

**China Clean Development Mechanism  
Fund Management Center**

**Environmental and Social Risk  
Management Handbook**

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## **Compilation Instructions**

China Clean Development Mechanism Fund (hereinafter referred to as “the Fund”) is a policy fund established upon the approval of the State Council, which is managed in the same mode as the social fund. It aims to support China’s efforts to address climate change at government level and to promote sustainable development.

China Clean Development Mechanism Fund Management Center (hereinafter referred to as “the Center”) operates environmental and social risk management, and supports projects which are funded by capitals of the Fund or other capitals managed by the Center to promote environmental and social sustainable development.

By compiling this handbook, the Center establishes a system of environmental and social risk management, provides relevant management methods, assessment standards and assessment procedures, ensures that projects funded by capitals of the Fund or other capitals managed by the Center are operated in accordance with the performance standards, and therefore guides and standardizes environmental and social risk management operated by the Center.

At present, environmental and social risk management referred to in the handbook mainly includes: due diligence of environmental and social risk management for proposed direct investment projects; management of environmental and social risks of all kinds of funding projects; If environmental and social risks are unavoidable, measures will be taken to mitigate the risks, and to compensate for the likely impact.

This handbook is compiled based on the current environmental and social risk management of clean development entrusted loans of the Fund, taking reference from the Green Climate Fund’s fundamental requirements of environmental and social risk management as well as common practice of international organizations such as the International Finance Corporation, the World Bank, and the Asian Development Bank.

With the increase of the capital's categories and of the capital scale, the Center will revise the contents of the handbook according to the accumulated project experience, and will improve the environment and regulations for environmental and social risk management.

## **Statement on the Implementation of**

### **Environmental and Social Risk Management Policy**

The Center believes that the sustainable development of environment and society plays a fundamentally supportive role in developing economy, improving people's livelihood, and eradicating poverty. In order to promote inclusive and sustainable economic development, the Center will try its best to ensure that the environmental and social sustainability is fully considered in the funding projects, to protect the environment and the affected people by reducing potential negative effects of the projects, and to realize the environmental and social risk management objective of the Fund.

By implementing the handbook, the Center will:

- (1) Avert the projects' negative effects imposed on the environment and the affected people as much as possible;
- (2) If the effect is unavoidable, measures should be taken to minimize, mitigate or compensate for the negative effects imposed on the environment and the affected people;
- (3) Create opportunities for women and the disadvantaged to display their economic potential and to play key roles in stabilizing economic development and eradicating poverty;
- (4) Help project owners strengthen their management system and improve their competence in environmental and social risk management.

The Center observes and promises to realize the objective of environmental and social risk management. The Center will conduct due diligence investigation on the project in its early-stage, and will examine, monitor and supervise the implementation of environmental and social risk management throughout the process, thus the Center can improve the foreseeability and transparency of the project and the accountability system of action and decision, help borrowers and project owners manage environmental and social risks and impact, and promote the long-term sustainability of investment.

The handbook adopts a series of specific security requirements to help borrowers and project owners avoid or reduce environmental and social risks. Staff of the Center will ensure that borrowers and project owners observe these security requirements during the preparation and execution of the project through due diligence investigation, examination, supervision, etc.

As for projects violating relevant domestic laws and regulations of environmental and social management or violating the environmental and social management policy mentioned in this handbook, the Center won't approve to offer funding or other kinds of financial support to these projects.

The handbook is applied to projects operated by the Fund and sub-projects derived from those projects, and also applied to projects funded by other capitals managed by the Center.

The handbook goes into effect as a three-year trial-implementation on the day of its release. During the trail period, some of the projects should abide by the requirements in the handbook, while after the trail period, all projects should abide by the requirements in the handbook.

## **Chapter 1 Environmental and Social Risk Management Policy**

### **1. Management Objectives**

The Center operates environmental and social risk management to further perform its guiding role in combating climate change and promoting low-carbon green development. Under the condition of not damaging the environment and the society, the Center promises to enhance the operation of social capitals (capitals from the private sector) and the sustainability of the market, to achieve positive results, and to ensure that the cost of economic development won't be a threat to the poor and the disadvantaged, that the environment won't deteriorate during the development, and that it is beneficial to the sustainability of renewable natural resources.

According to the handbook, the environmental and social risk management objectives to be realized are:

(1) to guide, establish and continuously improve the environmental and social risk management system. The system mainly consists of nine essential elements: environmental and social management policy, detection program of environmental and social risks and impact, environmental and social management plan, organizational competence and quality of management, preparation and response to emergency, participation of stakeholders, communication and complaints mechanism, report mechanism, and supervision and investigation mechanism;

(2) to guide the effective operation of environmental and social management system, to detect and handle environmental and social risks in time, and to ensure that projects funded by the Center are operated without major environmental or social accidents;



(3) to guide due diligence investigation on the management competence of the borrowers and project owners and on project spots during the preparation stage of the projects, and to detect potential environmental and social risks of the projects;

(4) to ensure that the borrowers and project owners conduct management measures in accordance with relevant domestic environmental and social laws, regulations and policies during the execution stage of the projects, and to draw on relevant international standards and norms when needed;

(5) to guide the borrowers and project owners to make environmental and social management plans during the execution stage of the projects, and to specify work tasks and duties;

(6) to supervise the borrowers and project owners and make sure that they conduct environmental and social risk management measures in reasonable and effective ways, and to report their management conditions in time.

## **2. Management Duties**

During the approval and operation of the funded projects, the Center expects that the borrowers and project owners conduct evaluations on the projects' environmental and social risks, handle the detected risks, take specific measures to fulfill the performance standards, and communicate with stakeholders by means of information disclosure, negotiation, public participation, etc.

The administrative duties of the Center include: to investigate the borrowers and project owners before the execution stage and conduct due diligence investigation on the location of the project; to supervise and urge borrowers and project owners to formulate measures according to the performance standards in order to avoid, reduce as much as possible, and mitigate environmental and social impact, or compensate for the impact; to categorize projects according to their environmental and social risks; to

help identify opportunities for improving environmental and social performance; to supervise the environmental and social performance of project owners throughout all the stages of the projects.

### **3. Management Scope**

The handbook is applied to projects operated by the Fund and sub-projects derived from those projects, and is also applied to projects funded by other capitals managed by the Center.

If a project has been carried out before the implementation of the handbook, it doesn't need to strictly abide by the handbook, but it is encouraged to reinforce its environmental and social risk management according to the handbook. If a project which is currently conducted involves content extension, changes of major operation conditions such as changes of equipment, and if these changes may lead to major risks or impact to the environment or society in terms of scale or scope, or may greatly change the nature or degree of the present impact, the Center should make adjustments to the investment or donation to the project according to relevant content in the handbook.

As for special projects which need stricter requirements for environmental and social risk management, the Center will conduct environmental and social risk management according to international rules which can meet such requirements.

### **4. Management Principles**

#### **Principle 1: Review and Categorisation**

During the application of the projects, the Center will classify the projects according to their potential environmental and social impact and risks. The project categorisation criteria is detailed in Annex 1. In addition, Annex 2 provides scoring

system for analysis of E&S risk management of the client. Project application documents must include the Environment Impact Assessment (EIA) reports which is mandatory required by applicable law in China and other evaluation documents pertain to E&S risks. The Fund will review the EIA reports submitted by the project owner and take into account the industry sector as well as the technical aspects of the proposed activity to carry out the project categorisation.

The classification of the projects fully considers the nature of different projects and their potential environmental and social risks. Detailed classification is shown below:

- Category A: Business activities with potential significant adverse environmental or social risks and/or impacts that are diverse, irreversible, or unprecedented.
- Category B: Business activities with potential limited adverse environmental or social risks and/or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures.
- Category C: Business activities with minimal or no adverse environmental or social risks and/or impacts.

## **Principle 2: Environmental and Social Assessment**

For all Category A and Category B Projects, the Fund will require the project owner to conduct an Assessment process to address, to the Fund's satisfaction, the relevant environmental and social risks and impacts of the proposed Project. The Assessment Documentation should propose measures to minimise, mitigate, and offset adverse impacts in a manner relevant and appropriate to the nature and scale of the proposed Project.

The Assessment Documentation will be an adequate, accurate and objective evaluation and presentation of the environmental and social risks and impacts, whether prepared by the project owner, consultants or external experts. For Category A and as appropriate, Category B Projects, the Assessment Documentation includes an Environmental and Social Impact Assessment (ESIA). Furthermore, in limited high risks circumstances, the project owner can complement a specific due diligence report in addition to the assessment document.

The Center can draw on advanced international experience and good practice, and recommend that projects adopt mitigation hierarchy for the environmental and social risks and impact, so as to predict and avoid the impact, or minimize and compensate/counteract, if unavoidable, the impact on employees and other affected people. Detailed measures include:

(1) Avoidance. If it is technically and economically viable, the Center should suggest that the project design (or the proposed location) be adjusted, so as to avoid negative risks and impact to the society and/or environment. This measure should be adopted as the priority.

