

**Ecological and economic  
protection forest project of  
comprehensive management of  
Horqin Sandy Land in Tong Liao  
City**

**Stakeholder Engagement Plan**

**Tongliao Forestry and Grassland  
Bureau**

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**August, 2019**

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# **1 INTRODUCTION**

## **1.1 objective and scope**

The project takes the scientific, efficient and high-quality management of Horqin sandy land as the overall goal, with the wasteland management as the main battlefield, the large-channel greening as the skeleton, the farmland pasture shelterbelt construction as the grid, the key area greening as the node, and the village as the village. It is embellished with embellishment, combined with the supply-side reform of the forest industry structure, precise poverty alleviation, rural revitalization, and rural human settlements. It has a large area of desertification, a heavy poverty-stricken task, good economic development, repayment ability, and afforestation enthusiasm. The higher area is the implementation area, focusing on the ecological management of the five large-scale governance areas, the five major banned areas, the five major railways, the five major highways, the five major rivers, and the five major reservoirs.

After the project was established, Tongliao City was established to support the Horqin Sandy Ecological Afforestation Project Leading Group by using the European Investment Bank loan. The Standing Committee of the Tongliao Municipal Committee and the Deputy Mayor of the Government Zhang Rui served as the team leader, the deputy mayor of the Municipal Government, the Deputy Director of the South Korean Wuwei, and the Director of the Tongliao Development and Reform Commission. Han Xiaofeng, Xu Tianpeng, Director of the Municipal Finance Bureau, Lu Guohua, Director of the Municipal Forestry and Grassland Bureau, Xue Yucheng, Director of the Municipal Ecological Environment Bureau, Lin Wenhui, Director of the Municipal Natural Resources Bureau, Shi Houchun, Director of the Municipal Audit Bureau, Shi Yanchun, Director of the Municipal Finance Office, and Inner Mongolia Hengrui Investment Holdings (Chairman of the Group) Bai Literature, deputy director of the Municipal Development and Reform Commission, Xi Xijun and other departments responsible for the main members. The leader of the leading group is responsible for the overall work. Comrade Zhang Rui, the leader of the team, is responsible for the related work in the early stage of the project. The deputy head of the team, Mr. Kwong, is responsible for the implementation of the project.

This stakeholder engagement program (SEP) will assist in the project management and facilitate future participation in all phases of the project period, which is from construction to operation stage. The participants involved in the project have been consulted on the scope of the work for the preparation of social impact assessment. While scoped consultations provide an opportunity for stakeholders to raise their concerns, it cannot be assumed that all stakeholders have presented their views. Further expert research and continued participation will help ensure that all relevant issues are resolved and that all stakeholders feel they have an opportunity to express their views.

This SEP explained in details of consultations with stakeholders during the project pre-feasibility study period and serves as a guidance to participation during project feasibility study period. This version of SEP is an initial guidance to social participation that will need to be revised as necessary during project implementation, so as to provide stakeholders with continuous participation guidance through the stages of project development, construction, and operation.

## **1.2 Objectives of the Stakeholder Engagement Plan (SEP)**

SEP seeks ways to properly define consultation and disclosure, both technically and culturally. The goal of SEP is to improve and facilitate decision making and understanding, to actively and promptly involve the people affected by the project and other stakeholders, and to give these people opportunities to express their opinions and concerns that may influence project decisions.

The main goals of SEP can be summarized as follows:

(1) understand of the requirements from the European investment bank and Tong Liao city to stakeholders regarding participation in the forestry policies

(2) provide guidance to stakeholders on participation, so that it meets national and international standards of practice;

(3) Identify the key stakeholders affected and/or those who can affect the project and its activities;

(iv) determine the most effective means and structure for disseminating project information and ensure regular, convenient, transparent and appropriate consultations;

(5) guide the project to establish a mutually respectful, mutually beneficial and lasting relationship with stakeholders;

6. Develop stakeholder participation in the process to provide opportunities to influence project planning and design;

7. Establish formal grievance/settlement mechanisms;

8. defines the roles and responsibilities of implementing SEP;

(9) develop reporting and monitoring measures to ensure the effectiveness of SEP, and periodically review SEP according to survey results;

## **2 REGULATORY AND GOVERNANCE FRAMEWORK**

### **2.1 Introduction**

According to the European investment bank's environmental and social policy (2008) and related performance requirements (PRs), a comprehensive environmental and social impact assessment (ESIA) is required for projects of this type and scale, such as the comprehensive ecological and economic shelterbelt project of Hhorqin sandy land in Tong Liao city.



## 3 AN OVERVIEW OF STAKEHOLDER ENGAGEMENT

### 3.1 Stakeholder Engagement

Stakeholder Engagement will be free of manipulation, interference, coercion, and intimidation, and conducted on the basis of timely, relevant, understandable and accessible information, in a culturally appropriate format. It involves interactions between identified groups of people and provides stakeholders with an opportunity to raise their concerns and opinions (e.g. by way of meetings, surveys, interviews and/or focus groups), and ensures that this information is taken into consideration when making project decisions.

Effective stakeholder engagement depends on mutual trust, respect and transparent communication between client and its stakeholders. It thereby improves client's decision-making and performance by:

- **Decrease costs:** Effective engagement can help project proponents decrease costs, while its absence can be costly both in terms of money and reputation; □
- **Management risk:** Engagement helps project proponents and communities to identify, prevent, and mitigate environmental and social impacts that can threaten project viability; □
- **Enhancing reputation:** By publicly recognising human rights and committing to environmental protection, project proponents and financial institutions involved in financing the project can boost their credibility and minimize risks; □
- **Avoiding conflict:** Understanding current and emerging issues such as tension around influx and employment opportunities; □
- **Improving client's strategy:** Obtaining project suggestions, which can act as a catalyst for changing and improving corporate practices and policies; □
- **Identifying, monitoring and reporting on impacts:** Understanding a project's impact on stakeholders, evaluating and reporting back on mechanisms to address these impacts; and □
- **Managing stakeholder expectations:** Consultation also provides the opportunity for exploration and mining licence holders to become aware of and manage stakeholder attitudes and expectations.

### 3.2 Principles for Effective Stakeholder Engagement

Stakeholder engagement is usually informed by a set of principles defining core values underpinning interactions with stakeholders. Common principles based on International Best Practice include the following:

- Commitment is demonstrated when the need to understand, engage and identify the community is recognised and acted upon early in the process; □

- Integrity occurs when engagement is conducted in a manner that fosters mutual respect and trust; □ Respect is created when the rights, cultural beliefs, values and interests of stakeholders and neighbouring communities are recognised; □
- Transparency is demonstrated when community concerns are responded to in a timely, open and effective manner; □
- Inclusiveness is achieved when broad participation is encouraged and supported by appropriate participation opportunities; and □
- Trust is achieved through open and meaningful dialogue that respects and upholds a community's beliefs, values and opinions.

### 3.3 Stakeholder Engagement Considerations

The following considerations should be made when planning for stakeholder engagement:

- It takes time and resources: It takes time to develop and build trust based relationships with stakeholders. The consensus from practitioners is that from the outset relationships with stakeholders should develop and grow, and that these relationships should be nurtured and not fostered to fade. Additional stakeholders might be identified that also want to be engaged. No willing stakeholder should be excluded from the process of engagement. Some stakeholders will need to be educated about the concept of engagement itself, as well as on the complex issues requiring specialised and technical knowledge. These demands can increase the cost of consultation required to meet external expectations, and often this occurs at a time when a project lacks the internal capacity and resources to implement a broad engagement strategy.
- It raises expectations: Stakeholders can have unrealistically high expectations of benefits that may accrue to them from a project. As such project proponents from the outset must be clear on what they can and cannot do, establishing a clear understanding of their roles and responsibilities. In developing countries, project proponents are often expected to take on responsibilities that are usually the responsibility of the government (e.g. infrastructure development and the provision of healthcare and education facilities). This behaviour should be avoided, as by doing so, governments may be relieved of delivering on their responsibilities and a project proponent will be burdened with projects beyond the realm of their expertise. Instead the engagement processes should provide project proponent with an opportunity to develop relationships with stakeholders and potential project partners who can assist with implementing corporate social responsibility projects.
- Ensure stakeholder participation: Often there are conflicting demands within a community, and it can be challenging for a project to identify stakeholders who are representative of common interests. This might be avoided by employing local community liaison officers who are familiar with planting, which requires project proponents developing an awareness of the local context and implementing structures to support and foster effective stakeholder engagement. □
- Consultation fatigue: Moreover, there is evidence to suggest that stakeholders can easily tire of consultation processes especially when promises are unfulfilled, and their opinions and concerns are not taken into consideration. Often stakeholders feel their living conditions are

not improved as a result of a project and this can lead to consultation meetings being used as an place to express complaints and grievances about the lack of development. This might be avoided by coordinating stakeholder engagement during an ESIA process, and by ensuring practitioners do not make promises to stakeholders, but rather use the public consultation process as an opportunity to manage expectations, challenge misconceptions, disseminate accurate project information, and gather stakeholder opinions which are feedback to the client and other project specialists.

The remaining chapters of this report will assist Tongliao Forestry and Grassland Bureau to overcome these considerations of stakeholder engagement and attaining the overarching goal of free, prior and informed consultation

## 4 STAKEHOLDER ANALYSIS AND IDENTIFICATION

### 4.1 Stakeholder analysis

Stakeholder analysis determines the likely relationship between stakeholders and the Project, and helps to identify the appropriate consultation methods for each stakeholder group during the the project period. Some of the most common methods used to consult stakeholders include:

- Phone /email;
- One-by-one interviews;
- Workshop/focus group discussions;
- Distribution of pamphlets and newsletters;
- Public meetings;
- Newspaper/magazines/radio.

When deciding the frequency and the appropriate engagement technique used to consult a particular stakeholder group, three criteria must be considered:

- The impact degree of the project on the stakeholder group;
- The impact degree of the stakeholder group on the project;
- The culturally acceptable engagement and information dissemination methods.

In general, engagement is directly proportional to impact, and as the extent of impact of a project on a stakeholder group increases, or the extent of influence of a particular stakeholder on a project increases, engagement with that particular stakeholder group should intensify and deepen in terms of the frequency and the intensity of the engagement method used.

All engagement should proceed on the basis of what are culturally acceptable and appropriate methods for each of the different stakeholder groups. For example, when consulting government officials' formal presentations are the preferred consultation method, while communities prefer public meetings, and informal focus group discussions facilitated by posters, non-technical pamphlets and other visual presentation aids including models and videos.

There are a variety of engagement techniques used to build relationships with stakeholders, gather information from stakeholders, consult with stakeholders, and disseminate project information to stakeholders. When selecting an appropriate consultation technique, appropriate consultation methods should be considered, and the purpose for engaging with a stakeholder group should be considered. Table 4-1 provides a list of different consultation techniques, and suggests the most appropriate application of these techniques.

**Table 4- 1 Engagement Techniques**

ENGAGEMENT TECHNIQUE	MOST APPROPRIATE APPLICATION OF TECHNIQUE
Information Centre and Information Boards	<ul style="list-style-type: none"> <li>● Information Centre and Information Boards</li> </ul>
communicate by phone/email/Text/Instant messaging	<ul style="list-style-type: none"> <li>● Distribute project information to government officials, organizations, agencies and companies <input type="checkbox"/></li> <li>● Invite stakeholders to meetings</li> </ul>
Print media and radio announcements	<ul style="list-style-type: none"> <li>● Disseminate project information to large audiences, and illiterate stakeholders <input type="checkbox"/></li> <li>● Inform stakeholders about consultation meetings</li> </ul>
Ong-by-one interview	<ul style="list-style-type: none"> <li>● Request for comments and suggestions</li> <li>● Enable stakeholders to talk freely and confidentially about controversial and sensitive issues</li> <li>● Establish personal relationships with stakeholders</li> <li>● Record interview</li> </ul>
Formal meetings	<ul style="list-style-type: none"> <li>● Present project information to a group of stakeholders <input type="checkbox"/></li> <li>● Allow the group of stakeholders to provide their views and opinions</li> <li>● Build impersonal relations with high level stakeholders <input type="checkbox"/></li> <li>● Distribute technical documents <input type="checkbox"/></li> <li>● Facilitate meetings using PowerPoint presentations <input type="checkbox"/></li> <li>● Record discussions, comments/questions raised and responses</li> </ul>
Public meetings	<ul style="list-style-type: none"> <li>● Present project information to stakeholders, and in particular communities <input type="checkbox"/></li> <li>● Allow the group of stakeholders to provide their views and opinions</li> <li>● Build relationships with neighboring communities <input type="checkbox"/></li> <li>● Distribute non-technical project information <input type="checkbox"/></li> <li>● Facilitate meetings using PowerPoint presentations, posters, models, videos and pamphlets or project information documents <input type="checkbox"/></li> <li>● Record discussions, comments/questions raised and responses</li> </ul>
Workshops	<ul style="list-style-type: none"> <li>● Present project information to stakeholders <input type="checkbox"/></li> <li>● Allow the group of stakeholders to provide their views and opinions <input type="checkbox"/></li> <li>● Use participatory exercises to facilitate group discussions, brainstorm issues, analyse information, and develop recommendations and strategies</li> <li>● Recording of responses</li> </ul>
Focus group meetings	<ul style="list-style-type: none"> <li>● Allow a group between 8 and 15 people to provide their views and opinions of targeted baseline information <input type="checkbox"/></li> <li>● Build relationships with neighbouring communities <input type="checkbox"/></li> </ul>

ENGAGEMENT TECHNIQUE	MOST APPROPRIATE APPLICATION OF TECHNIQUE
	<ul style="list-style-type: none"> <li>● Use a focus group interview guideline to facilitate discussions <input type="checkbox"/></li> <li>Record responses</li> </ul>
Surveys	<ul style="list-style-type: none"> <li>● Gather opinions and views from individual stakeholders <input type="checkbox"/></li> <li>● Gather baseline data <input type="checkbox"/></li> <li>● Record data <input type="checkbox"/></li> <li>● Develop a baseline database for monitoring impacts</li> </ul>

Table 4-2 presents a stakeholder analysis with respect to appropriate levels of consultation for each of the stakeholder groups identified in Section 4.2. The frequency of these interactions depends on the phase of the Project.

**Table 4- 2 Stakeholder group and consultation methods**

Stakeholder group	consultation methods
Project service group	<ul style="list-style-type: none"> <li>● One-by-one interviews</li> <li>● Print media,</li> <li>● text messaging and radio announcements</li> <li>● Public meetings <input type="checkbox"/></li> <li>● Focus group meetings <input type="checkbox"/></li> <li>● Surveys Information Centre</li> </ul>
Construction impact group	<ul style="list-style-type: none"> <li>● Print media, text messaging and radio announcements <input type="checkbox"/></li> <li>● Public meetings <input type="checkbox"/></li> <li>● Focus group meetings <input type="checkbox"/></li> <li>● Surveys <input type="checkbox"/></li> <li>● Information Centre</li> </ul>
Special groups	<ul style="list-style-type: none"> <li>● Print media, text messaging and radio announcements <input type="checkbox"/></li> <li>● Public meetings <input type="checkbox"/></li> <li>● Focus group meetings <input type="checkbox"/></li> <li>● Surveys <input type="checkbox"/></li> <li>● Information Centre</li> </ul>
Project implementation agency and related units	<ul style="list-style-type: none"> <li>● Phone / fax / email / text messaging <input type="checkbox"/></li> <li>● Print media and radio announcements</li> <li>● Workshops <input type="checkbox"/></li> <li>● Focus group meetings</li> </ul>
Government related agencies, other relevant institutions	<ul style="list-style-type: none"> <li>● Phone / email / text messaging <input type="checkbox"/></li> <li>● Formal meetings</li> </ul>

## 4.2 Defining Stakeholders

The International Finance Company’s Handbook on Stakeholder Engagement (2007) defines stakeholders as “persons or groups who are directly or indirectly affected by a project, as well as those who may have interests in a project and/or the ability to influence its outcome, either positively or negatively.”. The stakeholders of this project can be roughly divided into seven groups: project service groups, construction affected groups, special groups, implement institution and related units, all counties government, project offices and other related institutions. See Table 4-3 for details.

