Relation with the Project Cycle**

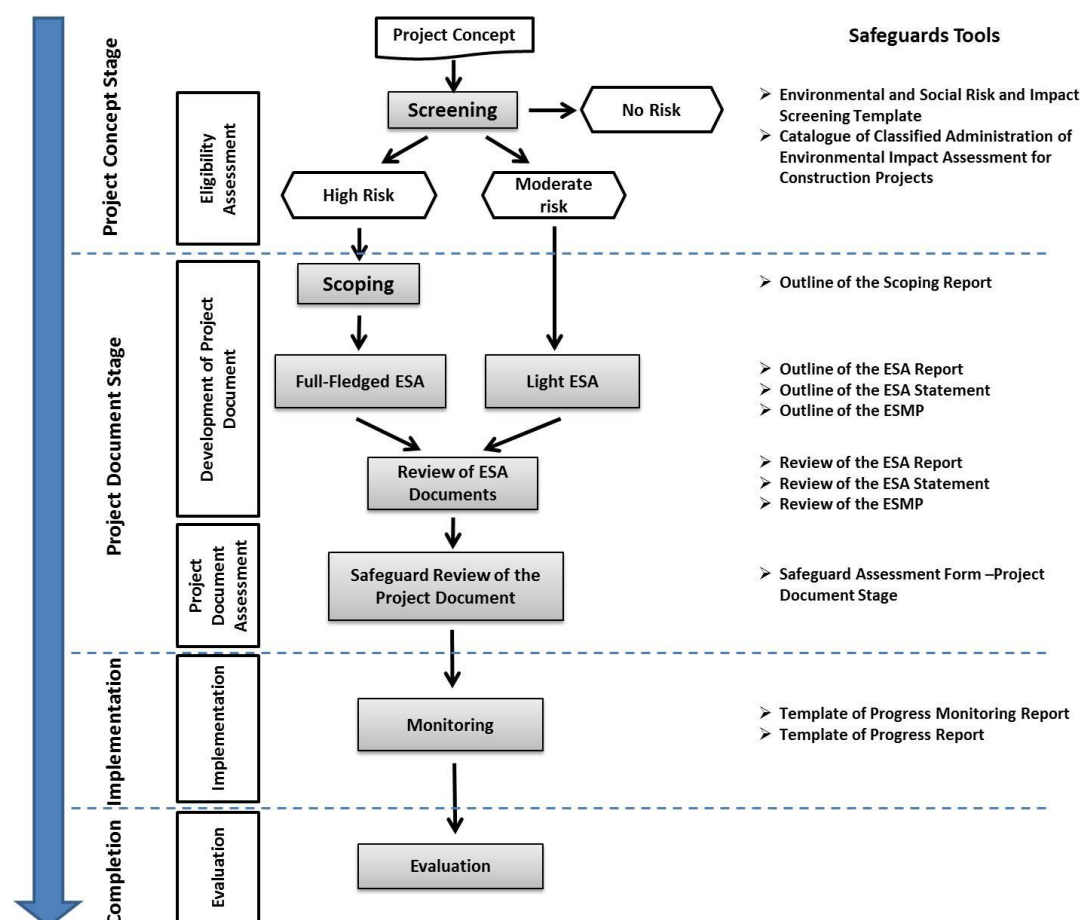
The different steps and safeguard tools of the environmental and social safeguard process in relation with the project cycle are described in the flowchart (Scheme 1).

### **Scheme 1. Environmental and Social Safeguard Management Flowchart**

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<sup>27</sup> Progress Monitoring Reports are prepared by project implementing group of FECO.

<sup>28</sup> Progress Reports are prepared by project executing agency.



### III Staff Arrangement of the Environmental and Social Safeguard Process

FECO's implementation team, supported by external experts, will make sure that the environmental and social safeguard policy and procedures are properly executed during the whole project cycle including project development, review and approval, implementation, monitoring and evaluation, by both FECO staff and its Executing Partners. Key persons/units responsible for implementation and compliance of the policy are indicated in Table 1.