(2) Minimizing. If the risk and its impact can't be avoided, the Center should minimize the risk and its negative impact by adopting environmental and social management measures including treatment method and design. Measures to minimize the risk and its impact are various, including mitigation, rectification, maintenance and recovery.

(3) Compensation/counteraction. If the risk and its impact cannot be avoided or minimized, the Center should adopt and implement measures which can compensate/counteract follow-up risks and impact. It must be pointed out that although these measures cannot completely eliminate the risk and its negative impact, they can counteract the risk and its negative impact in relatively positive ways.

### **Principle 3: Applicable Environmental and Social Standards**

The assessment process should, in the first instance, address compliance with relevant national and local law, regulations, and permits of China pertain to the environmental and social issues.

The assessment process is required to follow where applicable IFC Performance Standards on Environmental and Social Sustainability (Performance Standards) and the World Bank Group Environmental, Health and Safety Guidelines (EHS Guidelines) (Exhibit III). In the cases where domestic law and IFC Performance Standards differ, the higher standard is chosen, otherwise, justified deviation is required.

The applicable standards (as described above) represent the minimum standards adopted by the Fund. The Fund may, at their sole discretion, apply additional requirements.

### **Principle 4: Environmental and Social Management System and Management Plans**

If a project is classified as Category A or Category B, the Center encourages the project owner to develop or adopt a set of environmental and social management system for the project and to prepare a plan for environmental and social management which would better be investigated by external bodies or organizations before being put into use. Environmental and social management plan is used for handling detected problems during evaluation, and will lead to actions. Category A project should submit progress report on environmental and social management plan every half year, and Category B should submit such report every year, in which the implementation of the environmental and social management plan should be reported.

If the environmental and social management system designed by the project owner does not satisfy the Center, the Center should offer suggestion and point out how far is this environmental and social management system below the Center's requirements. The project owner should make commitment to improve its environmental and social management plan.

### **Principle 5: Stakeholder Engagement**

The stakeholders should participate in the design stage and the pre-construction stage, and the implementation stage of the project. If a project is classified as Category A or Category B, the Center encourages the project owner to prepare a participation plan for stakeholders, to adopt applicable approaches to encourage the participation of stakeholders, and to negotiate with the affected community and other stakeholders, free from external manipulation, disruption, coercion and threat.

For projects that may have severe harmful impact, in order to promote the participation of stakeholders, the project owner should provide non-technical summary documents on the risk and impact of the project and the mitigation measures for the affected community and other stakeholders. The documents should be compiled in local language and show consideration for local cultures. After the stakeholders participate in the operation, the project owner should consider the suggestion and advice put forward by them and the consensus they have reached, and then formulate a document of agreement.

### **Principle 6: Grievance Mechanism**

As for all Category A projects and some Category B projects, the Center should require that the project owners set up a set of complaint mechanism or procedures as a part of the environmental and social management system. Project owners should record the complaints put forward by stakeholders and the general public on

environmental and social impact of the project, and track as well as record the settlement of those complaints.

The complaint mechanism should be accessible to the affected community, settle the complaints through concise negotiation procedures, and should not get in the way of obtaining judicial or administrative assistance. Complaints may involve the fund for the funded projects or other funds managed by the Center or any aspect of the funded projects. The complainant can be any individual, group, community or entity, or other parties which have or may have been affected by the environmental and social impact of the projects.

### **Principle 7: Independent Review**

As for all Category A projects and some Category B projects, there should be an independent environmental and social consultant who has no direct connection with the project owner to conduct an independent investigation on the evaluation document, environmental and social management system, the environmental and social management plan, the participation plan for stakeholders, and the environmental and social risk management plan. The consultant will assist the Center in conducting due diligence investigation on the project and in evaluating whether the project abides by the principles of environmental and social risk management.

If a project has potential high risks, the consultant should conduct independent investigation on the viability of the project. High risks mentioned above include but are not limited to:

- (1) Impact on minorities and indigenous peoples;
- (2) Mass house-removal or migrants arrangement;
- (3) Impact on major habitats of living species;

(4) Impact on significant cultural heritage.

### **Principle 8: Monitoring and Reporting**

The Center should adopt the following actions to monitor and forewarn the funded projects:

(1) Require the project owner to submit reports on environmental and social performance of the project during the specific stage stipulated in the project contract according to the agreement signed with the Center;

(2) Pay field visit to particular projects which have environmental and social risks and impact;

(3) If changes in project cause unfavorable environmental and social impact, the Center will seek for solutions to settle the problem with the project owner;

(4) The Center encourages project owners to disclose the projects' non-financial information relating to environmental and social performance.

In order to urge the projects to meet the environmental and social risk management requirements, and to ensure that continuous supervision and report maintained during all stages, the Center requires that all type-A projects and some type-B projects entrust an independent consultant to take charge of the environmental and social risk management, or requires the project owners to hire qualified and experienced external experts to verify the surveillance information which will be submitted to the Center.

As for projects which need independent investigation according to Principle 7, the Center requires that after the project has been finished, an independent environmental and social consultant should be appointed or the project owner should hire qualified and experienced external experts to verify the monitoring information which will be submitted to the Center.



### **Principle 9: Management of the Third Party involved**

The third party refers to entities who have participated in the project implementation and have established clear cooperation with the project owner, such as major contractors, suppliers or facility operators who have materiality participation in the project.

The Center requires project owner to make efforts to influence activities of third parties involved to follow requirements of applicable E&S standards as stipulated in Principle 3 so as to ensure the E&S performance of funded project in full compliance with such standard requirements.

### **Principle 10: Reporting and Transparency**

The Center will disclose the number of the approved projects in the previous fiscal year and the environmental and social management of those projects to the public according to the laws and regulations, on the premise of confidentiality. The content of the report should at least reach the lowest report requirements described in Annex 4.

## **Chapter 2 Environmental and Social Risk Management Procedures**

### **1. Project Preparation Stage**

#### **(1) Project Screening and Classification**

The project coordinator of the department of the Center taking charge of the environmental and social risk management will make overall arrangement for the Screening and classification of the projects during the project identification phase. The Center will organize an investigation group formed by external experts. The investigation group will identify the environmental and social risks of the projects and the type of each project according to its risk and impact, by using risk and impact evaluation identification procedures according to the standards and evaluation methods described in Annex 1 and Annex 2. According to the identified risk, the project coordinator should confirm whether the project is highly complex and sensitive, and should be responsible for reporting the opinion of the investigation group and the complexity and sensitivity of the project to the department head for approval. If the case is highly important, it should be submitted to the Executive Meeting for further decision.

The risk type of the project decided during the preliminary screening is not completely settled. During the operation of the project, by conducting supervision and investigation, the manager taking charge of the environmental and social risk management can apply for changing the project's risk Category According to the actual implementation and changes of the project.

#### **(2) Project Type**

The type of a project is decided by its most sensitive elements, including its direct, indirect, evoked, and accumulative impact. Classification investigation of every

project will focus on its type, location, scale, sensitivity and its impact on eight performance standards.

According to Annex 1, projects will be classified into the following types according to their potential impact and risk:

Category A: The project may cause big impact to the environment and society. The impact may be major, irreversible, various, or unprecedented, and the impact is not only limited to the construction field of the project. Mitigation measures and risk pre-warning should be taken to this type of project and environmental and social risk management should be conducted during all stages of the project.

Category B: The project has less potential negative impact on the environment and society than Category A, and the impact is only limited to the location of the project and rarely produces irreversible environmental impact. In most cases, it is easier to design mitigation measures for this type of project than for type-A project.

Category C: The project causes mild or no negative impact to the environment and society. This type of project doesn't need risk pre-warning, but still need follow-up supervision on the project.

### **(3) Examination of Environmental and Social Risks**

As for type-A projects and type-B projects, environmental and social risks evaluation should be conducted with full consideration to the evaluation report on the environmental and social impact stipulated by the state. If additional evaluation work is needed, the environmental and social risks manager of the Center's Risk & Performance Department should organize external experts to evaluate major environmental and social impact of the project, including desk study and site inspection. After the evaluation is finished, an environmental and social evaluation report illustrating further supplement should be submitted to the department head of

the Risk-adjusted Performance Department. The content outline of the report is described in Annex 4.

## **2. Project Design and Implementation Stage**

### **(1) Formulate the Environmental and Social Management Plan**

The Center encourages project owners to formulate and implement the environmental and social management plan, which is helpful in systematically implementing environmental and social management measures. The content outline of the plan is described in Annex 4, which mentions potential environmental and social impact caused by construction preparation, construction and operation activities during the implementation stage and also mentions mitigation measures, which are related to the design institution, construction contractors, operational bodies and other relevant institutions.

Environmental and social risk manager will supervise the implementation of the environmental and social management measures performed by project owners.

### **(2) Supervision and Examination of Environmental and Social Management**

The Center will adopt different supervision and examination mechanisms for projects of different risk types:

#### **(a) Type-A projects**

The Center pays much attention to this type of projects.