**Table 4- 3 Stakeholders table**

Category	Stakeholders
Project service group	The project area involves afforestation objects: farmers, large afforestation, state-owned forest farms, etc.
Construction impact group	The residents, shops, enterprises and institutions, pedestrians and vehicles in the afforestation area.
Special groups	Poor families, female-headed households, women, children, and disabled people.
Project implementation agency and related units	Afforestation company or cooperative, design unit, supervision unit and construction unit.
Government related agencies, other relevant institutions	Tongliao Municipal Party Committee and Municipal People's Government of Inner Mongolia Autonomous Region, relevant people's government of Qi( County), Tongliao Forestry and grassland bureau (sub-project office) and 8 county forestry and grassland bureaus under the jurisdiction of the county, relevant county and county urban development and reform commission, finance bureau, civil affairs bureau , Poverty Alleviation Office, Minority and Religion Committee, Environmental Protection Bureau, Women's Federation, etc., external monitoring units, non-governmental organizations, civil society, European investment banks.

## 4.2.1 Project service and construction affected group

The project area covers 1 municipal district, 1 development zone, 1 county and 5 Qi (county) under the jurisdiction of Tongliao City. That is Horqin District, Tongliao Economic and Technological Development Zone, Kailu County, Kulun Qi, Naiman Qi, Zalute Qi, Horqin Left-wing Middle Qi, and Horqin Left-wing Rear Qi.

**Kerqin District** Kerqin District is located in the eastern part of Inner Mongolia Autonomous Region, the Kerqin Grassland on the western edge of the Songliao Plain, it is bordered by the Horqin Left-wing Rear Qi and adjacent to Kailu County in the west and adjacent to the Horqin Left-wing Middle Qi in the north and east. The administrative area is 2821 square kilometers, administering 11 sub-district offices, 9 towns, 1 Sumu, and 6 government-enterprise units. At present, there are 321337 households in the jurisdiction, with a total of 834,274 people.

**Kailu County** Kailu County is located in the west of Tongliao City in Inner Mongolia, adjacent to the Horqin District in the east, bordered by Wengniute Qi and Aru Kerqin Qi in the west, Neiman Qi and Horqin Left-wing Rear Qi in the south, junction to Zalute Qi and Horqin Left-wing Middle Qi in the north. The county has a total area of 4,488 square kilometers and governs 10 towns and 3 government and enterprise units. At present, there are 151,271 households in the area, with a total of 396,388 people.

**Kulun Qi** Kulun Qi is located in the southwest of Tongliao City, Inner Mongolia Autonomous Region. It is adjacent to the left-wing Rear Qi of Horqin in the east, the Fuxin Mongolian Autonomous County and Zhangwu County in Liaoning Province, the Neiman Qi in the west, and the Kailu County in the north. With a total area of 4,716 square kilometers, it has jurisdiction over 5 towns, 1 township, 2 Sumu, and 1 street office. At present, there are 67,861 households with a total of 179,094 residents.

**Naiman Qi** Naiman Qi is located in the southwest of Tongliao City, Inner Mongolia Autonomous Region, on the southern edge of Horqin Sandy Land, adjacent to Fuxin City and



Beipiao City in Liaoning Province in the south, bordering with Kulun Qi in the east, and Aohan Qi and Wengniute Qi in the west, north to Kailu County across the river. The whole county is 68 kilometers wide from east to west, 140 kilometers long from north to south, with a total area of 8137.6 square kilometers. It has 8 towns, 2 townships, 4 Sumu, and 1 government-enterprise unit. At present, there are 159,374 households in the jurisdiction, with a total of 447,502 people.

**Zalute Qi** Zalute Qi is located in the northwest of Tongliao City, Inner Mongolia Autonomous Region, south of Daxing'anling Mountain, northwest of Kerqin Grassland, bordering with Kerqin Right-wing Middle Qi of Xing'an League in the east, adjacent to Aru Kerqin Qi of Chifeng City in the west, and Kailu County of Tongliao City in the south. Kezuozhongqi is of the border with this qi, and the north is connected to the East Ujimqin Qi, the Xiwuzhumuqi Qi of Xilin Gol League and the Huolin Gol City of Tongliao City. The Zalute Qi is 110 kilometers wide from east to west and 240 kilometers long from north to south. The total land area is 17,500 square kilometers. It administers 7 towns, 8 sumu, and 4 government-enterprise units. At present, there are 138,615 households in the area, with a total of 306,149 people.

**Kezuozhongqi** Kezuozhongqi is located at the eastern end of Tongliao City, on the southeastern edge of Daxing'anling, on the north bank of Xiliao River, 191 kilometers from east to west, 116 kilometers from north to south, with a total land area of 9811 square kilometers, governing 11 towns, 1 township and 5 Sumu, three government-enterprise units, and 1 street office. At present, there are 203,606 households in the area, with a total of 520,964 people.

**Kezuohouqi** Kezuohouqi is located in the northeastern part of Tongliao City, Inner Mongolia Autonomous Region, bordering Shuangliao City, Jilin Province in the northeastern; the east and south are adjacent to Zhangwu, Kangping and Changtu County of Liaoning Province; the west and north are opposite to Kulunqi and Nai Manqi, Kailu County, Tongliao City, and Kezuozhongqi are connected. The total area is 11,476 square kilometers, governing 10 towns, 5 Sumu, and 12 government-enterprise units. At present, there are 151,269 households in the jurisdiction, with a total of 405,455 people.

**Tongliao Economic and Technological Development Zone** Tongliao Economic and Technological Development Zone is a provincial-level development zone approved by the Inner Mongolia Autonomous Region Government in September 2001. It enjoys the county-level economic and social management authority. It covers an area of 420 square kilometers and has 4 sub-district offices and 1 town. The planned area is 33 square kilometers and consists of industrial parks, trade parks, and urban functional areas. At present, there are 27,159 households with a total of 80,857 residents.

Table 4-4 is the status of project service and construction affected groups

**Table 4-4 Project service and construction affected group**

	<b>total households</b>	<b>Total population</b>	<b>Total females</b>	<b>Total Mongolian minorities</b>
Kailu country	151271	396388	195761	74000
Horqin and Economic and Technological Development Zone	321337	843274	425394	311900
Kezuohe uqi	151269	405455	198278	303000
Kezuozhongqi	203606	529064	258249	395000
Kulunqi	67861	179094	87120	114000
Naimanqi	159374	447502	219043	173000
Zaluteqi	138615	306149	151822	154000
<b>Total</b>	<b>1193333</b>	<b>3106926</b>	<b>1535667</b>	<b>1524900</b>

#### 4.2.2 Special groups

The special groups are poor families, women and children, disabled people, ethnic minorities, etc. in the project area.

## poor families

The poverty-stricken population in Tongliao City is mainly distributed in the two national-level poverty flags of Naiman Banner and Kulun Banner, and the three poverty-level Qi of Kozuozhong Banner, Kezuohouqi Banner and Zhalute Banner. Since 2016, China's poverty line has increased from 1,196 yuan in 2008 to 3,146 yuan, and then to 3,535 yuan in 2018. This means that China's poor population will change from less than 30 million to hundreds of millions. The occurrence of poverty in the project area is shown in Table 4-5.

**Table 4- 5 Poverty occurrence**

County	Poor household		Poverty incidence
	Number of people	Number of households (households)	percentage(%)
Kulun Banner	3417	1331	4.96
Zatru flag	2478	884	0.84
Naiman flag	6485	2219	1.19
Kailu County	1422	651	0.47
Horqin District, Economic Development Zone	2474	924	0.29
Ke Zuozhongqi	13568	2633	1.78
Ke Zuohouqi	31195	10789	5.89
total	61040	19430	15.42

Poor households helped by this project can be to seen in Table 4-6.

**Table 4- 6 Poor households helped by this project**

County	Poor household		Minority population
	Number of people	Number of households (households)	Number of people (10,000 people)
Kulun Banner	3417	1331	11
Zatru flag	2478	884	14

County	Poor household		Minority population
	Number of people	Number of households (households)	Number of people (10,000 people)
Naiman flag	6485	2219	16
Kailu County	1422	651	7
Horqin District, Economic Development Zone	2474	924	34
Ke Zuozhongqi	13568	2633	36
Ke Zuohouqi	31195	10789	28
total	61040	19430	145

## Female

In 2018, there were 1,193,333 households in the project area with 3,106,926 people (registered population), of which 1,492,900 were women, accounting for 49.3%; the urban population was 828,000, accounting for 27.36%, and the rural population was 2.198 million, accounting for 72.64%. See Table 4-7 for details.

**Table 4-7** Population profile of the project area

Project area	Total population (person)	Male		Female	
		Number of people	proportion	Number of people	proportion
Horqin District	76241	37983	49.60%	38258	50.40%
Ke Zuozhongqi	40545	27081	66.80%	13464	33.20%
Ke Zuohouqi	52906	20717	39.20%	32188	60.80%

Project area	Total population (person)	Male		Female	
		Number of people	proportion	Number of people	proportion
Kailu County	396388	200627	50.60%	195761	49.40%
Zalute flag	306149	154327	50.40%	151822	49.60%
Kulun Banner	179094	91974	51.40%	87120	48.60%
Naiman flag	447502	228459	51.10%	219043	48.90%
Economic Development Zone	80857	38050	47.06%	42807	52.94%
total	3106926	1571259	50.57%	1535667	49.43%

Source: “2017 Tongliao City Statistical Yearbook”, information provided by Tongliao City Public Security Department.

## Ethnic minorities

According to the statistics data of Tongliao City in 2017, In 2016, there were 3.1248 million permanent residents and 1.563 million Mongolians, accounting for 48.80%.The han nationality was 1,513,100, accounting for 47.75%.Other ethnic minorities numbered 119,600, accounting for 3.35 percent. According to statistics, the total population of the project area is 3.1 million, and the total population of the minority population in 8 Qi (counties is 1,575,800, accounting for 52.1% of the total population of the project area (see Table 4-8 for details).

**Table 4- 8 Minority population situation in the project area**

County	Total population	Minority population		Mongolian population	
	Number of people (10,000 people)	Number of people (10,000 people)	proportion	Number of people (10,000 people)	proportion
Kulun Banner	17.91	12.11	67.62%	11.40	63.65%

County	Total population	Minority population		Mongolian population	
	Number of people (10,000 people)	Number of people (10,000 people)	proportion	Number of people (10,000 people)	proportion
Zatru flag	30.62	15.56	50.82%	15.40	50.29%
Naiman flag	44.75	18.05	40.34%	17.30	38.66%
Kailu County	39.64	7.51	18.95%	7.40	18.67%
Horqin District, Economic Development Zone	84.33	37.51	44.48%	31.19	36.99%
Ke Zuozhongqi	52.91	39.71	75.05%	39.50	74.66%
Ke Zuohouqi	40.55	30.73	75.78%	30.30	74.72%
Total	310.71	161.18	51.88%	152.49	49.08%

#### 4.2.3 Relevant government agencies, other relevant institutions

(1) The Municipal Forestry and Grassland Bureau is responsible for: overall project design, annual plan preparation, organization and implementation, management method formulation, technical guidance of the county-level's construction design, project implementation management, county-level implementation supervision, quality supervision, inspection and acceptance, as well as completion acceptance. For the construction of mixed forests of native tree species, the Municipal Forestry and Grassland Bureau shall carry out the project procurement in accordance with the European Investment Bank's procurement guidelines. The winning bidder shall, in accordance with the requirements of the European Investment Bank, unify the standards and construction, and be responsible for organization of forestation and O&M within two years after completion. In the 4<sup>th</sup>

years, the forest land will be managed by the farmers themselves, and the forest property rights and income will be owned by the farmers.

(2) The Municipal Finance Bureau is responsible for loan on-lending, the implementation of counterpart fund at all levels, fund disbursement, financial supervision, debt management, withdrawal application, and repayment of principal and interest;

(3) The Municipal Development and Reform Commission is responsible for project preparation work, including project identification, approval, adjustment, and implementation supervision.

(4) The Municipal Audit Bureau is responsible for project fund utilization supervision and annual audit

(5) The Municipal Environment Protection Bureau is responsible for environmental technical guidance and supervision during project implementation

(6) The Municipal Natural Resources Bureau is responsible for the preparation work of project such as confirmation of the nature of afforestation land

(7) The Municipal Finance Office is responsible for the capital operation of the project and other related work

#### 4.2.4 Project implementation agencies and related units

The project implementation agencies of this project are mainly afforestation companies or cooperatives, design units, supervision units and construction units. All relevant units are determined in the form of bidding. Therefore, there are no specific units at present. The main scope of the bidding is project engineering and investigation. Design, construction supervision.

### 4.3 Stakeholder Register

The Social Assessment Team will maintain a stakeholder register, which shall record all stakeholders, contact details, dates of engagement with comments and including follow up requirements.

## **5 STAKEHOLDER ENGAGEMENT APPROACH**

### **5.1 Engagement Phases**

Stakeholder engagement within the ESIA process is critical for supporting the project's risk management process, specifically the early identify and avoidance/management of potential impacts (negative and positive) and cost effective project design.

Stakeholder engagement is an on-going process throughout the ESIA and there are three phases relevant to the Project:

- 1) ESIA Engagement Phase;
- 2) ESIA Disclosure & Consultation Phase; and,
- 3) Ongoing engagement after the ESIA disclosure process is complete and throughout the the project life cycle.

#### **5.1.1 ESIA Engagement Phase**

During the ESIA site work, the focus of engagement is primarily on gathering information and opinions from stakeholders. Engagement activities will therefore include interviews with stakeholder representatives (informal leaders) and key information organizations (communities, authorities, NGOs) using personal in-depth interviews, participatory observations, questionnaires, and stakeholder seminars.

Within the overarching ESIA engagement objectives, the specific objectives of engagement during this phase are to:

- 1) Introduce the project and ESIA process to key stakeholders
- 2) Identify potential impacts and issues that will be covered in subsequent phases



3) Further identify stakeholders related to the Project

4) Identify and gain access to relevant data

5) To gather stakeholder opinions on the proposed project and ensure that these opinions are fed into the assessment process

6) To gather stakeholder feedback on the development of management and mitigation measures of potential impacts, particularly where stakeholders have a potential role to play in these measures.

### 5.1.2 ESIA Disclosure & Consultation Phase

This second phase of engagement focuses on disclosing and consulting on the draft results of the ESIA process. Within the overarching ESIA engagement objectives, the specific objectives for the draft ESIA phase of engagement are to:

1) Provide feedback to the stakeholders on the draft impact assessment and associated management/mitigation measures (disclosure); and,

2) Gather stakeholder input on the initial impact assessment and identified mitigation and enhancement measures (consultation).

It is planned that this phase of engagement will be carried out during January to February 2019 to draft the ESIA Package Report, and conduct participation activities of this stage before February 2019. And finalize the report by May 2019. The detailed plans for the ESIA Package Disclosure and Consultation Phase Activities are concluded below Table 5-1.

During this engagement phase, disclosure and consultation activities will be designed along the following general principles:

1) Consultation events and opportunities must be widely and proactively publicised, especially among project affected parties, at least 2-3 weeks prior to any meeting;

2) The non-technical summary must be accessible prior to any event to ensure that people are informed of the assessment content and conclusions in advance of the meeting; 3) The location and timing of any meeting will be designed to maximise accessibility to project affected stakeholders;

4) Information presented will be clear and non-technical, and will be presented in the local language understood by those in the communities;

5) Facilitation will be provided to ensure that stakeholders are able to raise their concerns; and;

6) Issues raised are answered at the meeting or actively followed up.

Anyone can comment on the draft ESIA during the 60-day disclosure period. Feedback forms (Appendix 2) will accompany all the disclosure documentation. Comments can be placed in anonymous comment boxes for responsible organizations; sent/emailed to the responsible organizations or institutions directly to <http://ly.tongliao.gov.cn> or a telephone hotline exists 0475-831035 and feedback will be recorded.

