

# **Shaanxi Ankang Green and Low-Carbon Demonstration Urban Development Project**

## **Environmental and Social Management Plan**

**Project Management Institutions:** Project management office of People's Government of Hanbin District, Ankang City, Shaanxi Province, People's Republic of China

**PIU:** Hanbin District Wuli Industrial Park (Chengdong New Area) Management Committee

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# 1 Overview

## 1.1 Background

The Shaanxi Ankang Green and Low-Carbon Demonstration Urban Development Project is a construction oriented project meant to address the challenges of energy structure adjustment and industrial structure optimization. As one of the third batch of national low-carbon pilots, Ankang will highlight the leading role of green and low-carbon development, and take the construction of a low-carbon city pilot as an important way to realize the transformation and development of the whole city and improve the level of regional ecological civilization. The area for implementation of the Project is located within the planned scope of Chengdong New Area, Hanbin District, Ankang City and following are the major objectives.

(1) Improve the management, operation and coordination capabilities of all parties involved in the Project, and provide demonstration and experience for promoting the construction of low-carbon pilot cities.

(2) Increase the green area by about 2 million m<sup>2</sup>, reduce the carbon emission by about 8,000 tons per year, and achieve a fixed carbon content of about 5,000 tons per year and the oxygen output of about 4,500 tons per year through the construction of the Project.

(3) Implement the concept of the "Sponge City" in the low-carbon transport infrastructure construction, ecological park construction, and urban waterlogging prevention and control; build landmark green buildings and increase the green building area by 32000 square meters at the same time.

(4) Improve low-carbon industrial clusters, establish a green city management center and a base for popularizing green and low-carbon life style, supervise, manage and operate the city better, and convey low-carbon lifestyle and concept to the public at the same time.

This project, financed by Asian Infrastructure Investment Bank (AIIB), will be implemented by Wuli Industrial Concentration Zone, Ankang City, Shaanxi Province in the People's Republic of China. The project proposal is expected to be submitted to the AIIB Board of Executive Directors for approval in November 2023. As a part of the

project preparation, several assessments have been made and different Plans prepared. Key such efforts relate to: Social Impact Assessment (SIA), Stakeholder Engagement Plan (SEP), Resettlement Action Plan (RAP) and Environmental and Social Management Plan (ESMP). This document is mainly to set forth the environment and social management plans.<sup>1</sup>

## **1.2 Main Findings in Environmental and Social Impact Assessment**

The methods adopted for the environmental and social impact assessment of the project include literature study, focus group discussion, key informant interview, and questionnaire survey. During the survey, the SIA unit made field visits to the project service area and conducted Focus Group Discussions (FGDs) and key informant interviews among benefited villagers of the Project, households involved in land acquisition and resettlement, villagers involved in land use rights transfer, project owners, and relevant government departments to keep track of key stakeholders' views, concerns, and suggestions for the Project.

According to the investigation and impact analysis, **the potential E&S risks mainly include:**

(1) Non-inclusive risks of vulnerable groups and women during the preparation, construction and operation of the project;

(2) Impact of land acquisition and resettlement;

(3) For management personnel and staff (such as construction workers, etc.) involved in the construction and operation of the project, the risks of working conditions (such as wage level, working hours, contract terms, GRM, overtime compensation, etc.) which shall be implemented in accordance with the requirements of the Labor Law, and also labor health and safety risks;

(4) Community health and safety risks, road and traffic safety risks during the construction of the project, disturbance to the life of nearby residents, and the impact of

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<sup>1</sup> The PIU entrusts Shaanxi Keshe Business Information Consulting Co., Ltd. (hereinafter referred to as the "social evaluation unit" or "Shaanxi Keshe") and Zhongsheng Environmental Technology Development Co., Ltd. (hereinafter referred to as the "environmental evaluation unit" or "Zhongsheng") to undertake the environmental and social risks and impact investigation and evaluation work and formulate this plan.

non-native construction personnel on the life of nearby community residents, etc., as well as road and traffic safety risks after the completion of road subprojects;

(5) Lack of effective stakeholder engagement makes the project unsustainable and causes community dissatisfaction, etc.

(6) The impact of the Project on the environment mainly occurs during the construction period, involving construction wastewater, solid waste, noise, dust, etc. In addition, during the construction period of urban low-carbon and resilient transportation facilities, urban ecological restoration and green resilience infrastructure projects, a certain degree of water and soil loss may be caused by rain scouring in rainfall concentrated season;

(7) The negative impacts during the operation period of the Project mainly include road dust, automobile exhaust and traffic noise generated by urban low-carbon and resilient transportation facilities subprojects, as well as domestic sewage, household garbage, equipment noise and social life noise of other subproject staff and tourists;

(8) Within the scope of the Hanjiang River and Huangyang River Ecological Restoration Project, there is a presence of nationally second-class protected plant species, the wild soybean. It is necessary to prioritize avoiding any impact on the wild soybean during the project. If avoidance is not feasible, transplantation shall be carried out to ensure that it is not adversely affected by the project construction;

(9) For the greening and planting involved in the Project, there is a risk of alien species invasion. It is necessary to consult with experts from the local plant protection station to ensure that the introduced species are native;

(10) For the prevention and control of diseases and pests in the Project, there is a risk of non-point source pollution by pesticides and fertilizers, so it is necessary to apply pesticides and fertilizers reasonably to mitigate the impact;

(11) The north side of the Green Corridor Project along the Hanjiang River is close to the Hanjiang Wetland in Shaanxi Province. Soil erosion and sewage leakage during the construction period of the Project may have a certain impact on the wetland, so it is necessary to strictly control the construction scope and strengthen management to reduce the environmental impact on the wetland during the construction period.

## 2 E&S Legal Framework

The implementation of the Project needs to comply with the requirements of the AIIB ESF, and also needs to comply with China's domestic laws and regulations in the field of E&S risk management. This chapter summarizes the applicable requirements of the AIIB ESF in the Project, and also summarizes China's existing E&S management laws and regulations, technical specifications, and applicable standards that are most relevant to the Project. These constitute the legal basis of the E&S management framework of the Project.

During the implementation of the Project, the identification, preparation and implementation of specific project activities must meet these requirements. The Hanbin PMO will ensure that the preparation and implementation of subprojects comply with the requirements in this ESMP.

### 2.1 AIIB's Environmental and Social Framework

The AIIB's *Environmental and Social Framework* (ESF) is applicable to the Project. According to the project activities and nature and the environmental and social impact screening, relevant environmental and social policy standards of the Project include ESS1 and ESS2.

The AIIB's *Environmental and Social Framework* clarifies the Bank's commitment to sustainable development through a Bank policy and a set of Environmental and Social Standards. This Environmental and Social Standards (ESSs) specify the requirements that the borrowing country shall meet when identifying and evaluating the environmental and social risks and impacts of projects supported by the AIIB through investment project financing.

- **ESS1 Requirements:**

- The borrower shall evaluate, manage, and monitor environmental and social risks and impacts throughout the entire project cycle in a manner and at a time acceptable to the AIIB, ensuring compliance with the requirements of the Environmental and Social Standards. The borrower shall conduct environmental and social assessments for the proposed project, including stakeholder

engagement; Conduct stakeholder engagement activities and release appropriate information in accordance with ESS; and monitor and report on the environmental and social performance of the project in accordance with the Environmental and Social Standards.

- The borrowing country shall formulate and implement the written labor management procedures applicable to the Project for project employees, including direct employees and contract workers; provide the project employees with information and documents that can clearly explain the terms and conditions of employment, and pay the project employees regularly in line with applicable national laws and labor management procedures; only when permitted by applicable national laws or labor management procedures can the salaries of the employees be deducted, and the employees shall be informed of the conditions for such deduction; sufficient weekly leave, annual leave, sick leave, maternity leave and family leave shall be provided for project employees in line with applicable national laws and labor management procedures; no child labor, forced labor or discrimination is allowed; the appropriate protection and assistance measures shall be provided for vulnerable workers; an grievance redress mechanism (GRM) needs to be provided; and the occupational health and safety measures shall be designed and implemented.

- The borrowing country shall assess the risks and impacts of the Project on the health and safety of affected communities in the project cycle, including vulnerable groups due to special circumstances. The borrower shall identify risks and impacts according to the ranking of the management and mitigation measures and propose mitigation measures.

- The borrowing country shall maintain stakeholder engagement in the project cycle and the nature, scope, and frequency of stakeholder engagement will be consistent with the nature, scale, potential risks, and impact of the Project. The borrower will make meaningful consultations with all stakeholders in a culturally appropriate manner, providing them with timely, understandable, and easily accessible information, without external manipulation. As part of social assessment, the borrower will maintain and publish the documentation of stakeholder engagement, including the description of the stakeholders involved



in the consultation, summary of received feedback, brief description of how feedback was considered, or reasons why the feedback was undesirable.

- **ESS2 states** that involuntary resettlement shall be avoided. Otherwise, resettlement shall be minimized and appropriate measures shall be carefully planned and implemented to mitigate adverse impacts on resettled people (and their resettlement areas).

Overall, ESSs set objectives and requirements to avoid and minimize social risks and impacts to the project staff, affected communities, and involuntary resettlement. Once they are set, the borrower shall manage them through a social management system in conformity with ESS1.

## 2.2 Legal Framework for Environmental Management of China

Since the promulgation of its first Environmental Protection Law in 1979, China has gradually established a comprehensive environmental management legal framework. Roughly, this framework includes more than 80 laws and statutes, over 120 regulations and over 1,000 standards and technical guidelines at national level primarily addressing pollution control, natural resource conservation and management of the environment. In addition, there are also a large number of regulations and implementation plans at local levels. Many local governments also have developed local environmental and emission standards that are more stringent than national standards. See Table 1.

**Table 1 Applicable State Environmental Laws and Regulations**

No.	Law/Regulations	Version	Relevance/Applicability
<b>I. General Environmental Protection and Pollution Control Laws</b>			
1	Environmental Protection Law	2015-01-01	The fundamental and “most stringent” environmental law ever in China. It sets out the general principle of environmental protection and sets up key systems of environmental management.
2	Environmental Impact Assessment Law	2018-12-29	It requires construction projects and certain types of plans are subject to requirements of EIA, public participation and development of mitigation measures to avoid, reduce and mitigate adverse impacts.
3	Water Pollution Control Law	2018-10-26	This national laws for surface/ground water pollution control applies to all types of projects and facilities with wastewater pollution.
4	Solid Waste Pollution Control Law	2018-12-29	It presents pollution control requirements covering domestic waste, industrial solid waste, construction waste, agricultural waste and hazardous waste, and is the main legal foundation for the Project.
5	Circular Economy Promotion Law	2018-10-26	It is a basic law for promoting waste reduction, reuse and resource recycling. It encourages establishment of waste recycling system.
6	Noise Pollution Control Law	2018-12-29	This law establishes legal requirements for noise pollution

No.	Law/Regulations	Version	Relevance/Applicability
			control for industrial facilities, construction activities, traffic, and social ambient noise.
7	Soil Pollution Control Law	2018-08-31	It requires protection of soil and prevent soil pollution by all citizen and organizations. The waste sorting, collection, transfer and disposal activities in the Project must adopt effective measures to prevent and mitigate soil pollution.
8	Soil Conservation Law	2010-12-25	It requires all activities that can cause soil erosion to adopt prevention and mitigation measures.
<b>II. Regulations on Solid Waste Management</b>			
9	Regulations on City Appearance and Environmental Sanitation	2017.03-01	It sets out the national environmental sanitation standards and requirements for sanitation facilities in cities.
10	Measures for the Management of Urban Domestic Waste	2017-04-28	It sets out management requirements and measures for cleaning, collection, transportation and disposal of urban domestic waste.
11	Regulation on Management of Urban Construction Waste	2005-03-23	It sets out requirements on dumping, transportation/transfer, landfill, recycling of construction waste in urban areas.
12	National Inventory of Hazardous Waste	2016-03-30	The inventory provides a list of solid waste that are classified as hazardous. It provides guidance for hazardous waste management in the Project.
13	Technical Policies for Hazardous Waste Pollution Control	2001-12-17	This policy applies to technical selection for generation, collection, transportation, classification, inspection, packaging, recycling, storage and disposal of hazardous waste, and provides technical guidance on planning, site selection, design, construction and operation management of hazardous waste management facilities.
14	Regulations on the Administration of Recycling and Disposal of Waste Electronic Products	2019-03-02	This regulation regulates the recycling and related disposal activities of waste electronic products, and stipulates that the disposal of waste electrical and electronic products will implement a qualification licensing system.
<b>III. Laws and regulations on OHS</b>			
15	Labor Law	2018-12-29	General requirements for occupational health and safety risk management, including clarification of the parties and responsibilities, management process and penalties for non-compliance
16	Contract Law	1999-10-01	
17	Work Safety Law	2014-12-01	
18	Occupational Disease Prevention Law	2017-11-05	
19	Guidelines for Prevention and Control of Occupational Diseases by Employers	2010-08-01	Methods and technical guidelines for OHS risk management in China
20	Occupational Health and Safety Management System Requirements and Guidelines	2018-03-12	
21	Occupational Disease Hazard Reporting Measures	2012-06-01	
22	Classification of Occupational Exposure to Hazardous Material	2010-11-01	
23	Occupational Exposure Limits for Hazardous Factors in the Workplace-Chemical Hazardous Factors	2007-11-01	
24	Occupational Exposure Limits for Hazardous Factors in the Workplace-Physical Hazardous Factors	2007-11-01	
25	Management Rules for Emergency Response Plans for	2009-05-01	

No.	Law/Regulations	Version	Relevance/Applicability
	Work Safety Accidents		
26	Regulations on Accidents Reporting and Investigation	2007-06-01	
<b>IV. EIA policies</b>			
27	Categorized Catalogue for Environmental Impact Assessment of Construction Projects	2018-04-28	It specifies the principles for the classification of EIA levels for various construction projects and the requirements for the form of EIA reports.
28	EIA Technical Guidelines, including a General Guidelines and more than 20 environmental factor and industrial sector-specific guidelines.	2017-01-01	It specifies scope, depth and technical methods of EIA for various environmental factors and industrial sectors projects.
29	Methods of Public Consultation for EIA	2019-01-01	It requires public consultation for EIA. Three rounds of information disclosure are required (initial project information, first draft of environmental assessment report, environmental assessment draft, and solicitation of opinions)

The above table only lists some of the main laws, regulations and technical guidelines that are relevant to the Project. Specific applicable legal framework at the subproject level will be determined during the ESA stage for each subproject.

### 2.3 Applicable Standards

China has established a complete set of environmental pollution management system. It includes a full set of environmental and emission standards covering all environmental factors and various industrial sectors. In addition, China also issued sectoral cleaner production standards for over 60 industrial sectors which are developed in line with GIIP in terms of energy and resource consumption benchmarks. Some of the national standards and guidelines are listed in Table 2.

**Table 2 Applicable National Standards**

No.	Standard	Scope	Applicable?
<b>A</b>	<b>Standards on environmental quality and pollutant discharge</b>		
1	Ambient Air Quality Standard (GB3095-2012) and amendment	This standard specifies ambient air functional zoning, rating, pollutants, average times and concentration limits, monitoring methods, statistics, monitoring, etc., and applies to ambient air quality evaluation and management. This standard applies to the evaluation of ambient air in each subproject area.	Yes
2	Limits in Annex D to Technical Guidelines for Environmental Impact Assessment—Air Environment (HJ2.2-2018)	This annex gives reference concentration limits of other air pollutants. This standard applies to the evaluation of other pollutants of ambient air in each subproject area.	Yes
3	Environmental Quality Standard for Surface Water (GB3838-2002)	This standard specifies control items and limits of water environmental quality, and methods of water quality evaluation and analysis, and applies to surface water bodies in China, including rivers, lakes, canals and	Yes

No.	Standard	Scope	Applicable?
		reservoirs. This standard applies to the current situation evaluation of surface water environmental quality in each subproject area.	
4	Groundwater Quality Standard (GB/T14848-2017)	This standard specifies groundwater quality classification, indicators and limits, and applies to groundwater quality survey, monitoring, evaluation and management. This standard applies to the evaluation of groundwater environmental quality in each subproject area.	Yes
5	Sound Environmental Quality Standard (GB3096-2008)	This standard specifies environmental noise limits and measuring methods, and applies to sound environmental quality evaluation and management. This standard applies to the evaluation of sound environmental quality in each subproject area.	Yes
6	Soil Environmental Quality Risk – Control Standard for Soil Contamination of Development Land (GB36600-2018)	This standard specifies soil pollution risk screening and control values for construction land, and monitoring and supervision requirements, and applies to the risk screening and control of soil pollution of construction land. This standard applies to the evaluation of soil environmental quality of construction land of each subproject.	Yes
7	Soil Environmental Quality Risk – Control Standard for Soil Contamination of Farmland (GB15618-2018)	This standard specifies screening and control values for soil risks of farmland, and monitoring and supervision requirements, and applies to the soil pollution risk screening and classification of farmland. This standard applies to the evaluation of soil environmental quality of farmland around each subproject area.	Yes
8	Dust Emission Limits at Construction Site Boundaries (DB61/1078-2017)	This standard specifies dust emission control requirements and monitoring methods at construction site boundaries, and applies to construction sites in built-up urban areas and planned areas.	Yes
9	Emission Standard for Odor Pollutants (GB4554-93)	This standard specifies maximum emission limits for 8 odor pollutants, and applies to the emission management of waste dumps and construction projects. This standard applies to odor, H2S and NH3 emitted by WTSS.	Yes
10	Comprehensive Emission Standard for Air Pollutants (GB16297-1996)	This standard specifies emission limits of 33 air pollutants, and applies to all subprojects.	Yes
11	Integrated Wastewater Discharge Standard (GB8978-1996)	This standard specifies maximum allowable emission limits of 69 water pollutants, and applies to the emission management of construction projects. Wastewater will be delivered to WWTPs for treatment when treated to Level 3 in this standard.	Yes
12	Ambient Noise Emission Standard at Construction Site Boundaries (GB12523-2011)	This standard specifies noise emission limits at construction site boundaries and measuring methods, and applies to the noise management, evaluation and control of construction sites with noise-sensitive buildings nearby. This standard applies to construction site boundary noise of each subproject.	Yes
13	Ambient Noise Emission Standard at Boundaries of Industrial Enterprises (GB12348-2008)	This standard specifies noise emission limits at boundaries of industrial enterprises and measuring methods, and applies to the noise management, evaluation and control of industrial enterprises.	Yes