The project owner should submit semi-annual progress report on the environmental and social management plan every half-year. The environmental and social risks manager will examine this progress report.

With the coordination of the project manager, the environmental and social risks manager organizes a site inspection every half-year and examines the environmental and social mitigation measures implemented during the reported period. The manager communicates with the project owner and examines the operation of the management plan according to the progress report. In special cases, the manager can increase the frequency of site inspections.

The environmental and social risks manager should compile a final report on environmental and social management every half-year after the examination on type-A projects, and should report to the head of the Risk & Performance Department.

(b) Type-B projects

The Center carries out supervision and examination on the majority of type-B projects, but with a lower frequency than that of type-A projects.

The project owner should submit a progress report on the operation of the environmental and social management plan every half-year, and the environmental and social risks manager should examine the report. When it is necessary, the environmental and social risks manager can organize site inspections with the coordination of the project manager. In special cases, the manager can submit the progress reports and conduct site inspections more frequently.

The environmental and social risks manager should compile the final report on environmental and social management every year after the examination on type-B projects, and should report to the head of the Risk & Performance Department.

(c) Type-C projects

Since this type of projects has relatively mild impact, supervision and examination can be conducted occasionally during the construction phase of the project, but the environmental and social risks manager should ensure that the project cause no negative impact on the environment and the society by conducting appropriate supervision and examination during the preparation phase, the mid-term of the construction phase, and the post-construction phase.

### **(3) Information Disclosure and Public Consultation**

The Center requires that the project owner should record the whole process of information disclosure and public consultation, and include the process in the report on the progress of the environmental and social management plan or the report on the implementation of the environmental and social management measures. The environmental and social risks manager should be able to get the following information after reading the report:

- (a) All the potential negative impact and mitigation measures have been disclosed to the affected people through timely and effective methods;
- (b) Communications and negotiations have been conducted with those affected migrants, minorities and sensitive groups, and their major appeals have been acknowledged and settled;
- (c) Detailed information disclosure mechanism and public consultation mechanism have been established, and relevant work leaders have been appointed.

The Center publishes the email address for public contact on the website of the Fund (<http://www.cdmfund.org>) in order to make direct external communications on the issues of environmental and social risk management. Stakeholders of the projects and the general public can express their opinions and give advice by sending emails.

According to the *Website Management Measures of China Clean Development Mechanism Fund*, the webmaster will regularly check the mailbox and hand the e-mails over to the Environmental and Social Risks Management Department of the Center in time. The environmental and social risks manager is responsible for taking care of those information. In general, the emails received should be replied within a week, and important information should be reported to the head of the department and the head of the Center.

### **3. Project Performance Evaluation of Environmental and Social Management**

After the project is completed, the post-assessment project manager should organize an expert team to conduct performance evaluation of environmental and social management. The team should quantitatively evaluate whether the environmental and social supporting measures of the project have been operated effectively, and whether the sustainability of the project has been realized. Performance evaluation will also include the supporting measures described in the environmental and social management plan, the observance of the security provisions in the legal agreements, further actions, etc. The evaluation results should be included in the performance evaluation report.

During the evaluation, if the objective of the environmental and social management plan is found unaccomplished or there occurs some serious security problems, the evaluation team should suggest extra requisite measures to settle those problems. The Center will require the project owner to take actions according to those suggestions.

## Chapter 3 State Laws, Regulations and Policies

### Related to Environmental Protection and Social Management

This chapter lists state laws, regulations and policies applied to environmental and social risk management as the basis of the operation of environmental and social risk management of the Center. The handbook will continue to add more state laws, regulations and policies related to environmental and social risk management in its future revisions.

For every project supported by the Center, the project owner should abide by the relevant laws, regulations and policies, formulate the environmental and social management plan, implement environmental and social management measures, and conduct environmental and social management in accordance with the laws and the regulations.

#### 1. Laws, Regulations and Policies on Environmental Protection

##### (1) Administration

Document Name	Implementation Date	Update Information
<i>Environmental Protection Law of the People's Republic of China (2014 Revision)</i>	2015-01-01	
<i>Measures for the Administration of the Charging Rates for Pollutant Discharge Fees</i>	2003-07-01	



Document Name	Implementation Date	Update Information
<i>Measures for the Administration of Treatment within a Prescribed Time Limit (for Trial Implementation)</i>	2009-09-01	
<i>Measures for Environmental Administrative Punishment (2010 Revision)</i>	2010-03-01	
<i>Measures for Environmental Supervision</i>	2012-09-01	
<i>Measures for Public Participation in Environmental Protection</i>	2015-07-13	
<i>Interim Regulations on Giving Punishments for Illegal Acts and Disciplinary Offences in Environmental Protection</i>	2006-02-20	
<i>Constitution of the People's Republic of China</i>	1982-12-04	2004-03-14

**(2) Sewage Treatment**

Document Name	Implementation Date	Update Information
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Document Name	Implementation Date	Update Information
<i>Quality Standards of Sewage Water Discharged into the Urban Sewer</i>	2011-01-01	
<i>Detailed Rules for the Implementation of the Water Pollution Prevention and Control Law of the People's Republic of China</i>	2000-03-20	
<i>Regulation on Urban Drainage and Sewage Treatment</i>	2014-01-01	
<i>Administrative Measures for the Licensing of Discharge of Urban Sewage into the Drainage Network</i>	2015-03-01	
<i>Water Pollution Prevention and Control Law of the People's Republic of China (2008 Revision)</i>	2008-06-01	
<i>Outdoor Drainage Design Criterion</i>	2006-06-01	2014-02-10
<i>Quality Standards of Sewage Water Discharged into the Urban Sewer</i>	2016-08-01	
<i>Integrated Wastewater Discharge Standard</i>	1998-01-01	1999-12-15

Document Name	Implementation Date	Update Information
<i>Administrative Measures for the Licensing of Discharge of Major Water Pollutant into the Huai River and Tai Lake Basin (for Trial Implementation)</i>	2001-10-01	
<i>Provisions of the People's Republic of China on the Prevention and Control of Vessel Pollution of the Inland Water Environment</i>	2016-05-01	
<i>Measures for the Supervision and Control of Sewage Outlets on Rivers</i>	2005-01-01	

### **(3) Atmospheric Emission**

Document Name	Implementation Date	Update Information
<i>Notice of the Ministry of Finance, the National Development and Reform Commission, and the Ministry of Environmental Protection on Issuing the Measures for the Pilot Project of Collecting Volatile Organic Compounds Pollution Discharge Fees</i>	2015-10-01	

Document Name	Implementation Date	Update Information
<i>Regulation on the Administration of Ozone Depleting Substances</i>	2010-06-01	
<i>Notice of the State Council on Issuing the Air Pollution Prevention and Control Action Plan</i>	2013-09-10	
<i>Atmospheric Pollution Prevention and Control Law of the People's Republic of China (2015 Revision)</i>	2016-01-01	
<i>Emission Standard of Air Pollutants for Coal-burning Oil-burning Gas-fired Boiler</i>	2014-07-01	
<i>Emission Standard of Odor Pollutants</i>	1994-01-15	
<i>Integrated Emission Standard of Air Pollutants</i>	1997-01-01	
<i>Emission Standard of Cooking Fume (for Trial Implementation)</i>	2002-01-01	
<i>Emission Standard of Air Pollutants for Industrial Furnaces</i>	1997-01-01	
<i>Reply about Exhaust Standard of Diesel</i>	2005-08-19	

Document Name	Implementation Date	Update Information
<i>Generators</i>		
<i>Administrative Measures for the Import and Export of Ozone Depleting Substances</i>	2014-03-01	
<i>Public Announcement of the Ministry of Environmental Protection on the Four Guidance Documents such as the Pollution Prevention and Control Technique Policy of Cement Industry</i>	2013-05-24	
<i>Notice of the Ministry of Environmental Protection on Strengthening the Management of Production, Sale and Consumption of Hydrochlorofluorocarbons</i>	2013-08-07	
<i>Public Announcement of the Ministry of Environmental Protection on Implementing Special Emission Limits of Atmospheric Pollutants</i>	2013-02-27	
<i>Administrative Measures for the Supervision of Automobile Emission Pollution</i>	1990-8-15	2010-12-22

**(4) Noise**

Document Name	Implementation Date	Update Information
<i>Law of the People's Republic of China on Prevention and Control of Pollution From Environmental Noise</i>	1997-03-01	
<i>Emission Standard of Community Noise</i>	2008-10-01	
<i>Emission Standard of Industrial Enterprises Noise</i>	2008-10-01	
<i>Emission Standard of Environment Noise for Boundary of Construction Site</i>	2012-07-01	
<i>Reply of the Ministry of Environmental Protection on Supervision and Control of Environmental Noise of Enterprises</i>	2009-05-31	

**(5) Waste Management**

Document Name	Implementation Date	Update Information
<i>Regulations on the Administration of Municipal Appearance and Environmental Sanitation</i>	1992-08-01	2011-01-08