### 5.1.3 Continuous Engagement

#### *Community Forum*

In order to ensure effective consultation with community members during construction and operation of the Project, project team will establish a Community Consultation Forum that aims to disseminate project information to community members.

The project will require community democratically elected representatives to participate voluntarily in community forum that will be held quarterly. Representatives will be responsible for disseminating project information to community members, and project offices at all levels will select people to take minutes and register at the meetings. The composition of the Forum might include the following Committee members:

- 1) community members from the communities within the Projects area of interest;;
- 2) Representatives from the Municipal Authorities; and
- 3) Representatives from urban and county forestry bureaus;
- 4) Community sector representatives in the project area;

In summary the Consultation Forum comprises a membership of persons that might be elected every six months. Committee members would be required to hold meetings with their communities, and to provide the project responsible organization or agency with attendance notes and copies of the minutes.

For the Forum to be effective, it would be important for elected forum members to participate in training workshops to develop a regulation and build capacity amongst forum committee members to effectively participate in meetings.

The venue for discussion meetings should be rotated between communities, using a pre-agreed timetable established at the first meeting to be held at the identified venue. Each community then holds the forum meetings in turn, with the members going to each meeting place at a set time.

### ***Notice boards***

Notice boards an effective mechanism for informing literate audiences and can be used by project management agencies to inform community members about project activities. Selecting the best location for the notice boards should be done in consultation with community members.

These notice boards will be regularly updated with Project information and used to inform community members about project activities, employment opportunities and impact management measures including the grievance mechanism. Noticeboards could also include the grievance/suggestion box. The cost of resolving complaints during project implementation is included in the project area stakeholder engagement plan's overhead budget. As shown in table 5-

1. The activities and schedule of the project information disclosure and consultation phase are shown in table 5-2.

**Table 5- 1 Social Action Plan of the Project Area**

Activity	Goals and indicators	Responsible agency	Budget	Time (year)
a. Development of forest resources, improvement of ecological environment in the sandy area, construction and development of ecological industries, capacity building of management in desertification areas and initiative to promote the project to other desertification areas – all outputs involved in the project				
<p>A-1 construction period</p> <p>Ensuring women’ s employment opportunities during the construction phase of the project</p> <p>Ensuring employment opportunities for minority populations during the construction period of the project</p> <p>Ensure that women’ s employment needs are clearly defined in the construction contract</p> <p>Ensure that women's work environment and conditions (any toilet and/or washing arrangements, etc.) are suitable for women</p>	<p>objectives:</p> <p>Female labor force accounts for 30% of the project construction</p> <p>Women and men's workforce equal pay for equal work</p> <p>Index:</p> <p>Number of local women employed (50% proficient / 50%</p>	<p>Project implementation unit, afforestation company</p> <p>Project Office and external monitoring</p>	<p>Wages are included in the direct construction costs of the project and are paid by the contractor.</p>	<p>2019 – 2023</p> <p>(the entire construction period)</p>

Activity	Goals and indicators	Responsible agency	Budget	Time (year)
<p>Improve the awareness of ecological forestation and environmental protection among the people in the project area and affected areas</p> <p>Before the afforestation project, a resident information conference will be held. The published information includes the start and completion dates, temporary interruption of service, security, etc.</p> <p>Ensuring equal pay for equal work</p>	<p>unskilled, 40% minority and 20% poor)</p> <p>Pay to local women</p> <p>100% of female employees receiving training</p> <p>100% of the awareness of ecological forestation and related afforestation training for female employees</p> <p>Afforestation company or afforestation cooperative</p> <p>“training record” (by gender)</p>	<p>agencies to supervise</p> <p>Women's Federation, Civil Affairs Bureau and external monitoring agencies</p> <p>Women' s Federation and affected areas of the project need support</p>	<p>Training costs can be found in the social action plan</p>	

Activity	Goals and indicators	Responsible agency	Budget	Time (year)
<p>A-2 operation period</p> <p>Ensuring women' s employment opportunities during project operations</p> <p>Ensuring employment opportunities for minority populations during project operations</p> <p>Ensuring equal pay for equal work</p> <p>Ensure that training is provided to female employees and minority personnel of project operators (labor law, work skills, safety, health, etc.)</p> <p>Protect the rights and interests of workers</p>	<p>Objectives:</p> <p>Female workers account for 40% of jobs during the project operation period</p> <p>100% of female employees and minority employees receive training</p> <p>Minority population accounts for 40% of jobs during the operation period</p> <p>Index:</p> <p>Pay to local women</p> <p>Number of female employees trained</p>	<p>Project office and external monitoring agency</p> <p>Women's Federation, Civil Affairs Bureau and Labor Bureau support</p>	<p>Wages are covered by the operating unit of the project in operating costs</p>	<p>After 2024</p> <p>(after the operation of the subproject )</p>

Activity	Goals and indicators	Responsible agency	Budget	Time (year)
	<p>“Training records of project operating companies (by gender)</p>			
b. Forest resource development - output 1				



Activity	Goals and indicators	Responsible agency	Budget	Time (year)
<p>Ensuring the participation of women and minority workers in the consultation and decision-making process related to project afforestation</p> <p>Advocacy to raise public awareness of ecological afforestation and forest fire prevention</p>	<p>Objectives:</p> <p>At least 30% of local residents participate</p> <p>At least 30% of women participate in public consultation</p> <p>More than 30% of minority employees participate in the consultation and decision-making process</p> <p>Index:</p> <p>Convene meeting of residents in affected areas</p>	<p>Project Office, Civil Affairs Bureau and external monitoring agency</p>	<p>Public awareness and training costs can be found in the Social Action Plan</p>	<p>2019 – 2023</p> <p>(the entire construction period)</p>

Activity	Goals and indicators	Responsible agency	Budget	Time (year)
	Number of training, frequency, total time, number of female participants in each county			
c. Ecological environment improvement, construction and ecological industry development in sandy areas - Output 2				
C-1 Ecological environment improvement, construction - sub-output in sandy areas				

Activity	Goals and indicators	Responsible agency	Budget	Time (year)
<p>Ensuring that women and ethnic minority personnel participate in the consultation and decision-making process related to sand desertification design</p> <p>Ensure that women and minority farmers participate in the cultivation and maintenance of trees, and cultivate, plant and maintain mixed forests, economic forests, and seedlings.</p> <p>Planting and maintenance of mixed forests, economic forests, and seedling bases</p> <p>Artificial economic forest of 125,300 hectares of mixed native rare tree species</p> <p>100 million hectares of ecological and economic forests</p> <p>0.27 million hectares of seedling guarantee base</p>	<p>objective:</p> <p>At least 30% of local residents participate</p> <p>At least 30% of women participate in public consultation</p> <p>More than 30% of minority employees participate in the consultation and decision-making process</p> <p>Index:</p> <p>The convening project directly affects the residents meeting of the district</p> <p>Number of female participants (residents, students)</p>	<p>County Project Office,</p> <p>Project implementation unit, community,</p> <p>Ask the Experts</p>	<p>Public awareness and training costs can be found in the Social Action Plan</p>	<p>2019 – 2023</p> <p>(the entire construction period)</p>

Activity	Goals and indicators	Responsible agency	Budget	Time (year)
C-2 Promote sustainable afforestation to reduce desertification - sub-output				
<p>Introduce and publicize the sustainable afforestation industry demonstration project and high-quality economic forest base</p> <p>Ensuring women's participation in the design and preparation of sustainable demonstration projects and quality economic forest bases</p> <p>Ensuring the participation of women and ethnic minorities in the consultation and decision-making process related to the design of forestry infrastructure</p> <p>Ensure the training of women and ethnic minority personnel in the sustainable afforestation industry and high-quality economic forests (mainly including the economic forestry base of the garden, garden planting, sand fruit, Jinxiu sea otter, etc.)</p> <p>Ensuring the training of women and ethnic minorities in the use of irrigation equipment and pest control</p>	<p>Objective:</p> <p>At least 30% of local residents participate</p> <p>At least 30% of women participate in public consultation</p> <p>More than 30% of minority employees participate in the consultation and decision-making process</p> <p>At least one female cadre participates in the construction and management of demonstration projects</p>	<p>Qixian County Project Office</p> <p>Project implementation unit,</p> <p>Support and consultation experts from the municipal government, village committee and</p>	<p>Public awareness and training costs can be found in the Social Action Plan</p>	<p>2019 – 2023</p> <p>(the entire construction period)</p>

Activity	Goals and indicators	Responsible agency	Budget	Time (year)
<p>Ensuring public awareness campaigns and forest fire prevention awareness of production safety in the project area</p> <p>Ensuring that female cadres enhance their ability to work in demonstration projects</p> <p>Ensure the establishment of an ecological compensation mechanism</p>	<p>Index:</p> <p>Number of promotional materials</p> <p>Number of residents meeting directly affected by district (community)</p> <p>Number of training, frequency, total time of each county</p> <p>Number of women participating in the training</p> <p>Number of female cadres</p>	<p>forestry bureau of each county</p>		
<p>d. Capacity building for forest resources and desertification management - output 3</p>				

Activity	Goals and indicators	Responsible agency	Budget	Time (year)
<p>Ensure that each project office and project implementation unit has at least one staff member to undertake the work of social/gender aspects (hereinafter referred to as “social security employees” )</p> <p>Efficient ecological forestry 138000 hectares</p>	<p>Objective:</p> <p>At least one person in each project office or project implementation unit will hold this job.</p> <p>Index:</p> <p>Number of experts/persons in social/gender aspects involved</p> <p>Number of gender action plans/social action plan training provided by experts</p> <p>Number of participants (by gender)</p>	<p>Tong Liao City Project Office and County Project Office</p>	<p>Consult the expert's cost to see the social action plan</p>	<p>2019 – 2023</p> <p>(the entire construction period)</p>

Activity	Goals and indicators	Responsible agency	Budget	Time (year)
	Number of female members in Project offices/implementing agencies and community offices			
Gender awareness training for project offices and project implementation units, including related (1) European Investment Bank Gender Policy; (2) Gender Action Plan; (3) Discussion on the benefits of women's mainstreaming to infrastructure projects	Objective:  80% of the staff of the project office and implementing agencies are trained  At least 30% of female members in all training	Tong Liao City Project Office  Various flag county project offices, project implementation units, and various	Training costs can be found in the social action plan	2019 – 2023  (the entire construction period)

Activity	Goals and indicators	Responsible agency	Budget	Time (year)
	Index:  Number of training, frequency, total time of each county  Number of participants (by gender)	county and county governments support		



**table 5-2 activities and timing of the project information disclosure and consultation phase**

Activity	Timing	Engagement Activity and Methodology	Targeted Stakeholder	Engagement Objectives
Disclosure & Consultation Preparation	January 2019	Project readiness	Tong Liao city and the banner county district government, bureau of forestry and grassland and related units	Prepare appropriate disclosure materials related to the disclosure
		Prepare stakeholder engagement plan (including grievance mechanism)	All stakeholders	Prepare appropriate disclosure materials related to the disclosure
		Prepare two reports (detailed and general) outlining the non-technical executive summary	Each project office, pays attention to the interest group	Prepare appropriate disclosure materials related to the project and the grievance mechanism; To support disclosure of stakeholder participation
			Municipal forestry bureau, focus groups	Detailed presentations intended for Municipality.
		Informal launch day in Tong Liao forestry bureau; During the 60 days of the disclosure period, the office is expected to be open 2 days a week from 9 a.m. to 12 AM	Governments at all levels, government agencies, relevant project implementation units, afforestation companies, media	Grievance panels are open and staffed so that affected stakeholders have access to non-technical summaries, participation programmes, grievance mechanisms and all other relevant public documents. Provide a feedback box within 60 days.

Activity	Timing	Engagement Activity and Methodology	Targeted Stakeholder	Engagement Objectives
Disclosure (60-day disclosure period)		Prepare the notification of the commencement of the disclosure process and the program activity schedule. The content of environmental impact assessment is also available for reference. Facilities for receiving comments, including suggestion boxes for providing comments; Send/email to relevant responsible departments, or log in the official website; Telephone hotline 04758310385 and record the feedback.		To enable the participation of all parties; Interested and affected parties have access to the disclosure information and Enable stakeholders to provide feedback and comments with relevant plans for the proposed projects.
	February to April 2019	Publish announcements in local newspapers and media, provide online channels to explain the public process, the location of relevant documents, and various mechanisms for Posting comments.	Stakeholders at all levels	Ensure that project stakeholders have access to or access to the project impact outline and recommended mitigation measures; Enable stakeholders to provide feedback and comments on draft projects; Ensure quality participation in the content of the report, not just its wide dissemination
		The official websites of the government and related organizations publish information about the draft project in Chinese and Mongolian.	Stakeholders at all levels	Ensure that project stakeholders have access to or access to the project impact outline and recommended mitigation measures; Enable stakeholders to provide feedback and comments on draft projects; Ensure quality participation in the content of the report, not just its wide dissemination

Activity	Timing	Engagement Activity and Methodology	Targeted Stakeholder	Engagement Objectives
		The project draft and other relevant public information will be submitted to relevant stakeholders. The project leading group and the organization responsible for the management of the project area backup copy. Explain to identified stakeholders.	Governments at all levels, forestry bureaus and stakeholders at all levels	Ensure that project stakeholders have access to or access to the project impact outline and recommended mitigation measures; Enable stakeholders to provide feedback and comments on draft projects; Ensure quality participation in the content of the report, not just its wide dissemination
		Establish consultation meetings with relevant interest groups (city, district, county). Establish an advisory meeting program for affected persons. Meetings with those affected by the project will be held at the location agreed upon. Residents of each project area should be encouraged to participate, some of whom may be absent; Feasibility studies, stakeholder engagement plans and three weeks prior to any consultation are provided to give participants time to read and prepare for the consultation.	Governments at all levels, Bureau of forestry and grassland and stakeholders at all levels	Ensure that project stakeholders have access to or access to the project impact outline and recommended mitigation measures; Set meeting dates in advance so stakeholders have time to read and prepare for consultations so they are "notified" ahead of the meeting date.
		Hold consultation sessions with affected stakeholders. The facilitator will coordinate and facilitate dialogue between stakeholders and stakeholders. An informal presentation will be prepared and presented in Chinese or Mongolian and a project leaflet should be provided		Enable stakeholders to provide feedback and feedback on projects; Ensure quality participation in the content of the report, not just its wide dissemination.

Activity	Timing	Engagement Activity and Methodology	Targeted Stakeholder	Engagement Objectives
Post Disclosure	May 2019	Publish the results of the consultation meeting	As above	Close the comment channel
		Finally set out the provisions of "description of forestry ecological construction project with loan from European investment bank of Tong Liao city", and provide a public summary table, during the disclosure of the received opinion, as well as the relevant responsible departments' response to how these opinions are dealt with in the "description of the European investment bank's loan for forestry ecological construction project of Tong Liao city".		Collate comments, log in to the stakeholder registry, and file appropriately into the project's annual and monthly reports

## 5.2 Post ESIA Disclosure, Continuous Consultation

Upon completion of the ESIA report, once construction begins, stakeholders and project stakeholders at all levels will continue to participate throughout the project lifecycle. The program will use the information center as an information platform to provide relevant information, and under the guidance of SEP, continuous participation and reporting to the community will support the long-term viability of the program by establishing and maintaining good relations with the community and informing the decision-making process with feedback.

The SEP is a living document that will be refined and modified throughout the life of the Project. During this iterative process the focus and scope of the SEP may shift somewhat in response to changing engagement needs and priorities for the Project, and as such the SEP should be updated after the ESIA process in order to meet requirements.

The key elements to be considered when implementing stakeholder engagement during the Project's life cycle are as follows;

- 1 maintain an existing relationship with stakeholders;
- 2 Assist the sub-project offices to implement the environmental and social management plans;
- 3 Assist relevant project management departments in monitoring and managing environmental and social impacts.

This will be done in the following way, as detailed in Section 5.2.1.

### 5.2.1 Establishment of Community Liaison Team

A trained community liaison team will take responsibility and lead all aspects of the stakeholder engagement.