**Table 1 Staff Arrangement of the Environmental and Social Safeguard Process**

Step	Working Level		Management Level
	Task Leader	Supervisor	
Screening and Categorization	The <b>Safeguard Focal Point</b> completes the Environmental and Social Risk and Impact Screening Form.	The <b>Safeguard Coordinator</b> makes the conclusion of screening and categorization.	The conclusion is submitted to <b>Director General/Steering Committee</b> for approval.
Preparation of ESA Documents	The <b>executing agency</b> prepares the required ESA documents, including ESMP.	The <b>Safeguard Focal Point</b> reviews and approves ESA documents prepared by the executing agency.	
Review and	The <b>Safeguard Focal</b>	The <b>Safeguard</b>	The conclusion is

Step	Working Level		Management Level
	Task Leader	Supervisor	
Approval of the Safeguard Instrument	<b>Point</b> completes the Safeguard Assessment Form.	<b>Coordinator</b> makes the conclusion of safeguard review of project document.	submitted to <b>Director General/ Steering Committee</b> for approval.
Mitigation, Management, Monitoring and Evaluation of Risk and Impacts during Project Implementation	<p>The <b>executing agency</b> implements the ESMP and separate management plans.</p> <p>The <b>executing agency</b> prepares Project Progress Reports which include implementation progress of ESMP and separate management plans.</p>	<p>The <b>project team of FECO</b> formulates Progress Monitoring Reports which include effectiveness of environmental and social safeguard measures.</p> <p>The <b>project team of FECO</b> undertakes mid-term and terminal evaluations which include evaluations of ESMP and separate management plans.</p>	Monitoring and evaluation results are reported to <b>Director General/ Steering Committee</b>

#### IV. Use of Partner Safeguard Systems

The executing agencies of FECO projects are required to respect and comply with FECO's Environmental and Social Safeguard Framework and specific Environmental and Social Safeguard Standards, as well. They should place a priority on the prevention of adverse environmental and social risks and impacts. If such prevention is not possible, they should minimize adverse risks and impacts and enhance positive impacts through adequate environmental and social management plans, which would include the mitigation measures, monitoring, institutional capacity building, and implementation budget and schedule.

To maximize efficiency and minimize costs in complying with environmental and social safeguards, FECO supports harmonizing the implementation of safeguard procedures in projects that are co-implemented with other agencies. FECO will consider the use of implementing partner's safeguard system if FECO has determined that such system complies with FECO's overarching and thematic safeguard standards and objectives.

Where FECO is considering the use of a partner system, this fact will be disclosed and justified prior to the project's submission for review and approval.

## Appendix I:

### Environmental and Social Risk and Impact Screening Form

#### Part I: Safeguard Assessment Team

<b>Project/Program Title:</b>
<b>Date of safeguard document – concept stage:</b>
<b>Environmental and Social Safeguard Focal Points:</b>
<b>Gender Mainstreaming Focal Point:</b>

#### Part II: Screening Checklist

Safeguard Standards	Y/N/Maybe <sup>29</sup>	Justification / Explanation
Guiding Principles		
1) Has the project analyzed and stated those who are interested and may be affected positively or negatively around the project activities, approaches or results?	Yes [ ] No [ ] Maybe [ ]	
2) Has the project identified and engaged vulnerable, marginalized people, including disabled people, through the informed, inclusive, transparent and equal manner on potential positive or negative implication of the proposed approach and their roles in the project implementation?	Yes [ ] No [ ] Maybe [ ]	
3) Does the project include a project-specific grievance redress mechanism?	Yes [ ] No [ ] Maybe [ ]	
4) Does the project involve or lead to any risks or potential adverse impacts on women, men, girls and boys, including adverse risks and impacts on Gender Equality, Gender-Based Violence (GBV), and Sexual Exploitation and Abuse?	Yes [ ] No [ ] Maybe [ ]	
Involuntary Resettlement		
1) Does the project involve the involuntary taking of land?	Yes [ ] No [ ] Maybe [ ]	
2) Does the project involve or lead to economic displacement (e.g. loss of assets or access to assets affecting for example crops, businesses, income generation sources)?	Yes [ ] No [ ] Maybe [ ]	
3) Does the project involve any restriction to	Yes [ ] No [ ] Maybe [ ]	

<sup>29</sup> Questions answered as “maybe” will be interpreted as Yes in this assessment.