Document Name	Implementation Date	Update Information
<i>Regulations on the Administration of Medical Wastes</i>	2003-06-16	2011-01-08
<i>The Measures for the Administration of Permit for Operation of Dangerous Wastes</i>	2004-07-01	2016-02-06
<i>Regulation on the Administration of the Recovery and Disposal of Waste Electrical and Electronic Products</i>	2011-01-01	
<i>Law of the People's Republic of China on the Prevention and Control of Environmental Pollution by Solid Wastes (2004 Revision)</i>	2005-04-01	2015-04-24
<i>Disposal Directory of Waste Electrical and Electronic Products (2014 Version)</i>	2016-03-01	
<i>Identification Standard of Dangerous Wastes: Identification of Corrosivity</i>	2007-10-01	
<i>Identification Standard of Dangerous Wastes: Filtration of Acute Toxicity</i>	2007-10-01	
<i>Identification Standard of Dangerous Wastes: Identification of Extraction</i>	2007-10-01	

Document Name	Implementation Date	Update Information
<i>Toxicity</i>		
<i>Identification Standard of Dangerous Wastes: Identification of Ignitability</i>	2007-10-01	
<i>Identification Standard of Dangerous Wastes: Identification of Reactivity</i>	2007-10-01	
<i>Identification Standard of Dangerous Wastes: Identification of Toxic Substance Content</i>	2007-10-01	
<i>Identification Standard of Dangerous Wastes: General Provisions</i>	2007-10-01	
<i>Technical Specification on Collection of Laboratory Chemical Waste</i>	2015-05-01	
<i>Control Standard for Incineration Pollution of Hazardous Waste</i>	2002-01-01	
<i>Control Standard for Storage Pollution of Hazardous Waste</i>	2002-07-01	2013-06-08
<i>Control Standard for Dumping Pollution of Hazardous Waste</i>	2002-07-01	2013-06-08
<i>Control Standard for Storage and</i>	2002-07-01	2013-06-08



Document Name	Implementation Date	Update Information
<i>Disposal Site Pollution of General Industrial Solid Waste</i>		
<i>The Classification Signs for Municipal Solid Waste</i>	2009-04-01	
<i>Measures for the Administration of the Restricted Use of the Hazardous Substances Contained in Electrical and Electronic Products</i>	2016-07-01	
<i>Administrative Measures for Eligibility License for Disposal of Waste and Discarded Electrical and Electronic Products</i>	2011-01-01	
<i>Letter of the Ministry of Environmental Protection on the Identification of Hazardous Characteristics of Sludge Produced by Sewage (Waste) Water Treatment Facilities</i>	2010-04-16	
<i>Opinions of the Ministry of Environmental Protection and the Ministry of Health on Further Strengthening the Supervision and Control of Dangerous Waste and Medical</i>	2011-2-16	

Document Name	Implementation Date	Update Information
<i>Waste</i>		
<i>Reply of the Ministry of Environmental Protection about the Problem of Whether Wrappages and Containers for Original Use which Contain or Directly be Contaminated by Hazardous Waste Belong to Hazardous Waste</i>	2014-07-04	
<i>Public Announcement of the Ministry of Environmental Protection on the Environmental Protection Regulations on Restrictions of Imported Solid Waste Used for Raw Materials</i>	2015-11-17	
<i>Announcement of the Ministry of Environmental Protection, the National Development and Reform Commission, the Ministry of Commerce and the General Administration of Customs on Implementing the Amendment to Article 25 of the Law of the People's Republic of China on the Prevention and Control of Environment Pollution Caused by Solid Wastes</i>	2015-11-13	

Document Name	Implementation Date	Update Information
<i>Notice on Strengthening Administration of Waste PCBS Electric Power Capacitor</i>	1990-01-03	
<i>Regulations on Preventing the Environmental Pollution of Electrical Equipment Containing Polychlorinated Biphenyls (PCBS) and its Waste</i>	1991-3-1	
<i>Announcement of Issuing Hazardous Waste Management Unit to Compile Guidance of Contingency Plans</i>	2007-07-04	
<i>Administrative Measures for the Transfer of Hazardous Waste</i>	1999-10-01	
<i>Notice on Issuing Technical Policy of Prevention and Control of Hazardous Waste</i>	2001-12-17	
<i>Announcement of Banning the Use of Carbon Tetrachloride as Cleaning Agent</i>	2003-06-01	
<i>Announcement of Strengthening the Environmental Administration of Waste Electronic and Electrical Equipment</i>	2003-08-26	
<i>Reply about Laws Applicable for Cases of</i>	2003-05-23	

Document Name	Implementation Date	Update Information
<i>Entrusted Party Discarding Waste in the Process of Transporting Solid Waste</i>		
<i>Notice on Issuing the Technical Policy of Prevention and Control of Waste Battery</i>	2003-10-9	
<i>Notice on Strengthening Environmental Supervision and Control of Laboratory Contamination</i>	2004-02-26	
<i>Measures for the Prevention and Control of Environment Pollution by Discarded Dangerous Chemicals</i>	2005-10-01	
<i>Guiding Rules for Identifying Solid Wastes (for Trial Implementation)</i>	2006-04-01	
<i>Technical Policy on Prevention and Control of Pollution of Waste Household Appliances and Electronic Products</i>	2006-04-27	
<i>Administrative Measures for the Prevention and Control of Environmental Pollution by Electronic Waste</i>	2008-02-01	
<i>Standard of Bags, Containers and Warning Sign for Medical Waste</i>	2008-04-01	

Document Name	Implementation Date	Update Information
<i>Technical Specifications for Pollution Control of Waste Electrical and Electronic Products</i>	2010-04-01	
<i>Technical Specifications for Pollution Control of Used Mineral Oil Recovery, Recycle and Reuse</i>	2011-7-1	
<i>Technical Specifications for Collection, Storage and Transportation of Hazardous Waste</i>	2013-03-01	
<i>Provisions on the Administration of Urban Construction Garbage</i>	2005-06-01	
<i>Administrative Measures for Urban Living Garbage</i>	2007-07-01	2015-05-04
<i>Measures for Medical Wastes Management of Medical and Health Institutions</i>	2003-10-15	
<i>Measures for the Control of Pollution from Electronic Information Products</i>	2007-03-01	2016-01-06

**(6) Energy and Resource Management**

Document Name	Implementation Date	Update Information
<i>Regulation on the Implementation of the Water and Soil Conservation Law of the People's Republic of China</i>	1993-08-01	2011-01-08
<i>Regulation on the Administration of the License for Water Drawing and the Levy of Water Resource Fees</i>	2006-04-15	
<i>Opinions of the State Council on Applying the Strictest Water Resources Control System</i>		
<i>Notice of the State Council on Issuing the Plan for Energy Conservation and Emission Reduction During the 12th Five-Year Plan</i>	2012-08-06	
<i>Notice of the General Office of the State Council on Issuing the Measures for Assessment of Implementation of the Strictest Management System for Water Resources</i>	2013-01-02	
<i>Land Administration Law of the People's Republic of China (1998 Revision)</i>	1999-01-01	2004-8-28

Document Name	Implementation Date	Update Information
<i>Law of the People's Republic of China on Promoting Clean Production</i>	2003-01-01	2012-02-29
<i>Water Law of the People's Republic of China (2002 Revision)</i>	2002-10-01	2009-8-27
<i>Renewable Energy Law of the People's Republic of China</i>	2006-01-01	2009-12-26
<i>Energy Conservation Law of the People's Republic of China (2007 Revision)</i>	2008-04-01	
<i>Circular Economy Promotion Law of the People's Republic of China</i>	2009-01-01	
<i>Water and Soil Conservation Law of the People's Republic of China (2010 Revision)</i>	2011-3-1	
<i>Interim Measures on Clean Production Checks</i>	2004-10-01	
<i>Interim Measures for Energy Conservation Evaluation and Review of Projects Investing in Fixed Assets</i>	2010-11-01	
<i>Notice of the National Development and</i>	2012-06-13	

Document Name	Implementation Date	Update Information
<i>Reform Commission on Issuing the Interim Measures for the Administration of Voluntary Greenhouse Gas Emission Reduction Transactions</i>		
<i>Interim Measures for the Administration of Carbon Emission Permit Trading</i>	2015-01-10	
<i>The General Provisions of Equipment and Administration of Instruments for Water Measurement in Water-using Institutions</i>	2010-07-01	
<i>The General Provisions of Equipment and Administration of Instruments for Energy Measurement in Energy-using Institutions</i>	2007-01-01	
<i>The Minimum Allowable Values of the Energy Efficiency and Energy Efficiency Rating of Room Air Conditioners</i>	2010-06-01	
<i>Notice of the State Economic and Trade Commission on Issuing the Administrative Measures for Energy Saving of the Key Energy-using Institutions</i>	1999-03-10	
<i>Administrative Measures for Electricity Saving</i>	2001-02-16	