#### *Information Centre*

The information center is located in Tong Liao forestry and grassland bureau and will operate continuously at any stage of the project. The center provides leaflets and materials to the public. Members of the public can meet and exchange views with project management representatives to obtain information on ongoing projects, raise questions on areas of interest and concern, and lodge complaints or concerns.

### **5.2.2 Establishment of Local Consultative Forums**

The ESIA mitigation measures recommend the establishment of local consultation seminars (LCFs) in communities directly affected by the proposed project. The purpose of local consultation seminars is to provide a platform for discussion, as a two-way process, on issues directly related to plantation practices, environmental performance and community relations. Committee members shall be composed of community members (men and women) from each of the directly affected villages (including small villages), including Tong Liao city, Ke Zuo Zhong Qi, Ke Zuo Houqi Qi, Ke Erqin district, Za Lute Qi, Nai Man, Jing Kai district and Kai Lu county. Details will be identified and communicated to the relevant communities.

## **6 STAKEHOLDER ENGAGEMENT TO DATE – CURRENT DEVELOPMENT**

### **6.1 Stakeholder Engagement Activities**

Entrusted by the project construction unit, the social assessment working group has divided into three teams to carried out comprehensive economic and social survey in the eight counties involved in the project area. The economic and social survey has been conducted under the assistance of relevant personnel from various county forestry and grassland bureaus in Tongliao City on January 17-23, 2019.

The social assessment working teams comprehensively considers the differences in population structure and economic and social development in each county. The eight counties involved in the project include the Horqin District, Tongliao Economic and Technological Development Zone, Kailu County, Kulun Qi, Naiman Qi, Zalute Qi, Horqin Left Wing Zhongqi, and Horqin Left Wing Rear Qi were randomly selected from 580 households for questionnaire survey and 566 valid questionnaires were received. Through the questionnaire survey, the socio-economic status and agroforestry condition of local residents have been understood, and, the views and opinions of the people in project area as well as their willingness ability to pay have been collected.

Stakeholder workshops were organized in each county with organized by local forestry and grassland bureau and chaired by the staff of the forestry and grassland bureau. The forestry stations and large-scale forestry enterprises under the jurisdiction of each county participated in the workshops. The main purpose of the consultation workshops are to evaluate capacity of executive agency, and assess their interest and importance of project implementation, monitoring, evaluation and impact. Therefore, representatives of stakeholder groups were recommended to participate in the social poverty and analytical participation process of the project. Another purpose of the consultation workshop is to gather information about their views and expectations about the project.

A total of 10 seminars were held, and 200 person/times participated the workshop, of which 50% were Mongolian Minorities and 30% were women.

The identified key stakeholders and participants in the workshop are as follows: project area group, project construction affected group, special group, project area village committee, local project office, subproject county government, state-owned forest farm, representative of large-scale forestry enterprises and the farmer's households association

The content of consultation workshop including: (1) Project information and knowledge; (2) Institutional roles and responsibilities related to the project; (3) Attitudes towards to the project; (4) Views, concerns and expectations for the project; (5) Interest in participation in planning, implementation, monitoring and evaluation; (6) Available institutional experience, expertise in project planning, implementation, monitoring and evaluation; (7) Desired roles in the project, and capacity building needs for those expected to become core stakeholder representatives.

The social survey summary is shown in Table 6-1



**Table 6- 1** Socio-economic survey summary

<b>Country</b>	<b>Workshop /time</b>	<b>Total/ person</b>	<b>Mongolian/ person</b>	<b>Women/ person</b>	<b>Interview / person</b>	<b>Questionnai re/village</b>	<b>Total / household</b>	<b>Mongolian/h ousehold</b>	<b>Women/hou sehold</b>
Tongliao City	2	20	12	4	0	0	0	0	0
Kezuozhongq i	2	15	10	3	5	5	65	40	4
Kulunqi	1	10	5	2	10	2	69	54	5
Kezuo houqi	2	25	15	4	8	2	33	30	5
Horqin	2	18	12	3	12	4	98	80	12
Zaluqi	1	10	6	1	8	4	79	60	18
Naimanqi	1	12	7	2	7	3	80	54	16
Economic Development Zone	2	22	15	5	15	2	98	76	22
Kailu country	2	18	11	5	12	2	44	30	15
Total	15	150	93	29	77	24	566	424	97



**Figure 6- 1 Forestry and grassland bureau Workshop in Tongliao**



**Figure 6- 2 Workshop in Kezuo Houqi**



**Figure 6- 3 Interview with afforestation in Horqin District**



**Figure 6- 4 Workshop in Kezuozhongqi**



**Figure 6- 5 Workshop in Zaluteqi**



**Figure 6- 6 Workshop in Naimanqi**



**Figure 6- 7 Workshop in Kulunqi**



**Figure 6- 8 Workshop in Kailu County**



**Figure 6- 9 Workshop in Economic Development Zone**

## 6.2 The socio-economic survey in project area

### 6.2.1 Farmers' cognition survey results of the project

The social assessment teams conducted a project cognition survey of 566 households in the project area. The specific results are as follows:

**Table 6- 2 Farmers' understanding of the project**

project	I don't know it at all	I don't know much.	I know it a little	I know it	I know it very much.
Farmers' understanding of the project	3.56%	6.33%	9.58%	55.88%	24.65%

**Table 6- 3 The channels for farmers to understand project**

Project	TV	gover nment annou nceme nt	village officials informed	media	staff to inform	the project staff to inform	others
The channels for farmers to understand project	21.02%	36.57 %	79.15%	7.77%	8.48%	17.49%	1.94%

**Table 6- 4 Farmers' perception of project content**

project	Ecological forest	Economic-forest	nursery,	training,	others
The farmer considers the content of the project	62.37%	84.63%	54.59%	13.96%	0.71%

**Table 6- 5 Farmers' support for the project**

Project	Support	Not support	Does not matter
Farmers' support for the project	96.82%	0.18%	3.00%

**Table 6- 6 Farmers' overall perception of the project**

project	Very necessary	necessary	Doesn't matter	No necessary	No necessary at all
Farmers' overall perception of the project	80.57%	17.14%	0.88%	1.41%	0.00%

**Table 6- 7 Farmers' awareness of the environmental benefits of the project**

project	Improve the environment	release oxygen benefits	water transfer benefits	soil conservation benefits	sand fixation benefits	maintain biodiversity	other
Farmers' awareness of the environmental benefits of the project	80.74%	65.02%	62.72%	43.11%	56.54%	24.91%	0.18%



**Table 6- 8 Farmers' awareness of the social benefits of the project**

project	Improving the living environment,	increasing employment	improving the management level of forest	promoting the development of ecological culture,	others
Farmers' awareness of the social benefits of the project	83.39%	81.27%	54.06%	53.89%	0.53%

**Table 6- 9 Farmers' perception of the impact of the project**

project	Cost increases	technology is not in place,	improper operation	high risk	others
Farmers' perception of the impact of the project	56.54%	45.41%	39.40%	37.81%	0.53%

**Table 6- 10 Farmers' participation in the project**

project	Will	Will not	Doesn't matter
Farmers' participation in the project	92.76%	0.53%	6.71%

## **6.2.2 Agricultural technology training survey results**

The social assessment team conducted an agricultural technology training survey on 566 households in the project area. The specific results are as follows:

**Table 6- 11 The training farmers want to participate**

project	Tree species selection	seedling selection	ecological forestation	fruit tree plantation	seedling planting,	pest control	others
Farmers want to participate in the training	62.37%	64.13%	37.10%	65.72%	28.80%	42.76%	0.53%

**Table 6- 12 Farmers' participation in training**

project	Will	Will not
Proportion of farmers participating in training	60.95%	39.05%

**Table 6- 13 Farmers who have participated in the training by gender**

project	Male	Female	Together
Farmers who have participated in the training by gender	47.70%	3.89%	9.36%

**Table 6- 14 Content already involved in the training**

project	Tree species selection	seedling selection	ecological forestation	fruit tree plantation	seedling planting,	pest control	others
Participation in training	44.35%	22.97%	10.78%	41.34%	41.17%	39.75%	1.41%



**Table 6- 15 Institution providing training**

project	Technology Extension Station	County Forestry/Agriculture Bureau	County Women's Federation	Enterprise/Cooperative	Others
Institution providing training	43.46%	59.36%	1.77%	8.83%	0.53%

### 6.2.3 Project Environmental Impact Survey Results

The social assessment team conducted a project environmental impact survey on 566 households in the project area. The specific results are as follows:

**Table 6- 16 Farmers' perception of the local ecological environment**

project	Good	general	Poor	Very poor
Farmers' perception of the local ecological environment	62.19%	33.22%	4.24%	0.35%

**Table 6- 17 Farmers' perception of major local environmental issues**

project	Air	surface water	groundwater	noise	ecology	Others
Farmers' perception of major local environmental issues	44.88%	47.35%	63.25%	11.13%	53.00%	6.54%

**Table 6- 18** Farmers' awareness of project implementation to improve local economic conditions

Project	Will	will not	unknow
Farmers' perception of improvement to local economy from the project implementation	95.41%	0.88%	3.71%

**Table 6- 19** Farmers' awareness of project implementation to improve local ecological conditions

project	Yes	No	Don't know
Farmers' awareness of project implementation to improve local economic conditions	95.23%	2.12%	2.65%

**Table 6- 20** Environmental issues of concern to farmers

Project	Pesticide pollution	soil erosion	pests and diseases
Environmental issues of concern to farmers	40.81%	44.35%	47.00%

**Table 6- 21** Farmers' attitude towards project construction

project	Very supportive	support	Does not matter
Farmers' attitude towards project construction	75.62%	22.97%	1.41%

#### **6.2.4 Socio-economic survey results**

(1) About 80% of the 566 households surveyed have a good understanding or understanding of the project. About 10% of the farmers only know about the project, and less than 10% of the farmers are completely ignorant or don't know much of the project.

(2) The surveyed households mainly understand the basic situation of the project through government announcements and village cadres' notifications and television channels. Some of the farmers know the project when the social assessment teams are conducting investigations, and they are informed by the staff of the social assessment team.

(3) The surveyed households believe that the content of the project mainly includes three parts: ecological forest, economic forest and nursery base construction. Few farmers think that the content of the project also includes providing relevant training.

(4) 96.82% of the farmers surveyed supported the construction of the project, farmers who do not support project construction account for 0.18%, and those who do not care about opinions are 3%.

(5) 98% of the farmers surveyed believe that the project will bring benefits to farmers and it is necessary to implement, farmers who believe that the project is not necessary at all account for 0%.

(6) The surveyed farmers believe that the project will mainly bring about five environmental benefits: environmental quality improvement, forest carbon sequestration and oxygen release, forest water conservation, forest conservation, and wind and sand fixation.

(7) The surveyed households believe that the implementation of the project will mainly bring about four significant social benefits: the significant improvement of the human settlement ecological environment, the significant increase in the employment capacity of forest farmers, the improvement of the forestry management level, and the prosperity and development of the forest health culture.

(8) The surveyed farmers believe that the implementation of the project will mainly affect the following four aspects: ① In terms of cost, the prices of raw materials and labor may rise; ② fast-growing and high-yield technologies and management technologies are not in place; ③ insufficient water and fertilizer inputs are not enough, and pruning technology, pest control technology, etc. are not enough and insufficiently invested, and improper operation; ④ natural geographical conditions are different, and the quality of tree species and forest trees is easily affected by natural disasters and management levels, and there is a risk of fire prevention and anti-theft logging. Among them, farmers mainly believe that the implementation of the project will bring about an increase in costs and labor.

(9) 92.76% of the farmers surveyed are willing to implement the project on their own forest land.

(10) The training of the surveyed farmers is mainly as follows: ① selection of afforestation tree species; ② selection of seedlings; ③ afforestation model of mixed forests of local precious trees; ④ afforestation model of fruit trees; ⑤ pest control. Some farmers also want to participate in the training of seedling planting on this basis.

(11) 60% of the surveyed households have participated in training.

(12) Among the surveyed households, women had participated in the training.

(13) Among the surveyed households, there are farmers who have participated in the training. The training forms are mainly: afforestation tree species selection, fruit tree economic forest afforestation model, seedling planting, pest and disease control, and a small number of farmers have also participated in the seedling selection and ecological forest afforestation two training modes.

(14) Among the surveyed households, there are farmers who have participated in the training. The training is mainly provided by the technology promotion station and the forestry and grassland bureaus of the counties and the agricultural bureau.

(15) Among the surveyed households, 90% of the farmers believe that the local ecological environment is good.

(16) Among the surveyed households, farmers believe that local environmental problems mainly occur in air, surface water, groundwater, and ecology. Among them, groundwater is the most serious problem.

(17) 95.41% of the surveyed households believe that project implementation can promote local economic development and improve the living standards of agricultural workers.

(18) 95.23% of the surveyed households believe that the implementation of the project can improve the local ecological environment.

(19) The surveyed farmers were mainly concerned with the three environmental problems of chemical fertilizer and pesticide pollution, soil erosion, and pests and diseases during the construction period and forestry period of the project. Among them, the problem of pests and diseases is the most concerned by farmers.

(20) 98.6% farmers are very supportive of the project construction.

## **6.3 Disclosure of human resources policies and management systems**

The project will strictly abide by the comprehensive policies and plans for the work of agriculture, animal husbandry and migrant workers formulated by the Tongluo Municipal Bureau of Human and Social Security and related departments, and implement and promote the relevant policies of the farmers and herdsmen involved in the project, together with the people's governments of the various counties and The Forestry Bureau and other institutions coordinate and solve the key and difficult problems in the project concerning agriculture, animal husbandry and migrant workers, safeguard the legitimate rights and interests of farmers and animal husbandry workers, and at the same time monitor and standardize the recruitment behavior of employers and further standardize the human resources market order. The above contents are regularly disclosed on the websites of

the Tongliao Municipal Government and the Forestry Bureau and the websites of the various county forestry bureaus and are disclosed in the project area by various channels such as information centers, information boards, public meetings, telephone calls, and texts.

### **6.3.1 Labor standards and compliance**

The labor standard of this project is 120 yuan/day, and the compliance inspection should be carried out regularly. The compliance inspection mainly assesses the standard conditions and survival rate of various afforestation models for labor cultivation. The following measures and reports should be regularly checked for compliance:

- 1 Record of labor planting situation and report of conclusions prepared
- 2 Confirm the correct response to each report conclusion
- 3 Describe the inadequacies that have been corrected

### **6.3.2 Monitoring of contractors**

1 To effectively monitor the project's contractors/suppliers and state-owned forest farms, the forestry authority of the project site should collect key performance indicators including the number of complaints received, resolved and unresolved in monthly reports, which will be reported by them. To the local forestry and grassland bureau of Qixian County, and the Qixian County Forestry and Grassland Bureau is responsible for reporting to the Municipal Forestry and Grassland Bureau. As part of the annual inspection/report, analyzing the trends and time required to process complaints will help assess the effectiveness of the response and the complaints mechanism.

2 During the preparation of the project, the internal monitoring system should be activated and the internal monitoring agency will prepare a periodic or irregular internal work report in conjunction with the European Investment Bank, by the requirements of the European Investment Bank. Projects with greater impact require annual reports; projects with smaller impacts require

annual reports based on project conditions. Conduct special reports according to the needs of project management. A summary report will be issued after the project is completed. The internal monitoring report shall be reported by the implementing agencies at all levels to the people's government at the same level, the higher-level implementing agencies and the project owners. The project owner submits an internal monitoring report to the European Investment Bank each year.

## **7 IMPLEMENTATION OF THE SEP**

### **7.1 Project Management**

The competent unit of the project is Tongliao Municipal People's Government. The main construction unit of this project is the Tongliao Forestry and Grassland Bureau and the relevant People's Government of Qi (county) City.