Safeguard Standards	Y/N/Maybe <sup>29</sup>	Justification / Explanation
the access or use of natural resources by populations? 4) Does the project involve risk of forced evictions?	Yes [ ] No [ ] Maybe [ ]	
<b>Indigenous People</b>		
1) Does the project involve areas where indigenous peoples are present or where it is believed indigenous peoples may inhabit?	Yes [ ] No [ ] Maybe [ ]	
2) Does the project involve or lead to impacts on lands or resources used by indigenous peoples?	Yes [ ] No [ ] Maybe [ ]	
3) Does the project involve or lead to the utilization and/or commercial development of natural resources on lands used by indigenous peoples?	Yes [ ] No [ ] Maybe [ ]	
4) Does the project involve or lead to risks to the traditional livelihoods, physical and cultural survival of indigenous peoples?	Yes [ ] No [ ] Maybe [ ]	
5) Does the project involve or lead to impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	Yes [ ] No [ ] Maybe [ ]	
<b>Natural Habitats, Biodiversity Conservation and Sustainable Management of Living Natural Resources</b>		
1) Does the project impact critical natural habitats?	Yes [ ] No [ ] Maybe [ ]	
2) Does the project impact non critical natural habitats?	Yes [ ] No [ ] Maybe [ ]	
3) Does the project involve reforestation, plantation development and/or forest harvesting?	Yes [ ] No [ ] Maybe [ ]	
4) Does the project involve or lead to risks to endangered species (e.g. reduction, encroachment on habitat)?	Yes [ ] No [ ] Maybe [ ]	
5) Does the project involve activities that may result in soil erosion, deterioration and/or land degradation?	Yes [ ] No [ ] Maybe [ ]	
6) Does the project lead to reduced quality or quantity of ground water or water in rivers, ponds, lakes, other wetlands?	Yes [ ] No [ ] Maybe [ ]	
7) Does the project involve or lead to	Yes [ ] No [ ] Maybe [ ]	



Safeguard Standards	Y/N/Maybe <sup>29</sup>	Justification / Explanation
introduction or utilization of any invasive alien species of flora and fauna, whether accidental or intentional?		
8) Does the project involve handling or utilization of genetically modified organisms?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
9) Does the project involve collection and utilization of genetic resources?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
<b>Resource Efficiency and Pollution Management</b>		
1) Does the project include activities that require significant consumption of raw materials, energy, and/or water?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
2) Does the project result in significant GHG emission?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
3) Does the project result in the release of pollutants to the environment with the potential for adverse local, regional, and trans boundary risks or impacts?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
4) Does the project result in the generation of waste (both hazardous and non-hazardous)?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
5) Does the project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials subject to international bans or phase-outs?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
6) Does the project potentially involve emissions of short or long-lived climate pollutants?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
<b>Pest Management</b>		
1) Does the project involve any activity that involves the handling, storage, use and disposal of pest control products?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
<b>Community Health, Safety and Security</b>		
1) Does the project involve the design, construction, operation and/or decommissioning of structural elements such as new buildings or structures (including those accessed by the public)?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
2) Does failure of structural elements of the project pose risks to community?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
3) Is the project susceptible to (or does the project lead to) increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	