Document Name	Implementation Date	Update Information
<i>Administrative Measures for Urban Water Saving</i>	1989-01-01	
<i>Administrative Measures for the Recovery of Renewable Resources</i>	2007-05-01	
<i>Measures for the Supervision and Administration of Energy Conservation in Special High-Energy Consumption Equipment</i>	2009-09-01	
<i>Measures for the Administration of Energy-saving and Low-carbon-emission Product Certification</i>	2015-11-01	

**(7) Chemicals Management**

Document Name	Implementation Date	Update Information
<i>Notice of the National Security Supervision Bureau on Issuing the Second Batch of Key Regulatory Notification List of Dangerous Chemicals</i>	2013-02-05	

Document Name	Implementation Date	Update Information
<i>Directory of Dangerous Chemicals (2015 Version)</i>	2015-05-01	
<i>Regulations on Pesticide Administration</i>	1997-05-08	2001-11-29
<i>Regulation on the Safety Management of Hazardous Chemicals(2011 Revision)</i>	2011-12-01	2013-12-07
<i>Packing Symbol of Dangerous Goods</i>	2010-05-01	
<i>Classification Specifications of Waste Solid Chemicals</i>	2016-02-01	
<i>General Technical Conditions of Transport Packaging for Dangerous Goods</i>	2010-05-01	
<i>Name List of Dangerous Goods</i>	2012-12-01	
<i>Symbols for Vehicles Transporting Dangerous Goods on Road</i>	2005-08-01	
<i>Notice on Classification and Risk of Chemicals: General Provisions</i>	2010-05-01	
<i>Chemical Classification and Label Specification Part 7: Flammable Liquid</i>	2014-11-01	

Document Name	Implementation Date	Update Information
<i>Chemical Classification and Label Specification Part 15: Oxidizing Solids</i>	2014-11-01	
<i>Chemical Classification and Label Specification Part 28: Harm to the Aquatic Environment</i>	2014-11-01	
<i>Chemical Classification and Label Specification Part 29: Harm to the Ozone Layer</i>	2014-11-01	
<i>General Provisions for Storage of Commonly Used Dangerous Chemicals</i>	1996-2-01	
<i>Announcement of Strictly Restricting Production, Purchase and Consumption of Carbon Tetrachloride</i>	2009-12-15	
<i>Measures for Environmental Management of New Chemical Substances</i>	2010-10-15	
<i>Notice on Issuing Six Supportive Documents of Measures for Environmental Management of New Chemical Substances Including Guidance for Report and Registration of New</i>	2010-10-15	

Document Name	Implementation Date	Update Information
<i>Chemical Substances</i>		
<i>Notice of the Chemical Registration Center of the Ministry of Environmental Protection on Issuing Identification Information Technology Requirements on Report and Registration of New Chemical Substances (for Trial Implementation)</i>	2011-07-22	
<i>Measures for the Environmental Management Registration of Hazardous Chemicals (for Trial Implementation)</i>	2013-03-01	
<i>Notice on Issuing The Inventory of Existing Chemical Substances in China</i>	2013-01-14	
<i>Notice of the Ministry of Environmental Protection on Issuing Environmental Risk Prevention and Control of Chemicals during the 12<sup>th</sup> Five-year Plan</i>	2013-02-07	
<i>Notice on Issuing Four Supportive Documents of Measures for the Environmental Management Registration of Hazardous Chemicals (for Trial Implementation) Including Registration Application Form for Environmental</i>	2013-03-22	

Document Name	Implementation Date	Update Information
<i>Management of Production and Consumption of Dangerous Chemicals</i>		
<i>Notice of the General Office of the Ministry of Environmental Protection on Issuing the Report Form of Key Environmental Management of Dangerous Chemicals and Their Characteristics Chemical Pollutant Release and Transfer and the Administration Plan on Environmental Risk Prevention and Control of Key Environmental Management of Dangerous Chemicals</i>	2013-07-15	
<i>Notice of the General Office of the Ministry of Environmental Protection on Issuing the Directory of Key Environmental Management of Dangerous Chemicals</i>	2014-04-03	
<i>Notice of the National Environment Protection Bureau, the General Administration of Customs and the Ministry of Foreign Trade and Economic Cooperation on Issuing Regulations on</i>	1994-05-01	2007-10-08

Document Name	Implementation Date	Update Information
<i>Environmental Administration of Initial Import of Chemicals and Import and Export of Toxic Chemicals</i>		
<i>Provisions on the Administration of Road Transport of Dangerous Goods (2013)</i>	2013-07-01	

**(8) Radiation**

Document Name	Implementation Date	Update Information
<i>Regulation on the Safety and Protection of Radioisotopes and Radiation Devices</i>	2005-12-01	2014-07-29
<i>Regulation on the Administration of Transport Safety of Radioactive Articles</i>	2010-01-01	
<i>Regulation on the Safety Management of Radioactive Waste</i>	2012-03-01	
<i>Law of the People's Republic of China on Prevention and Control of Radioactive Pollution</i>	2003-10-01	
<i>Regulation on Radiation Protection in</i>	2011-09-01	

Document Name	Implementation Date	Update Information
<i>Operation of Unsealed Source</i>		
<i>Regulation on Management of Radioactive Waste</i>	2003-04-01	
<i>Sealed Radioactive Source: General Requirements and Grading</i>	2010-03-01	
<i>Control Limit of Electromagnetic Environment</i>	2015-01-01	
<i>Classification of Radioactive Waste</i>	1995-08-01	
<i>Administrative Measures for Administration of Safety Permits for Transport of Radioactive Substances</i>	2010-11-01	
<i>Notice on Issuing the Classification and Inventory of Radioactive Substances(for Trial Implementation)</i>	2010-3-18	
<i>Measures for the Administration of Safety and Protection for Radioisotopes and Ray Devices</i>	2011-05-01	
<i>Administrative Measures for Urban Radioactive Waste</i>		

Document Name	Implementation Date	Update Information
<i>Administrative Measures for Environmental Protection from Electromagnetic Radiation</i>	1997-03-25	
<i>Announcement of Issuing Measures for Classification of Radioactive Source</i>	2005-12-23	
<i>Announcement of Issuing Measures for Classification of Ray Devices</i>	2006-05-30	
<i>Measures for the Administration of Safety Licensing for Radioisotopes and Radiation Devices</i>	2006-03-01	2008-12-6
<i>Measures for the Administration of Safety Licensing for Radioisotopes and Radiation Devices</i>	2011-01-01	

**(9) Construction Project**

Document Name	Implementation Date	Update Information
<i>Regulations on the Administration of Construction Project Environmental</i>	1998-11-29	



Document Name	Implementation Date	Update Information
<i>Protection</i>		
<i>Regulations on the Administration of Levy and Use of Pollutant Discharge Fees</i>	2003-07-01	
<i>Regulation on Environmental Impact Assessment of Planning</i>	2009-10-01	
<i>Law of the People's Republic of China on Appraising of Environment Impacts</i>	2003-09-01	
<i>Provisions on the Classified Review and Approval of Documents of the Environmental Impact Assessment of Construction Projects</i>	2009-03-01	
<i>Administrative Regulations of the Ministry of Environmental Protection on the "Three Simultaneity" Supervision and Inspection and the Environmental Protection Acceptance of Completion of Construction Projects (for Trial Implementation)</i>	2009-12-17	
<i>Notice of the General Office of the Ministry of Environmental Protection on Issuing the Application for Environmental</i>	2010-05-07	

Document Name	Implementation Date	Update Information
<i>Protection Acceptance of Completion of Construction Projects</i>		
<i>Announcement of the Ministry of Environmental Protection on Delegating Examination and Approval Authority of Environmental Impact Assessment Documents of Some Construction Projects</i>	2013-11-15	
<i>Measures for the Administration of Construction Projects Environmental Impact Assessment</i>	2015-11-01	
<i>Measures for the Administration of Construction Projects Environmental Impact After-Assessment (for Trial Implementation)</i>	2016-01-01	
<i>Administrative Procedures of Environmental Protection of Construction Projects</i>	1990-6-1	
<i>Notice of the National Environmental Protection Bureau and the Ministry of Foreign Trade on Strengthening Environmental Protection of Construction</i>	1992-03-14	

Document Name	Implementation Date	Update Information
<i>Projects with Foreign Investment</i>		
<i>Measures for the Administration of Construction Projects Environmental Protection Acceptance after Completion</i>	2002-02-01	2010-12-22
<i>Temporal Measures for Public Participation in Environmental Impact Assessment</i>	2006-03-18	
<i>Regulations on Design of Construction Projects Environmental Protection</i>	1987-03-20	

**(10) Operation Management**

Document Name	Implementation Date	Update Information
<i>Interpretation of the Supreme People's Court and the Supreme People's Procuratorate on Several Issues Concerning the Application of Law in the Handling of Criminal Cases of Environmental Pollution</i>	2013-06-19	
<i>Notice of the General Office of the State</i>	2014-12-29	