#### **7.1.1 Municipal management agencies**

##### **Project Leading Group (PLG)**

The project leading group is led by Mr. Zhang Rui, who is the member of the Standing Committee of Tongliao Municipal Committee, and also the deputy mayor of Tongliao Municipal Government. The deputy group leader is Mr. Han Guowu, who is the deputy mayor of Tongliao Municipal Government. The member of PLG including:

- Mr. Han Xiaofeng-Director of Tongliao Municipal Development and Reform Commission;
- Mr. Xu Tianpeng- Director of Tongliao Municipal Financial Bureau;
- Mr. Lv Guohua-Director of Tongliao Municipal Forestry and Grassland Bureau
- Mr. Xue Yucheng-Director of Tongliao Municipal Environment Protection Bureau
- Mr. Lin Wenhui-Director of Tongliao Municipal Natural Resources Bureau
- Mr. Shi Houchun-Director of Tongliao Municipal Audit Bureau;
- Mr. Shi Yanchun-Director of Municipal Finance Office
- Mr. Bai Wenxue-Chairman of Inner Mongolia Hengrui Investment Holdings (Group) Co., Ltd;
- Mr. Ao Xijun-Deputy director of Municipal Development and Reform Commission, etc

The leader of the PLG is responsible for overall work of the project. Mr. Zhang Rui is responsible for the related work of project preparation. Mr. Han Guowu is responsible for the project implementation.

## Project Management Office (PMO)

The Project Management Office is established under Municipal Development and Reform Commission. The director of the PMO is undertaken by Ao Xijun, who is the deputy director of the Municipal Development and Reform Commission. The PMO has established project promotion department (the office is located in the Municipal Development and Reform Commission) and the project implementation working department (the office is located in the Forestry and Grassland Bureau). Among them, the project promotion department is responsible for project preparation, and the project implementation working department is responsible for project implementation and daily management. According to the needs of the work, the PMO, the project promotion department, and the project implementation department will allocate staffs from the Municipal Development and Reform Commission, the Forestry and Grassland Bureau, the Finance Bureau, the Natural Resources Bureau, the Environment Protection Bureau, the Audit Bureau, the Financial Office, and related Qi (counties) to work together under leadership of the PLG.

- (1) The Municipal Forestry and Grassland Bureau is responsible for: overall project design, annual plan preparation, organization and implementation, management method formulation, technical guidance of the county-level's construction design, project implementation management, county-level implementation supervision, quality supervision, inspection and acceptance, as well as completion acceptance. For the construction of mixed forests of native tree species, the Municipal Forestry and Grassland Bureau shall carry out the project procurement in accordance with the European Investment Bank's procurement guidelines. The winning bidder shall, in accordance with the requirements of the European Investment Bank, unify the standards and construction, and be responsible for organization of forestation and O&M within two years after completion. In the 4<sup>th</sup> years, the forest land will be managed by the farmers themselves, and the forest property rights and income will be owned by the farmers.

After the adjustment of the afforestation model, Tongliao City should communicate with the 8 county forest and grass bureaus in time, and each county should promote the new afforestation model to the relevant villages, farmers and forest farms for 24 times. The majority of forest farmers should participate in these trainings and become aware of the new Afforestation model.



- (2) The Municipal Finance Bureau is responsible for loan on-lending, the implementation of counterpart fund at all levels, fund disbursement, financial supervision, debt management, withdrawal application, and repayment of principal and interest;
- (3) The Municipal Development and Reform Commission is responsible for project preparation work, including project identification, approval, adjustment, and implementation supervision.
- (4) The Municipal Audit Bureau is responsible for project fund utilization supervision and annual audit
- (5) The Municipal Environment Protection Bureau is responsible for environmental technical guidance and supervision during project implementation
- (6) The Municipal Natural Resources Bureau is responsible for the preparation work of project such as confirmation of the nature of afforestation land
- (7) The Municipal Finance Office is responsible for the capital operation of the project and other related work

#### Establish of Consultant Team

The consulting team consists of related experts from the Chinese Academy of Engineering, the Cold and Arid Regions Environmental and Engineering Research Institute under the Chinese Academy of Sciences, the Institute of Applied Ecology of the Chinese Academy of Sciences, the Desertification Research Institute of the Chinese Academy of Forestry, the Desert Governance Institute of Inner Mongolia Agricultural University, the Inner Mongolia Forestry Research Institute, Beijing University Capital Development Research Institute and the Mengcao Ecological Group Research Institute, etc. The consulting team will conduct special research on a regular or irregular basis to consult and review major technical issues during project implementation.

#### **Project service company**

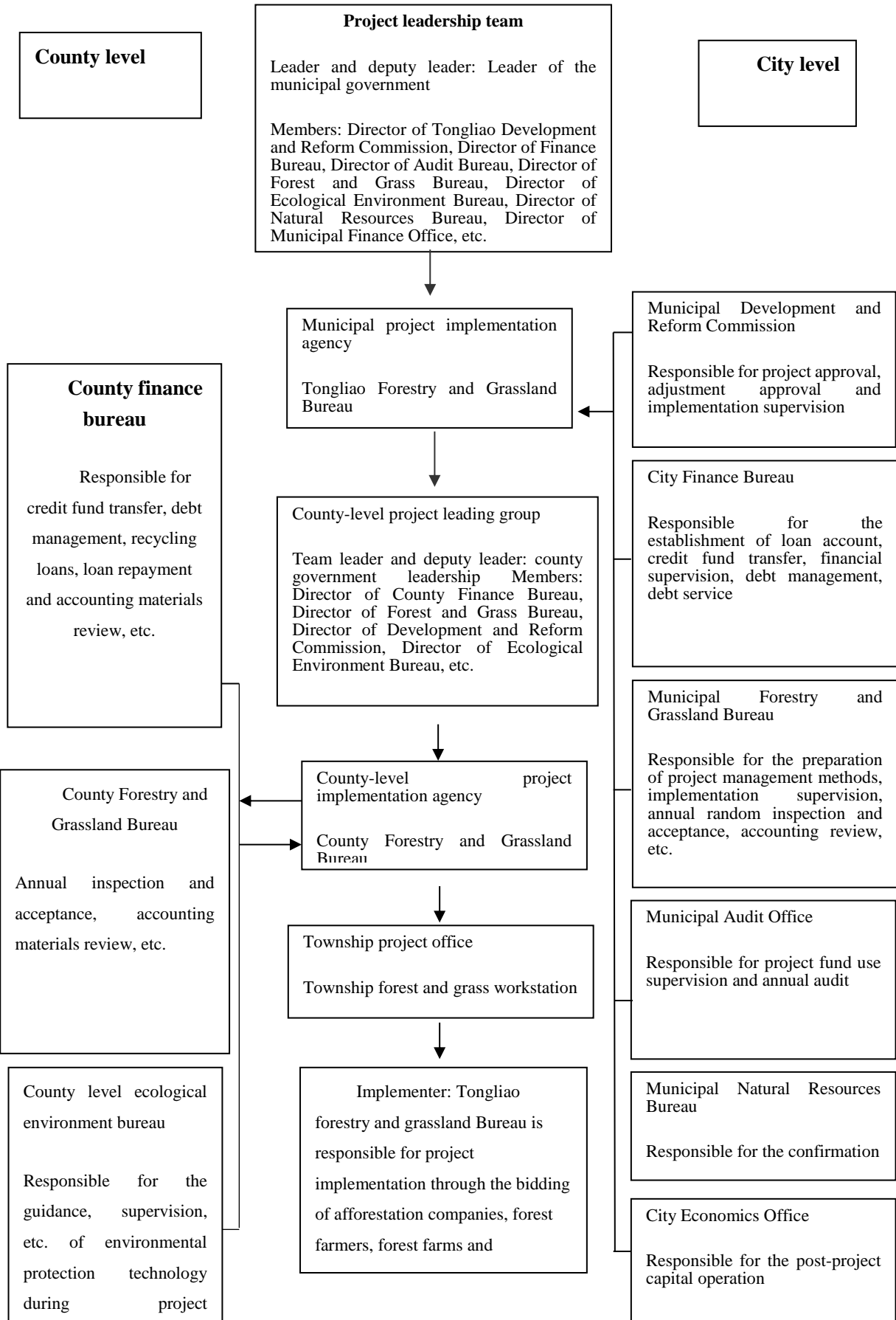
The project service company shall be uniformly recruited by the Municipal Project Office, and shall be responsible for the organization and unified lending of the loan fund for the construction of the mixed forest of native trees. In the construction of the eco-economic forest and seedling support base, it is responsible for signing loan contracts with the loan households, and is responsible for repaying the principal and interest of the loans delivered by the loan households to the company on time. Anyone plants in accordance with the standard plant spacing prescribed, now after modifying the model, he will be given a standard compensation of 500 yuan per mu after acceptance.

## **7. 1. 2 Administration Agency in County-Level**

The 8 county and district governments in the project area established project leading groups and project management offices (PMOs) with reference to the municipal project management agency. The Qi (county) and District Government is responsible for organization, implementation, supervision, coordination, and acceptance of the construction for mixed forests of native trees. The local forestry and grassland departments will take the lead, and other departments will be responsible for overall process management of the project construction locally. The Qi (county) and District Forestry and Grassland Bureau is responsible for the acceptance of ecological economic forest standardization base project and the nursery construction project, and cooperates with the municipal PMO to conduct spot checks and third-party acceptance work of the European Investment Bank. The Qi (county) and District PMOs are also responsible for the design of the above three projects.

## **7. 1. 3 Administration Agency in the Township Level**

The project implementation unit (PIU) in the township level have been established and are directly responsible for organizing and supervising of land utilization, project design, farmers' training, technology promotion, fund utilization, forest management, and environmental supervision, etc.



**Figure 7- 1 Project organization management and operation diagram**

## 7.2 Stakeholder engagement tools and materials

Entrusted by the project construction unit, the social assessment working group has divided into three teams to carried out comprehensive economic and social survey in the eight counties involved in the project area. The economic and social survey has been conducted under the assistance of relevant personnel from various county forestry and grassland bureaus in Tongliao City on January 17-23, 2019. The social assessment working teams have adopted five methods: literature research, personal in-depth interviews, participatory observations, questionnaire surveys, and stakeholder workshops. Based on an understanding of local socioeconomic development profiles, the need for project construction, possible positive and negative influence, the ability and willingness of the people to pay, and the various stakeholders have been fully consulted to understand the attitudes and needs of the various stakeholders in the project, in order to consider and absorb their suggestions in the project design.

### (1) Literature research

In order to better carry out the social impact analysis, the social assessment working teams collected a large amount of information through websites from the Tongliao Forestry and grassland bureau, the forestry and grassland bureaus, the statistical bureau, the civil affairs bureau, the minority and religion committee, the women's federation and the poverty alleviation office, the environmental protection bureau, the tourism development commission, etc. of the various counties in the project implementation area and all levels of government (provincial, municipal, county). The information including economic and social development statistics of provincial/city/county level, as well as data and research literature on poverty, gender, forestry, etc.

### (2) Personal in-depth interview

Investigators conducted personal in-depth interviews in the project area, including the head of the farmer's household association, the large-scale forestry enterprises, the head of the state-owned forest farm, the head of the County Forestry Station, the head of the County Forestry and grassland bureau, and the farmers encountered during the questionnaire survey with total number is 56 persons. The main objective is to understand the livelihood patterns of local people, the forestry development condition, and the project impact to local people. Also the status of local women, poor people and minorities as well as their, impact from the project has been investigated. The investigators communicated with different groups on their respective concerns and had a deep understanding of the views and suggestions of different groups in the project area.

### (3) Participation in observation

Participation in observation can help social assessment staffs to have an intuitive understanding of the socio-economic situation and project construction in the project area. The investigators visited eight counties in the project implementation area, including Horqin District, Tongliao Economic and Technological Development Zone, Kailu County, Kulun Qi, Naiman Qi, Zalute Qi, Horqin Left Wing Zhongqi, and Horqin Left Wing Rear Qi. Through participation in the observation, the

investigators learned about the social life of local people and had an intuitive understanding of the advantages and disadvantages of various forests and watering methods.

#### (4) Questionnaire survey

The social assessment working teams comprehensively considers the differences in population structure and economic and social development in each county. The eight counties involved in the project include the Horqin District, Tongliao Economic and Technological Development Zone, Kailu County, Kulun Qi, Naiman Qi, Zalute Qi, Horqin Left Wing Zhongqi, and Horqin Left Wing Rear Qi were randomly selected from 580 households for questionnaire survey and 566 valid questionnaires were received. Through the questionnaire survey, the socio-economic status and agroforestry condition of local residents have been understood, and, the views and opinions of the people in project area as well as their willingness&ability to pay have been collected.

#### (5) Stakeholder workshop

Stakeholder workshops were organized in each county with organized by local forestry and grassland bureau and chaired by the staff of the forestry and grassland bureau. The forestry stations and large-scale forestry enterprises under the jurisdiction of each county participated in the workshops. The main purpose of the consultation workshops are to evaluate capacity of executive agency, and assess their interest and importance of project implementation, monitoring, evaluation and impact. Therefore, representatives of stakeholder groups were recommended to participate in the social poverty and analytical participation process of the project. Another purpose of the consultation workshop is to gather information about their views and expectations about the project. A total of 10 seminars were held, and 200 person/times participated the workshop, of which 50% were Mongolian Minorities and 30% were women.

## **7.3 Monitoring and Evaluation, and Reporting**

### **7.3.1 Monitoring and Evaluation**

Since public participation is encouraged during the preparation and implementation of the social action plan, no substantive disputes will arise. However, unforeseen circumstances may occur during this process. In order to effectively solve problems and ensure the successful implementation of project construction and social action plans, a transparent and effective grievance mechanism has been established.

1. The basic complaint mechanism is as follows:

a) The affected person complains to the village civil mediator orally or in writing. If it is verbally dissatisfied, the village civil mediator must make a written record, and make a clear reply within 2 weeks.

b) If the reply in Phase 1 does not satisfy the complainant, the complainant may complain to the township judicial office, and the township judicial office must make a clear reply within 2 weeks.

c) Complainants may appeal to Letter Visit Bureau and Time Event Lettering and Mediation Center in every country within one month of receiving the decision of Stage 2, and Letter Visit Bureau and Time Event Lettering and Mediation Center shall make a decision to handle the appeal within 3 weeks.

d) The affected people are still dissatisfied with the reply from the Letter Visit Bureau and Time Event Lettering and Mediation Center. They can receive the lawsuit at the receiving stage 3 at any time in accordance with the Administrative Procedure Law of the People's Republic of China and directly file a lawsuit in the civil court of the local court.

2. At any stage, if he/she is dissatisfied with the grievance procedure or disposition, he may file a lawsuit directly with the civil court.

3. Affected persons may also file a complaint with the European Investment Bank's special coordinator or the Office of the Compliance Review Group in accordance with the accountability mechanism of the European Investment Bank.<sup>1</sup>

4. All oral or written complaints will be reported to the European Investment Bank in internal and external monitoring reports.

5. All agencies will accept the appeals and appeals of the affected people free of charge, and reasonable fees will be paid from the unforeseen expenses. Throughout the project construction and operation phase, the above procedures are still valid, so that affected people can use it to solve

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<sup>1</sup> For more information, please see: <https://www.eib.org/en/>

related problems. The above appeal channels will be disclosed to the affected people through the information manual and the media.

6. During the implementation of the Social Action Plan, the monitoring agency shall register and manage the complaints and processing information, and submit such information to the various flag county subproject offices in writing each month.

7. Tongliao City Project Office will regularly check the complaint registration and processing information, and prepare a registration form for this purpose.