Safeguard Standards	Y/N/Maybe <sup>29</sup>	Justification / Explanation
4) Does the project involve or lead to air pollution, noise, vibration, traffic, physical hazards, water runoff?	Yes [ ] No [ ] Maybe [ ]	
5) Does the project pose potential risks to community health and safety due to the transport, storage, and use or disposal of hazardous or dangerous materials?	Yes [ ] No [ ] Maybe [ ]	
6) Does the project have direct impacts on priority ecosystem services which may result in adverse health and safety risks and impacts to affected communities (e.g. food, surface water purification, natural buffers from flooding)?	Yes [ ] No [ ] Maybe [ ]	
7) Does the project result in potential increased health risks due to exposure to water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable or noncommunicable diseases?	Yes [ ] No [ ] Maybe [ ]	
8) Does the project involve transport, storage use and/or disposal of hazardous or dangerous materials (e.g. fuel, explosives, other chemicals that may cause an emergency event)?	Yes [ ] No [ ] Maybe [ ]	
9) Does the project involve security personal that may pose potential risks to health and safety of communities and/ or individuals?	Yes [ ] No [ ] Maybe [ ]	
10) Does the project involve or lead to an influx of workers to the project area or security personnel (e.g. police, military, other)?	Yes [ ] No [ ] Maybe [ ]	
<b>Safety of Dams</b>		
1) Does the project involve the design or construction of new dams?	Yes [ ] No [ ] Maybe [ ]	
2) Does the project rely (or may rely) on the performance of an existing dam or a dam under construction?	Yes [ ] No [ ] Maybe [ ]	
<b>Cultural Resources</b>		
1) Does the project involve activities adjacent to or within a Cultural Heritage site?	Yes [ ] No [ ] Maybe [ ]	
2) Does the project have adverse impacts to sites, structures or objects with historical,	Yes [ ] No [ ] Maybe [ ]	

Safeguard Standards	Y/N/Maybe <sup>29</sup>	Justification / Explanation
<p>cultural, artistic, traditional or religious values or to intangible forms of cultural heritage (e.g. knowledge, innovations, practices)?</p> <p>3) Does the project involve utilization of Cultural Heritage for commercial or other purposes (e.g. use of objects, practices, traditional knowledge, tourism)?</p> <p>4) Does the project involve or lead to alterations to landscapes and natural features with cultural significance?</p> <p>5) Does the project involve significant excavations, demolition, movement of earth, flooding or other significant environmental change?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/></p>	
<b>Labor and Working Conditions</b>		
<p>1) Will the project involve hiring or contracting project staff? (If the answer is “No”, skip the following four questions.)</p> <p>2) Is the project likely to attract forced labor and/ or child labor?</p> <p>3) Does the project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during project construction, operation, or decommissioning?</p> <p>4) Will the project ensure that workers have the freedom of association and the right to collective bargaining?</p> <p>5) Will the project take measures to eliminate discrimination, in respect of employment and occupation?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/></p>	
<b>Climate Change and Disaster Risk</b>		
<p>1) Does the project involve areas that are now or are projected to be subject to natural hazards such as extreme temperatures, earthquakes, extreme precipitation and flooding, landslides, droughts, severe winds, sea level rise, storm surges, tsunami or volcanic eruptions in the next 30 years?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/></p>	
<p>2) Do the project outputs and outcomes</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/></p>	

<b>Safeguard Standards</b>	<b>Y/N/Maybe<sup>29</sup></b>	<b>Justification / Explanation</b>
sensitive or vulnerable to potential impacts of climate change (e.g. changes in precipitation, temperature, salinity, extreme events)?		
3) Will the consequences from responses to climate hazards jeopardize the outcome of the project?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
4) Do local communities vulnerable to the impacts of climate change and disaster risks (e.g. considering level of exposure and adaptive capacity)?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
5) Does the proponent of the project have the capacity to manage climate risks?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
6) Does the project potentially involve or lead to improving resilience against potential climate change impact beyond the project intervention period?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
<b>Gender Mainstreaming</b>		
1) Does the project sufficiently provide for social and gender equality as a basic and unavoidable principle?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
2) Does the project have potential risk of exacerbate existing gender-related inequalities?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
3) Does the proposed project consider gender-balanced representation in the design and implementation?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	
4) Will the project ensure that women and men are given equal opportunities to participate in and benefit from an intervention?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>	