Document Name	Implementation Date	Update Information
<i>Council on Issuing the National Environmental Emergency Response Plan</i>		
<i>Emergency Response Law of the People's Republic of China</i>	2007-11-01	
<i>Notice on Relevant Issues of Adjusting the Levy Standard of Pollution Discharge Fees</i>	2014-09-01	
<i>Environmental Protection Logo: Discharge Outlet (Source)</i>		
<i>Environmental Protection Logo: Solid Waste Storage (Disposal) Site</i>	1996-07-01	
<i>Notice on Issuing the Measures for Administration of Operation of Automatic Equipment for Monitoring and Controlling Pollution Sources</i>	2008-05-01	
<i>Measures for Information Report of Environmental Emergencies</i>	2011-05-01	
<i>Measures for On-site Supervision and Inspection of Automatic Equipment for Monitoring and Controlling Pollution</i>	2012-04-01	

Document Name	Implementation Date	Update Information
<i>Sources</i>		
<i>Reply of the Ministry of Environmental Protection on Installation Issue of Automatic Monitoring and Controlling Equipment in Companies Discharging Heavy-Metal Pollutants</i>	2012-07-04	
<i>Notice of the Ministry of Environmental Protection on Issuing the Measures for the Self-Monitoring and Information Disclosure by the Enterprises subject to Intensive Monitoring and Control of the State (for Trial Implementation) and the Measures for the Pollution Sources Supervisory Monitoring and Information Disclosure by the Enterprises subject to Intensive Monitoring and Control of the State (for Trial Implementation)</i>	2014-01-01	
<i>Notice of the Ministry of Environmental Protection, the National Development and Reform Commission, the People's Bank of China, and the China Banking Regulatory Commission on Issuing the Measures for</i>	2013-12-18	

Document Name	Implementation Date	Update Information
<i>the Evaluation of Enterprise Environmental Trustworthiness (for Trial Implementation)</i>		
<i>Measures for the Disclosure of Environmental Information by Enterprises and Public Institutions</i>	2015-01-01	
<i>Notice of the Ministry of Environmental Protection on Issuing the Measures for Administration of Environmental Emergencies Response Plan of Enterprises and Public Institutions (for Trial Implementation)</i>	2015-01-08	
<i>Measures for the Environmental Emergency Response Management</i>		
<i>Detailed Provisions for the Implementation of Environmental Protection Logo (for Trial Implementation)</i>	1996-07-01	
<i>Notice on Issuing the Administrative Measures for Monitoring Pollution Sources</i>	1999-11-01	

Document Name	Implementation Date	Update Information
<i>Announcement of the State Environmental Protection Administration on the Environmental Information Disclosure of Enterprises</i>	2003-09-02	
<i>Notice of the General Office of the State Environmental Protection Administration on Operating Environmental Pollution Prevention during the Relocation of Enterprises</i>	2004-06-01	
<i>Measures for the Administration of Automatic Monitoring of Pollution Sources</i>	2005-11-01	
<i>Measures for the Disclosure of Environmental Information (for Trial Implementation)</i>	2008-05-01	
<i>Measures for the Administration of Environmental Surveillance</i>	2007-09-01	

## **2. Laws, Regulations and Policies of Social Management**

Document Name	Implementation Date	Update Information
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Document Name	Implementation Date	Update Information
<i>Order No.47 of the State Administration of Work Safety — Provisions on the Supervision and Administration of Occupational Health at Work Sites</i>	2012-06-01	
<i>Order No.48 of the State Administration of Work Safety — Measures for the Declaration of Projects with Occupational Hazards</i>	2012-06-01	
<i>Order No.49 of the State Administration of Work Safety — Measures for the Supervision and Administration of Employers' Occupational Health Surveillance</i>	2012-06-01	
<i>The State Administration of Work Safety [2012] No.89 — Notice of the State Administration of Work Safety, the Ministry of Health, the Ministry of Human Resources and Social Security, the All-China Federation of Trade Unions on Issuing Administrative Measures for Heat Control</i>	2012-06-29	
<i>The State Administration of Work Safety</i>	2013-12-31	



Document Name	Implementation Date	Update Information
<i>[2013] No.171 — Notice of the General Office of the State Administration of Work Safety on Issuing the Standard for Administration of Occupational Health Files</i>		
<i>The State Administration of Work Safety [2014] No.60 — Notice of the State Administration of Work Safety on Issuing the Statistical Regulations on Monitoring and Controlling Occupational Health of Mining and Trading Enterprises</i>	2014-07-01	
<i>The State Administration of Work Safety [2014] No.111 — Notice of the General Office of the State Administration of Work Safety on Issuing Declaration of Occupational Hazards to Employees and the Standard of Administrating the Warning Signs</i>	2014-11-13	
<i>The State Administration of Work Safety [2015] No.16 — Notice of the General Office of the State Administration of Work Safety on Issuing Administrative Standard for Regular Detection of Occupational</i>	2015-02-28	

Document Name	Implementation Date	Update Information
<i>Hazards Factors for Employers</i>		
<i>Order No.76 of the State Administration of Work Safety — Eight Provisions on the Prevention and Control of Occupational Hazards by Employers</i>	2015-03-24	
<i>AQ/T 4208-2010 Classification of Health Hazard Levels of Workplace with Toxic Chemicals</i>	2011-05-01	
<i>AQ/T 4233-2013 Technical Guidelines for Facility Design for Control Occupational Hazards in Construction Project</i>	2013-10-01	
<i>AQ/T 8009-2013 Guidelines for Pre-assessment of Occupational Hazards in Construction Project</i>	2013-10-01	
<i>AQ/T 8010-2013 Guidelines for Effect-assessment for Control of Occupational Hazards in Construction Project</i>	2013-10-01	
<i>ILO Convention No.155 — The</i>	1981-06-22	

Document Name	Implementation Date	Update Information
<i>Convention Concerning Occupational Safety and Health and the Working Environment</i>		
<i>Decree of the State Council of the People's Republic of China No.146 — Regulations of the State Council on Working Hours of Employees</i>	1994-03-01	
<i>Decree of the State Council of the People's Republic of China No.352 — Regulations of Labour Protection in the Workplaces Where Toxic Substances are Used</i>	2002-05-12	
<i>Decree of the State Council of the People's Republic of China No.423 — Regulations of Labour Security and Supervision</i>	2004-12-01	
<i>No.105 [1987] of the State Council — Notice on Issuing the Regulations of the People's Republic of China on Prevention and Treatment of Pneumoconiosis</i>	1987-12-03	
<i>Order No.60 of the President of the People's Republic of China — Law of the</i>	2002-05-01	

Document Name	Implementation Date	Update Information
<i>People's Republic of China on the Prevention and Treatment of Occupational Diseases</i>		
<i>GBZ 2.1-2007 Occupational Exposure Limits for Hazardous Agents in the Workplace Part1: Chemical Hazardous Agents</i>	2007-11-01	
<i>GBZ 2.2-2007 Occupational Exposure Limits for Hazardous Agents in the Workplace Part2: Physical Agents</i>	2007-11-01	
<i>GBZ/T 196-2007 Technical Guidelines for Pre-assessment for Occupational Hazards in Construction Project</i>	2008-02-01	
<i>GBZ/T 211-2008 Guideline for Occupational Hazards Prevention and Control in Construction Industry</i>	2009-05-15	
<i>GBZ/T 223-2009 Specification of Setting Monitoring and Alarming Devices for Toxic Gas in the</i>	2010-06-01	

Document Name	Implementation Date	Update Information
<i>Workplace</i>		
<i>GBZ/T 225-2010 Guideline for Employers to Prevent and Control Occupational Diseases</i>	2010-08-01	
<i>GBZ 230-2010 Classification for Hazards of Occupational Exposure to Toxicant</i>	2010-11-01	
<i>GB/T 50087-2013 Code for Design of Noise Control of Industrial Enterprises</i>	2014-06-01	
<i>GB/T 31002.1-2014 Human Ergonomics, Manual Operation Part 1: Lifting and Transfer</i>	2015-02-01	
<i>GB/T 12801-2008 General Principles for the Requirements of Safety and Health in the Production Process</i>	2009-10-01	
<i>GBZ/T 229.1-2010 Classification of Occupational Hazards at Workplaces Part 1: Occupational Exposure to Industrial Dust</i>	2010-10-01	

Document Name	Implementation Date	Update Information
<i>GBZ/T 229.2-2010 Classification of Occupational Hazards at Workplaces Part2: Occupational Exposure to Chemicals</i>	2010-11-01	
<i>GBZ/T 229.3-2010 Classification of Occupational Hazards at Workplaces Part 3: Occupational Exposure to Heat Stress</i>	2010-10-01	
<i>GBZ/T 229.4-2012 Classification of Occupational Hazards at Workplaces Part 4: Occupational Exposure to Noise</i>	2012-12-01	
<i>GBZ/T 189.10-2007 Measurement of Physical Agents in Workplace Part 10: Classification of Physical Workload</i>	2007-11-01	
<i>GB 8702-2014 Controlling Limits for Electromagnetic Environment</i>	2015-01-01	
<i>GBZ/T 197-2007 Technical Guidelines for Effect-</i>	2008-02-01	