**Table 7- 1 Complaint and Appeal Registration Form**

<b>Acceptance Unit</b>		<b>Time</b>		<b>Llocation</b>		
<b>Name of the complainant</b>		<b>Request solution</b>				
<b>Content of the appeal:</b>						
<b>Proposed solution</b>						
<b>Actual handling situation</b>						
<b>The complainant (signature)</b>				<b>Recorder (signature)</b>		
<p>Note: 1) The recorder should truthfully record the complainant's complaint content and requirements.</p> <p>2) The appeal process should not be subject to any interference or obstacles.</p> <p>3) The proposed solution should respond to the complainant within the specified time.</p>						

8. The monitoring body appoints the principal responsible for accepting and processing complaints and appeals.

**Table 7- 2 Information on complaints and complaints agencies and personnel receiving affected population**

Unit	Contact	address	Phone
Tongliao Bureau of forestry and grassland	Li Xiang	East Section of Binhe Street, Keerqin District, Tongliao City	0475-6395015
Zalute Banner Bureau of forestry and grassland	Wu Shaobu	50 meters east of Junmin Youyi Road, Lubei Town, Zhaqi	0475-7228288
Naiman Banner Bureau of forestry and grassland	Xie Chunxiang	West side of the northern section of Beijiao Street, Dalat Tara Town, Naiman Banner	0475-4210675
Kezuo Zhongqi Bureau of forestry and grassland	Yang Minghai	The east side of the intersection of Xiaozhuangwen Street and Wenhua Road in Horqin Zuoyizhongqi	0475-3219129
Kezuoqi Bureau of forestry and grassland	Chen Hui	South Section of Tiexi Road, Left-wing Banner, Kerqin	
Kailu County Bureau of forestry and grassland	Sun Shengwu	South of 70m east of the intersection of Liaohe Street and Maixin Road in Kailu County	0475-6222108
Kulunqi Bureau of forestry and grassland	Chao Lumen	Coulomb Town, Coulomb Town, Dongliang New District	0475-4777601
Horqin District Bureau of forestry and grassland	Korean double	West Section of Huolinhe Street, Keerqin District, Tongliao City	0475-8310924
Economic Development Zone Bureau of forestry and grassland	He Haibo	Tongliao Economic Development Zone Agriculture, Animal Husbandry and Forestry Water Affairs Bureau is located on the 8th floor of Venture Building, Tongliao Economic and Technological Development Zone.	0475-8628580

9. The cost of resolving complaints and representations during project implementation is included in the management cost budget of the Social Action Plan.



10. Affected persons may propose any of the above issues related to land lease and planting compensation, including compensation standards and payment.

### 7.3.2 Reporting

#### Internal reporting system

Internal monitoring is a continuous process in which comprehensive monitoring activities are carried out at least once a year; during critical periods such as afforestation, monitoring will increase in frequency.

During project preparation, the internal monitoring agency will prepare a periodic or irregular internal work report in conjunction with the European Investment Bank, in accordance with the requirements of the European Investment Bank. Projects with greater impact need a brief monthly report, detailed quarterly report, semi-annual report and annual report; the project with less impact needs a brief quarterly report according to the project situation, detailed semi-annual report and annual report. Conduct special reports according to the needs of project management. A summary report will be issued after the project is completed. The internal monitoring report shall be reported by the implementing agencies at all levels to the people's government at the same level, the higher-level implementing agencies and the project owners. The project owner submits an internal monitoring report to the European Investment Bank every six months.

## **8.0 GRIEVANCE MANAGEMENT AND COMMENT RESPONSE**

### **8.1 Purpose**

A grievance is a concern or complaint raised by an individual or group affected by the construction and operation of the project. Both concerns and complaints can come from actual or perceived impacts of the operation of the project, which can be submitted in the same way and handled in the same process.

A Grievance is NOT:

- 1) A question or suggestion on the company or project; and/or
- 2) An appeal or request for assistance.

### **8.2 Objectives**

- 1) To provide stakeholders with a clear process for providing comment and raising grievances;
- 2) To allow stakeholders the opportunity to raise comments/concerns anonymously through using the community suggestion boxes to communicate;
- 3) To structure and manage the handling of comments, responses and grievances, and allow monitoring of effectiveness of the mechanism; and
- 4) Ensure that opinions, responses and grievances are handled in a fair and transparent manner in accordance with policies, international standards and lender expectations.

## **8.3 Community Liaison and Grievance institution's Roles and Responsibilities**

All employees or contractors responsible for the project are responsible for reporting any comments and complaints to the community liaison senior officer (CLSO).

The CLO is responsible for receiving comment response, and grievances and ensuring that they are correctly documented. The CLO is the main point of contact for community level comment response, and grievances, and will be responsible for maintaining clear communications and updating the aggrieved in line with time frames detailed below.

The Community Liaison Officer is responsible for receiving and handling comment response, and grievances. The CLO will coordinate the investigation and response to grievances. The CLSO is responsible for on-going monitoring and review of the effectiveness and efficacy of the Grievance Mechanism.

## **8.4 Procedure for Comment Response**

The steps taken by the company for receiving and handling any comments pertaining to the Project are outlined below.

### **Step 1: submit comments**

A comment can be submitted to the company in a number of ways.

- 1) During regular meetings between the community and responsible agencies
- 2) Through the Local Consultative Forums established in the affected villages;;
- 3) During informal meetings with responsible agencies; and
- 4) Through communication directly with management – for example a letter addressed to site management, or other operational offices;

5) Email jck6395020@163.com directly

6) A telephone 0475-8310385;

7) Comments are placed in the suggestion box in the community, which is located in the forestry and grassland bureau of Tong Liao city (east section of Bin He street, Ke Erqin district, Tong Liao city, Inner Mongolia autonomous region).

8) Through the Community Liaison Officer (CLO).

For comments that have been submitted informally, the CLO will arrange for a meeting where the comment can be explained in full and written down on a grievance and comment logging form (Appendix 1). For all comments the CLO will be the main point of contact, responsible for responding to the commenter.

### **STEP 2: Logging the comment**

Once a comment is received, it must first be recorded in the comments and concerns registers and notified to the CLSO.

### **STEP 3: Providing the initial response**

The person/community/stakeholder who submitted the initial comment will be contacted within 7 days to confirm that the person responsible has documented the comment and provided feedback.

## **8.5 Procedure for Grievances**

The steps taken by the company for receiving and handling any such concerns are outlined below.

### **STEP 1: Submitting a grievance**

A grievance can be submitted to the company in a number of ways.

- 1) During regular meetings between the community and responsible agencies
- 2) Through the Local Consultative Forums established in the affected villages;;
- 3) During informal meetings with responsible agencies; and
- 4) Through communication directly with management – for example a letter addressed to site management, or other operational offices;
- 5) Email jck6395020@163.com directly
- 6) A telephone 0475-8310385;
- 7) Comments are placed in the suggestion box in the community, which is located in the forestry and grassland bureau of Tong Liao city (east section of Bin He street, Ke Erqin district, Tong Liao city, Inner Mongolia autonomous region).
- 8) Through the Community Liaison Officer (CLO).

For grievances that have been submitted informally, the CLO will arrange for a meeting where the grievance can be explained in full, written down, and agreed upon. For all grievances the CLO will be the main point of contact, responsible for updating the complainant about the process.

### **STEP 2: Logging the grievance**

Once a grievance has been received it must first be logged in the grievance database register and the CLSO will be informed. As this register is a live document, an example it may be found in (Appendix 2)

### **STEP 3: Providing the initial response**

The individual/community/stakeholder who initially filed the complaint will be contacted within 7 days to confirm that the person in charge has documented the complaint. Such a reply would accept or refute possible liability for the complaint.

This notification will include details of the next steps for investigation of the grievance, including the person/department responsible for the case.

#### **STEP 4: Investigating the grievance**

Then the grievance should be investigated.

Grievance institution will aim to complete investigation within two weeks of the grievance first being logged.

Depending on the nature of the grievance, the approach and personnel involved in the investigation will vary. A complex problem may involve external experts for example. A more simple case may be easier, and quicker to investigate. Grievance institution will involve the aggrieved in this investigation, where possible, to ensure participation.

Grievance institution, through the CLO, will continually update the aggrieved on the progress of the investigation and the timeline for conclusion.

#### **STEP 5: Concluding/resolving the grievance**

The grievance should then be concluded.

The responsible agency provides an overview of the steps taken to ensure that the complaint does not occur again.

Consultation with aggrieved parties and views sought about company recommendations.

If complainant is satisfied then CLSO should seek their sign off from General Manager.

#### **STEP 6: Taking further steps if the grievance remains open**

If however the grievance still stands then the CLO will initiate further investigation and determine the steps for future action.

## **8.6 Record Keeping**

All comment responses and complaints will be logged using the comment response and complaint logging form and register. This includes the details of the comment/grievance, the comment/grievance, and the final steps taken to resolve the grievance. The hard copy of this form should be kept at the project site, while the soft copy will be stored on the hard drive of the computer. Any accompanying documents, such as written statements, photographic evidence or investigation reports, must be filed in hard and soft copies together with the complaint record.

A master database will be maintained by the county forestry and grassland bureau to record and track management of all comments and grievances, and audited by the Municipal bureau of forestry and grassland. This will serve to help monitor and improve performance of the Comment Response and, Grievance Mechanism.

## **8.7 Comment Response and, Grievance Mechanism Log**

A sample format for logging summary details of each comment response and, grievance is provided in Appendix 1. As noted above hard and soft copies should be kept on file.

**Note:**

- 1) If it is a comment, the commented will receive a copy if he/she requests one
- 2) If it is a Grievance, the aggrieved shall always receive a copy once complete for their own records

## **8.8 Initial Response Template**

The template in Appendix 3 is an example of what should be used for providing the initial response to the aggrieved only in the case of Grievances. This should be written on headed paper. This response must be sent within 7 days of the grievance being entered into the logbook.

## **8.9 Monitoring and Review**

It is vitally important to monitor the effectiveness of the comment response and, grievance mechanism. Appropriate measures/KPIs for this include monthly reporting on the number of grievances received, resolved and outstanding. This will be undertaken by the county forestry and grassland bureau and reported to the Municipal bureau of forestry and grassland. As part of the annual review/report, analyzing the trends and time taken for grievance resolution will help to evaluate the efficacy of the comment response and, grievance mechanism.

As part of stakeholder engagement and consultation, involving the views of the stakeholders for whom the Comment Response and, Grievance Mechanism is designed in this monitoring and review will help to improve effectiveness and stakeholder buy-in.

## **9 safety and health**

### **9.1 Occupational Health and Safety**

In accordance with the "Labor Law of the People's Republic of China", the "Safety Production Law of the People's Republic of China" and other relevant laws and regulations, the health and safety of employees shall be guaranteed. The damages caused by forestry projects to health and safety mainly include the following:

- 1) Physical harm
- 2) Noise and vibration
- 3) Fire
- 4) Chemical hazard

#### **Physical harm**

Some activities in forest operations can cause serious physical damage to workers. The cause of the injury may be improper use of chainsaws, axes, and machetes during logging, cross-cutting, and chopping activities. If a steel cable is used, the worker may be injured when the tensioned cable breaks or suddenly loses load. Falling trees and breaking branches often cause injuries (especially when workers remove wind and other entanglements/suspension).



### *Cutting tool*

In order to prevent damage from cutting tools, the following measures are recommended:

- 1 Workers should be properly trained to learn how to use cutting tools safely (including how to implement collective coordination and safety measures);
- 2 The equipment should be properly maintained and equipped with all necessary safety devices (for example, the saw should be equipped with a mouth guard);
- 3 Workers should be provided with all necessary personal protective equipment (e.g. gloves, protective shoes, protective clothing, helmets) and required to use them;
- 4 On-site first aid equipment and trained staff should be provided and emergency evacuation procedures should be established.

### *Fallen trees and steel cables for skidding*

In order to control and prevent damage caused by falling wood and steel cables, the following measures are recommended:

- 1 When cutting down trees, there must be no other workers within the length of the two trees except the workers who operate the chainsaw and an assistant;
- 2 Workers should receive training between entering the affected areas to learn how to remove wind-falling wood;
- 3 Workers should wear helmets when working in forested areas where there is a danger of falling branches;
- 4 If a tensioned steel cable is used, there shall be no workers within the length of the two steel cables at the cable binding point.

### *Machinery and vehicles*

Accidents can occur when using machinery and vehicles, including when using tractors and logging machines, and accidents can occur when vehicles are transported along poorly maintained roads.

### *Isolated worker isolated*

When working in forestry, workers may need to be isolated from others and unable to communicate orally and visually with superiors, other workers, and other providers who may

provide assistance, sometimes for up to an hour or more. In the event of an accident or injury, the worker is exposed to greater risks.

1 If workers are required to work independently and in isolation from others, special operating procedures (sop) should be developed and implemented to ensure that all personal protective equipment and safety measures are in place before the worker begins work. As a minimum, special operating procedures should provide for at least one hour of communication with the worker and ensure that the worker has ability to request emergency assistance;

2 If workers are exposed to chemicals that are highly toxic or corrosive, eye wash and shower facilities should be equipped with audible and visible alarms as long as the eye wash and shower facilities are initiated or initiated by the worker, an alert is issued requesting emergency assistance.

### **Noise and vibration**

Chainsaws, vehicles, and other forestry machinery can emit excessive noise. The vibration of some logging machines may reach the level of harm to workers, which may result in damage to internal organs or arm injuries. Damping devices should be used on the seats of chainsaws and logging equipment. However, since most sources of noise in forest operations are unavoidable, the control measures should include the use of personal hearing protection by the affected employees and the implementation of a rotation system to mitigate the cumulative effects of vibration.

### **Fire**

Wildfires caused by natural phenomena (such as lightning) and human error are among the most serious threats to the profitability and sustainability of forest resources. In natural forests, the opening of forest canopies due to selective harvesting usually leads to the spread of surface vegetation. When forestry workers and the public using forestry roads come to the forest, this situation often leads to an increased risk of ignition.

Artificially controlled fire burning methods can be used to manage forest land to reduce excess wood flammables (such as cut down branches) and reduce wildfire risk;

to make the land conducive to replanting/seeding; to provide plantation regeneration for some species Cycle, and other uses.

In order to prevent and control the risk of forest fires, the following measures are recommended:

- 1 Establish a fire risk monitoring system;
- 2 To develop a formal fire management and response plan, while providing the necessary resources and training, including training workers on how to use fire-fighting equipment and how to evacuate; relevant procedures may include coordination with local authorities;
- 3 When engaged in forest operations, fire-fighting equipment (such as firearms, backpack sprinklers, small portable water pumps and water tanks, storage tanks, fire-fighting aircraft) that meets the scale of operations and conforms to internationally recognized technical standards shall be provided;
- 4 Regularly remove accumulated high-risk flammable materials (for example, using thinning and artificially controlled fire burning methods). Thinning and manual control of fires should be scheduled outside the forest fire season. Manual control of fire shall comply with the relevant burning rules and fire-fighting equipment regulations, and usually must be monitored by fire observers;
- 5 Establish and maintain a network of materials with low flammability or open space, separate the flammable zone, delay the fire, and provide fire exits.

## **Chemical danger**

### *Infected with pesticides*

The occupational health and safety effects associated with pesticides are similar to those of other hazardous substances. Potential pathways for employees to be exposed to pesticides include skin contact and inhalation during the preparation and application of pesticides. The effects of such exposure may be exacerbated by climatic conditions, such as: wind may increase unintentional drift, and high temperatures may prevent the operator from using personal protective equipment (PPE). The following recommendations are specific to plantation operations:

- 1 Train employees how to apply pesticides to ensure that employees have the necessary certifications, and provide the same level of training if certification is not required;

- 2 Use pesticides according to the specific label instructions;
- 3 Observe the post-application segregation period to prevent the operator from being contaminated with pesticides by re-entering the area with residual pesticides;
- 4 Ensure that hygiene regulations (according to FAO and PMP regulations) are followed to prevent family members from being contaminated with pesticide residues.

## **9.2 Community Health and Safety**

The risks that forestry projects pose to the health and safety of the community include the following:

- 1) Water resources
- 2) Fire
- 3) Transportation
- 4) contaminated with pesticides

### **Water resources**

Communities may rely on surface water and groundwater resources from forests. Forest operations result in a decline in the quality and quantity of water that may affect water supply and endanger water, sanitation, and other ecosystem uses (e.g., fish farming). Forest managers should implement the recommendations contained in the “Quality of Water” section of this document to protect water resources.

#### *Water quality*

Sources of drinking water (whether public or private) must be protected at all times to meet or exceed relevant national standards; if there is no national standard, the current version of the WHO Guidelines for Drinking Water Quality should be met.