### **Part III: Safeguard Risk Summary**

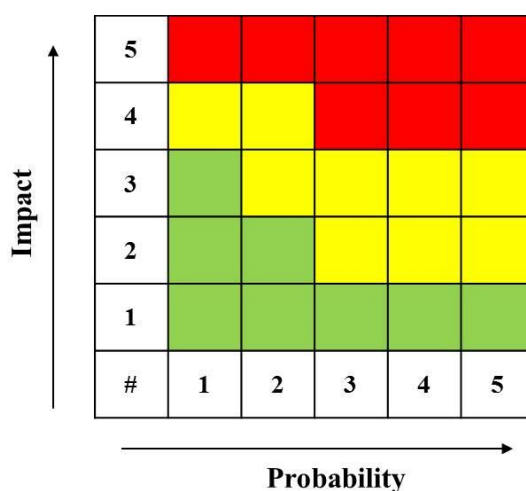
**Project/Program Title:**

**Safeguard Category:** High Risk ☐ Moderate Risk ☐ Low Risk ☐

#### **Summary of the Safeguard Risk Triggered**

<b>Safeguard Standards Triggered by the Project</b>	<b>Impact of Risk (1-5)</b>	<b>Probability of Risk (1-5)</b>	<b>Significance of Risk (H, M, L) Please refer to the matrix below</b>
Involuntary Resettlement			
Indigenous People			

Natural Habitats, Biodiversity Conservation and Sustainable Management of Living Natural Resources			
Resource Efficiency and Pollution Management			
Pest Management			
Community Health, Safety and Security			
Safety of Dams			
Cultural Resources			
Labor and Working Conditions			
Climate Change and Disaster Risk			



#### Part IV: Safeguard Preparation Plan

<b>Project/Program Title:</b>
<b>Safeguard-related Document to be prepared:</b> ESA Report [    ]    ESA Statement [    ]    ESA Registration Form [    ] ESMP [    ] Others _____
<b>Gender Action Plan</b> [    ]

#### Part V: Supervision

<b>Project/Program Title:</b>
<b>Safeguard Coordinator:</b>
<b>Safeguard Coordinator Approval Date:</b>

## Appendix II:

### Review of the ESA Report

#### Part I: Review Team

<b>Project/Program Title:</b>
<b>Date of Review:</b>
<b>External Specialist(s):</b>
<b>ESA Focal Point:</b>

#### Part II: ESA Review

General Review			
	Yes	No	Comment
Compliance with the respective TOR?			
Has the ESA addressed all significant/critical issues raised in the TOR?			
Is the ESA report clearly and coherently organized and understandable?			

ESA Review			
	Included?	Review	Comment
Executive summary		Accepted [   ]	
	Yes [   ]	Conditionally	
	No [   ]	accepted [   ]	
		Rejected [   ]	
Policies, laws and management framework		Accepted [   ]	
	Yes [   ]	Conditionally	
	No [   ]	accepted [   ]	
		Rejected [   ]	
Project description		Accepted [   ]	
	Yes [   ]	Conditionally	
	No [   ]	accepted [   ]	
		Rejected [   ]	
Baseline data		Accepted [   ]	
	Yes [   ]	Conditionally	
	No [   ]	accepted [   ]	
		Rejected [   ]	

Environmental and social Risk and impact	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
Analysis of alternatives	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
Environmental and social management plan	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
Public consultation and information disclosure	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
List of ESA report preparers	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
References	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
Record of interagency and consultation meetings	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
Tables presenting the relevant data referred to or summarized in the main text	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
Associated reports	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ]	

		Rejected [   ]	
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### Part III: Recommendation

<b>Recommendation:</b> Accepted [   ]   Conditionally accepted [   ]   Rejected [   ]
<b>Justification:</b>          

### Part IV: Supervision

<b>Project/Program Title:</b>
<b>ESA Focal Point:</b>    
<b>Review Date:</b>    



## Appendix III:

### Review of the ESA Statement

#### Part I: Review Team

<b>Project/Program Title:</b>
<b>Date of Review:</b>
<b>External Consultants:</b>
<b>ESA Focal Point:</b>

#### Part II: ESA Review

General Review			
	Yes	No	Comment
Compliance with the respective TOR?			
Is the ESA statement clearly and coherently organized and understandable?			