Document Name	Implementation Date	Update Information
<i>assessment for Occupational Hazard Control in Construction Project</i>		
<i>GB/T 28001-2011 Occupational Health and Safety Management Systems — Requirements</i>	2012-02-01	
<i>GB/T 28002-2011 Occupational Health and Safety Management Systems—Guidelines for Implementation</i>	2012-02-01	
<i>GBZ/T 194-2007 Hygienic Engineering Measures for Preventing and Controlling Occupational Poisoning in the Workplace</i>	2008-02-01	
<i>GBZ 188-2014 Technical Specifications for Surveillance of Occupational Health</i>	2014-10-01	
<i>Labour Safety No.2 [1991]  Notice of the Ministry of Labour on Issuing the Regulations on Classified Supervision of Dust Hazard</i>	1992-01-01	

Document Name	Implementation Date	Update Information
<i>The Ministry of Labour [1994] No.50 Regulations on Classified Supervision of Toxic Occupational Hazards</i>	1994-01-26	
<i>LD/T 80-1995 Classification of Noise-exposed Work</i>	1996-06-01	
<i>National Health and Family Planning Commission Order No.5 — Measures for the Administration of Occupational Health Examination</i>	2015-05-01	
<i>Hygiene and Epidemic Prevention No.60 Regulations of the Ministry of Health, the Ministry of Labour and Personnel, the Ministry of Finance, and the All-China Federation of Trade Unions on the Range and Treatment of Occupational Diseases</i>	1988-01-01	
<i>The Ministry of Health No.41 Administrative Measures for Preventive Health Examination</i>	1995-06-02	
<i>Health Supervision No.60 [1997] Notice of the Ministry of Health on</i>	1997-10-29	



Document Name	Implementation Date	Update Information
<i>Distributing the Regulations on Occupational Health Examination</i>		
<i>Health Legal Supervision [1999] No.620</i> <i>Announcement of the Ministry of Health on Issuing the Specifications on the Protection of the Hearing of Employees in Industrial Enterprises</i>	1999-12-24	
<i>The Ministry of Health No.20</i> <i>Measures for the Administration of the National Occupational Health Standard</i>	2002-05-01	
<i>Health Legal Supervision [2002] No.63</i> <i>Notice of the Ministry of Health on Issuing the Classification Guideline on Occupational Diseases Hazards and the Evaluation Specifications on Occupational Diseases Hazards of Construction Projects</i>	2002-03-11	
<i>The Ministry of Health No.49</i> <i>Administrative Measures for Classification of Occupational Diseases</i>	2006-07-27	

Document Name	Implementation Date	Update Information
<i>Hazards of Construction Projects</i>		
<i>Health Supervision [2006] No.375</i>  <i>Notice of the Ministry of Health on Issuing the Regulations on Supervision and Check of Occupational Health of Construction Projects</i>	2006-09-18	
<i>The Ministry of Health No.91</i> <i>Administrative Measures for Diagnosis and Identification of Occupational Diseases</i>	2013-04-10	
<i>National Hygiene and Diseases Control [2015] No.92</i> <i>Notice on Issuing the Classification Directory of Occupational Diseases Hazards</i>	2015-11-17	

### 3. Others

Document Name	Implementation Date	Update Information
<i>Order No.2 of the State Ethnic Affairs</i>	2016-01-01	

Document Name	Implementation Date	Update Information
<i>Commission, and the Ministry of Public Security — Measures for the Administration of the Ethnic Composition Registration of Chinese Citizens</i>		
<i>NB/T 35060-2015 Specifications for the Design of Hydropower Engineering Immigrant Settlement Environmental Protection</i>	2016-03-01	
<i>Judicial Interpretation No.14 [2001] Interpretation of the Supreme People’s Court on Several Issues about the Application of Laws for the Trial of Labor Dispute Cases</i>	2001-04-16	
<i>Judicial Interpretation No.11 [2003] Interpretation of the Supreme People’s Court on Some Issues Concerning the Application of the Trade Union Law of the People’s Republic of China in Civil Trials</i>	2003-07-09	
<i>Order No.146 of the State Council Regulations of the State Council on the Working Hours of Employees</i>	1994-03-01	

Document Name	Implementation Date	Update Information
<i>Order No.364 of the State Council Provisions on the Prohibition of Using Child Labor</i>	2002-12-01	
<i>Order No.471 of the State Council Regulations on Land Requisition Compensation and Resettlement of Migrants for Large and Medium Water Conservation and Power Construction Projects</i>	2004-09-01	
<i>Order No.457 of the State Council Regulations on the Prevention and Treatment of HIV/AIDS</i>	2006-03-01	
<i>Order No.619 of the State Council Special Rules on the Labor Protection of Female Employees</i>	2012-04-28	
<i>Order No.652 of the State Council Regulations on the Personnel Management of Public Institutions</i>	2014-07-01	
<i>The General Office of the State Council [2004] No.46 — Notice of the General Office of the State Council on the Control</i>	2004-06-06	

Document Name	Implementation Date	Update Information
<i>of the Scale of Housing Demolition and on the Strict Management of Demolition</i>		
<i>The State Council [2006] No.17 Opinions of the State Council on Follow-up Supportive Policy Improving the Resettlement of Immigrants in Large and Medium Sized Reservoirs</i>	2006-05-17	
<i>The General Office of the State Council [2010] No.15 — Urgent Notice of the General Office of the State Council on Stricter Management of Land Requisition and Housing Demolition and on Protection of General Public's Legal Rights and Interests</i>	2010-05-15	
<i>The General Office of the State Council [2015] No.18 — Notice of the General Office of the State Council on the Arrangement of Some Holidays and Festivals in 2016</i>	2015-12-10	
<i>Construction Quality [2008] No.91 Notice of the Ministry of Housing and Urban-Rural Development on Issuing the</i>	2008-05-13	

Document Name	Implementation Date	Update Information
<i>Settlement of Institutions Managing Safe Production of Construction Enterprises and Measures for Allocation of Full-time Safe Production Management Personnel</i>		
<i>Order No.57 of the President of the People's Republic of China — The Trade Union Law of the People's Republic of China</i>	1992-04-03	
<i>Order No.28 of the President of the People's Republic of China — Labor Law of the People's Republic of China</i>	1995-01-01	
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<i>Order No.65 of the President of the People's Republic of China — Labor Contract Law of the People's Republic of China</i>	2008-01-01	
<i>Order No.3 of the President of the People's Republic of China —</i>	2008-07-01	

Document Name	Implementation Date	Update Information
<i>Law of the People’s Republic of China on the Protection of Disabled Persons (2008 Revision)</i>		
<i>Order No.66 of the President of the People’s Republic of China — Decision of the Standing Committee of the National People’s Congress on Amending the Law of the People’s Republic of China on the Prevention of Juvenile Delinquency (2012)</i>	2013-01-01	
<i>Order No.57 of the President of the People’s Republic of China— Exit-Entry Administration Law of the People’s Republic of China</i>	2013-07-01	
<i>Order No.20 of the President of the People’s Republic of China — Decision of the National People’s Congress on Amending the Legislation Law of the People’s Republic of China</i>	2015-03-15	
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Document Name	Implementation Date	Update Information
<i>National People's Congress on Ratifying the Maritime Labour Convention 2006</i>		
<i>GB/T 23859-2009 The Time Measurement Method of Labor Quota</i>	2009-09-01	
<i>GBZ/T 189.10-2007 Measurement of Physical Factors in Workplace Part 10: Classification of Physical Workload</i>	2007-11-01	
<i>The Ministry of Environmental Protection [2010] No.250 — Reply of the Ministry of Environmental Protection on the Issue of Whether Housing Demolition Belongs to the Management of Environmental Impact Assessment of Construction Projects</i>	2010-08-13	
<i>The Ministry of Education [2007] No.4— Notice of the Ministry of Education and the Ministry of Finance on Issuing the Administrative Measures for Internship of Secondary Vocational School Students</i>	2007-06-26	
<i>The Ministry of Education and the</i>	2007-06-26	



Document Name	Implementation Date	Update Information
<i>Ministry of Finance [2007] No.7 — Notice of the Ministry of Education and the Ministry of Finance on Issuing the Administrative Measures for Work-Study Program in Institutions of Higher Education</i>		
<i>The Ministry of Education [2010] No.4— Notice of the General Office of the Ministry of Education on Settlement of Lack of Technical Workers in Enterprises and on Further Promotion of Internship of Secondary Vocational School Students</i>	2010-03-01	
<i>The General Office of the Ministry of Education [2010] No.10 — Urgent Notice of the General Office of the Ministry of Education on Strengthening Internship Risk Management of Secondary Vocational School Students</i>	2010-09-16	
<i>The Ministry of Supervision, the Ministry of Personnel, the Ministry of Finance No.13 — Measures for Accountability Investigation of Violation of Management Regulations</i>	2007-12-25	