No.	Standard	Scope	Applicable?
		This standard applies to plant boundary noise of each subproject.	
14	Pollution Control Standard for the Storage and Landfilling of General Industrial Solid Waste (GB18599-2020)	This standard specifies the site selection, design, operation management and closure of storage and disposal places of general industrial solid waste, and control and monitoring requirements, and applies to the construction, operation and management of newly constructed, expanded, reconstructed and existing storage and disposal places of general industrial solid waste. This standard applies to the storage and management of general industrial solid waste of each subproject.	Yes
15	Pollution Control Standard for Stored Hazardous Waste (GB18597-2001) and amendment	This standard specifies the general requirements for hazardous waste storage, packaging, protection, monitoring and closure, and applies to the pollution control and management of all hazardous waste (except tailings). This standard applies to the control of hazardous waste generated by each subproject.	Yes
16	Landfill Pollution Control Standard (GB16889-2008)	This standard specifies the landfill site selection, design, construction, operation and O&M requirements, pollutant emission limits and environmental monitoring requirements.	Yes
<b>B Technical guidelines</b>			
1	Technical Guidelines for Environmental Impact Assessment—General Principles (HJ2.1-2016)	This standard assesses environmental impacts of construction projects / development activities with potential environmental impacts.	Yes
2	Technical Guidelines for Environmental Impact Assessment—Air Environment (HJ2.2-2018)	This standard specifies the general principles, scope, procedure, method and requirements for air EIA, and applies to construction projects. Its procedure has 3 stages. Stage 1 includes document review, pollution source and protection target investigation, and determination of scope and evaluation criteria; Stage 2 includes pollution source verification, forecast model selection, environmental quality investigation or monitoring, data collection, and assessment; Stage 3 includes preparation of an environmental monitoring plan and EIA document. The recommended AERSCREEN model from the U.S.EPA is applied here.	Yes
3	Technical Guidelines for Environmental Impact Assessment—Surface Water Environment (HJ2.3-2018)	This standard specifies the general principles, scope, procedure, method and requirements for surface water EIA, and applies to construction projects.	Yes
4	Technical Guidelines for Environmental Impact Assessment—Groundwater Environment (HJ610-2016)	This standard specifies the general principles, scope, procedure, method and requirements for groundwater EIA, and applies to construction projects.	Yes
5	Technical Guidelines for Environmental Impact Assessment—Ecological Impacts (HJ19-2022)	This standard specifies the general principles, scope, procedure, method and requirements for EIA, and applies to construction projects.	Yes
6	Technical Guidelines for Environmental Impact Assessment—Sound	This standard specifies the general principles, scope, procedure, method and requirements for sound EIA, and applies to construction projects. Its procedure has 3	Yes

No.	Standard	Scope	Applicable?
	Environment (HJ2.4-2021)	stages. Stage 1 includes noise source investigation, and determination of scope and evaluation criteria; Stage 2 includes noise source verification, forecast model selection, environmental quality investigation or monitoring, data collection, and assessment; Stage 3 includes development of noise control measures, investment estimate and effect analysis.	
7	Technical Guidelines for Environmental Impact Assessment—Soil Environment (HJ964-2018)	This standard specifies the general principles, scope, procedure, method and requirements for soil EIA, and applies to construction projects that may affect soil, such as chemical, metallurgy, mining, farming, forestry and water resources projects.	Yes
8	Technical Guidelines for Environmental Impact Assessment of Construction Projects (HJ169-2018)	This standard specifies the general principles, scope, procedure, method and requirements for environmental risk assessment, and applies to potential sudden accidents (excluding accidents arising from sabotage and natural disasters) of construction projects involving the production, use or storage of toxic, harmful, flammable and explosive substances.	Yes

Generally, if national requirements differ from the performance levels and measures specified in the EHSs, the AIIB requires that the more stringent one be adopted. If less stringent levels or measures than those provided in the EHSs are appropriate, the AIIB will require that full and detailed justification for any proposed alternatives be provided through ESA. This justification must demonstrate, to the satisfaction of the AIIB, that the choice of any alternative performance level is consistent with the objectives of the ESSs and the applicable EHSs, and is unlikely to result in any significant environmental or social harm.

## 2.4 Legal Framework for Social Management of China

Appropriate social management systems have been established for investment projects in China, including a management system for social risks, a social management system for LAR, a minority management system, and a labor management system. The social risk management system of a project requires that the project must be aligned with the basic interests of most people, and major decisions, major fixed asset investments and LA should be subject to social stability risk assessment.

### 2.4.1 Social Stability Risk Assessment

A sound management organization has been established for project social stability risk assessment in China. The owner should prepare or appoint a consulting agency to prepare the social stability risk assessment report; the local government should review and evaluate such report.

China's requirements for social stability risk assessment are partly consistent with the SIA requirements in ESS1. China's social stability risk assessment pays more

attention to social stability risks arising from project construction and decision-making, but less attention to social inclusiveness and sustainability. To strengthen the Project's social management, realize its social objectives, and realize social fairness, inclusion and sustainability, the Shaanxi PMO will identify social risks, with focus on restrictions on land use, change in land use, labor and working conditions, community health and safety, inadequate stakeholder engagement, ethnic minority impacts, etc. An SIA will be conducted before the appraisal of each subproject as per ESS1.

#### **2.4.2 Labor Management**

Employers shall sign employment contracts with laborers on a voluntary basis to define both parties' rights and obligations. The Labor Law of the PRC (amended in 2018), the Labor Contract Law (amended in 2012), and the Special Provisions on Labor Protection of Female Employees are complied with strictly. Salaries shall be based on work, and equal pay shall be paid for equal work. The average working hours of workers shall not exceed 44 hours per week or 8 hours per day. Juvenile workers (16-18 years old) shall not be involved in overtime working. Laborers shall not be discriminated against on the basis of ethnic group, race, gender, religion, etc. Forced labor is prohibited. Employers must establish sound OHS systems to reduce occupational hazards.

The Chinese government has also established a system of laws, regulations and industry standards to protect laborers' occupational health and safety, including state laws and regulations, local regulations and bylaws, and health and safety standards of different industries. A multi-layer legal system for occupational health protection has been established. There are special laws that protect women's labor rights, including the prohibition of sexual harassment.

These laws make provisions on wages, working hours, labor protection and labor disputes, and prohibit the use of forced labor and/or child labor, fully consistent with the requirements of ESS2. Considering the nature of the Project, China's all-round provisions on labor protection, and the increasing labor supervision of local governments, there is almost no risk of forced and child labor for project workers.

#### **2.4.3 Community Health and Safety**

The community health and safety requirements cover work safety, infectious disease prevention, traffic safety, etc. China has established a sound regulatory framework in terms of work safety, traffic safety, infectious disease prevention, emergency management, etc. to protect people's lives and properties.

#### **2.4.4 LAR**

China has developed a complete legal framework and policy system on LA, HD, resettlement and compensation, including the Land Administration Law of the PRC (amended in August 2019), and the Regulations on the Expropriation of Buildings on State-owned Land and Compensation (Order No.590 of the State Council) (January 21, 2011). Within the state legal and policy framework, local governments have promulgated relevant local regulations and policies to manage and direct local LA, HD, resettlement and compensation work.

#### **2.4.5 Ethnic Minorities**

As discussed in Table 3-1, in the counties / districts involved in the Batch 1 subprojects, the villages / communities served by front end waste collection facilities, and the sites of all newly constructed facilities under the Project (e.g., construction waste disposal plants, sorting centers, WTSs) do not involve communities or villages inhabited by ethnic minorities. In the social audit of future batches and TA activities, further screening will be carried out to see if villages / communities served by front end waste collection facilities and downstream impacts of TA activities involve communities or villages inhabited by ethnic minorities.

China has promulgated the Law on Regional National Autonomy, Regulations on Administrative Work of Minority Townships, 13<sup>th</sup> Five-year Plan for Ethnic Minority Programs, Regulations on Urban Minority Work, etc., with the aim of fully respecting the dignity, rights, economy and culture of ethnic minorities, promoting their equality and development, and paying special attention to their all-round development. However, these policies do not provide for the following on the project level, including: 1) conducting meaningful consultation with minority residents and their communities; 2) free, prior and informed consent (FPIC); and 3) preparing an EMDP.

To ensure that ethnic minorities conduct meaningful consultation in a culturally appropriate manner, and benefit from the Project, requirements on ethnic minority participation are included in the SEF.

#### **2.4.6 Information Disclosure and Public Participation**

For information disclosure, public participation and grievance redress, the applicable state and local laws and regulations make comprehensive and stringent provisions on the approval and implementation of major construction projects, LAR and compensation, resource allocation, etc.

The central and provincial governments have established systematic grievance redress mechanisms, where citizens, legal persons and other organizations may file



grievances or raise suggestions to governments at all levels by letter, e-mail, fax, telephone, visit, etc.

See Table 3 for the social laws, regulations and policies applicable to the Project.

**Table 3 Applicable State Social Laws and Regulations**

No.	Name	Version	Scope
<b>I. General laws on social risk management:</b> Compared to ESS1, the main gap in SIA is that the applicable state policies require that social stability risk assessment be conducted for major fixed asset investment projects, which is a special chapter on feasibility study. This assessment is focused on social stability risks of major projects. However, there is no SIA requirement for ordinary projects, and social stability risk assessment has no requirement for the social review of existing and associated facilities.			
1	Interim Regulations on Major Administrative Decision-making Procedures	2019	Major administrative decisions shall be made under the principle of democratic decision-making, opinions shall be fully solicited from all parties, and it shall be guaranteed that the people participate in decision-making through various channels and form. If any major administrative policy may affect social stability and public security adversely, the undertaker or any other agency responsible for risk assessment shall assess the risk controllability of the draft decision.
2	Social Stability Risk Assessment for Major Fixed Asset Investment Projects	2012	The social stability risk assessment shall include: 1) if any major issue is scientific, including meeting most people's final needs, being financially affordable, and being understood and supported by most people; 2) if all major matters have been subject to strict research and demonstration to fully consider various restrictions; if the program is detailed and specific, and if supporting measures are sound; 3) if any major security event will occur if local residents strongly object the project, and if there is any contingency plan; 4) potential major issues affecting social stability.
<b>II. Laws on LAR:</b> Compared to ESSs, the main gaps are: 1) There is no requirement to prepare an RAP except for large hydropower projects; 2) There is no social audit report for past LA for a project; 3) No M&E is required except for large water resources projects, including a third party impact assessment on the APs' living standard.			
3	Regulations on the Expropriation of Buildings on State-owned Land and Compensation	2011	Where a building of any entity or individual on state-owned land is expropriated for public interest, the owner of the expropriated building (hereinafter referred to as the "owner") shall be fairly compensated. The principle of "democratic decision-making, due process and open results" shall be followed in the building expropriation and compensation. The compensation for the value of houses to be expropriated shall not be less than the market price of the real estate comparable to the houses to be expropriated on the date of the public notice of the house expropriation decisions. The value of the houses to be expropriated shall be assessed and determined by real estate appraisal agencies with appropriate qualifications in accordance with the procedures for evaluating houses to be expropriated.
4	Labor Law of the PRC	Amended in 2019	If land collectively owned by farmers is to be acquired for public interests, acquisition may be implemented according to law. If a people's government at or above the county level is to apply for land acquisition, it shall conduct a current status survey and a social stability risk assessment, and disclose the range and purpose of acquisition, current status, compensation rate, resettlement mode, social security, etc. in the township (town), village and village group for at least 30 days to collect comments from the affected rural collective economic organization and its members, village committee

No.	Name	Version	Scope
			<p>and other interested parties.</p> <p>If most members of the affected rural collective economic organization think that the land compensation and resettlement program does not conform to the laws and regulations, the people's government at or above the county level shall organize a public hearing, and modify the program according to the laws, regulations and public hearing.</p> <p>Owners or users of the land to be acquired shall, within the time limit specified in the announcement, go through compensation registration on the strength of the real estate ownership certificate. The people's government at or above the county level shall organize the department concerned to estimate the relevant costs and make them fully available, enter into compensation and resettlement agreements with the owners and users of the land to be acquired.</p> <p>The people's government at or above the county level shall apply for land acquisition only when the preparatory work has been completed. Fair and reasonable compensation shall be granted for land acquisition to ensure that the living standard of the affected farmers is not reduced, and their long-term livelihoods are secured.</p> <p>The use of collective land for rural public facilities and welfare purposes shall be approved according to law; farmland involved shall be converted into construction land.</p>
5	Measures for Implementing the Land Administration Law of the People's Republic of China in Shaanxi Province	Amended in 2022	Local regulations on land management , guided the work of land management and farmland protection in Shaanxi Province.
<b>III. Laws on labor management:</b> The applicable state regulations largely comply with ESSs. However, there are two differences: First, Chinese labor policies do not manage laborers by category; second, ESSs and EHSs are more concerned about OHS.			
6	Labor Law of the PRC	Amended in 2018	<p>Salaries shall be based on work, and equal pay shall be paid for equal work.</p> <p>The average working hours of workers shall not exceed 44 hours per week or 8 hours per day.</p> <p>In case of specific circumstances, the extended working hours will not exceed 3 hours per day and 36 hours in total per month. The juvenile workers (16-18 years old) should not be involved in overtime working.</p>
	Labor Contract Law of the PRC	Amended in 2012	A sound labor dispute settlement system shall be established by corporate committees under the formal trade union system. Workers may also appeal through the labor bureau.
7	Civil Servant Law of the PRC	Amended in 2018	<p>Civil servants shall be managed on the basis of openness, equality and competition, and in accordance with statutory authorities, conditions, standards and procedures.</p> <p>The government shall train civil servants based on their job requirements.</p> <p>A civil servant's salary shall include the basic salary, allowances, subsidies and bonuses.</p>
8	Provisions on the Administration of Contractual Civil Servants (for Trial Implementation)	2017.9	<p>Written employment contracts shall be signed with civil servants on an equal, voluntary and consensual basis to define both parties' rights and obligations.</p> <p>The labor contract shall specify the term, job requirements, labor conditions, salaries, benefits and insurance, termination, liability for breach, etc.</p>

No.	Name	Version	Scope
9	Law of the PRC on Prevention and Control of Occupational Diseases	Amended in 2018	In China, there are over 100 technical standards on occupational safety and disease control, which are based on industry best practices. Employers shall establish a complete occupational health and safety system, strictly enforce relevant measures and standards, and offer relevant training to workers.
10	Trade Union Law of the PRC	2009	All physical and mental workers of enterprises and public institutions shall have the right to join and organize trade unions, regardless of ethnic group, race, gender, occupation, religion and education. An enterprise or public institution shall establish a trade union according to law within one year after opening.
11	Law of the PRC on the Protection of Rights and Interests of Women	Amended in 2018	Special protection shall be offered to women and children, and they shall not be hired for dangerous jobs.
12	Special Provisions on Labor Protection of Female Employees	2012	Women shall enjoy the same labor and social security rights as men, and receive equal pay for equal work. The employer shall protect women's safety and health at work, and not assign unsuitable jobs to women. Women enjoy special protection during menstruation, pregnancy, lying-in and breastfeeding periods. The employer shall prevent sexual harassment on female workers, and protect their privacy when handling their appeals.
	Special Provisions on Labor Protection of Female Employees of Shaanxi Province	2018	
13	Notice by the General Office of the Ministry of Human Resources and Social Security of Issues Concerning Properly Handling Labor Relations during the Prevention and Control of the Outbreak of COVID-19	2020	For employees who are patients or suspected patients infected with COVID-19 or their close contacts during the period of receiving treatment in isolation or the medical observation period and who are unable to normally provide work as a result of the quarantine measures or other emergency measures taken by the government, their employers shall pay remuneration to such employees during the periods and shall not terminate employment contracts with such employees in accordance with Articles 40 and 41 of the Employment Contract Law.

**IV. Policies on ethnic minorities:** The Chinese policies stress that affected ethnic minorities receive social and economic benefits suited to their cultural customs through a series of measures, and that measures be taken to avoid or minimize potential adverse impacts on them, but does not require that an EMDP or ethnic minority development framework be prepared on the project level.

14	Law on Regional National Autonomy	1984	When handling special issues related to local ethnic groups, local governments of regional national economy shall consult extensively with their representatives, and respect their opinions. Local governments at all levels should ensure that all local ethnic groups enjoy the citizenship rights stipulated in the Constitution, and educate them to perform the obligations stipulated in the Constitution.
15	Regulations on Administrative Work of Minority Townships	1993	Local governments of regional national economy shall use local languages when performing duties; preferential policies in education shall be offered; minority townships shall be assisted in establishing radio stations, culture halls and other cultural facilities; characteristic minority cultural heritage shall be protected and inherited. Measures shall be taken to strengthen the training and appointment of minority leaders.