ESA Review			
	Included?	Assessment	Comment
Preface	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
Project description	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
Baseline Data	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
Environmental and Social Assessment and Mitigating Measures	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
Public consultation and information disclosure	Yes [ ] No [ ]	Accepted [ ] Conditionally	



## Appendix IV:

### Review of the ESMP

#### Part I: Review Team

<b>Project/Program Title:</b>
<b>Date of Review:</b>
<b>External Consultants:</b>
<b>ESA Focal Point:</b>

#### Part II: ESA Review

ESMP Review			
	Included?	Assessment	Comment
Identification and summary of all anticipated adverse environmental and social risks and impacts	Yes [   ] No [   ]	Accepted [   ] Conditionally accepted [   ] Rejected [   ]	
Description of mitigation measures	Yes [   ] No [   ]	Accepted [   ] Conditionally accepted [   ] Rejected [   ]	
Estimates of potential environmental and social risks and impacts (including on physical cultural property) of mitigation measures	Yes [   ] No [   ]	Accepted [   ] Conditionally accepted [   ] Rejected [   ]	
Linkage with other mitigation plans	Yes [   ] No [   ]	Accepted [   ] Conditionally accepted [   ] Rejected [   ]	
Description and technical details of monitoring measures	Yes [   ] No [   ]	Accepted [   ] Conditionally accepted [   ] Rejected [   ]	
Description of monitoring and reporting procedures	Yes [   ] No [   ]	Accepted [   ] Conditionally accepted [   ]	

		Rejected [ ]	
Assessment of institutional capacity	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
Description of institutional arrangements	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
Description of capacity development and training activities	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
Description of implementation schedule	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
Detailing of cost estimates	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	
Integration of ESMP with project (including project schedule)	Yes [ ] No [ ]	Accepted [ ] Conditionally accepted [ ] Rejected [ ]	

### Part III: Recommendation

<b>Recommendation:</b> Accepted [ ]    Conditionally accepted [ ]    Rejected [ ]
<b>Justification:</b>

### Part IV: Supervision

<b>Project/Program Title:</b>
<b>ESA Focal Point:</b>
<b>Review Date:</b>

## Appendix V:

### Safeguard Assessment Form –Project Document Stage

#### Part I: Safeguard Assessment Team

<b>Project/Program Title:</b>
<b>Date of safeguard document – project document stage:</b>
<b>External Specialist(s):</b>
<b>Environmental and Social Safeguard Focal Points:</b>
<b>Gender Mainstreaming Focal Point:</b>

#### Part II: Safeguard Assessment

##### Component 1: ESA

Review criteria	Yes	No	Comment
An ESA study has been completed, with mitigating measures identified, of the project proposal and alternative if relevant, and is of good quality.			
The study covers potential environmental and social impacts as defined in the screening phase.			
The study includes a detailed or light economic cost-benefit analysis including environmental valuation.			
The applicable national legal and institutional framework has been assessed and the project will assure compliance.			
For projects with environmental and social impacts, an ESMP has been elaborated with mitigating measures.			
The ESMP gives a monitoring plan with indicators and assigned responsibilities.			
The appropriate stakeholders have been consulted at appropriate moments in the assessment process.			
The ESA documents (including ESMP and other mitigation plans) have been publicly disclosed.			

##### Component 2: Natural Habitats, Biodiversity Conservation and Sustainable Management of Living Natural Resources

Review criteria	Yes	No	Comment
The potential impacts on natural habitats and their associated biodiversity and ecosystem functions have been identified.			
The project will avoid conversion or degradation			

of critical natural habitats and/or seek alternatives to the degradation of non-critical habitats.			
Potential trans-boundary impacts and cumulative impacts have been studied, if relevant.			
The project does not include natural forest harvesting or plantation development.			
The project does not include the introduction or utilization of invasive alien species			
The project does not purchase primary production from supply chain sources that are contribution to significant conversion of natural and/or critical habitats.			
The appropriate stakeholders have been consulted in design of the project.			
The ESMP includes a mitigation strategy for any unavoidable degradation or conversion of natural habitats.			