If the project includes water supply to users of the local community or project infrastructure (e.g., the owner of the hotel and the patient in the hospital), and the water supplied may be used for drinking, cooking, washing, bathing, the quality of the water should be in accordance with national standards; If there is no national standard, it should be in accordance with the current version of the WHO Guidelines for Drinking Water Quality. If the water supplied is used for more sensitive, human welfare-related needs (such as water for medical facilities and water for food

production), more stringent, industry-specific guidelines or standards may need to be implemented (on a case-by-case basis) quasi). If water supply to local communities is dependent, it should be planned and managed to ensure the sustainability of the water supply and to manage it with the community, thereby reducing long-term dependence.

## **Fire**

Fires from forests can endanger nearby communities. Fire response and management plans should be developed with the participation of local government and potentially affected communities

## **Transport**

Large vehicles carrying heavy forestry products on large and small roads that traverse local communities can pose serious risks to the public. Road transport can also have other effects on the community, including harmful dust and noise. Suggestions on how to prevent and control transport risks are as follows:

- 1 All aspects of project operation should adopt the best traffic safety practices, strive to avoid traffic accidents, reduce the casualties of project personnel and the public, and take measures such as emphasizing safety rules for drivers and arranging driver shift schedules;
- 2 Regularly maintain the vehicle and use the parts approved by the manufacturer to avoid serious accidents due to equipment failure or premature component failure.

If the project increases the traffic flow on the existing road, or the main content of the project when the road is transported, it is recommended to take the following measures:

- 1 Minimize the use of roads by pedestrians and construction vehicles;
- 2 Collaborate with local communities and authorities to improve road signs, improve visibility and improve overall road safety, especially in schools and other roads with children's areas.

Conducting transportation education and pedestrian safety education with local communities (such as publicity activities at schools);

- 3 Try to use locally purchased materials to shorten the shipping distance.
- 4 coordinate with emergency handlers to ensure appropriate first aid in the event of an accident;
- 5 Use safe traffic control measures to warn people and vehicles of dangerous situations through road signs and signallers.

## **Infected with pesticides**

In places where pesticides are applied on a large scale, accidental spraying onto local property may contaminate the public with harmful concentrations of pesticides.

The impact of pesticides on community health may be similar to the impact on forest managers (see “Occupational Health and Safety”), which is caused by skin contact or inhalation when such chemicals are applied. The likelihood of community exposure to pesticides in the environment may be greatly affected by climatic conditions (such as wind speed), and the likelihood of contaminating the pesticide in the harvested product may depend on the rules being followed when the pesticide is applied. Communities may also be exposed to insecticides in articles such as containers and packaging through skin contact. If the containers used to transport and store pesticides are disposed of in an inappropriate manner, and the community reuses them (such as drinking water), there is more risk.

In order to control and prevent pesticide contamination, the following measures are recommended:

- 1 Avoid using insecticides on aircraft as much as possible;
- 2 Use biological products or safety products whenever possible;
- 3 To implement a system for informing neighboring communities of information on pesticide application in forests;
- 4 Insecticides should not be applied near the water stream;
- 5 For insecticide packaging and containers, it should be cleaned (for example, using three flushing methods or high-pressure washing methods) and at the place (for example, crushing, shredding, returning to suppliers, etc.) to prevent people from using food later. Or drinking water.

## **9.3 Supervision**

The Occupational Health and Safety Monitoring Program should identify the effectiveness of interventions and control methods. The selected indicators should be able to show the most important occupational, health and safety hazards and be able to show the implementation of

prevention and control methods. The content of the Occupational Health and Safety Oversight Program should include:

- Safety inspection, testing, calibration: This includes inspection and testing of all safety functions and hazard control measures, with particular emphasis on the engineering methods and personal protection procedures, work procedures, workplaces, equipment, equipment, tools used. During the inspection process, it should be demonstrated that the personal protective equipment issued to the worker still provides adequate protection and that the method of wearing meets the requirements. All instruments installed and used to monitor work environment indicators must be regularly inspected and calibrated and the relevant records should be retained;
- Supervise the working environment: Employers should use appropriate portable or fixed sampling and monitoring instruments to record the implementation of the rules. Monitoring and analysis should be conducted in accordance with internationally accepted methods and standards. The monitoring method, location, frequency, and parameters should be determined based on the results of the hazard inspection for each project. In general, supervision should be carried out when the facility or equipment is activated and at the end of the defect and liability period, in addition to being repeated according to the monitoring plan;
- Supervise the health of workers: If special protective measures are required, the employee should be properly and related to the health check before the first exposure, and then continue to check regularly. If it is deemed necessary, it should continue to monitor its health after cessation of employment;
- Training: Effective monitoring and recording of training content for employees and visitors (training content, training time, participants).Emergency exercises (including fire drills) should be properly recorded. It should be stipulated in the contract that the service provider and the contractor are responsible for properly filling in the training documents required by the employer before starting the project.

### **Accident and disease surveillance**

1) Employers should establish procedures and systems for reporting and recording the following items:

- 1 occupational accidents and diseases;
- 2 dangerous situation accidents.

Such a system should enable employees to immediately report to their immediate superiors what they believe is a serious risk to their lives and health.

2) Such systems should also help and encourage employees to report all of the following to management:

- 1 work injury and danger;
- 2 suspected occupational diseases;
- 3 dangerous conditions and accidents.

3) All reported occupational accidents, occupational diseases, dangers, and incidents should be investigated, and assistance should be obtained from those who have knowledge and ability in occupational safety. In the course of the investigation, the following items should be done:

- 1 determine what happened at the time;
- 2 determine the cause of this situation;
- 3 Determine what steps are needed to prevent this from happening again.

4) As a minimum requirement, occupational accidents and diseases should be classified according to Table 9-1. It should be distinguished between fatal and non-fatal injuries. These two main categories are further divided into three secondary categories based on time of death and time of incapacity. The total number of hours worked during the reporting period should be reported to the relevant regulatory agency.

**Table 9-1 Occupational Safety Incident Report**

a death (number of people)	b non-fatal work accidents (number of times)	c total loss time Non-fatal total loss time Non-fatal work injury (days)
a. 1 immediately	b. 1 less than one day	
a. 2 within one month	b. 2 up to three days	c. 1 category b. 2
a. 3 within one year	b. 3 more than three days	c. 2 category b. 3



Appendix 1 Sample of a Grievance and Comment logging form

Name of Commenter/Aggrieved			Comment/Grievance Number	
Name of Organisation/Position				
Address				
Telephone				
Email Address				
Most effective means to send a response	Mail <input type="checkbox"/>	Email <input type="checkbox"/>	Phone <input type="checkbox"/>	
Date of Comment/Grievance				
Date inputted				
Nature and location of Comment/Grievance				
Received by				
Initial Response details and sent by:				
Date of initial response				
Date of initial response				
Nature of Resolution				
Date of Resolution				
Signed				

**Appendix 2: Grievance Register**

Ref No.	Date	Name	Phone	Post	Email	Description of Grievance	Date of Grievance (DD-MM-YY)	One time grievance	Happened more than once	Ongoing	Expected Resolution/Redress	Action identified to resolve the grievance	Date Taken	Taken by whom	Is complainant satisfied	If no, why?


### Appendix 3: Initial Response template

(Enter today' s date)

Dear (enter name of the aggrieved):

We are writing to you regarding your previous complaint (enter date), we have received it.

*[If investigation is going to do for this case further, please give summary details of the next steps in the investigation]*

The Community Relations Officer will serve as the liaison to contact for this case, and will update you as necessary. In the meantime, please do not hesitate to contact him should you have any questions.

Kind Regards,

(Enter name)

## **Agreement of the Construction and Maintenance of European Investment Bank**

### **Loan Afforestation Project during the Construction Period**

Party A: xxx town forestry and grassland workstation

Party B: xxx forest landlord

Party C: xxx afforestation company

In order to smoothly implement the European Union Investment Bank loan afforestation project, and successfully complete the tree planting task with high quality and efficiency, achieve unified standards, unified mode, unified quality, and lay the foundation for its healthy and sustainable development, through this agreement and strictly enforce, to achieve good Forests, good trees; some people plant, raise and play a greater ecological benefits. After the consultation, the three parties to A, B, and C reached the following agreement:

Land transfer time: The land delivery time is the date of signing the contract, and the return time is three years after the construction and maintenance. The project adopts municipal government to co-ordinate all capital contribution (euro loans and government funding, construction party self-raising), hires afforestation companies through bidding, free forestation for each forest land, and is responsible for the unified management of farmers after two years of maintenance.

#### **Party A:**

1. Responsible for the propaganda and interpretation of the relevant policies of the European Investment Bank project in the town; assist the local township government to implement the investment plot of the European Investment Bank and conduct measurement and approval; prepare the operation design and forest management plan, carry out technical training and guidance, inspection and acceptance work.

2. Communicating and coordinating the cooperative relationship between Party B and Party C, clarifying the respective rights and obligations of both parties, and supervising the performance of both parties.

3. Supervise and inspect the implementation of the construction standards in the construction of Party C and the implementation of the standard of raising during the maintenance period. Supervise and urge Party B to fulfill its due obligations, and have the right to raise incentives and punishment opinions for Party C and Party B for Party B and Party C's performance.

4. Cooperate with the township government to supervise and urge Party B and Party C to do forest fire prevention and pest control in the project area within three years of construction; protect

and manage forest and wild animal and plant resources in the project area according to law; assist law enforcement agencies to investigate and deal with project areas Destroy forest and wild animal and plant resources cases.

**Party B:**

First, learn to get through the relevant policies and requirements of the European Investment Bank's loan afforestation project, and master the rights and obligations of knowing oneself.

2. Voluntarily provide the forest land contracted by the company to Party C for construction and afforestation, and provide free use of existing water conservancy and other infrastructure to actively coordinate the coordination of related matters during the afforestation period.

3. proactively supervise Party A and Party C's due diligence, and find out the problems promptly and report to the European Investment Bank Office of Qixian County.

**Party C:**

1.carefully study the rules stipulated in the winning bid contract, and do a good implementation of the relevant implementation plan, reported to Party A for the record approval.

2. determine the relevant requirements with Party A and Party B, and clarify the land parcels to the existing facilities and communicate the cooperation.

3.do all the preparatory work for the admission construction in advance. Including staff restrooms, water sources, power, transportation tools, seedlings storage and so on.

4. Strictly follow the construction requirements and the climate and site conditions of the project area, determine the construction and completion time limits, strictly follow the construction plan and construction drawings, and carry out rectification and improvement in accordance with the problems found by Party A and Party B. In case of any increase or decrease in the amount of work, it is necessary to report to the project supervisor and Party A and Party B in a timely manner and report to the County County PMO for approval.

5. In strict accordance with the contract, do a good job in the management and protection work for the next two years, and complete the terms and conditions agreed in the contract in good quality and quantity.

6. By the time limit for acceptance as stipulated in the contract, Party C shall apply for the project or completion acceptance to Party A, and Party B shall have the right to apply for acceptance. If the acceptance is qualified, the construction fee will be charged according to the acceptance certificate.

If there is no such thing, Party A, Party B and Party can coordinate the settlement or report it to the county project office. In the event of a breach of contract, the forestry administrative department of the county of country County shall complain by the law or appeal to the legal

department. This agreement is in quadruplicate, one for each of the A, B and C party and county project offices.

The representative of Party A:

The representative of Party B:

The representative of Party C:

Date:

# **Tongliao City European Investment Bank Afforestation Project**

## **Ecological Public Welfare Forest Management and Conservation**

### **Contract**

Numbering:

Party A: XXX Town Forestry and Grassland Workstation

Party B: XXX Town Forest Farm or Forest Support Team (trustee)

Party C: XXX Township Forest Landers

In order to effectively strengthen the management of the ecological public welfare forests of the European Investment Bank, the three parties of A, B and C are in accordance with the relevant provisions of the “Administrative Measures for Public Welfare Forests in Tongliao City” and the “Administrative Measures for Compensation Funds for Ecological Public Welfare Forests in Inner Mongolia Autonomous Region”. Incorporating into the public welfare forest management and care to reach the following agreement:

#### **I. Management and care area, start and end dates and implementation standards**

(1) Management and care areas. After the city's European investment bank project office has determined that Party A will accept the compensation zone of XX mu created by the European Investment Bank after the acceptance of Party C, it will be included in the scope of compensation for public welfare forests. Party A organizes Party C to entrust (contract) the ecological protection forest to Party B for management and care, and the management and protection area includes XX villages (XX forest classes) (see attached table and attached drawings). Among them, the collective and individual area are XX mu, and the management and care area includes XX villages and XX villages. The state-owned XX acre and the management and care areas include XX classes in forest classes.

(2) Party B's management and care content. Management includes monitoring the growth and environmental conditions of forest trees; fire prevention and pest control of forest trees; guarding forest trees, prohibiting livestock and man-made damage; and including dead trees and pests, fire and wood cleaning.

Party C. Tending content: pruning and shaping, cleaning grass, replanting and rebuilding.



(3) The handover time between the construction company and the forest lander is: from 2024\_(month)\_(day) to 2025\_(month)\_(day), and 2026\_(month)\_(day). The termination period for the contract of Party A, B and C are from 2024-2026\_(month)\_(day) to 2046-2048\_(month)\_(day). After 22 years of contract performance, it will be separately stipulated.

(4) Implementation standards. Party B: 100% of the forest guards are on duty in the mountain to protect the forest; 100% cover the forest land; the 100% coverage of the local fire prevention and pest control signs in the nursing area; the responsibility of the residents, cultivated land, grassland, woodland and tomb owners around the forest land 100% real-name registration; forest livestock and man-made destruction and the rate of smuggling are less than 3%; fire damage rate is less than three-thousandths or less; forest fires with a fire area of less than one hectare are rescued by Party B, generally above the fire (Including general fires) Firefighting by local government organizations. The pests and diseases are mildly and moderately controlled by Party B and severely assisted by Party A. The disaster rate of pests and diseases is less than seven thousandths. Party B's tending indicators: 100% of the deadwood, firewood, and pests in the forest.

Party C: The tending index is to carry out appropriate pruning and pruning according to the growth of the trees, and the young and middle-aged forests are at least once a year; replanting and planting according to the preservation rate of the trees (replanting when the preservation rate is less than 70%); Weeding at least once a year in the middle age.

## **2. Party A's rights and obligations**

(1) Party A manages the area, area, and boundaries to the care, and clarifies the requirements for management and care.

(2) Party A shall apply for payment to Party B in time according to the annual assessment and compensation standard, and the management and maintenance fee shall be 10.25 yuan/mu (the ecological compensation management fee is 5.25 yuan/mu. The year + forest care fee is 5 yuan/mu. year), according to the agreement stipulates that after the assessment is passed, it shall apply to Party C to pay an ecological compensation fee of 10.75 yuan per mu.

(3) Party A shall supervise, inspect, inspect and evaluate the work of Party B and Party C.

(4) Party A has the right to order Party B to rectify if Party B fails to perform the contractual management and protection obligations for Party B due to reason or gross negligence; Party A has the right not to pay or deduct if Party B refuses to rectify or rectify it. Party B can reduce the expenditures due to management and dereliction of duty, deforestation, over-hunting and hunting, and encroachment on forest land. Party A may terminate this contract and investigate Party B's corresponding responsibilities according to relevant regulations.

(5) Party A is responsible for the construction of fire prevention propaganda and fire prevention facilities (fire observation deck, fire water source construction, fire isolation belt setting, etc.) and provision of fire extinguishing equipment and fire extinguishing bombs. Formulate a forest fire

prevention implementation plan, and organize joint prevention and control in the border areas to conduct regular inspections on prevention.