**IV. Policies on information disclosure:** Compared to ESSs, China's policies and practices are concerned about early-stage participation, but do not have any specific requirement on stakeholder engagement in the

No.	Name	Version	Scope
whole process.			
16	Measures for Public Participation in Environmental Impact Assessment	2019	<p>The state encourages the public participation in the assessment of environmental impacts. The construction entity shall seek the opinions of citizens, legal persons and other organizations within the scope of environmental impact assessment in accordance with the law.</p> <p>Information shall be disclosed by the Internet, newspaper and announcement.</p> <p>Before submitting the EIA report to the environmental authority for approval, the construction agency shall prepare a note on public participation. The environmental authority shall disclose information to the public by website or otherwise for not less than 10 working days.</p>
17	Opinions of the General Office of the State Council on Advancing Public Disclosure of Government Information in the Field of Approval and Implementation of Major Construction Projects	2017	<p>Except national secrets, trade secrets, personal privacy, and other content which is not disclosed according to the law, the information in the process of the approval and implementation of major construction projects shall be disclosed to the public as much as possible so as to improve the transparency and efficiency of the approval and implementation of projects. Over the course of the approval and implementation of major construction projects, information of eight kinds, including approval service information, approval result information, invitation for bid and bidding information, land expropriation information, information on material modification of design, construction-related information, quality safety supervision information, and information relating to completion of construction, shall be publicly disclosed.</p>
18	Opinions of the General Office of the State Council on Advancing Public Disclosure of Government Information in the Public Resource Allocation Field	2017	
19	Opinions on Fully Promoting the Disclosure of Government Affairs	2016	<p>The disclosure of government affairs shall be promoted comprehensively, and statutory public participation, expert demonstration, risk assessment, compliance review, and collective decision-making procedures established.</p> <p>The scope of disclosure shall cover decisions, implementation, management, services, results and key areas.</p> <p>Government data opening shall be promoted, policy interpretation strengthened, and public participation expanded. The disclosure of government affairs shall be included in the performance evaluation system.</p>
20	Province-level information disclosure platforms are being established to ensure that land-expropriated farmers receive land acquisition information efficiently and conveniently,	2019	<p>Province-level information disclosure platforms are being established to ensure that land-expropriated farmers receive land acquisition information efficiently and conveniently, including 4 Level 1 matters and 10 Tier 2 matters.</p>

No.	Name	Version	Scope
	including 4 Level 1 matters and 10 Tier 2 matters.		
21	Regulations on Complaint Letters and Visits	2022	Transparent grievance redress channels have been established, and implementation measures for further appeals are in place. Citizens, legal persons or other organizations shall submit suggestions, opinions or appeal requests to governments at all levels by way of letter, e-mail, telephone or visit, etc., to be handled by competent administrative authorities according to law.

## 2.5 Environmental Management Procedures

The Classified Management Directory of Environmental Impact Assessment of Construction Projects (2021 Edition) issued by the Ministry of Ecology and Environment specifies the types of environmental impact assessment documents to be prepared for each subproject, which are categorized into environmental impact report, environmental impact report form and environmental impact registration form. The selection of the type of EIA document shall be made according to the category, process and scale of each subproject. After the environmental impact report and environmental impact report form are prepared, they shall be submitted to the competent ecology and environment department of the project location for approval, and the approval of the environmental impact assessment document issued by the competent ecology and environment department shall be obtained. The approval process is shown in Table 4.

In addition, for any subproject for which an EIA report is to be prepared, the report should also be disclosed according to the Measures for Public Participation in Environmental Impact Assessment. See Table 5.

**Table 4 Domestic Approval Process of EIA Documents**

Type of EIA document	PIU			Ecology and environment bureau			
	First disclosure	Second disclosure	Third disclosure	Expert review	Acceptance	Pending approval	Disclosure approval
EIA report form	Not required	Not required	Not required	Required, passing expert review	Required, 10 working days	Required, 5 working days	Approved
EIA report	Required, within 7 working days after fixation of the EIA agency	Required, for not less than 10 working days after the draft for comment is prepared	Required, before submission to the ecology and environment bureau	Required, passing expert review	Required, 10 working days	Required, 5 working days	Approved

**Table 5 Disclosure of EIA Public Participation Measures**

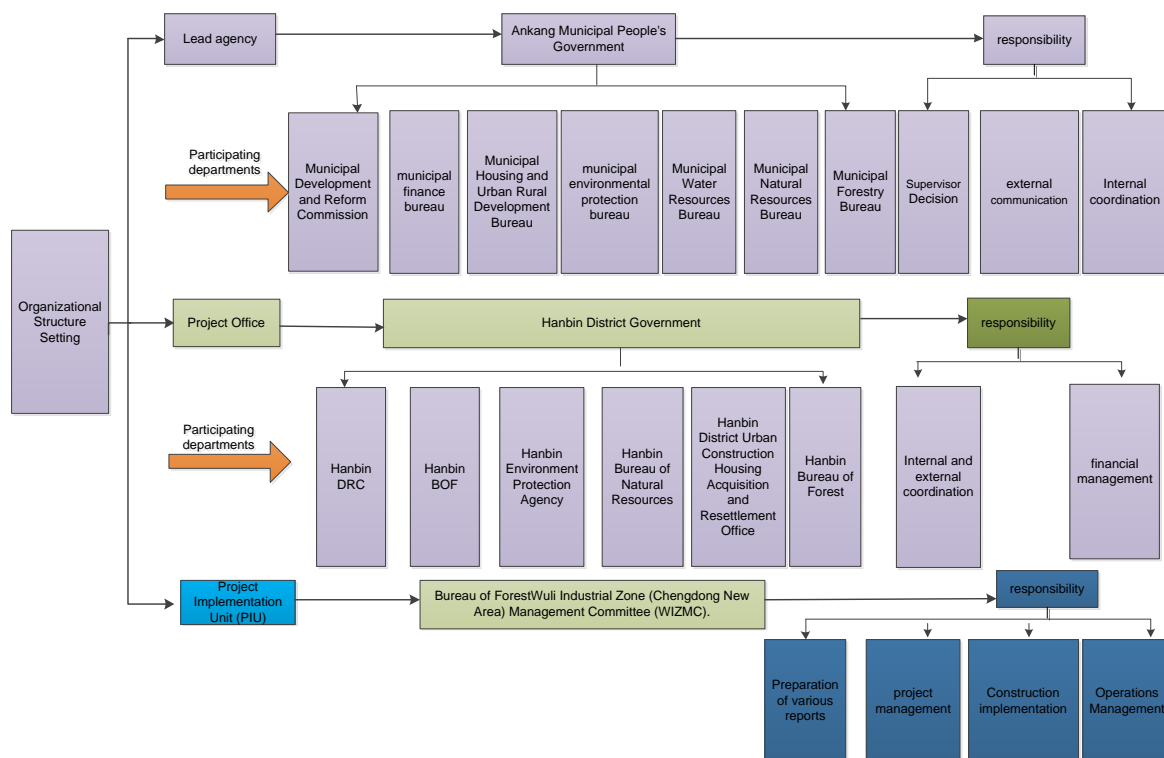
Step	Time	Venue	Scope
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Step	Time	Venue	Scope
First disclosure	Within 7 working days after fixation of the EIA agency	Contractor's website, local public media websites or local government websites	<ol style="list-style-type: none"> <li>1) Name of the subproject, site or route, scope of construction;</li> <li>2) Name and contact information of the contractor;</li> <li>3) Name of the EIA agency;</li> <li>4) Link to public opinion form;</li> <li>5) Means for submission of public comments</li> </ol>
Second disclosure	For not less than 10 working days after the draft for comment is prepared	<ol style="list-style-type: none"> <li>1) Online platform;</li> <li>2) newspaper;</li> <li>3) poster</li> </ol>	<ol style="list-style-type: none"> <li>1) Link to the draft EIA report, and means of access to the hardcopy;</li> <li>2) Scope of collection of comments;</li> <li>3) Link to public opinion form;</li> <li>4) Means for submission of public comments;</li> <li>5) Period for collection of public comments</li> </ol>
Third disclosure	Before submission to the ecology and environment bureau	Online platform	<p>Draft EIA report, and note on public participation, including:</p> <ol style="list-style-type: none"> <li>1) Public participation process and scope;</li> <li>2) Collection and analysis of public comments;</li> <li>3) Adopted public comments and feedback</li> </ol>

### 3 Institutional Arrangements and Capacity Building

#### 3.1 Organizational Structure

In order to ensure smooth progress of the construction of the Project, Hanbin District of Ankang City plans to set up a three-level organization and management system of "lead agency — implementation agency — implementation unit". The Project will set up a leading group office, which is located in Ankang Municipal People's Government.



**Figure 1 Organizational Structure for E&S Management**

**The People's Government of Ankang City:** As the leading agency of the Project, it is responsible for the decision-making management, external communication and internal coordination of the Project.

**PMO:** As the project management office, Hanbin District Government is fully responsible for the construction management and fund raising of the Project, including specifically the preliminary work, project implementation management, making decisions on major issues in the construction of the Project, examining and approving the planning and implementation scheme of the Project, approving the fund use plan of the Project, and coordinating and solving problems during the project implementation process.

**PIU:** The Administrative Committee of Wuli Industrial Concentration Zone (Ankang Chengdong New Area) in Hanbin District (WICMZ), as the PIU, is responsible for specific implementation work, including:

- 1) Be responsible for the constitution of the environmental management framework, and guide and supervise the subproject implementation units to conduct relevant environmental and social management activities of respective subprojects in accordance with the requirements of this framework.
- 2) Establish at least one full-time environmental coordinator and one full-time social coordinator for the implementation of the ESMP, and keeping in touch with the AIIB's environmental and social specialists during implementation;
- 3) Ensure that the requirements of the relevant measures in the Environmental and Social Management Plan (ESMP) are included in the Bidding Documents.
- 4) Screen the environmental and social risk levels of the Project, review the environmental and social security documents, and submit them to the AIIB for review;
- 5) Carry out capacity building on environmental management among project implementation units;
- 6) Supervise the implementation of applicable environmental and social security documents;
- 7) Engage external environmental and social monitoring consultants to conduct external monitoring of the environmental and social management of the project, make external monitoring reports on the environmental and social management performance of the project, and submit to the AIIB every six months;
- 8) Guarantee the funds for capacity training, such as preparation of environmental and social documents and monitoring and evaluation of the Project.

### **3.2 Capacity Building Plan**

According to the survey, the Project has relatively well-established institutional capacity, office conditions and equipment configuration, and highly qualified professional staff with domestic experience in the preparation, construction and



operation of similar projects. However, the Project is an AIIB-funded project, which requires familiarity with the operation of AIIB projects, especially in terms of safety requirements that can be fully compared with domestic experience. Therefore, relevant personnel need further study and training on relevant business strategy requirements.

The training plan for capacity building in environmental and social management is shown in Table 3-1.

**Table 6 Training Plan for Environmental and Social Management Capacity Building**

Trainees	Main training contents	Objectives	Resources/Trainers	Number of people (person/time)	Method	Duration (days)	Frequency	Estimated cost (yuan)
PMO and Executing Agency	<ul style="list-style-type: none"> <li>① AIIB's environmental and social standards and policies</li> <li>② Approved RP, SEP, and ESMP for the Project</li> <li>③ Social management plan, monitoring, and evaluation of the Project</li> <li>④ Implementation and management of SEP</li> <li>⑤ Implementation, monitoring, and evaluation of environmental and social measures of the Project</li> <li>⑥ Requirements of PIU for social resettlement management</li> <li>⑦ Establishment of complaint and grievance redress mechanism (GRM) for resettlement and society and file management</li> <li>⑧ Rules, regulations, and procedures on environmental safety</li> <li>⑨ Environmental protection laws</li> </ul>	Enhance the environmental and social management implementation capacity and occupational health and safety management capacity of the PMO, Executing Agency, and their environmental and social management personnel	AIIB's experts or employed environmental, social, and resettlement experts	20~30	Lectures, workshops, and site visits	1	Prior to the commencement of the Project, at least once a year during the implementation of the Project	40000

Trainees	Main training contents	Objectives	Resources/Trainers	Number of people (person/time)	Method	Duration (days)	Frequency	Estimated cost (yuan)
	and regulations ⑩ Environmental policies and plans ⑪ Rules, regulations, and procedures on environmental safety							
Contractor and Supervisor	① Environmental, social, and occupational health and safety management measures and requirements related to the project ② Implementation of EMSP ③ Implementation of SEP ④ Emergency plan and emergency treatment measures	Learn about the requirements for environmental and social management measures and emergency treatment of the Project	Experts/PMO staff with experience in AIIB projects, community representatives	20	Lectures and workshops	1	Prior to the commencement of the Project, at least once a year during the implementation of the Project	20000
Executing Agency, Contractor, and Supervisor	① ESMP and labor policies ② Occupational health and safety of labors ③ Complaint and grievance redress mechanism (GRM) for labors ④ Implementation and communication mechanism for community safety and health	Impose stricter policies and requirements on the Project Executing Agency, Contractor, and Supervisor with respect to labor	AIIB's experts or employed environmental, social, and resettlement experts	20~30	Lectures and workshops	1	Prior to the commencement of the Project, at least twice a year during the implementa	30000

Trainees	Main training contents	Objectives	Resources/Trainers	Number of people (person/time)	Method	Duration (days)	Frequency	Estimated cost (yuan)
	management ⑤ Implementation of stakeholder engagement ⑥ Implementation of ESMP ⑦ Monitoring and evaluation of environmental and social performance implementation	management, community health and safety management, and other environmental and social management aspects					tion of the Project	
Relevant subdistricts, communities, and villages	① Relevant environmental protection and social management measures and requirements; ② Implementation of SEP ③ Complaint and grievance redress mechanism (GRM)	Learn about the requirements for environmental and social management measures of the Project, and raise traffic safety awareness	Environmental, social, and resettlement experts/PMO staff with experience in AIIB projects, community representatives, and village representatives	100	Lectures and workshops	1	Prior to the commencement of the Project, at least once a year during the implementation of the Project	60000

## **4 Summary of Environmental and Social Management**

### **Plan**

Based on the results of various public engagement activities during social and environment impact assessment, the risk management measures that the project owner has taken in the actual management and design process of the Project are analyzed, the social performance and potential gaps are assessed. According to the requirements of corresponding environmental and social standards (ESSs), the EIA and SIA units propose corresponding mitigation measures.

In order to ensure the smooth construction and operation of the Project, the EIA and SIA units have also developed detailed stakeholder engagement plan to guide information disclosure, public engagement, community communication, and complaint and grievance handling throughout the entire project period.

The mitigation measures proposed for various types of environmental and social impacts and risks form the summary of environmental and social management plan, including specific implementation time, implementation units and monitoring arrangements. The environmental and social management plan can be basically realized in stages. The management level can be lower in the first three to five years of the Project, but needs to be continuously improved in the later periods, as shown in Table 4-1.

**Table 4-1 Summary of Environmental and Social Management Plan**

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
Women's engagement	<p>Strengthen the engagement rate of female public consultation and negotiation activities.</p> <p>Provide skill training opportunities for women.</p> <p>Provide suitable light physical labor positions for women.</p>	Project construction and operation period	PIU	For public activities, female engagement rate shall be no less than 35% in relevant village/community training activities, with a female proportion of no less than 50%. For light physical labor positions, there should be no less than 40% in female positions	Project implementation period (2024~2029), semi-annually
Health and Safety of Contractor's Workers	<p>Strengthen road traffic safety training and management for transport vehicle drivers.</p> <p>Strengthen the training and management of construction personnel on safe and standardized construction.</p> <p>Provide sufficient labor protection and safety protection equipment for construction workers free of charge.</p> <p>Develop complete emergency plans, and assign responsibilities to individuals.</p> <p>Monitor and evaluate the management performance of workers.</p>	Project construction period	Contractor, Supervisor Supervision on PIU	<p>Training frequency and number of road safety training for transport vehicle drivers, at least once a month.</p> <p>Number of construction personnel receiving on-the-job and pre-job training; The frequency and number of work safety and standardized operation training for construction</p>	Project implementation period (2024~2029), semi-annually

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>Relevant measures for the prevention and control of infectious diseases shall be implemented under the guidance of the District Health Commission. Additionally, it is essential to organize site personnel and construction workers to receive training on infectious disease prevention and control practices, along with the distribution of informational pamphlets on infectious disease prevention and control.</p> <p>Implement measures in the GBV risk management framework.</p> <p>Establish and adopt a written grievance response mechanism (GRM), and provide timely feedback on the handling results to the complainant.</p>			<p>workers, at least once a month.</p> <p>Distribution and use of PPE for workers</p> <p>Contractors shall prepare corresponding emergency plans before starting work.</p> <p>Implementation of preventive measures for infectious diseases; Times and number of training on infectious disease prevention and control knowledge; quantity of information brochures distributed.</p> <p>Number of GBV training and advocacy sessions, number of participants, and GBV complaints and resolutions.</p> <p>Improvement and implementation of labor management procedure</p>	

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
				Worker complaints and resolution	
Terms of Employment and Working Conditions for Workers	Incorporate labor-management requirements for contractors in the bidding and procurement documents, such as contract management, equal pay for equal work between genders, etc., and include them in the contract terms.; specify remedial measures for non-compliance in the contract, and establish the procedures for third-party performance management and monitoring; for temporary workers, also ensure that labor contracts/agreements are signed and third-party companies purchase accident insurance for them;	Project construction and operation period	Contractor. Supervision on PIU	Minimum labor wage level and wage distribution; Labor working hours; Minimum labor age; Improvement and implementation of labor management procedures, including labor agreements and accident insurance for all workers and the wages of male and female workers.	Project implementation period (2024~2029) , semi-annually
	Implement the labor management requirements of suppliers in the bidding and procurement documents, and include them in the contract terms. In addition, the contract shall also specify: ① corresponding remedial measures for non-compliance and establish procedures for managing and monitoring third-party	Project construction period	Suppliers. Supervision on PIU	Improvement and implementation of labor management procedure; The Supplier shall submit due diligence reports from production manufacturers.	Project implementation period (2024~2029) , semi-annually



Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	performance; ② The Supplier shall submit the manufacturer's due diligence report on labor management, including information on contract management, child labor, equal pay for equal work, gender discrimination, forced labor, and other aspects of the manufacturer's employment of workers.				
Community health and safety	<ul style="list-style-type: none"> <li>o-Improve the construction organization plan, reasonably arrange the construction process and schedule, and minimize the impact on the community caused by the construction; ·</li> <li>o Construction shall try to avoid operations after 9 pm, especially starting or operating mechanical equipment to avoid the noise impact on community residents at night.</li> <li>o-Standardize driver and vehicle management, optimize transportation routes and driving speeds, require drivers to follow prescribed routes, limit speed on socially sensitive areas, and minimize the impact on the community as much as possible;</li> <li>o Conduct public awareness campaigns on infectious disease prevention and control for</li> </ul>	Project construction period	PIU, Contractor and Supervisor	Contractors' expenses for community health and safety activities; Frequency and losses of community safety accidents; Frequency and number of people involved in public and community health and safety promotion and education; Frequency and participation numbers of the infectious disease prevention and control education sessions; the quantity of informational	Project implementation period (2024~2029), semi-annually

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>local residents and distribute informational pamphlets.</p> <ul style="list-style-type: none"> <li>o Provide safety education to local residents (including women, children, elderly, etc.).</li> <li>o Carry out publicity or free lectures on flood and other natural disaster prevention and emergency avoidance for local residents</li> </ul> <p>Establish and adopt a written grievance response mechanism (GRM) to actively handle the community complaints and suggestions, and timely feedback the handling results to the claimants.</p>			<p>pamphlets distributed;</p> <p>Number of publicity activities or free lectures on flood and other natural disaster prevention and emergency avoidance and the number of participants.</p> <p>Frequency and resolution of complaints and appeals.</p>	
	<ul style="list-style-type: none"> <li>o Bold safety warning signs or markings and speed bumps shall be set up in critical sections of community traffic.</li> <li>o For subprojects along the Hanjiang River and Huangyang River, flood season management measures or emergency plans shall be formulated, such as early warning in case of extreme weather, early closure of public facilities such as parks, or limited visits. During the flood season, professional departments or designated</li> </ul>	<p>Project operation period</p>	<p>PIU, Contractor</p>	<p>Number of safety warning signs and speed bumps.</p> <p>Preparation of flood season management system or contingency plan.</p>	<p>Project implementation period (2024~2029), semi-annually</p>

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	personnel should be assigned to be responsible for on-site safety management.				
Stakeholder engagement	<p>The optimization design plan shall fully solicit the opinions and suggestions of surrounding community residents;</p> <p>Land acquisition, demolition and resettlement, land use rights transfer, etc. of the project shall be disclosed to community residents and relevant opinions and suggestions shall be solicited;</p> <p>Provide sufficient resources to ensure the effective operation of relevant mechanisms in accordance with the Stakeholder Engagement Plan (SEP) and the identified Grievance Redress Mechanism (GRM) implementation;</p> <p>Improve the public engagement rate of vulnerable groups and women, fully considering their opinions and suggestions; Timely release of environmental and social monitoring information during construction and operation to the community.</p>	Project construction and operation period	PIU, Contractor	<p>Stakeholder engagement in the development and implementation of plans</p> <p>Number of public engagement during project preparation</p> <p>Number of public engagement during project construction and/or operation period</p> <p>Number of participants in public engagement activities; Among them: direct workers (division of labor, gender, etc.); Contract workers (division of labor, gender, etc.); Complaints and handling of surrounding community residents (including women, elderly, vulnerable</p>	Project implementation period (2024~2029) ' semi-annually

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
				groups, etc.), including the number of feedback received, the number of complaints received, and the number of complaints processed.	
Involuntary resettlement	<p>Develop a separate resettlement plan and implement land acquisition and demolition in accordance with the plan.</p> <p>During the implementation of the resettlement plan, a third-party external monitoring unit will be hired to regularly monitor the implementation of the resettlement plan, and an external monitoring report will be submitted every six months for review by the AIIB.</p>	Project construction period	PIU, SIA unit and third-party external social monitoring unit	<p>The signing status of land acquisition and demolition agreements; Compensation payment situation; Transition and resettlement of relocated households; The training frequency and number of affected households; Number of employees and compensation for employment of affected households; Complaints and handling of land acquisition and relocation, including the number of feedback</p>	Project implementation period (2024~2029), semi-annually

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring	
				received, the number of complaints received and processed.		
Huangyang River Ecological Restoration, Hanjiang River Rehabilitation and Riverside Green Corridor Project	Ecological environment	<p><b>Impact of land occupation and vegetation destruction on terrestrial plants during the construction period:</b></p> <p>1) Investigate the vegetation condition before construction, strictly record the vegetation condition before construction, and carry out greening after construction to minimize biomass loss as much as possible;</p> <p>2) Strictly control the construction scope and minimize the construction activity area as much as possible;</p> <p>3) Carry out timely ecological restoration and vegetation greening for the temporary occupied areas of construction roads and construction material yards upon completion of construction;</p> <p>4) It is prohibited to introduce plants with diseases and insect pests as well as alien invasive species. Adopt local species for ecological restoration and greening, and prohibit harmful alien species;</p>	Construction period	Implementation Agency, contractor	Flora, vegetation type and community structure within the scope of project area, and key species, constructive species and dominant species in the community; fauna, species composition and distribution characteristics; the type, area and spatial distribution of ecosystem; the distribution, ecological characteristics and population status of important species, and the distribution and status of important habitats.	Before and after the construction period

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>5) Strengthen the management of construction personnel during the construction period, and prohibit the excavation of protected wild plants. Wild soybean (national second-class protected wild plant) was found during systematic survey of vegetation in Huangyang River and Hanjiang River assessment areas. According to relevant requirements of the Regulations on the Protection of Wild Plants of the People's Republic of China, wild soybeans shall be subject to in-situ or ex-situ conservation.</p> <p><b>Impact on wild animals during the construction period:</b></p> <p>1) Optimize the construction route, and prohibit construction vehicles from honking to avoid disturbing the habitat animals;</p> <p>2) A topsoil layer of 30~50cm shall be reserved for temporary occupied land, and shall be leveled and restored as soon as possible after the construction to ensure the habitat of birds;</p> <p>3) During the line transect survey for animals, investigators found no amphibians in need of protection around the proposed project site. Any</p>				

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>amphibians and reptiles found in the construction process need to be avoided to prevent affecting their activities; protect the existing wetland area; increase publicity and education to avoid being artificially killed;</p> <p>4) During the line transect survey for animals, the following species were found: 7 national second-class protected wild animals, including mandarin ducks, sparrow hawks, <i>Accipiter soloensis</i>, <i>Buteo buteo</i>, <i>Falco tinnunculus</i>, yellow-throated marten and <i>Felis bengalensis</i>; 2 "three-have" (with ecological, scientific and social values) protected animals, including the <i>Elaphe carinata</i> and <i>Corvus torquatus</i>, in which the <i>Elaphe carinata</i> is also a locally protected anim. According to the Wild Animal Conservation Law of the People's Republic of China (implemented on May 1, 2023), it is prohibited to hunt or kill wildlife under national priority protection; those who hunt terrestrial wildlife with important ecological, scientific or social value and wildlife under special local protection shall obtain a hunting license issued by the</p>				

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>wildlife protection department of the local people's government at or above the county level according to law, and shall be subject to the management of hunting quota; it is prohibited to consume wildlife under national priority protection and terrestrial animals protected by the state that have important ecological, scientific or social value, and other terrestrial wildlife;</p> <p>5) Before entering the construction area, the construction unit must conduct training and education for the construction personnel, and strengthen the publicity and education of ecological protection for them.</p> <p><b>Impact on aquatic ecosystem during the construction period:</b></p> <p>1) Strengthen publicity and education and strictly control the construction area. In the construction project, the construction scope shall be strictly controlled when it involves any construction that is destructive to the aquatic ecological environment. With sufficient excavation area as the criterion, try not to</p>				



Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>expand the construction scope in order to minimize the damage to the biological habitat;</p> <p>2) Avoid the spawning and breeding period of fish, try to choose the winter dry season for construction, and strictly prohibit night construction;</p> <p>3) Construction vehicles and machinery shall be overhauled and cleaned before entering the construction site. Vehicles and machinery with oil leakage are strictly prohibited to enter the construction river reach and pollute the water body;</p> <p>4) When rainy day is approaching, strictly manage the solid waste to prevent it from entering the water body with rainwater and threatening the aquatic ecological environment;</p> <p>5) Set up an ecological environment supervisor to supervise the implementation of ecological protection during the construction period.</p> <p><b>Impact on Shaanxi Hanjiang River Wetland during the construction period:</b></p> <p>1) The site selection of construction camp and temporary storage area of construction materials</p>				

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>and equipment shall avoid important protected wetlands in Hanjiang River;</p> <p>2) Set up enclosures in the construction area, strictly control the construction scope, and prohibit arbitrary land occupation;</p> <p>3) Set up temporary septic tanks in the construction camp, and prohibit the discharge of domestic sewage into water source conservation areas and nearby rivers during the construction period. Regarding construction wastewater, set up oil separators to collect wastewater from overhauling and vehicle cleaning, and reuse it after oil separation and sedimentation treatment. Do not discharge it into nearby water bodies to ensure that the river water quality will not be affected;</p> <p>4) It is prohibited for construction personnel to dig, fill or dump waste in river channel or flood land;</p> <p>5) Set up diversion ditches around the material and earthwork areas to prevent rainwater from forming surface runoff and carrying a large amount of sediment and other materials into</p>				

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>surface water body;</p> <p>6) The topsoil stripped from temporary occupied land shall be piled up in a centralized way and used as soil for vegetation restoration after construction. Upon completion of construction, the surplus material of temporary occupied land shall be cleaned up in time to carry out ecological restoration, so as to minimize the surface exposure time and restore the original land use function;</p> <p>7) The following acts that destroy wetlands and their ecological functions are prohibited: ① Discharge industrial wastewater, domestic sewage and other wastewater and sewage polluting wetlands that do not meet the water pollutant discharge standard, and dump, pile up, discard or scatter solid waste; ② No unit or individual may destroy the habitats of birds and aquatic organisms; ③ It is prohibited to introduce and release alien species into wetlands.</p> <p><b>Impact of land occupation on permanent basic farmland during the construction</b></p>				

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p><b>period:</b></p> <p>1) No unit or individual may change or occupy the basic farmland protection area once it is demarcated according to law. If the site selection of key construction projects such as national energy, transportation, water conservancy and military facilities really cannot avoid the basic farmland protection area and it is necessary to occupy basic farmland, which involves the conversion of agricultural land or land expropriation, approval must be obtained from the State Council;</p> <p>2) It is prohibited for any unit or individual to build houses, dig sand, quarry, borrow soil, pile up solid waste or carry out other activities that destroy basic farmland in the basic farmland protection area.</p> <p><b>Impact of water and soil loss caused during the construction period:</b></p> <p>1) Strictly control the construction boundary and reduce the disturbance to surface vegetation;</p> <p>2) For the exposed surface disturbed by construction, temporary covering measures</p>				

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>should be taken to reduce water and soil loss;</p> <p>3) Earthwork excavation works should avoid the rainy season to prevent the erodible or newly filled exposed surface from being directly washed by rainwater;</p> <p>4) For temporary construction land, land remediation and greening shall be carried out in time upon completion of construction;</p> <p>5) Optimize and reasonably arrange the construction period, avoid construction in windy and stormy weather, improve the construction efficiency, shorten the construction time and reduce the ecological impact; make a compact and reasonable process layout to avoid a large area of surface exposure caused by improper process arrangement. Strengthen water and soil conservation, take temporary covering measures to prevent rain wash during earth excavation, and take water and soil conservation measures such as slope protection, retaining ridge and reinforcement in areas with larger altitude difference to minimize water and soil loss.</p>				
Exhaust	1) The construction site shall be provided with a	Construction	Implementation	TSP	During the

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>st gas</p> <p>continuous and 100% closed construction enclosure to reduce the escape of dust;</p> <p>2) The areas within 50m inside and outside the main entrance and exit of the construction site and around the enclosing wall shall be regularly cleaned and sprinkled with water by specially-assigned personnel, with a cleaning rate of 100%;</p> <p>3) Cement, lime and other building materials liable to generate dust on the construction site shall be stored in the warehouse and tank. Surplus earth and construction waste shall be piled up in a centralized way. Temporary storage yards shall be arranged reasonably, measures such as solidification, covering and greening shall be taken with an implementation rate of 100%. It is strictly prohibited to burn various types of waste on site;</p> <p>4) The hardening rate of main roads on the construction site is 100%, and water is sprayed regularly to reduce dust; the setting rate of signs at main entrance and exit of the construction site is 100%;</p>	period	ion Agency, contractor		construction period, monitoring shall be carried out once every quarter, and continuously for 7 days each time.

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>5) The exposed ground and earthwork on the construction site shall be covered with dense screen, or removed in time to restore vegetation;</p> <p>6) House demolition works within the area of project site must adopt enclosure isolation and 100% wet operation, with measures of sprinkling water or atomizing dust. The waste shall be covered or removed in time. Open demolition is strictly prohibited;</p> <p>7) On-line monitoring system and video surveillance of dust on construction site shall be installed and networked with industry supervision departments.</p> <p>8) Develop the management system of non-road mobile machinery on the construction site, and establish the management ledger of non-road mobile machinery entering the construction site; the PMO and the construction general contractor shall perform the duties of verifying and accepting the entry of non-road mobile machinery, fill in the entry verification and acceptance form of non-road mobile machinery, and verify the registration certificate for</p>				

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>environmental protection inspection of non-road mobile machinery to achieve "one form and one certificate for one machine". The entry verification and acceptance form and related materials shall be kept at the construction site for future reference;</p> <p>9) Urge the owners of non-road mobile machinery to carry out regular maintenance to ensure that the exhaust emission during the use of non-road mobile machinery meets the emission standard;</p> <p>10) Regularly check the pollutant emission and oil source of non-road mobile machinery in the Project, and demobilize non-road mobile machinery that fails to meet the emission standard and oil consumption standard.</p>				
Noise	<p>1) The noise during the construction period mainly comes from construction machinery and transport vehicles. During the construction period, the construction unit shall select construction machinery and transport vehicles that meet the relevant national standards, adopt low-noise construction machinery and</p>	Construction period	Implementation Agency, contractor	Continuous equivalence sound level A	During the construction period, monitoring shall be carried out once every



Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>technology, and install vibration damping bases for fixed machinery and equipment with large vibration; strengthen the maintenance and service of various construction equipment on a daily basis, and keep them running better to reduce the noise source intensity; strengthen the management of transport vehicles and strictly control the whistle of vehicles;</p> <p>2) The construction unit shall arrange appropriate personnel to take turns operating the construction machinery with high radiation and noise to reduce the time workers are exposed to high noise, and pay attention to machinery maintenance to keep the road building machinery at its lowest noise level. For construction personnel near the high radiation and strong sound source, it is necessary to shorten their working hours appropriately in addition to the labor protection measures of issuing sound-proof earplugs;</p> <p>3) Reasonably arrange the construction time and try to avoid night construction; the construction time of sensitive road sections shall be adjusted</p>				<p>quarter, and continuously for 2 days each time, once day and once night</p>

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>as appropriate, and the construction operations with high-noise machinery at night (22:00~6:00) are prohibited; if night construction is necessary due to the construction technology, it is required to obtain the Night Construction Permit according to regulations and make an announcement to the nearby residents;</p> <p>4) It is necessary to set up temporary construction enclosures (such as color steel plate, enclosing wall, etc.) with noise reduction function during construction near sensitive targets; control the running speed of mechanical equipment such as bulldozers, excavators and road rollers, and strictly prohibit whistling;</p> <p>5) The strong noise equipment on the construction site should be arranged on the side far away from residential areas, and noise reduction measures such as enclosing the strong noise equipment can be taken.</p>				
Waste water	1) Regarding construction wastewater, set up oil separators to collect wastewater from overhauling and vehicle cleaning, and reuse it after oil separation and sedimentation treatment.	Construction period	Implementation Agency, contractor	pH, CODcr, BOD <sub>5</sub> , NH <sub>3</sub> -N, SS, petroleum, etc.(Laojunguan and Huangyang River enter Hanjiang River)	Relying on the existing routine monitoring sections of

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>Do not discharge it into nearby water bodies to ensure that the river water quality will not be affected;</p> <p>2) Sand and gravel flushing wastewater shall be treated by a sedimentation tank and reused for sand and gravel flushing and concrete curing;</p> <p>3) If a construction camp is required for the follow-up project construction, the construction camp and temporary storage area of construction materials and equipment shall be far away from Hanjiang River to ensure that their wastewater will not flow into Hanjiang River and affect the water quality of river;</p> <p>4) The construction unit shall also avoid large-scale earthwork excavation works in the rainstorm season, take necessary water and soil conservation measures for temporary stocking areas of building materials and spoil (muck), and keep the drainage system on the construction site unobstructed;</p> <p>5) If a construction camp is required for the follow-up project construction, a temporary septic tank shall be set up in the construction</p>				<p>Hanjiang River and Huangyang River (Laojunguan and Huangyang River enter Hanjiang River), timely check the monitoring data of sections, and timely handle any abnormalities found in the data</p>