### **Component 3: Resource Efficiency and Pollution Prevention**

Review criteria	Yes	No	Comment
The project includes significant resource consumption and/or GHG emission (skip the next question if the answer is “no”).			
Feasible measures are explored to reduce resource consumption and/or GHG emission.			
The project involves release of pollution (skip the next two questions if the answer is “no”).			
The project will avoid, or where avoidance is not possible, minimize the release of pollutants including wastes, hazardous materials and pesticides.			
The project will avoid, or where avoidance is not possible, minimize impacts on human health and the environment due to pollution.			
The principles and techniques applied during the project cycle are consistent with good international industry practice.			

### **Component 4: Pest Management**

Review criteria	Yes	No	Comment
The project proposes the use of pesticides and pest management (skip to next section if the answer is “no”).			
The project proposes the use of demand-driven, ecologically based biological or environmental pest management practices.			

The project does not intend to the use or handling of formulated products that fall in WHO classes IA and IB, or formulations of products in Class II, if (a) the country lacks restrictions on their distribution, management and use; or (b) they are likely to be used by, or be accessible to, lay personnel, farmers, or others without training, equipment, and facilities to handle, store, and apply these products properly.			
The project follows recommendations and minimum standards as described in the FAO International Code of Conduct on the Distribution and Use of Pesticides (2013).			
In case of the use of pesticides and pest management, the project has developed a pest management plan.			
The draft pest management plan has been disclosed in a timely manner.			

#### **Component 5: Community Health, Safety, and Security**

Review criteria	Yes	No	Comment
The potential risks and impacts on community health, safety, and security have been identified.			
The project has taken measures to avoid or minimize the adverse impacts on community health, safety and security which have been identified.			
The project involves structural elements or components (skip the next two questions if the answer is “no”).			
Qualified expertise is engaged to review the project.			
Plans for project supervision, operation, and maintenance will be developed and monitored and periodic safety inspections will be carried out.			
The project retains direct or contracted workers to provide security (skip the next question if the answer is “no”).			
Security arrangements are provide in a proper manner and do not pose risks to the relevant community.			

#### **Component 6: Safety of Dams**

Review criteria	Yes	No	Comment
The project involves construction or rehabilitation			

of large dams or complex dams.			
The project involves the construction or rehabilitation of other dams or the project relies (or may rely) on the performance of an existing dam or a dam under construction (skip to next section if the answer is “no”).			
The project has assigned qualified institutions to supervise the planning, design and construction of the dam.			
An appropriate dam safety plan has been prepared and publicly consulted and disclosed.			

#### **Component 7: Cultural Heritage**

Review criteria	Yes	No	Comment
The project has potential impact on cultural heritage (skip to next section if the answer is “no”).			
A field based assessment study by qualified experts, has identified potential impacts on cultural heritage.			
A cultural heritage management plan has been completed to mitigate cultural heritage impacts and has been timely disclosed (if not confidential).			
The project document and cultural heritage management plan contains provisions for “chance find”.			
Qualified experts, local residents and other stakeholders have been consulted in design of the project.			
The project involves the commercial use of cultural heritage (skip the next question if the answer is “no”).			
The affected parties have been informed of necessary information and arrangements have been made to ensure the fair and equitable sharing of benefits.			

#### **Component 8: Involuntary Resettlement**

Review criteria	Yes	No	Comment
The project involves involuntary resettlement (skip to next section if the answer is “no”).			
The project has considered alternatives to avoid the need for resettlement.			
In case of resettlement, the project provides compensation, assistance and benefits to enhance			



or at least restore the livelihoods of all displaced persons.			
In case of restriction on access to natural resource, affected people have participated in the design of Resettlement plan and have a role in its execution and monitoring.			
The draft Resettlement Plan has been publicly disclosed			

#### **Component 9: Indigenous People**

Review criteria	Yes	No	Comment
The project involves indigenous people (skip to next section if the answer is “no”).			
The principle of “Free, prior, and informed consent” with affected indigenous people has been undertaken.			
In case of significant adverse impacts on indigenous people, affected people have participated in the design of the Indigenous People Development Plan.			
Indigenous People Development Plan has been publicly disclosed.			