(6) Party A is responsible for pest prevention and control, guidance and inspection, technical training and consulting services, as well as comprehensive analysis of grassroots units to report and report data, release short and medium-term forecasts of local forest pests and diseases, and propose prevention and treatment plans and apply for funds to build forest seedlings and wood fumigation. Detoxification facilities. In the event of violent or dangerous forest pests and diseases, Party A shall promptly report and be responsible for helping to formulate emergency measures, implement the implementation plan for the removal of forest pests and diseases, and organize joint prevention and treatment of the junctions. Periodic inspection. If a large area of violent or dangerous pests and diseases occurs, and Party B is indeed unable to afford the full cost of prevention and control, Party A shall apply for subsidies from relevant departments. Party A has the following conditions: the occurrence of forest pests and diseases is not removed or the treatment is weak, resulting in the spread of forest pests and diseases; concealing or false reporting of forest pests and diseases, causing forest pests and diseases to spread into disasters. According to the regulations, the responsible personnel of the behavior or the state staff who have dereliction of duty in the prevention and control of forest pests and diseases shall be given administrative sanctions by their units or higher authorities; if they constitute a crime, the judicial organs shall pursue criminal responsibility according to law. Party B is ordered to terminate the treatment of forest pests and diseases, and Party A or its authorized units may, on behalf of Party B, be replaced by the person who is ordered to pay for the deadline. On behalf of the work of removing forest pests and diseases, it will not be suspended due to the application for reconsideration or prosecution.

### **3 Party B's responsibilities and rights**

(1) Formulate a daily management and care system by the law, organize training and drills for full-time management and protection personnel, and conduct management and care for public welfare forests in the area of management and care, and strengthen the supervision of the inspection and management of management personnel.

(2) Establishing and improving the prevention mechanism of the public investment forest fires, forest pests and diseases, deforestation, indiscriminate hunting and encroachment of forest land in the European Investment Bank, effectively preventing, detecting and fighting forest fires and pests and diseases in the area of protection and protection, and timely discovering them Reporting, prevention, and prohibition, actively cooperate with relevant departments to investigate accidents involving fires and insects; strengthen the implementation of responsibilities, and ensure that the ecological forests created by the European Investment Bank in the management and protection area are free from vandalism, deforestation, and excessive hunting.

(3) Protecting the ecological forest signs, billboards and monitoring sites created by the European Investment Bank. It is strictly forbidden to use all fires in the wild; the production, living, customs, and fires of surrounding residents who may cause forest fires should be strictly managed.

(4) Doing a good job with relevant requirements. Young forests and middle-aged forests should be reared and managed in time to remove over-fired forest trees and forests that have been infected with pests and diseases. Application of pesticides must comply with relevant regulations, prevent environmental pollution, ensure the safety of humans and animals, and reduce the killing of beneficial organisms.

(5) Strictly implement relevant regulations, accept and obey Party A's guidance, supervision, and inspection of the use and management of public welfare forest management and expenditure, and report the situation to Party A regularly.

(6) Those who have fulfilled the obligations stipulated in this contract have the right to obtain management and care expenses.

#### **4. Party C's rights and obligations**

(1) Uniformly entrusting the forest land contracted by itself to Party B for management and management, providing free use of existing water conservancy and other infrastructure, and actively coordinating related matters during the contract period.

(2) Responsible for the rearing of the forest land of the European Investment Bank's loan afforestation project after the fourth year, and strictly manage it according to the determined forest management plan. If you do not perform your duties by this agreement, the township government has the right to suspend the subsidy funds and wait for the acceptance of the performance to be honored. If the refusal is not performed, the village party committee of the contracting party cancels the qualification of the contracted forest land, and the village committee will separately disclose the top price contract, and the new contractor will raise it in time according to the agreement.

(3) Entering the forest farms managed by the forest farm or the forest protection company, actively supervising Party A and Party B's due diligence, and discovering the problems in time to reflect and make appeals to the European Investment Bank Office of Qixian County. Conduct forest patrols at least once a week, record them, and retain image data. The problem was discovered and reported to Party A promptly. If you need to replant, etc., you should take the initiative to perform your duties promptly. In the event of major pests and diseases, it is necessary to actively cooperate with relevant departments to carry out rescue work.

(4) If they are responsible for their duties, they will receive compensation funds of 10.75 yuan per mu per year.

#### **5. Reward and punishment measures**

In any of the following acts, the People's Government of Sumu Town, which belongs to the management and protection area, shall order a period to remove the treatment and compensate for the loss, and may impose a fine of 100 yuan to 2,000 yuan:

(1) Replanting and planting with forest seedlings with dangerous pests and diseases.

(2) The occurrence of forest pests and diseases is not eliminated or the treatment is weak, resulting in the spread of forest pests and diseases.

(3) concealing or falsely reporting the situation of forest pests and diseases, causing the spread of forest pests and diseases into disasters.

Anyone who violates the provisions of these Regulations and commits one of the following acts shall be ordered by the local people's government to make corrections and give a warning. The individual shall be imposed a fine of not less than 200 yuan but not more than 2,000 yuan and the unit shall be imposed a fine of not less than 2,000 yuan but not more than 5,000 yuan:

(1) During the period of forest fire prevention, Party B has not set up a forest fire prevention warning publicity sign.

(2) During the forest fire prevention period, the forest fire prevention equipment was not installed in the motor vehicles entering the forest fire prevention area.

(3) During the period of high-risk forest fires, people who enter the forest high-risk area without authorization are allowed to enter the forest.

Units and individuals with one of the following achievements shall be awarded by the affiliated Sumu Town People's Government for annual evaluation, title promotion, advanced selection, awards, priority awards, and bonuses:

(1) Strictly implement forest fire prevention and forest pest and disease prevention and control regulations, and preventive and demolition measures. In the region or business area, no forest fires and major pests and diseases have occurred for five consecutive years.

(2) Forecasting fire, disease and insect conditions in a timely and accurate manner, and proposing forest fire prevention precautions and rationalization proposals for prevention and control of forest pests and diseases, which have been adopted by relevant departments and achieved remarkable results and benefits.

(3) Obtaining significant results in forest fire prevention, forest pest control application and promotion of scientific research results.

(4) Engaged in forest protection for forest fire prevention, pest control, and prevention work for ten years, and the work results are good.

(5) There are other remarkable achievements in the prevention and control of forest fire prevention and forest pests and diseases.

(6) The Sumu government of the forest land incorporates the public welfare forests in the project into forest insurance, and transfers the risk of forest fires and pests and diseases through

forest fires and pest insurance, and improves the ability of project landowners and forestry units to prevent and reduce disasters and self-rescue after disasters. Provide solutions to force majeure events.

## 6. Other documents

(1) The contract shall be determined separately from the date of signing until the end of the project period.

(2) This contract is made in triplicate, and each party shall hold one copy, and the township government shall record one copy.

(3) The matters not covered in this contract and the disputes arising in the performance of the contract shall be settled through negotiation between the two parties. If the negotiation cannot be resolved, it shall be implemented by relevant laws and administrative regulations.

Party A:(signature)

Person in charge (signature):

Date:

Party B: (signature)

Person in charge (signature):

Date:

Party C: (signature)

Person in charge (signature):

Date:

# **European Investment Bank loan supports Tongliao Horqin Sandy Afforestation Project Flyer**

## **1 The significance of applying for a loan from the European Investment Bank for afforestation**

In order to implement the important idea of the internship of General Secretary Jianping's ecological civilization construction, build a beautiful landscape and ecological safety barrier in the northern part of the motherland, accelerate the comprehensive management of the Horqin Sandy Land in Tongliao City, and improve the ability of Tongliao Forest to cope with climate change. The municipal party committee and the municipal government promoted it at a high level. The top-level design actively applied for the funds of the European Investment Bank's loan afforestation project. After all efforts, it passed the evaluation of the European Investment Bank project experts. This project is the largest single European investment bank loan project in China in recent years. It is the most internationally influential forest construction project in China, and it is also the first for the use of large additional capital construction projects in Tongliao City. The construction and implementation of this project will have great practical significance and far-reaching historical significance for the improvement of the ecological environment of the city and the poverty alleviation of farmers and herdsmen.

## **2. Project supervisory unit and construction unit**

Project supervisor: Tongliao Municipal People's Government

Project construction unit: Tongliao Forestry and Grassland Bureau, and the people's government of each county.

## **3. Construction location and implementation scope of the European Investment Bank project**

The city's Kerqin District, Kailu County, Kezuozhong Banner, Kezuoqi Banner, Naiman Banner, Kulun Banner, Zalute Banner and Development Zone 8 flag counties. Land parcels that need to be reforested if the afforestation land, forest land, sparse forest land and degraded land in Yilin Land meet the construction standards and requirements of the European Investment Bank.

#### **4. Project construction scale and content**

The total construction area of the city is 2.07 million mu. Among them, 1.88 million mu of mixed forests of precious trees and trees will be built, 150,000 mu of fruit trees will be built, and 40,000 mu of afforestation and seedling cultivation bases will be built. The mission is to build 888,000 mu of 2020, including 811,000 mu of ecological protection forest, 44,000 mu of fruit tree economic forest, 33,000 mu of nursery land, and 529,000 mu of forest in 2021, including 489,000 mu of ecological protection forest and 33,000 mu of fruit tree economic forest. The construction of the land is 0.7 million mu; in 2022, the construction of 653,000 mu, including 580,000 mu of ecological protection forest and 73,000 mu of fruit tree economic forest.

#### **5. Source of construction funds**

The total investment in the project construction is 4.99 billion yuan. The source of funds consists of two parts: the European Investment Bank loan and self-raised funds. Among them, the European Investment Bank loaned 300 million euros (about 2.28 billion yuan), and the self-raised funds were partly composed of superior afforestation subsidies and self-raised funds (including discounted funds).

#### **6. Project construction and operation period**

The project period is 25 years, from 2020 to 2044. The project construction period is 5 years, from 2020 to 2024. The first three years will be afforested and maintained, and the next two years will be replanted. The project has a 22-year operation period (2025-2044) and is operated by each household in the next 22 years.

## **7. The way of investment loans of European investment banks**

The annual interest rate of the European Investment Bank loan is about 1.8%, the period is 25 years, and the first five years are the grace period, which means that it is only repayable. From the 6th year to the 25th year, the average annual repayment of principal and interest. The ecological protection forest will be settled by the city in a unified manner, and the forest landlord will be free to plant forest; the fruit tree economic forest loan amount can be set up to about 800 yuan per mu, and the loan households will repay the interest themselves, and the loan will be paid according to 6:2:2. The proportion is carried out, that is, after the first year of acceptance, the loan can be 60%, the second year after the acceptance, 20%, and the third year, 20%; the nursery land can be loaned from 5,000 yuan to 10,000 yuan per mu. The household pays the interest on its own, and the loan amount is determined according to the breed and mode of the nursery household and the actual investment.

## **8. ecological forest construction business model**

The land ownership of the afforestation land is collective and state-owned forest land, and the villagers or farmers and farmer farms contractors operate. The Forestry Bureau is responsible for the design of afforestation operations, unified seedlings, unified bidding, corporate afforestation, first post-mortem, and post-forestation management. Afforestation households provide forest land and existing water conservancy facilities, care for their own forest land, do not allow crops between rows, and preserve native vegetation. The afforestation company will be built for one year and will be responsible for the management of forest land conservation for the next two years. It will be handed over to the forestry households for management and management, and will be included in the ecological public welfare forest. The use rights, management rights and income rights of the forest land will be owned by the forest landowners. Grant 16 yuan per mu per year. Among them, the forest farmers who perform the nurturing tasks will receive a subsidy of 10.75 yuan per mu per year; the management and protection will be unified management and partial nurturing by the forest farm or management and protection company, and the annual assessment standard will be met according



to the agreement, and the annual protection of 10.25 yuan per mu will be realized. fee. Afforestation tree species choose native tree species. Such as sea buckthorn, apricot tree, Wenguan fruit, acer truncatum, mulberry, Chinese pine, Pinus sylvestris, eucalyptus and so on. The afforestation density was 111 strains, which were 3×2 m or 2×3 m, 1×6 m or 1.2×5 m and 1.5×4 m depending on the model. The seedlings are selected for 2 years and have no pests and diseases. The survival rate of afforestation in the same year was over 70%, and the three-year preservation rate was over 75%. There are 4 specific afforestation modes. There are interlocking forests, wind-proof sand-fixing forests, road-protecting forests, and guarding dykes. Each small-class tree has more than two kinds of tree-like blocks, bands, and clusters. The proportion of each tree species in a small class cannot be higher than 65%.

## **9. Fruit tree economic forest construction mode**

The land ownership of afforestation land is collective or state-owned forest land, and forest farmers or employees are contracted to operate. The plots are not allowed to choose fertile forest land, and economic forests are built on deserted wasteland, no forest woodland, sparse forest land, and degraded land. The fruit tree varieties are Shaguo, Hawthorn, and Huang Taiping, which are drought-tolerant, cold-resistant and disease-resistant, and do not require permanent irrigation of native fruit trees. The Forest and Grass Bureau is responsible for the design of afforestation operations, and the seedlings are provided in a unified manner. Whoever makes it, who builds it first, and who borrows it. The plant spacing is 2 × 6 meters or 2.4 × 5 meters, and a small class of two fruit trees is mixed. In the same year, the survival rate of afforestation was over 80%, and the three-year preservation rate was over 90%. There is one specific afforestation model.

## **10. nursery land construction mode**

The nursery is designed according to the standard of the European Investment Bank, and it is self-employed and funded. It adopts the policy of who builds, builds the loan, and who pays. Nursery to cultivate marketable fruit trees and native tree species to provide a sufficient source of seedlings for the European Investment Bank, and it is not allowed to cultivate large-scale seedlings for garden

landscapes. Each variety and each seedling raising method is not higher than 40% of the total seedlings, and the fixed plants are cultivated at about 667 plants per mu. The seedlings are planted with about 20,000 seedlings per acre, and about 7,000 plants per acre are grafted and inserted. Moreover, the European Investment Bank loan is mainly used for the construction of nursery infrastructure, such as greenhouses, road repairing, drip irrigation, well storage, mechanical power, etc. and the first year of operating expenses, such as seedlings, labor costs, etc.

## **11. How to guarantee the loan after the loan**

The construction of ecological mixed forest is reimbursed by the financial department of Tongliao City. Each loan household in the economic forest and nursery land is pledged to the guarantee company with 150% of the property and other property collateral. If the debt service company fails to pay the debts on time, it will be listed in the social integrity blacklist.

## **12. European investment bank project related to environmental protection and afforestation concept**

It is necessary to follow the environmental protection and afforestation concept formulated by the European Investment Bank. If the herbicide is not used, the original vegetation will not be destroyed during the preparation of the land, and the original precious tree species, nests and caves in the forest will not be fully rotated. Do not use pesticides prohibited by the State and the EU, control the dosage of pesticides, apply more farmyard manure, and use less fertilizer. The project area does not discard production and domestic garbage. Put nutrition bottles, medicine bottles, plastic bags, etc. back in time for unified treatment. Artificial mixed shovel between ecological mixed forests, mechanical mowing between ridges, no or less fertilizer. Fruit trees, nurseries on farmyard fertilizer, less sprayed leaf fertilizer. Pest control is guided by the forestry bureau's technicians and advocates the use of biotechnology for pest control.

## **13. Other matters**

The first is about the problem of red planting outside the plug. Since the European Investment Bank did not agree to include the plug outside the project, it is considered that permanent irrigation is required. However, the external red is the best fruit in the city. The fruit tree economic forest is very recognized by the masses and the market. It is also the indigenous breed of the Tongliao Academy of Forestry. Therefore, the Tongliao Municipal Government has formulated a special opinion to vigorously develop the plug outside the forest. Special support funds, from seedling to planting, sales acquisition to storage and processing industry chain support (see the municipal government's "Opinions on vigorously developing the foreign industry"). All the plants planted in 2019 enjoy this preferential policy.

The second is about the problems that have been planted in 2019. The ecological forest plots of the European Investment Bank, which were planted in 2019, are all included in the vegetation restoration fee project. The qualified acceptance will be 500 yuan per mu this year, 200 yuan per mu next year, and 300 yuan in the third year. Fruit tree economic forests and nursery construction, in line with the requirements of Minhang, will be included in the 2020 project, and will not be included in the project after the amendment is passed in the next year.