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	camp, and the domestic sewage generated shall be collected in a centralized way and treated regularly, and shall not be discharged at will.				
Water sources	<p>1) It is prohibited to build, rebuild or expand construction projects unrelated to water supply facilities and water source protection in the first-grade protection zone of drinking water sources; it is prohibited to engage in cage culture, tourism, swimming, fishing or other activities that may pollute drinking water bodies in the first-grade protection zone of drinking water sources;</p> <p>2) It is prohibited to build, rebuild or expand construction projects that discharge pollutants in the second-grade protection zone of drinking water sources. Those who engage in cage culture, tourism and other activities in the second-grade protection zone of drinking water sources shall take measures according to regulations to prevent pollution of drinking water bodies;</p> <p>3) It is prohibited to build or expand construction projects that seriously pollute water bodies in the quasi-protection zone of drinking</p>	Construction period	Implementation Agency, contractor	<p>Monitoring factor of Wangwan Drinking Water Source 1#and Wangwan Drinking Water Source 2 #:</p> <p>K<sup>+</sup>、Na<sup>+</sup>、Ca<sup>2+</sup>、Mg<sup>2+</sup>、CO<sub>3</sub><sup>2-</sup>、HCO<sub>3</sub><sup>-</sup>、Cl<sup>-</sup>、SO<sub>4</sub><sup>2-</sup>、pH, total hardness, total dissolved solids, iron, manganese, copper, zinc, aluminum, volatile phenols, oxygen demand, anionic surfactant, ammonia nitrogen, sulfide, total coliform group, nitrate, total bacterial count, nitrite and petroleum</p>	Before and after the construction period

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>water sources; rebuilding of construction projects shall not increase the amount of sewage;</p> <p>4) The assessment requires that temporary construction land such as borrow/spoil site, construction camp and material storage yard are prohibited within 1,000m upstream and 100m downstream of the water intake, and within 200m on both sides of the river bank. The scope of construction activities shall be far away from the protection zones as much as possible, and all production and domestic wastewater generated in the construction process shall be collected and reused without being discharged externally.</p>				
Water environment	<p>Relying on the existing routine monitoring sections of Hanjiang River and Huangyang River (Laojunguan and Huangyang River enter Hanjiang River), timely check the monitoring data of sections, and timely handle any abnormalities found in the data</p>	Operation period	Implementation Agency	<p>pH, CODcr, BOD<sub>5</sub>, NH<sub>3</sub>-N, SS, petroleum, etc. (Laojunguan and Huangyang River enter Hanjiang River)</p>	<p>Relying on the existing routine monitoring sections of Hanjiang River and Huangyang River (Laojunguan</p>

Potential impact		Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
						and Huangyang River enter Hanjiang River), timely check the monitoring data of sections, and timely handle any abnormalities found in the data
Low-impact and Resilient Road Engineering (7	Ecological environment	<p><b>Impact of land occupation and vegetation destruction on terrestrial plants during the construction period:</b></p> <p>1) Investigate the vegetation condition before construction, strictly record the vegetation condition before construction, and carry out greening after construction to minimize biomass loss as much as possible;</p> <p>2) Strictly control the construction scope and</p>	Construction period	Implementation Agency, contractor	Flora, vegetation type and community structure within the scope of project area, and key species, constructive species and dominant species in the community; fauna, species composition and distribution characteristics;	Project implementation period (2024~2029) , Before and after the construction

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
Roads), Parking Lot, Community Park and Sports Park Project, Green and Low-Carbon Urban Operation Management and Data Center, Protect	<p>minimize the construction activity area as much as possible;</p> <p>3) Carry out timely ecological restoration and vegetation greening for the temporary occupied areas of construction roads and construction material yards upon completion of construction;</p> <p>4) It is prohibited to introduce plants with diseases and insect pests as well as alien invasive species. Adopt local species for ecological restoration and greening, and prohibit harmful alien species;</p> <p>5) Strengthen the management of construction personnel during the construction period, and prohibit the excavation of protected wild plants.</p> <p><b>Impact on wild animals during the construction period:</b></p> <p>1) Before entering the construction area, the construction unit must conduct training and education for the construction personnel, and strengthen the publicity and education of ecological protection for them. Through institutionalization, construction personnel are strictly prohibited to hunt wild animals illegally</p>			the type, area and spatial distribution of ecosystem; the distribution, ecological characteristics and population status of important species, and the distribution and status of important habitats.	

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
ion Zone 1 Project of Zhangt an Town Section Protect ion Engine ering	<p>in order to mitigate the impact of construction on terrestrial animals in nature reserves;</p> <p>2) Optimize the construction route, and take the planned flood control road as the main transportation route for engineering materials to avoid disturbing the habitat animals;</p> <p>3) Prohibit night construction for projects located at the boundary of wetlands, and prohibit construction vehicles from honking. Vehicles shall try to travel at a low speed during transportation to reduce the disturbance to birds and reduce the damage of dust and exhaust gas to bird habitats;</p> <p>4) A topsoil layer of 30 ~ 50cm shall be reserved for temporary occupied land, and shall be leveled and restored as soon as possible after the construction to ensure the habitat of birds.</p> <p><b>Impact of water and soil loss caused during the construction period:</b></p> <p>1) Strictly control the construction boundary and reduce the disturbance to surface vegetation;</p> <p>2) For the exposed surface disturbed by construction, temporary covering measures</p>				



Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>should be taken to reduce water and soil loss;</p> <p>3) Earthwork excavation works should avoid the rainy season to prevent the erodible or newly filled exposed surface from being directly washed by rainwater;</p> <p>4) For temporary construction land, land remediation and greening shall be carried out in time upon completion of construction;</p> <p>5) Optimize and reasonably arrange the construction period, avoid construction in windy and stormy weather, improve the construction efficiency, shorten the construction time and reduce the ecological impact; make a compact and reasonable process layout to avoid a large area of surface exposure caused by improper process arrangement. Strengthen water and soil conservation, take temporary covering measures to prevent rain wash during earth excavation, and take water and soil conservation measures such as slope protection, retaining ridge and reinforcement in areas with larger altitude difference to minimize water and soil loss.</p>				
Exhaust	1) The construction site shall be provided with a	Construction	Implementation	TSP	During the

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>st gas</p> <p>continuous and 100% closed construction enclosure to reduce the escape of dust;</p> <p>2) The areas within 50m inside and outside the main entrance and exit of the construction site and around the enclosing wall shall be regularly cleaned and sprinkled with water by specially-assigned personnel, with a cleaning rate of 100%;</p> <p>3) Cement, lime and other building materials liable to generate dust on the construction site shall be stored in the warehouse and tank. Surplus earth and construction waste shall be piled up in a centralized way. Temporary storage yards shall be arranged reasonably, measures such as solidification, covering and greening shall be taken with an implementation rate of 100%. It is strictly prohibited to burn various types of waste on site;</p> <p>4) The hardening rate of main roads on the construction site is 100%, and water is sprayed regularly to reduce dust; the setting rate of signs at main entrance and exit of the construction site is 100%;</p>	period	ion Agency, contractor		construction period, monitoring shall be carried out once every quarter, and continuously for 7 days each time.

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>5) The exposed ground and earthwork on the construction site shall be covered with dense screen, or removed in time to restore vegetation;</p> <p>6) House demolition works within the area of project site must adopt enclosure isolation and 100% wet operation, with measures of sprinkling water or atomizing dust. The waste shall be covered or removed in time. Open demolition is strictly prohibited;</p> <p>7) On-line monitoring system and video surveillance of dust on construction site shall be installed and networked with industry supervision departments.</p> <p>8) Develop the management system of non-road mobile machinery on the construction site, and establish the management ledger of non-road mobile machinery entering the construction site; the PMO and the construction general contractor shall perform the duties of verifying and accepting the entry of non-road mobile machinery, fill in the entry verification and acceptance form of non-road mobile machinery, and verify the registration certificate for</p>				

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>environmental protection inspection of non-road mobile machinery to achieve "one form and one certificate for one machine". The entry verification and acceptance form and related materials shall be kept at the construction site for future reference.</p> <p>9) Urge the owners of non-road mobile machinery to carry out regular maintenance to ensure that the exhaust emission during the use of non-road mobile machinery meets the emission standard;</p> <p>10) Regularly check the pollutant emission and oil source of non-road mobile machinery in the Project, and demobilize non-road mobile machinery that fails to meet the emission standard and oil consumption standard.</p>				
Noise	<p>1) During the construction period, the construction unit shall select construction machinery and transport vehicles that meet the relevant national standards, adopt low-noise construction machinery and technology, and install vibration damping bases for fixed machinery and equipment with large vibration;</p>	Construction period	Implementation Agency, contractor	Continuous equivalence sound level A	During the construction period, monitoring shall be carried out once every

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>strengthen the maintenance and service of various construction equipment on a daily basis, and keep them running better to reduce the noise source intensity; strengthen the management of transport vehicles and strictly control the whistle of vehicles;</p> <p>2) The construction unit shall arrange appropriate personnel to take turns operating the construction machinery with high radiation and noise to reduce the time workers are exposed to high noise, and pay attention to machinery maintenance to keep the road building machinery at its lowest noise level. For construction personnel near the high radiation and strong sound source, it is necessary to shorten their working hours appropriately in addition to the labor protection measures of issuing sound-proof earplugs;</p> <p>3) Reasonably arrange the construction time and try to avoid night construction; the construction time of sensitive road sections shall be adjusted as appropriate, and the construction operations with high-noise machinery at night (22:00~6:00)</p>				<p>quarter, and continuously for 2 days each time, once day and once night</p>

Potential impact		Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
		<p>are prohibited; if night construction is necessary due to the construction technology, it is required to obtain the Night Construction Permit according to regulations and make an announcement to the nearby residents;</p> <p>4) It is necessary to set up temporary construction enclosures (such as color steel plate, enclosing wall, etc.) with noise reduction function during construction near sensitive targets; control the running speed of mechanical equipment such as bulldozers, excavators and road rollers, and strictly prohibit whistling;</p> <p>5) The strong noise equipment on the construction site should be arranged on the side far away from residential areas, and noise reduction measures such as enclosing the strong noise equipment can be taken.</p>				
Low-impact and Resilient Road	Traffic noise	<p><b>1) Source intensity</b></p> <p>① Strengthen road management and restrict vehicles with poor performance from entering the road to control the increase in traffic noise;</p> <p>② Pay attention to pavement maintenance, maintain a smooth pavement, and avoid poor</p>	Operation period	Implementation Unit	Continuous equivalence sound level A	During the operation period of 5 years, monitoring shall be

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
Engineering (7 Roads)	<p>road conditions that may cause vehicle bumping and increase noise;</p> <p>③ Strengthen traffic management, strictly implement traffic rules such as speed limiting and no overloading, and set up no-honking signs at road sections passing through villages and towns with great population density and near schools to reduce the problem of disturbing residents due to traffic noise.</p> <p><b>2) Transmission route</b></p> <p>During the operation of the road after construction, make a reasonable planning of building layout and strengthen the building sound insulation measures of the newly planned road. In combination with the local ecological construction planning, strengthen the greening work in the greening areas within the land acquisition scope of the project. Carry out the unified greening engineering design for the bank slope, drainage ditch and interchange section; establish the greening forest belt with multilayered structure on both sides of the road sections in villages, so that it forms a</p>				carried out twice a year, once every year after the 5 years, and continuously for 2 days each time, once day and once night

Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>three-dimensional barrier to strengthen the obstruction and absorption of traffic noise.</p> <p><b>3) Sensitive points</b></p> <p>① Combined with the requirements of EHS General Guidelines of the World Bank Group, passive protective measures (soundproof doors and windows, ventilation and noise elimination windows, etc.) are taken for noise-sensitive buildings with predicted values exceeding 3dB (A) during operation, so as to provide reasonable protection for the indoor acoustic environment quality.</p> <p>② Strengthen environmental monitoring of acoustic environmental quality along the highway, monitor the acoustic environmental quality once a year at sensitive points within the assessment scope on both sides of the road, and take corresponding mitigation measures in time according to the degree of acoustic environmental pollution.</p> <p><b>4) Control requirements for planning and construction of villages and towns along the line</b></p>				



Potential impact	Specific actions	Implementation date	Implementation units	Monitoring indicators	Time and frequency of monitoring
	<p>During the operation of the road after construction, strengthen road maintenance, make a reasonable planning of building layout, set up slowing down and no-honking warning signs in residential areas, and strengthen the building sound insulation measures of the newly planned road as well as noise monitoring along the road. In combination with the local ecological construction planning, strengthen the greening work in the greening areas within the land acquisition scope of the project. Carry out the unified greening engineering design for the bank slope, drainage ditch and interchange section; establish the greening forest belt with multilayered structure on both sides of the highway sections in villages, so that it forms a three-dimensional barrier to strengthen the obstruction and absorption of traffic noise.</p>				

## **5 Monitoring and Reporting**

### **5.1 External Monitoring**

In addition to the daily project management supervision system of the People's Government of Hanbin District (PMO) and WIZMC (PIU) will also hire a third-party independent monitoring agency to conduct monitoring activities in respect of the social action plan during the implementation of the project.

The scope of external social monitoring includes but is not limited to the implementation of the Environmental and Social Management Plan (ESMP), the preparation and implementation of social tools, the improvement of issues found in environmental and social audits, land acquisition and resettlement, worker management, community health and safety, stakeholder engagement activities, the operation of GRM and the environmental and social performance of associated facilities (if involved) and major Project-related facilities.

The external environmental and social monitoring agency will be entrusted by the PMO or PIU to provide third-party comments and reports after monitoring and assessing the actual implementation of social management measures during the implementation of the project. Its primary duties are to:

- a) Review whether the Construction Contractor's labor management, work safety plan, traffic management plan, community and public communication plan and other documents meet the requirements of approved environmental and social documents;
- b) Assist PMO and PIU in conducting training on environmental and social management (including labor management and stakeholder engagement) for the Construction Contractor and the Supervisor;
- c) Assist PMO and PIU in investigating and handling environmental and social emergencies or accidents;
- d) Track and monitor the implementation of social management documents such as social management plans, including consultation and investigation among the affected persons;
- e) Assist the PMO and the Project Executing Agency in investigating and handling environmental and social emergencies or incidents;
- f) Carry out external environmental and social monitoring and assessment on the implementation of environmental and social management

documents such as RP, ESMP, and SEP, including consultation with and investigation of affected persons;

g) Regularly submit monitoring reports to the PMO/PIU.

During the construction and operation of the Project, **relevant government departments** will perform their management and supervision functions and conduct regulatory activities, including on-site supervision and law enforcement by the environmental monitoring detachment (brigade) for pollutant discharge of the construction project; supervision and law enforcement by the urban administration bureau (comprehensive administrative law enforcement bureau) for safety and quality of municipal engineering, law enforcement inspection by the emergency management bureau (work safety supervision detachment) for work safety of the project and enterprise, supervision and law enforcement by the human resources and social security bureau for labor relations, and supervision and inspection by the health commission for occupational health and safety of workers.

## **5.2 Document Management and Reporting system**

### **5.2.1 Recording Mechanism**

The organization must develop a perfect recording system and keep the following records to effectively operate the environmental and social management system:

- (1) Relevant laws and regulations;
- (2) Administrative license issued by the government;
- (3) Relevant environmental and social impacts; environmental factors, relevant environmental and social impact assessment documents, and ESMP reports;
- (4) Training records;
- (5) Monitoring data;
- (6) Issues in environmental and social management, environmental protection, and social management;
- (7) Mitigation measures and effectiveness;

- (8) Other project-related information;
- (9) Review records of project documents.

In addition, it is necessary to perfect the management of the above records, including identification, collection, cataloging, filing, storage, management, maintenance, inquiry, retention period, disposal, and other links of records.

### **5.2.2 Reporting Mechanism**

The PIU will make the project's social management work report on a regular basis **(every half year)**, check the implementation progress and effectiveness of the social management plan, environmental and social management plan and other related plans (stakeholder engagement plan, etc.), and submit the report to the PMO .

The PMO and PIU is responsible for summarizing the environmental and social performance of the entire project, making an environmental and social management progress report every six months (which can be used as part of the project implementation progress report) and submitting it to the AIIB.

The external environmental and social monitoring agency will submit an external monitoring report to the PMO and PIU every six months according to the contract. After reviewing these reports, the PMO will submit them to the AIIB as attachments with the semi-annual progress report of the project.

The terms of reference for the external monitoring report will be developed at an early stage of project implementation and deemed as part of the tender documents. At a minimum, the report shall include information on project progress, monitoring data, environmental and social performance assessment, and institutional capacity building.

External environmental and social monitoring will monitor and report on the Environmental, Social, Health, and Safety (ESHS) performance of the project, including but not limited to implementation of this ESMP, remediation measures for filling gaps identified through environmental and social audits, land acquisition and resettlement, workforce management, community health and safety, stakeholder engagement activities, operation of grievance redress mechanism (GRM), and related environmental and social performance (if applicable).

As part of regular monitoring, the External Environmental and Social Consultant shall follow up, verify, and report on gaps identified in environmental and social audits and external monitoring (e.g. gaps in labor, land, community health and safety, and stakeholder engagement), and ensure that these gaps are

appropriately remediated according to the timelines set out in relevant environmental and social documents.

## Attachment:

### Attachment 1 Labor Management Procedure

#### 1. Overview

According to the SIA survey and AIIB's ESF, there are three types of workers involved in the project, including:

**Direct workers:** Relevant personnel specialized in projects or activities directly hired by the borrower (including the PMO and PIU). For example, project personnel hired by the PIU, municipal maintenance personnel during the operation period, etc.;

**Contract workers:** refer to personnel hired by third parties to engage works related to the core functions of the project. It mainly includes contractor workers, such as construction workers for civil works.

**Main supplier's workers:** those hired by suppliers who continuously provide goods or materials crucial to the core functions of the project directly.

**Table 1 Type of Main Workers in Construction Subprojects**

Stage	Type of Workers	Main activities
Preparation stage	Direct workers	Personnel responsible for project preparation, approval, and other related matters in the early stage of the PMO and PIU
Construction period	Contract workers (contractor's workers)	Workers hired by the engineering contractor, who are responsible for civil works, greening, equipment installation, etc. of all sub projects.
	Supplier's workers	Workers hired by goods or material manufacturers to continuously provide critical goods or materials directly to the project
Operation period	Direct worker	Management personnel, municipal maintenance personnel, park staff, cleaning personnel, etc. hired by relevant sections or directly affiliated companies such as municipal and urban management under the PIU for the operation of the project after completion.