#### **Component 10: Labor and Working Conditions**

Review criteria	Yes	No	Comment
The potential risks in relation to labor and working conditions have been identified.			
The human resources policy and procedure comply with national laws and standards.			
Workers are provided with reasonable working conditions and terms of employment.			
The executing agency’s policy articulates principles of nondiscrimination and equal opportunity.			
Workers are provided with an easily accessible grievance mechanism to raise workplace concerns.			
The project will not attract forced labor and/ or child labor.			

#### **Component 11: Gender Mainstreaming**

Review criteria	Yes	No	Comment
Both men and women are included in the project design process.			
The project plan has clearly articulated how gender will be mainstreamed in the project implementation.			

The issues flagged in gender analysis have been addressed in the final project plan.			
The monitoring plan of the project includes indicators to measure progress in achieving benefits for men and women.			

### Part III: Recommendation

<b>Recommendation:</b> Accepted [   ]   Conditionally accepted [   ]   Rejected [   ]
<b>Justification:</b>     

### Part V: Supervision

<b>Project/Program Title:</b>
<b>Safeguard Coordinator:</b>
<b>Safeguard Coordinator Approval Date:</b>

## Appendix VI:

### Template of Progress Monitoring Report

#### Progress Monitoring Report Template

##### Instructions

This report is completed by FECO GIO based on the inputs provided by the execution agency

<b>Project title:</b>	<b>Project number:</b>
<b>Reporting period:</b>	<b>Project Manager:</b>
<b>Institution responsible for the project:</b>	<b>Duration:</b>

<b>Date Prepared:</b>	<b>Prepared by:</b>
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**Link to FECO GEF Focal Area (s)**

- 1. Biodiversity ☐
- 2. International Water ☐
- 3. Land Degradation ☐
- 4. Chemicals and Waste ☐
- 5. Sustainable Forest Management ☐

**Budget (in RMB):**

**1. 1 Is the delivery of the outputs as scheduled?**

**1.2 To what extent the achievement of the outputs has been affected because of the delay**

**1.3 How to control or solve the delay to prevent its negative impact on delivery of the outputs?**

**2.1 Is the progress towards results and objectives proceeding as expected**

**2.2 Is there any problem or difficulty that would impede the achievement of results/objectives?**

**2.3 If any, please indicate how the problem/difficulty will be overcome?**

<b>3. Is the expenditure in line with the budget as planned?</b>
<b>3.2 Is there any problem in the project expenditure?</b>
<b>3.3 If so, what actions would be taken to address the problem?</b>
<b>4.1 How is the level of engagement of the Stakeholders?</b>
<b>4.2 Is there any problem in stakeholders' engagement?</b>
<b>4.3 If so, what actions would be taken to address the problem</b>
<b>5.1 Are ESS measures taken as planned? How is the effectiveness?</b>
<b>5.2 Is there any difficulty or problem during the ESS measures taken?</b>
<b>5.3 What actions are taken to overcome the problems and difficulties?</b>
<b>Overall Comments:</b>
<b>6. Overall status of the project</b> <ul style="list-style-type: none"> <li>- <input type="checkbox"/> <b>Green</b>: the delivery of expected outputs and results is on time</li> <li>- <input type="checkbox"/> <b>Yellow</b>: the delivery of expected outputs and results is slight delayed</li> <li>- <input type="checkbox"/> <b>Red</b>: the delivery of expected outputs and results is considerably delayed</li> </ul>

## **Appendix VII:**

### **Semiannual/Annual Progress Report**

[Project title]

[Date]

#### **1. Background information**

<b>Project title:</b>	
GEF Project No.	
FECO Project No.	
Implementation period	
Reporting period	
Execution agency	
Other cooperation agency	
Funding	
Project manager (FECO)	

#### **2. Execution summary**

#### **3. Execution progress**

#### **4. Implementation of ESS measures**

#### **5. Project expenditure**

#### **6. Project management and supervision**

#### **7. Monitoring and evaluation**

#### **8. Risk management**

#### **9. Recommendations**

#### **10. Annexes**