#### 2. Potential Risks and Impacts

During the preparation period of the project, SIA survey and extensive stakeholder participation were conducted through data collection, workshops, and interviews with key informants. Based on the nature of social risks and impacts of project activities, the types of work involved, and the different stages of related subprojects and activities, the risks and impacts of activities on different types of workers were identified.

According to the findings of the SIA survey, the PMO/PIU during the construction and operation periods are mainly government departments and subordinate institutions, which adopt a relatively complete labor management and supervision system. There will be no labor risks related to child labor, forced labor, and recruitment discrimination under the project.

The risks of workers under the project mainly focus on work terms and conditions, occupational health and safety, and other aspects. The following table explains the risks and impacts of each stage separately.

**Table 2 Potential Risks and Impacts of Subproject Construction Workers**

Stage	Type of Workers	Potential Risks and Impacts
Preparation stage	Direct workers	- Due to relatively complete labor management and supervision system, few risks will occur.
Construction period	Contract workers (contractor's workers)	- Risks of mechanical/equipment operation accidents, road safety risks of transportation vehicles, risks of dust and odors during indoor decoration, and risks of accidental injuries on construction sites; - There may be incomplete management of labor contracts for workers, such as failure to sign labor agreements with temporary workers, and missing necessary information in labor contracts.
	Supplier's workers	- Risk in working conditions for workers
Operation period	Direct workers	Risks in the employment and working conditions of workers

### 3. An Overview of Labor Legislation in China

#### 3.1 Employment and Conditions

China has established a comprehensive legal and regulatory framework for labor management. As a member of the International Labour Organization (ILO), China has ratified 28 conventions (including 20 in force, as shown in Table 7), covering issues related to equal pay, discrimination, minimum age, child labor, occupational health and safety, forced labor, employment policies, consultation, and the rights of association. The laws and regulations in China and the Shaanxi Province specify wage standards, working hours, labor protection, and labor disputes. They prohibit forced labor and/or child labor while providing special labor protections for female workers and underage workers. This is fully compliant with the relevant requirements of the AIIB ESS2. Table 6 lists the Chinese laws and regulations applicable to the first batch of subprojects.

**Labor Contract Management:** According to Chinese labor laws and regulations, employers shall sign labor contracts with their employees

in written form. The labor contract shall include details such as the contract duration, job description, workplace, working hours and leave policies, compensation, overtime compensation, social insurance, labor protection, working conditions, and occupational hazard prevention.

**Working Hours:** According to labor laws, the country follows a working hour system that limits daily work hours to no more than eight hours and the average weekly work hours to no more than forty hours. Employers are required to ensure that employees have at least one day of rest each week. Employers shall also arrange for employee leave during statutory holidays. Public institutions or organizations that cannot implement a standardized work schedule may flexibly arrange their employees' weekly rest days based on the actual circumstances.

**Overtime Hours:** Employers must strictly adhere to labor quota standards and are prohibited from forcing or indirectly compelling employees to work overtime. When employers schedule overtime work, they must pay overtime wages to employees in accordance with relevant national regulations. Employers, due to production and operational requirements, may extend working hours after negotiating with labor unions and employees. In general, daily extensions should not exceed one hour. In cases of special circumstances requiring extended working hours, the extension should not exceed three hours per day while ensuring the employees' physical health, but it should not exceed thirty-six hours per month.

**Remuneration and Benefits:** The nation follows a minimum salary guarantee system, with the Chinese labor law stipulating that employers must pay laborers with salary not less than the local minimum salary standard. Salary shall be paid in monetary form on a monthly basis to the workers themselves. Deductions or unjustified delays in the payment of laborer's salaries are prohibited. In the case of statutory holidays, weddings and funerals, etc., the employer shall pay salaries in accordance with the law; the employer and workers must participate in social insurance and pay social insurance premiums in accordance with the law.

AIIB requires employers to establish and implement written LMP applicable to all types of workers involved in the project. This includes providing workers with information and documentation that clearly outlines employment terms and conditions and specifies the rights they are entitled to under national laws and regulations. These rights encompass various aspects such as working hours, wages, overtime, remuneration, and benefits. Employers are also required to make regular salary payments to project workers in accordance with national laws and LMP requirements and to provide sufficient weekly rest day, annual



leave, as well as sick leave, maternity leave, and personal leave. For community workers, it is necessary to specify the terms and conditions of employment for engaging in community labor. This includes details regarding payment amounts and methods (if applicable), working hours, and how to file project-related grievances.

**Table 2 Applicable Laws and Regulations on Laborers and Working Conditions**

S/N	Name of Laws and Regulations	Year of Implementation
1	"The Labor Law of the People's Republic of China"	1995, revised in 2018
2	"Regulations of the State Council on Working Hours for Employees"	1995
3	"Implementation Regulations of the Labor Contract Law of the People's Republic of China"	2008
4	"The Labor Contract Law of the People's Republic of China"	2008, revised in 2012
5	"Special Provisions on Labor Protection for Female Workers of the People's Republic of China"	2012
6	Measures for the Implementation of the "Work Injury Insurance Regulations" in Shaanxi Province	2004, revised in 2011
7	"Regulations on Minimum Wages in Shaanxi Province"	2006
8	"Measures for the Implementation of Special Provisions on Labor Protection for Female Workers in Shaanxi Province"	2018
9	"Measures for the Development and Management of Public Welfare Positions in Shaanxi Province"	2019
10	"Notice on Carrying out Work Related to the Development and Management of Public Welfare Positions"	2020

Source: Desk work from a social consulting organization.

**Table3 of International Labour Organization Conventions Approved by China (Effective)Part<sup>25</sup>**

Conventions	Date
<b>Core Convention (5)</b>	
C100-1951 "Equal Remuneration Convention" (No. 100)	1990.12.02
C111-1958 "Discrimination (Employment and Occupation) Convention" (No. 111)	2006.01.12
C138-1973 "Minimum Age Convention" (No. 138) - stipulates a minimum age of 16 years	1999.04.28
C155-1981 "Occupational Safety and Health Convention" (No. 155)	2007.01.25
C182-1999 "Convention on Worst Forms of Child Labor" (No. 182)	2002.08.08
<b>Governance (Priority) Convention (2)</b>	

Conventions	Date
C122-1964 "Employment Policy Convention" (No. 122)	1997.12.17
C144-1976 "Tripartite Consultation (International Labour Standards) Convention" (No. 144)	1990.11.02
<b>Technical (13)</b>	
C011-1921 "Right of Association (Agriculture) Convention" (No. 11)	1934.04.27
C014-1921 "Weekly Rest (Industry) Convention" (No. 14)	1934.05.17
C019-1925 "Equality of Treatment (Accident Compensation) Convention" (No. 19)	1934.04.27
C026-1928 "Minimum Wage-Fixing Machinery Convention" (No. 26)	1930.05.05
C027-1929 "Marking of Weight (Packages Transported by Vessels) Convention" (No. 27)	1931.06.24
C032-1932 "Protection against Accidents (Dockers) Convention" (Revised), 1932 (No. 32)	1935.11.30
C045-1935 "Underground Work (Women) Convention" (No. 45)	1936.12.02
C080-1946 "Final Articles Revision Convention" (No. 80)	1947.08.04
C150-1978 "Labour Administration Convention" (No. 150)	2002.03.07
C159-1983 "Vocational Rehabilitation and Employment (Disabled Persons) Convention" (No. 159)	1988.02.02
C167-1988 "Safety and Health in Construction Convention" (No. 167)	2002.03.07
C170-1990 "Chemicals Convention" (No. 170)	1995.01.11
The Maritime Labour Convention (MLC), 2006, established in 2006 designates the following social security sectors based on standard A4.5 (2) and (10): medical care, unemployment benefits, pensions, occupational injury benefits, and maternity benefits.	Revised on December 12, 2015, 2016 and 2018

Source: International Labour Organization (ILO) official website, August 2022.

### 3.2 Occupational Health and Safety

According to incomplete statistics, China has more than 100 occupational safety and disease prevention technical specifications and standards. These technical specifications and standards are developed based on industry best practices or updated according to the requirements of relevant technical regulations/specifications from organizations like the World Health Organization, the European Union, or the United States, as well as international labor conventions. These technical specifications and standards must be applied to the design and operation of facilities. The laws and regulations of China and Shaanxi Province have established provisions for the protection of workers' occupational health and safety, as outlined in Table 9.

**Table 4 Applicable Laws and Regulations for Workers' Occupational Health and Safety**

S/N	Name of Laws and Regulations	Year of Implementation
1	"Production Safety Law of the People's Republic of	Revised in 2021

S/N	Name of Laws and Regulations	Year of Implementation
	China”	
2	“Law of the People’s Republic of China on the Prevention and Control of Occupational Diseases”	Revised in 2018
3	“Regulations on Labor Protection in Workplaces Using Toxic Substances”	2002
4	“Emergency Response Law of the People’s Republic of China”	2007
5	“Measures for the Supervision and Administration of Employers’ Occupational Health Surveillance”	2012
6	“Measures for the Supervision and Administration of ‘Three Simultaneities’ for the Safety Facilities of Construction Projects”	Revised in 2015
7	“Measures for the Supervision and Administration of ‘Three Simultaneities’ of Occupational Disease Prevention Facilities in Construction Projects”	2017
8	“Provisions on the Administration of Occupational Health at Workplaces”	2021,
9	“Regulations on Work. Safety Responsibility of Production and Operation Entities of Shaanxi Province”	2012
10	“Overall Emergency Response Plan for Sudden Incidents in Shaanxi Province”	2021,
11	“Emergency Response Plan for Special Equipment Accidents in Shaanxi Province”	2022
12	“Occupational Disease Prevention and Control Plan in Shaanxi Province (2021-2025)”	2022

**Source:** Desk work from a social consulting organization.

According to the above relevant laws and regulations, China's main requirements on occupational health and safety include:

(1) Employers must establish and improve labor safety and health systems, strictly adhere to national labor safety and health regulations and standards, provide education on labor safety and health to employees, prevent accidents during work, and reduce occupational hazards.

(2) Labor safety and health facilities must meet the standards set by the national regulations. Labor safety and health facilities for new construction, renovations, or expansion projects must be designed, constructed, and put into operation simultaneously with the main project.<sup>36</sup>

(3) Employers must provide employees with labor safety and health conditions and necessary labor protection equipment as stipulated by national regulations. Employees engaged in hazardous occupational tasks should undergo regular health check-ups.

(4) Employees engaged in specialized operations must receive specialized training and obtain qualifications for those specialized operations.

(5) Necessary safety training and labor protection equipment must be provided to employees.

(6) Conduct occupational health check-ups for employees before they take up their positions, during their employment, and when they leave their jobs.

(7) Employers should purchase occupational injury insurance for their employees.

(8) Employees must strictly adhere to safety operating procedures during work. They have the right to refuse to follow instructions from management that violate regulations or involve risky operations. They also have the right to criticize, report, or file complaints against actions that endanger their lives or health.

(9) The nation has established a system for reporting and dealing with injury accidents and occupational diseases. The labor administrative departments, relevant departments, and employing units of the people's governments at or above the county level shall, in accordance with the law, make statistics, report on and deal with casualty accidents and occupational diseases of workers occurring in the course of their work.

#### **4. Responsibility Subjects, Responsibilities and Resources**

For the PMO and PIU, it is necessary to clarify their respective responsibilities and resource arrangements in labor management. The following analysis is for reference and will be dynamically adjusted based on actual situations in the future.

##### **4.1 Hanbin District PMO**

The Hanbin District PMO will be responsible for the specific organization, coordination, supervision, and guidance of the entire project, including coordinating the PMO and PIU to manage the performance of different types of workers, and reporting to the AIIB. The main responsibilities of Hanbin District PMO in labor management include:

- During the project implementation process, The officer shall regularly organize specialized training on how to implement actions and measures in various labor management procedures for PMO and PIU, contractors, and different types of workers;
- The officer shall provide guidance on the management of contractor contract workers during the construction and operation phase of the project, and incorporate the labor management requirements of the PIU into relevant agreements during the bidding and procurement process.

##### **4.2 PIU**

According to existing information, the PIU is arranged at the Wuli Industrial Concentration Zone Management Committee in Hanbin District, with main responsibilities including:

- Arranging at least 1 environmental specialist and 1 social specialist each, responsible for coordinating and supervising the social risk management of the project (including labor management), and coordinating and arranging relevant personnel and budget.
- Urging each construction and operation PIU in this region to implement the relevant measures and actions in the labor management procedures and environmental and social commitment plans.
- Implementing labor management requirements for contractor contract workers in the bidding and procurement documents and include them in the contract text, and include relevant non compliant remedial clauses in the contract.
- Requiring PIU to conduct monitoring of the implementation of their respective social risk management (including labor management procedures) and regularly report to the PMO .
- Engaging external social consultants to carry out external social monitoring, including monitoring the effectiveness of implementation of relevant measures and actions in LMP and ESMP.
- Assisting in external monitoring of the implementation of social risk management (including worker management performance) in various subprojects, and report to the PMO.

The PIU will establish/designate specific departments to be responsible for the management of workers during the project construction and operation process, including labor terms and conditions (labor contracts, labor remuneration, overtime subsidies, work time arrangements, etc.), occupational health and safety, contractor contract worker management, appeal handling, etc., before the project construction starts. After the corresponding responsible departments and officers are clarified, it will uniformly be reported to PMO/PIU and make it public. And, an adequate budget should be reserved for worker risk management.

## **5. Labor Policies and Procedures of the PIU**

According to the findings of the SIA, evaluate the systems and procedures established by the PIU in terms of employment terms and working conditions, occupational health and safety, and appeal handling, and highlight the systems and procedures that need to be improved and strengthened. The PIU need to

improve relevant systems and procedures after the project takes effect and before the start of related subproject construction.

According to relevant Chinese regulations and the requirements of the AIIB's ESF, based on the findings of due diligence, the PIU shall establish and improve the following systems and procedures related to labor management, establish relevant management positions, and designate specialized personnel to be responsible for implementation:

Improve the management system and procedures for employee employment and working conditions: In accordance with the relevant requirements of China's Labor Law, Labor Contract Law, and the AIIB's ESF, improve labor contracts, especially for temporary workers, ensure that labor remuneration is not lower than the local minimum wage level.

Improve the management system and procedures for occupational health and safety: In accordance with relevant national regulations, strengthen the management of occupational health and safety in the workplace, including informing workers of occupational disease hazards in the workplace, regularly conducting training on employee occupational health and safety (including infectious disease prevention and control), and providing necessary PPE.

Establish a system and procedure for managing the performance of contractor workers: In accordance with the relevant requirements of the Chinese Labor Law and the AIIB's ESF, strengthen the management of contractor workers by improving the existing personnel system or designating specialized systems through the corresponding requirements of the bidding documents and contract terms.

Establish labor management procedure for suppliers. Suppliers shall provide due diligence reports on labor and working conditions from the goods manufacturer during bidding, and the PIU should review the reports and submit them to the AIIB for review;

Improve the Grievance Redress Mechanism (GRM) for all kinds of workers: According to the requirements of AIIB's ESF, improve the GRM for all kinds of workers in the project, and ensure that the GRM includes multiple channels, written records, open procedures, transparency and appeal procedures when it cannot be solved;

Establish a monitoring and reporting procedure for labor management performance: Monitor the contractor's labor management performance (including grievance handling), summarize it and regularly report to the PMO and PIU.

## **6. Age of Employment**

China's *Labor Law* (2018) sets the minimum working age at 16, which is more stringent than ESS2 (14 years).

China's *Labor Law* (2018) and *Regulations on the Special Protection of Underage Workers* (1994) both provide specific protection for underage workers (16 to 18 years old). It is prohibited for underage workers to use dangerous machinery, equipment or tools at night in unhealthy, harmful or toxic environments, or to participate in dangerous work such as carrying or transporting heavy objects.

The PMO/PIU and its contractors and major suppliers will verify the identity and age of all workers to ensure that child labor is not employed or used in subprojects. This will require workers to provide official documents, including birth certificates or identity cards.

The Project shall strictly abide by the prohibition of child labor (under 16 years old) and any form of forced labor. If a child under the minimum age is found working on the Project, measures will be taken to terminate the employment or engagement of that child immediately and responsibly, taking into account the best interests of the child.

The PMO/PIU shall not employ or engage underage workers, if any, under any specific conditions prohibited by law and ESS2 (paragraphs 18-19). All underage workers must be registered with the local labor and social security department. Health examination shall be carried out for underage workers before they enter the post, and shall be carried out regularly every six months until they reach the age of 18.

## **7. Direct Worker**

For direct workers, the PMO and PIU have basically established and implemented relatively complete provisions on terms and conditions of labor contracts, and their staff have better working conditions.

## **8. Contractor Management**

This section briefly describes the contractors that may be involved during project construction and operation based on the findings of the social assessment and explains the requirements for contractor management.

In general, workers employed in similar works are exposed to similar risks and impacts. For the PMO and PIU during the project construction period and operation period, it is necessary to clarify their responsibilities and resource arrangement in contractor selection, management and performance monitoring.

### **(1) Responsibility Requirements for the Contractor**

The Contractor and its subcontractors (if any) shall bear the following responsibilities (but not limited to):

Develop and implement project-specific labor management procedures in accordance with the ESF, including non-discrimination principles in recruitment and employee orientation (see template Code of Conduct below); these procedures and plans will be submitted to the PIU for approval;

Maintain records of the recruitment and employment of contract workers;

Clearly inform contract workers of job descriptions and working conditions;

Develop and implement a GRM for laborers to address the grievances of contract workers;

Implement specific prevention and control measures for infectious diseases according to the contract requirements;

Monitor, supervise and report on health and safety issues related to infectious diseases;

Strengthen worker awareness and training to prevent and reduce the risk of transmission of infectious diseases;

Strengthen worker awareness and training to prevent and reduce sexual violence and harassment;

Establish a regular review and reporting system for workers' occupational safety and health performance;

Conduct regular induction (including social induction) and health and safety education training for workers;

Ensure that all workers employed by the Contractor are made aware of and sign the [documentation of] work requirements [of which they are aware] before commencing work;

Update the labor management procedures if required.

The Contractor shall report the labor management performance of the contract workers to the PIU on a quarterly basis.

## **(2) Management of the Contractor by PMO and PIU**

The PMO will review the qualifications of contractors and require all contractors for the Project to operate in a manner that meets the specific requirements set out in AIIB's ESF and the *Environmental and Social Management Plan*.

### **Qualification examination**

As part of the selection process for hiring contractors, the **PMO and PIU** will review the following information:



Business license, industrial and commercial registration, relevant permits and approvals;

Institutional documents related to labor management, including OHS issues such as the LMP and Code of Conduct (see the template of Code of Conduct below), including non-discrimination principles, provisions for preventing SEA/SH in the workplace, and accommodation management for workers in the local community;

Review the information of workers or departments responsible for labor management, occupational safety and health, including qualifications and certificates;

Worker's contract template;

Wage records of workers, including hours worked and wages received;

Records of welfare payments to workers;

Certificates, permits and training necessary for the performance of the work by the workers;

Records of safety and health violations, as well as responses;

Records of accidents and fatalities and notification to relevant authorities;

Public record information, such as company registration materials and public documents related to violations of existing labor laws, including reports from labor inspection agencies and other law enforcement agencies;

Copies of previous contracts with contractors and suppliers indicating that they contain provisions and terms reflecting ESS2.

In particular, any contractor who uses or has ever used child labor shall not be eligible to participate in the bidding.

<p><b>Title:</b> Code of Conduct Template</p> <p><b>Contractor's Code of Conduct (Template)</b></p> <p><b>Message from Top Management</b></p>	<p>Contains information about the importance of contractor ethical commitments and code of conduct.</p> <p><b>Introduction</b></p> <p>Provides information on how to use the code of conduct.</p>
<p><i>For example:</i></p> <p><i>Who does it apply to?</i></p>	

Does this code also apply to contractors and workers of major suppliers?

**Ethical Principles and Core Values**

Explains the contractor's core beliefs and values.

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*For example:*

- Honesty*
- Integrity*
- Reliability*
- Respect for others*
- Accountability*
- Law-abiding*
- Empathy*
- Team Collaboration*

**Grievance Redress Mechanism (GRM)**

This section includes not only clear contact phone numbers and communication channels but also GRM for works, such as:

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*Reporting issues:*

- Communicating with management*
- Website:*
- E-mail:*
- Tel.:*
- Address:*
- Other specific effective channels*

Outline the company's non-retaliation policy and the commitment to ensuring that anyone reporting any issues will not face retaliation. Explain the company's stance on penalties for retaliatory behavior. Ensure a clear definition of retaliation is provided.

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*For example:*

*Workers who report issues in good faith should not face any adverse employment actions, including:*

- Unfairly terminating their employment or suspending them*
- Unfairly denying their promotion or access to other employment benefits*
- Offline or online bullying and harassment*

**Discriminating others**

Outline the contractor's commitment to protecting workers from discrimination and ensuring equal opportunities.

*For example:*

*The employment of project workers will be based on the principles of equal opportunity and fair treatment.*

*There will be no discrimination in any aspect of the employment relationship, including recruitment and hiring, salaries and benefits, working conditions and terms of employment, access to training, job assignments, promotions, termination of employment or retirement, or disciplinary actions.*

**Sexual exploitation and abuse (SEA)/ sexual harassment (SH)**

This explains the contractor's zero-tolerance policy for workplace SEA/SA.

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*For example:*

*Always treat all colleagues, clients, business partners, and other stakeholders with dignity and respect.*

*Any form of harassment, including physical, sexual, verbal, or other harassment, is prohibited, and harassers will face disciplinary actions, which may include termination.*

*Harassment may involve actions, language, text, or objects that create a hostile or intimidating work environment, such as:*

*Shouting or humiliating someone*

*Physical violence or intimidation*

*Sexual teasing, advances, or comments that are offensive*

*Physical behaviors, including hitting or unwelcome touching*

*Minimizing noise, disruptions, and inconveniences to residents*

*Respecting and responding appropriately to the culture of residents;*

**Community Health and Safety**

An overview of the contractor's commitment to protecting the health and safety of the surrounding community

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*For example:*

*The site's operational procedures should not cause any harm to the community's health and safety. You should always take the following actions:*

*Disclose project information, GRM, and regular monitoring reports;*

*Engage in negotiations with residents, including vulnerable residents;*

*Maintain politeness and humility at all times;*

*You must not:*

*Use offensive language or engage in loud or disruptive behavior;*

*Comment on real estate, residents, or their lifestyles;*

*Disturb or abuse residents' animals or pets;*

*Block or obstruct private or public lanes, pathways, intersections, resident parking areas, or vehicles without prior permission and for more than necessary time;*

*Enter or stay in places where people live or use without residents' prior permission and in their absence;*

*Properly cover hazardous items such as wires;*

*Remain calm and polite in disputed situations. If you have any issues, please contact us.*

*Please call...*

**Occupational Health and Safety**

An overview of the company's commitment to providing employees with a safe and healthy workplace.

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*For example:*

*The company operates in compliance with applicable health and safety requirements that meet both domestic and ESS2 standards. It is committed to continuously improving its health and safety policies and procedures.*

*All employees are expected to adhere to relevant health and safety laws, regulations, policies,*

*and procedures and apply safe working practices at all locations.  
Applicable safety and health requirements must be communicated to any visitors or contractors at the company's premises.  
Employees are required to immediately report workplace injuries, illnesses, or unsafe conditions.*

### **E&S risk management**

An overview of the company's commitment to minimizing the impact of all its activities on the E&S.

*For example:*

*The company is committed to operating in an environmentally responsible manner, including activities related to waste transport, waste transfer and disposal, and supplier selection.*

*The company adheres to all applicable environmental laws and regulations, as well as its commitment to sustainable practices and environmental protection*

*Forced Labor: All employees employed by the company and its suppliers must do so voluntarily, and no one shall be subjected to forced labor.*

*Child Labor: The company shall not employ individuals below the minimum legal working age of their respective country (which, in this case, is 16 years).*

### **Acknowledgment of Code of Conduct**

By verifying the company's Code of Conduct, you acknowledge that:

*For example:*

*You have read the Code of Conduct in its entirety and understand the associated responsibilities.*

*You have the opportunity to ask questions to clarify any unclear aspects of the guidelines.*

*You agree to abide by its provisions.*

*You agree to report any violations of these guidelines to the company.*

*You agree to cooperate with any investigations related to violations of these guidelines.*

Note: The PMO/PIU may adapt relevant elements to suit the specific context and requirements of particular subprojects or activities.

### **Procurement and Contract Management**

Contracts with selected contractors will include provisions on labor and occupational health and safety in the *Environmental and Social Standards* and regulations of China.

The **PMO** will guide the PIU to prepare relevant labor management provisions in the bidding and procurement documents. For example, according to the requirements of AIIB's ESF, the above-mentioned responsibilities of contractors in contract worker management shall be implemented in the bidding and procurement documents, including labor employment terms and working conditions, occupational health and safety (including infectious disease prevention and control measures) and grievance redress mechanism, and relevant provisions shall be incorporated into contract management (including remedial measures for non-conformities). In the case of subcontracting, the Borrower will require third parties to include equivalent requirements and remedies for non-conformities in their contract agreements with subcontractors.

## **Monitoring**

The contractor's labor management performance, including the construction and implementation of grievance redress mechanism, is included in the internal monitoring of PIU and external monitoring of PMO.

The concerned PMO will manage and supervise the contractor's performance, focusing on the contractor's compliance with its contract agreements. This may include periodic audits, inspections, spot checks of project locations or work sites, and/or labor management records and reports prepared by the contractor. The contractor's labor management performance shall be included as part of the project implementation progress report to the AIIB.

The contents and reports of the contractor's labor management monitoring may include (but are not limited to):

- A representative sample of labor contracts or agreements between contractors and contract workers;

- Wage payment records;

- Arrangement of rest days;

- Distribution records of labor protection appliances;

- Records of relevant training provided to contract workers, in particular on labor and working conditions as well as occupational health and safety;

- Records of grievances received and their resolution (including appropriate disposition of SEA/SH allegations);

- Reports related to safety inspection, including fatalities and accidents and implementation of rectification measures.

- Records of training provided.

## **9. Supplier worker management**

This section briefly describes the suppliers that may be involved during project construction and explains the requirements for supply management based on the findings of social assessment.

### **(1) Responsibilities and requirements of suppliers**

The supplier shall undertake the following responsibilities (but not limited to):

When bidding, the supplier shall submit the due diligence report for the workers of goods manufacturers to PIU, which shall include: ① Institutional documents related to labor management, including OHS issues, including the principle of non-discrimination, regulations on

prevention of SEA/SH in workplaces, etc.; ② The worker's contract template; ③ The minimum age of workers; ④ Whether the manufacturer provides any work involuntarily by workers; ⑤ Working hours and wage level; ⑥ Public record information, such as company registration materials and public documents related to violations of existing labor laws, including reports from labor inspectorates and other law enforcement agencies;

Ensure that all workers employed by the supplier are made aware of and sign the [documentation of] work requirements [of which they are aware] before commencing work;

Update the labor management procedures if required.

## **(2) Management of the Contractor by PMO and PIU**

The PMO will review the qualifications of contractors and require all contractors for the Project to operate in a manner that meets the specific requirements set out in AIIB's ESF and the *Environmental and Social Management Plan*.

### **Qualification examination**

As part of the selection process for hiring suppliers, the **PMO and PIU** will review the following information:

Business license, industrial and commercial registration, relevant permits and approvals;

Review the labor due diligence reports submitted by suppliers on manufacturers of goods and submit them to AIIB for review;

Copies of previous contracts with suppliers indicate that they contain relevant provisions and terms reflecting AIIB.

Special attention shall be paid to that any supplier or manufacturer who uses or has ever used child labor and involuntary labor of any kind shall not be eligible to supply goods for the Project.

## **10. Grievance redress mechanism**

According to the AIIB's ESF, the scope, size and type of grievance redress mechanism shall be appropriate to the nature and scale of potential risks and impacts of the project. It shall include elements such as different channels, written records and filing, open procedures, transparent decision-making, and appeal procedures when resolution cannot be achieved. When designing the grievance redress mechanism, the existing grievance redress mechanism can be used and improved on this basis. As the specific details of subsequent batches of construction projects have not been determined yet, this framework only

determines the principle requirements. Once the construction project is determined, each PIU shall establish and implement a systematic and effective grievance redress mechanism in accordance with the following principles. The grievance redress mechanism shall be designed in accordance with the nature and scale of potential project impacts and risks, including grievance channels, written records, procedural disclosures, transparency of decision-making, appeal procedures, etc. Meanwhile, it is required to respect the principles of confidentiality, data privacy and transparency. The final design of the grievance redress mechanism will be negotiated with relevant stakeholders during the project implementation, verified and adjusted as needed to ensure its relevance and ease of use.

The grievance redress mechanism at the project worker level shall include all types of workers involved in the project, including direct, contract and supplier workers.

The grievance redress mechanism shall include two channels through which project workers can report either or both of the following.

#### **1) Internal grievance channels**

The PIU shall improve the internal grievance redress mechanism for different types of workers based on its existing grievance redress mechanism, determine special departments and personnel to handle employees' grievances, and require written records and filing.

For direct workers, based on the existing grievance redress mechanism of PIU, it is extended to higher authorities.

For contract workers, the contractor is required to establish a grievance redress mechanism for contract workers, such as level-by-level reporting system or direct reporting to the person in charge of the site assigned by the contractor, and contact with the grievance redress department of PIU.

#### **2) External grievance channels**

External grievance redress mechanisms may include channels such as local human resources and social security departments, women's federations and federation of trade unions. Grievance methods include telephone hotline, online platform, petition and other forms. After receiving complaints related to the project, government departments will feed back them to the construction subproject PIU.

All kinds of grievance channels will be published on the official websites of various government departments, construction subproject PIU and contractors, and publicized through internal staff meetings to ensure the transparency of

grievance procedures and decision-making; different grievance methods shall be provided, including submission in person, by mobile phone, SMS, letter, e-mail or via websites.

Each organization shall arrange full-time personnel to record, form a grievance log and conduct investigation. Once the investigation is completed, the complainant shall be informed of the decision/resolution/action in writing/by telephone/SMS. The grievance log shall include the date on which the grievance was received, the name of the complainant, a short description of the grievance, measures taken (including remedial measures/resolution/outcome) and the final resolution date for the grievance. All records and resulting resolutions will be reflected in the annual environmental and social monitoring report.

The project workers can also use the conciliation procedure stipulated in the Labor Law, and its basic procedures are as follows:

Stage 1: The party initiating arbitration shall submit a written application to the Labor Dispute Arbitration Committee within 60 days from the date of labor dispute. In general, the Arbitration Committee shall render an award within 60 days of receipt of the application. If the parties have no objection to the arbitration award, the arbitration award shall be enforced. The Labor Dispute Arbitration Committee shall consist of representatives of the labor administrative department, trade unions at the same level and employers. The chairman of the Committee shall be a representative of the labor administrative department.

Stage 2: If any party to the labor dispute has any objection to the arbitration award, it may bring a lawsuit to the people's court within 15 days after receiving the award.

**For grievances related to SEA/SH:** the PMO/PIU will ensure that there are specific procedures in the grievance redress mechanism for anonymizing grievances and handling them confidentially. PIU will assign one male and one female staff to handle such grievances, and the employees may choose one of them to deal with their problems.

The PMO/PIU and contractors are committed to protecting the confidentiality of workers' grievances, they will take the following measures to ensure that the confidentiality of data is properly protected, namely:

- Establish a data confidentiality mechanism at all levels from the community to the PMO to ensure data security.
- Provide appropriate data protection training for employees who have long-term or frequent exposure to relevant data.



- Establish a reward and punishment mechanism for data protection.

Direct workers, contract workers and community workers who believe they have been adversely affected by the project may lodge complaints with a project-level grievance authority to address relevant project issues. All categories of workers may also submit complaints to the independent inspection team.

Hanbin District PMO/PIU shall monitor all grievances to verify the process. Semi-annual environmental and social monitoring reports will be prepared to track all grievances submitted. PIU will conduct internal grievance monitoring and report to the PMO on a quarterly basis, which shall include analysis of the following indicators:

- Number of grievances received per month (by channel, sex, age);

- Type of grievances received;

- Number of grievances resolved;

- Number of unresolved complaints;

- Time frame for responding to or resolving complaints, etc.

## Attachment 2 GBV Action Framework

### 1. Project Area GBV/SEA/SH Risk Analysis

The proposed activities of this project include road construction, green building projects, ecological restoration projects, flood control projects, etc. The construction phase involves a large labor force, posing a potential risk of gender-based violence (GBV) to female workers and women in the surrounding communities.

The Chinese and Shaanxi provincial governments have already established comprehensive regulations to prevent the risk of SEA/SH, with local authorities increasing law enforcement efforts continually. According to the data provided by Hanbin District Women's Federation, Hanbin District accepted 35 complaints from women in 2022, all of which were cases involving marriage and family conflicts. There were no incidents of sexual exploitation and abuse/harassment in the Zhangtan Town area. Moreover, Hanbin District has healthcare service institutions (community hospitals, maternal and child healthcare hospitals), judicial service agencies (community police stations, public security bureaus, district courts), and social service providers (district legal aid centers, district women's federations, community female cadres). These institutions can support the project in addressing potential cases of SEA/SH and assist in preventing such incidents. Therefore, the risk of SEA/SH for the project is assessed as low.

### 2. Legal Framework

China and Shaanxi Province have specific laws and regulations to protect women's labor rights, including the prohibition of SH. Local governments have developed corresponding action plans and require government agencies, enterprises, and institutions within their jurisdiction to strictly adhere to these regulations.

Policy level	Laws and Regulations	Effective year
	Law of the People's Republic of China on the Protection of Rights and Interests of Women	Revised in 2018
	Special Rules on Labor Protection of Female Employees	2017
	Law of the People's Republic of China on the Protection of Minors	Revised in 2020
Shaanxi Province	Measures of Shaanxi Province for the Implementation of the Law of the People's Republic of China on the Protection of Rights and Interests of Women	Implemented from January 1, 2007
	Special Rules on Labor Protection of Female Employees of Shaanxi Province (Order No.209 of the Shaanxi Provincial Government on January 12, 2018)	Effective from March 1, 2018
City/District Level	Ankang City Women and Children Development Plan (2021-2030)	2022

### **3.Mitigation Measures**

Considering the potential GBV risks associated with the project's affected population, even though these risks are low, to prevent and address the impact of such risks, this framework will establish corresponding mitigation measures, such as raising awareness among the community and other stakeholders and strengthening institutional capacity.

**Table 1 GBV Risk Management Plan**

S/ N	Specific Actions	Budget (in ten thousand yuan)	Implementa tion Time	Responsible Entity	Monitoring Indicators	Monitoring Time and Frequency
1	Organize GBV/SEA/SH risk training to enhance the sensitivity of PMO and PIU in this regard.	5	Before and during project implementation	PMO and PIU, social advisors/gender advisors	Relevant personnel of PMO and PIU are aware of GBV/SEA/SH risk factors in the project area and have received training on how to prevent and respond to GBV/SEA/SH. Frequency of training sessions and the number of participants.	During the project implementation period (2024-2029), training sessions will be conducted semi-annually.
2	Collaborate with the local Women's Federation to establish a GBV/SEA/SH complaint handling mechanism specific to the project to address potential GBV/SEA/SH incidents during project implementation.  Provide training for personnel responsible for complaint handling, including appropriate documentation of complaint registration and	4	Before project implementation	PMO and PIU, social advisors/gender advisors	Personnel responsible for complaint handling are in place; GBV/SEA/SH complaint records;  frequency of training sessions and the number of participants.	During the project implementation period (2024-2029), training sessions will be conducted semi-annually.

S/ N	Specific Actions	Budget (in ten thousand yuan)	Implementa tion Time	Responsible Entity	Monitoring Indicators	Monitoring Time and Frequency
	management, as well as maintaining the confidentiality of SEA/SH complainant information.					
3	Construction contractors shall develop a GBV/SEA/SH Behavior Management Policy and ensure that construction workers clearly understand the requirements outlined in the policy.	2	Prior to contractor mobilization	Contractors	Number of management personnel and workers who have received training or awareness campaigns on the management policy.	During the project implementation period (2024-2029), training sessions will be conducted semi-annually.
4	Commit to complying with GBV/SEA/SH requirements in the tender documents. Include GBV/SEA/SH clauses in the construction contract, specifying detailed requirements and penalties.	\	During the procurement and contract signing	PMOs and PIUs, contractors	Relevant GBV/SEA/SH requirements or clauses are included in the tender documents and construction contracts.	During the project implementation period (2024-2029), training sessions will be conducted semi-annually.
5	The execution of GBV/SEA/SH related actions will be	8	Project implementati	PMOs, PIUs and external	Submitted semi-annual external monitoring report	During the project implementation period

S/ N	Specific Actions	Budget (in ten thousand yuan)	Implementa tion Time	Responsible Entity	Monitoring Indicators	Monitoring Time and Frequency
	included in external M&E		on period	monitoring agencies		(2024-2029), training sessions will be conducted semi-annually.

## **Attachment 3 Traffic Management Plan Template**

### **1. Introduction**

This Traffic Management Plant (TMP) sets out a set of generic requirements for the traffic management during the construction of the Project. It is designed as general guidelines which can be adapted to the project-specific traffic management plan as part of the Environmental and Social Management Plan (ESMP) or other relevant safeguards documents of the specific project.

The objectives of this TMP are to establish general requirements of traffic management to be implemented by the project contractor to avoid and minimize traffic disturbance and ensure the safety of public and project workers during the project construction.

This TMP is intended to be used for traffic management during the construction stage of a project which may have potential impacts on road traffic and related public/worker safety concerns caused by road traffic. These include e.g. direct road construction or maintenance, construction activities occupying road or sidewalk, construction vehicles/equipment entering public roads, and construction vehicles/equipment through local community roads, etc.

During the preparation of a specific World Bank project in Shannxi, a project-specific traffic management plan using this TMP as a general framework, taking into account project-specific situation and demand, will be developed as part of the project's ESMP or other safeguards documents as appropriate. During the implementation of the project, this TMP (or the project specific TMP) will be incorporated into the bidding documents and latterly the construction contracts, as part of the environmental and social management specifications.

The key mitigation measures of the TMP as arranged in the following structure:

### **2. Traffic Management Measures**

#### **2.0 Contractor's Traffic Management Plan**

The Contractor is required develop a detailed Contractor's Traffic Management Plan (C-TMP) prior to the commencement of the construction. The C-TMP shall specify detailed measures to avoid and minimize traffic disturbance, and how road users (particularly vulnerable cyclists and pedestrians) will be directed around a work site or

other temporary road disruption, to minimize inconvenience while providing safe conditions for both road users and the project construction workers.

The C-TMP shall be reviewed and approved by the Supervision Engineer and the project proponent before it is implemented.

When the construction activities will affect the traffic of public roads, such C-TMP shall be submitted to the local traffic management authority for approval.

The Contractor shall designate a dedicated staff in charge of the implementation of its traffic management plan (can be combined with the ESHS management staff), whose responsibility is to enforce the implementation of C-TMP measures, monitor the compliance, report the performance (and accidents) to Supervision Engineer and project proponent, organize safety training to workers, and engage local communities as necessary for traffic management and community safety issues, etc.

### **2.1 Road Closure/Partial Occupation of Public Roads**

When construction works requires closure or partial occupation of public roads, the C-TMP shall be submitted to the local traffic management authority for approval prior to the commencement of construction.

The contractor shall publicize the notice of road closure/partial occupation and temporary traffic diversion arrangement to the public through appropriate media, e.g. local radio, TV, newspaper, and poster notices in near communities before the commencement of construction. Traffic diversion sign/map shall be established on both ends of the closed/occupied road to inform the public of the road closure and diversion arrangement.

Construction activities shall be properly scheduled according to local traffic status, e.g. avoid material transportation during rush hour,

Traffic management signs and facilities installed by the contractor for the construction site must comply with relevant national standards and technical specifications.

For road closure, adequate fencing of the closed construction site shall be established with proper control arrangement at entrance and exit gates, e.g. closed gate, guard rail, and/or dedicated staff for entrance/exit control. No public shall be allowed to pass through the closed construction site.



For partial road occupation, separation between construction zone and public traffic must be ensured with fences, barriers, warning columns etc. Separation of pedestrian/cyclist and vehicle traffic around the construction site shall also be provided to protect the safety of pedestrian and cyclists.

Temporary path for pedestrian/cyclists shall be provided to ensure the accessibility of local public with adequate safety facilities.

The contractor shall assign traffic safety staff on both ends of affected road section to direct the through traffic affected by the partial road occupation of the construction activity.

Adequate lighting facilities and reflective safety signs shall be installed around the construction site for night-time safety of diverted traffic and pedestrian/cyclists.

Temporary access for road side shops shall be provided whenever possible with adequate safety measures to minimize the disturbance of local business.

Where new access road is built for the project construction purpose, strict access control should be in place to prevent non-construction related users (vehicles/pedestrian) entering such roads. Necessary signs (e.g. speed limits, public road crossing) and measures (e.g. speed bumps) shall be put in place to ensure the traffic safety of such roads.

## **2.2 Pedestrian/Cyclist Safety**

Contractor shall make utmost efforts and take measures to the extent possible to ensure the safety of pedestrian/cyclists within the area of impacts from the construction activities.

Safe temporary paths shall be guaranteed with proper separation from construction zone and vehicle traffic zone (where possible) using e.g. fences, guard rails, warning pole, warning flag/tape, etc.

Temporary pedestrian/cyclist paths shall be well lit during night-time to ensure that the paths are clearly visible for the pedestrian/cyclists.

In case construction activities may temporarily occupy these paths (e.g. material hauling and loading/unloading, moving of large construction equipment etc.),

contractor shall assign on-site staff to direct the pedestrian/cyclists safely passing through the area without threatened by the potential risks.

### **2.3 Safety of Construction Workers**

Contractor shall provide necessary personal safety protection equipment to all workers, including reflective vest/clothes and helmet, and enforce the wearing such equipment all the time in the construction sites and public roads during construction hours.

Provide safety training (including traffic safety) to all workers prior to the commencement of construction, and repeatedly (at least monthly) throughout the construction period.

### **2.4 Construction Vehicle/Equipment Management**

Contractor shall ensure that drivers or operators for construction vehicles and equipment have proper licenses and qualifications as required by national and local laws/regulations.

Provide traffic safety training to the drivers and operators of construction vehicles and equipment prior to the commencement of construction, and repeatedly (at least monthly) throughout the construction period.

Routes and schedule of material/spoil transportation on public roads shall be prior planned to minimize the traffic disturbance. Where applicable, such plan shall be prior approved by the local authority.

Contractor shall plan separate traffic routes and/or entrance/exit for construction vehicles/equipment and workers at the construction site where possible.

Use traffic controllers, mirrors, stop signs or warning devices at site exits to make sure drivers can see or are aware of pedestrians before driving out onto public roads.

Designate specific parking areas for construction vehicles and equipment, avoiding the occupation of public roads or interference with pedestrian paths.

Construction vehicles and mobile equipment shall equip reserving warning alarms, flashing lights, sensors or cameras to ensure the safety for reversing operation. A signal person wearing high visibility clothing shall be assigned when

the driver cannot see clearly behind the vehicle/equipment during backward operation on public roads and in the construction site.

When over-sized construction vehicle and special equipment are to be put on the public roads, ensure adequate safety measures such as clear warning signs, visible markers or flash lights are well equipped. Speed limit shall be strictly enforced.

Overloading of construction vehicles for material or spoil transportation shall be strictly prohibited.

## **2.5 Community Relations**

Contractor shall engage local communities and relevant authorities when developing its C-TMP through stakeholder consultation process, so that the local demand of accessibility and safety concerns are incorporated into the C-TMP.

Where public roads are closed or partially blocked for construction, public notice shall be announced through local medias prior to the road closure and blockage.

Public grievance redress information shall be disclosed on-site, with specific contact person names and contact numbers open to public to receive public complaints.

Consultation with local communities, road users and relevant government authorities shall be conducted regularly throughout the construction period of the project. Feedbacks from such consultations shall inform the continuous improvement of the C-TMP.

## **2.6 Accident Reporting and Emergency Response Plan**

Contractor shall develop an emergency response plan, as part of its C-TMP, to address the traffic related accidents happen in/near the project construction sites. This response plan should clearly specify the communication/reporting procedures, key contact persons to be immediately informed, contacts of relevant response agencies (e.g. traffic police, firefighting department, medical service etc.), and emergency response measures (e.g. road closure, traffic diversion etc.).

Contractor shall immediately report any traffic accident related to project construction to the Supervision Engineer and project proponent, including time

and location of accidents, any fatality or serious injury, any spills of known and unknown chemicals, significant adverse impacts on traffic and community environment, and response measures taken on-site, etc. Full details of such accidents report shall be provided to the Supervision Engineer and project proponent with the timeframe agreed by the Supervision Engineer and project proponent.

Provide traffic accident emergency response training to all workers and management staff of the contractor as part of the overall safety training program.

## **Attachment 4 Cultural Relics Chance Find Procedure**

### **1. Introduction**

This chance find procedure is a project-specific procedure which will be followed if previously unknown cultural heritage is encountered during project activities. It will be included in all contracts relating to construction of the project, including excavations, demolition, movement of earth, flooding or other changes in the physical environment.

This chance find procedure sets out how chance find associated with the project will be managed. The procedure also includes a requirement to notify relevant authorities of found objects or sites by cultural heritage specialists; to fence-off the area of finds or sites to avoid further disturbance; to conduct an assessment of found objects or sites by cultural heritage specialists; to identify and implement actions consistent with the requirements of relevant laws and regulations, as well as the World Bank ESS8; and to train project personnel and project workers on chance find procedures.

### **2. Regulation and Standards**

According to Article 2 of the *Cultural Relics Protection Law of the PRC (amended in 2013)*, the following cultural relics of historical, artistic or scientific value within the boundaries of the People's Republic of China are under national level protection:

- Sites of ancient culture, ancient tombs, ancient architectural structures, cave temples and stone carvings that are of historical, artistic or scientific value;
- Buildings, memorial sites and memorial objects related to major historical events, revolutionary movements or famous people that are highly memorable or are of great significance for education or for the preservation of historical data;
- Valuable works of art and handicraft articles dating from various historical periods;
- Important revolutionary documents as well as manuscripts and ancient or old books and materials, etc., that are of historical, artistic or scientific value;
- Typical material objects reflecting the social system, social production or the life of various nationalities in different historical periods.

In addition, Article 3 of the *Interim Management Measure for Identification of Cultural Relics (2009)* stipulates that county-level or higher-level cultural relics administration departments are responsible for the assertion of cultural relics. In case of any dispute about the assertion of cultural relics, the provincial level cultural relics authority will make a ruling.

As per the World Bank Environmental and Social Standard 8 (ESS), the term 'cultural heritage' encompasses tangible and intangible heritage, which may be recognized and valued at a local, regional, national or global level, as follows:

- Tangible cultural heritage, which 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;
- Intangible cultural heritage, which includes practices, representations, expressions, knowledge, skills—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.

### **3. Objectives**

Below are the objectives of this procedure:

- To protect cultural heritage from the adverse impacts of project activities and support its preservation.
- To address cultural heritage as an integral aspect of sustainable development.
- To promote meaningful consultation with stakeholders regarding cultural heritage.
- To promote the equitable sharing of benefits from the use of cultural heritage.

### **4. Applicability**

This Cultural Relics Chance-Find Procedure is applicable to all project activities, where archaeological/cultural relics are unexpectedly found and are likely to have risks or impacts on cultural heritage. This will include a project which:

- (a) Involves excavations, demolition, movement of earth, flooding or other changes in the physical environment;
- (b) Is located within a legally protected area or a legally defined buffer zone;
- (c) Is located in, or in the vicinity of, a recognized cultural heritage site; or
- (d) Is specifically designed to support the conservation, management and use of cultural heritage.

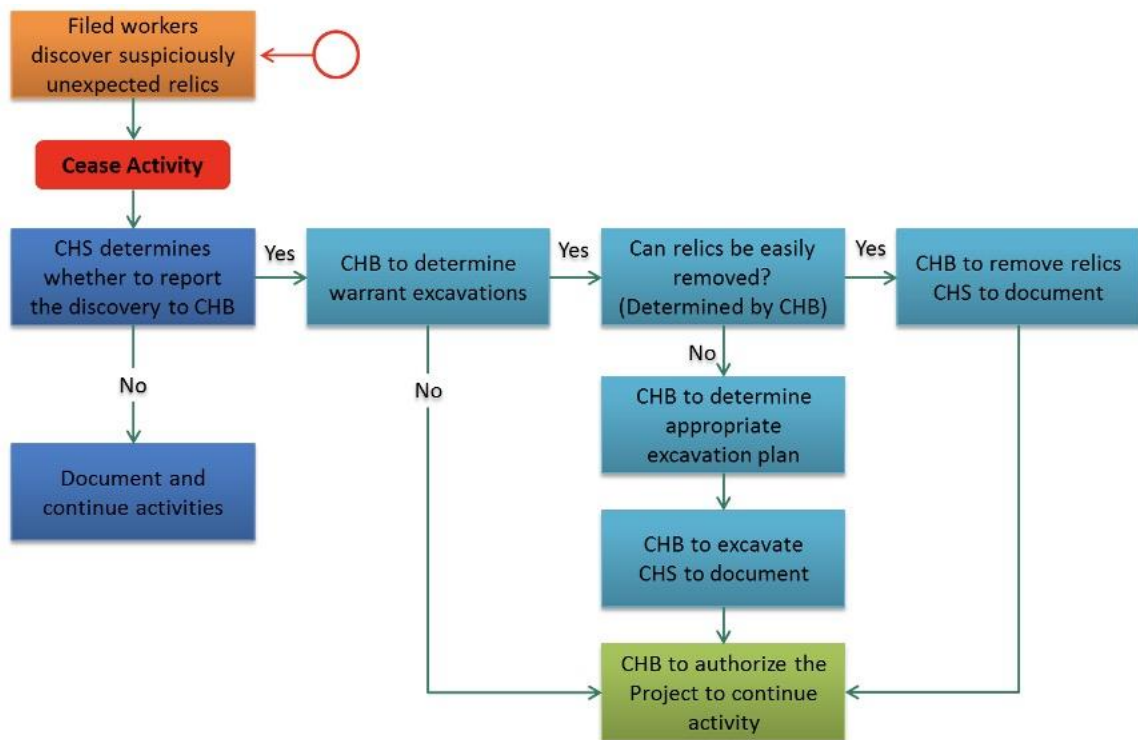
It is considered possible that cultural relics will be encountered during project construction, site. It is important to ensure that the Project Contractors are properly trained in the importance of recognizing and reporting archaeological/paleontological

finds. This is the key to ensuring an effective management plan. The workforce should receive a short and basis awareness training on finds and procedures before commencement of drilling and construction works.

It is recommended that the Project provides relevant training to a social specialist or assigns an appropriate archaeological knowledge as a Cultural Heritage Supervisor (CHS). The CHS would be responsible for ensuring compliance with this *Cultural Relics Chance-Find Procedure*, including awareness training prior to construction, documenting chance find as they arise and acting as the primary contact between the Project and its contractors and the Cultural Heritage Bureau (CHB).

Graves and tombs identified during asset inventories for impact surveys which are either relocated or compensated are not subject to this Cultural Relics Chance-Find Procedure but the Resettlement Plan.

## 5. Chance Find Procedure



Filed workers discovering or suspecting that they have discovered unexpected archaeological or paleontological remains should:

- stop work immediately and report to CHS;
- not disturb or remove the finds;

The CHS should then:

- Identify whether the objects are cultural relics or not. If not, construction activity will continue under the supervision of CHS. If yes, provide protection

measures, including necessary covering, arranging personnel to supervise the site under the guidance of CHS; and

- Inform the CHB of the discovery immediately.

The CHB shall determine the necessity of subsequent actions. Where a rescue excavation is deemed necessary, the following shall occur:

- Generally, after receiving the cultural relic discovery report, the CHB will inspect the site within 24 hours and formulate a salvage plan if deemed necessary. This may include site surveying and the removal of remains, according to guidelines established by the CHB. If required, the CRB may inform the local police station to seek help to protect the cultural relics. Decisions on how to deal with the cultural relics will be made within 7 days by CHB.
- In order to proceed with major rescue excavation works (to be determined by the CHB), it may be necessary to submit an Excavation Work Plan, including a map of the area to be investigated, and methodology to retrieve relics.
- Upon completion of the rescue excavation, a report with an inventory and description of the finds shall be prepared, and the finds shall be delivered to the CHB. Construction may then continue in that area.
- All archaeological finds shall be documented by the CHS.