Document Name	Implementation Date	Update Information
<i>on Follow-up Support Fund Levy Usage for the Resettlement of Immigrants in Large and Medium Sized Reservoir Areas</i>		
<i>Order No.9 of the Ministry of Labour and Social Security —  Proposed Measures for the Collective Consultation on Wages</i>	2000-11-08	
<i>The Ministry of Labour and Social Security [2003] No.9 —  Notice of the Ministry of Labour and Social Security, the Ministry of Public Security, State Administration for Industry and Commerce, the Ministry of Education, the Ministry of Health, All China Federation of Trade Union, the Central Committee of the Communist Young League, and All-China Women's Federation on Implementing the Regulations on Prohibition of Child Labour</i>	2003-04-18	
<i>Order No.22 of the Ministry of Labour and Social Security —</i>	2004-5-1	

Document Name	Implementation Date	Update Information
<i>Regulations on Collective Contract</i>		
<i>The Ministry of Labour and Social Security [2006] No.46 — Notice of the Ministry of Labour and Social Security on Establishing Labour Employment Filing System</i>	2006-12-22	
<i>The Ministry of Labour [1994] No.447 — Notice of the Ministry of Labour on Issuing the Regulations on Downsizing Staff in Enterprises for Economic Reasons</i>	1995-01-01	
<i>The Ministry of Labour [1994] No.498 — Notice of the Ministry of Labour on Issuing the Regulations on Special Protection of Juvenile Employees</i>	1995-01-01	
<i>The Ministry of Labour [1994] No.503 — Measures of the Ministry of Labour for the Approval of Flexible Working Hour System and Integrated Calculation of Working Hour System for Enterprises</i>	1995-01-01	
<i>The Ministry of Labour and Social Security [1995] No.12 —</i>	1995-02-22	

Document Name	Implementation Date	Update Information
<i>Notice of the Occupational Safety and Health Administration of Boiler and Pressure Vessel of the Ministry of Labour on Issuing the Registration Certificate for Juvenile Labour</i>		
<i>The General Office of the Ministry of Labour [1995] No.16 Reply of the General Office of the Ministry of Labour on Instructions of How to Determine Failed Qualification During the Probation and to Terminate the Labor Contract</i>	1995-01-19	
<i>The Ministry of Labour [1995] No.143 — Notice of the Ministry of Labour on Issuing Measures of the State Council for the Implementation of Regulations on Work Hour of Employees</i>	1995-03-26	
<i>The Ministry of Labour [1995] No.187 — Notice of the Ministry of Labour on Issuing the Answer of the State Council for Questions about Regulations on Work Hour of Employees</i>	1995-04-22	

Document Name	Implementation Date	Update Information
<i>The Ministry of Labour Measures of the Ministry of Labour for the Implementation of Regulations of the State Council on Work Hour of Employees</i>	1995-03-26	
<i>The Ministry of Labour [1996] No.354 — Notice of the Ministry of Labour on Several Problems Concerning the Implementation of the Labour Contract System</i>	1996-10-31	
<i>The General Office of the Ministry of Labour [1997] No.17 — Reply of the General Office of the Ministry of Labour on Instructions of Whether Employees' Dissatisfaction of Their Administrative Penalty can be Settled During Labour Supervision</i>	1997-02-05	
<i>The Ministry of Labour [1997] No.134 — Notice of the Ministry of Labour on Promoting the Comprehensive Implementation of the New Working Hour System in Enterprises</i>	1995-05-01	

Document Name	Implementation Date	Update Information
<i>The Ministry of Labour [1997] No.271 — Reply of the Ministry of Labour on Issues Concerning the Working Hour of Employees</i>	1997-09-10	
<i>Order No.3 of the Ministry of Human Resources and Social Securities, and the State Archives Bureau — Provisions on the Management of Social Insurance Archives (for Trial Implementation)</i>	2009-09-01	
<i>Order No. 17 of the Ministry of Human Resources and Social Security — Provisions on the Negotiation and Mediation of Enterprise Labor Disputes</i>	2012-01-01	
<i>The Ministry of Human Resources and Social Security [2014] No.30 — Notice on Promoting the Crucial Plan for the Implementation of Collective Contract Regulations</i>	2014-04-14	
<i>The Ministry of Human Resources and</i>	2014-12-10	

Document Name	Implementation Date	Update Information
<p><i>Social Security [2014] No.90 —</i></p> <p><i>Notice of Five Ministries Including the Organizing Department of the Central Committee of the Communist Party of China and the Ministry of Human Resources and Social Security on Promoting the Management of Personnel Files of Migrants</i></p>		
<p><i>The Ministry of Human Resources and Social Security</i></p> <p><i>Notice of the Ministry of Human Resources and Social Security on Public Invitation for Opinions about the Regulations on Downsizing Staff in Enterprises (Publication Draft)</i></p>	2014-12-31	
<p><i>Order No.25 of the Ministry of Human Resources and Social Security</i></p> <p><i>Provisions on the Continuing Education of Professional Technicians</i></p>	2015-08-13	
<p><i>The Ministry of Human Resources and Social Security [2015] No.76 —</i></p>	2015-07-29	

Document Name	Implementation Date	Update Information
<i>Notice of the Ministry of Human Resources and Social Security, State Administration for Quality Supervision and Inspection and Quarantine, and National Bureau of Statistics on Issuing the Classification Directory of Occupation in the People's Republic of China</i>		
<i>Order No.27 of the Ministry of Human Resources and Social Security, the Ministry of Civil Affairs, and the National Health and Family Planning Commission — Measures for the Administration of the Allocation of Assistive Devices Covered by the Work-related Injury Insurance</i>	2016-04-01	
<i>State Wages [1995] No.32 — Notice of the Ministry of Personnel on Issuing the Measures of State Organs and Public Institutions for the Implementation of the Provisions of the State Council on the Working Hour of Employees</i>	1995-05-01	
<i>The Ministry of Personnel [2006] No.17</i>	2006-02-27	



Document Name	Implementation Date	Update Information
<i>Notice on Establishing the Employment Internship System for College Graduates</i>		
<p><i>The State Administration of Taxation [1997] No.54 —</i></p> <p><i>Notice of the State Administration of Taxation on the Implementation of Individual Income Tax Exemption for Foreign Individuals who has Gained Relevant Subsidies</i></p>	1997-04-09	
<p><i>The State Administration of Taxation [1999] No.178 —</i></p> <p><i>Notice of the State Administration of Taxation on the Levy of Individual Income Tax of Individuals who has Gained Economic Compensation Because of the Breaking of Labour Contract</i></p>	1999-10-01	
<p><i>Announcement No. 55 [2015] of the State Administration of Taxation —</i></p> <p><i>Announcement of the State Administration of Taxation on Issues concerning the Preferential Tax Policies for Promoting the Employment of the Disabled</i></p>	2015-09-01	

Document Name	Implementation Date	Update Information
<p><i>The Ministry of Finance and the State Administration of Taxation [2015] No.72</i></p> <p>—</p> <p><i>Notice of the Ministry of Finance, the State Administration of Taxation and the China Disabled Persons' Federation on Issuing the Measures for the Collection, Use and Management of the Employment Security Funds for the Disabled</i></p>	<p><i>2015-10-01</i></p>	
<p><i>The Ministry of Water Resources [2012] No.77</i> —</p> <p><i>Notice of the Ministry of Water Resources on Issuing the Temporal Measures for the Acceptance Check of the Resettlement of Immigrants in Large and Medium Sized Water Reservation and Power Construction Projects</i></p>	<p><i>2012-03-06</i></p>	
<p><i>All China Federation of Trade Union [1989] No.8</i> —</p> <p><i>Temporal Measures of All China Federation of Trade Union for the</i></p>	<p><i>1989-03-29</i></p>	

Document Name	Implementation Date	Update Information
<i>Implementation of Supervision by the Trade Union over Occupational Safety and Health Equipment in Productive Construction Projects</i>		
<i>All China Federation of Trade Union — Temporal Regulations on the Organization of Election in Primary-level Organizations of the Trade Union</i>	<i>1992-04-14</i>	
<i>All China Federation of Trade Union [1995] No.12 — Proposed Measures of the Trade Union for the Participation in Equal Negotiation and Signing of Collective Contract</i>	<i>1995-08-17</i>	
<i>All China Federation of Trade Union [2001] No.16 — Notice of the All China Federation of Trade Union on Issuing Three Regulations of the Trade Union on Labour Protection, Supervision and Inspection</i>	<i>2001-12-31</i>	
<i>All China Federation of Trade Union [2006] No.41 —</i>	<i>2006-07-06</i>	

Document Name	Implementation Date	Update Information
<i>Provisions on the Work of Enterprise Trade Unions (for Trial Implementation)</i>		
<p data-bbox="213 535 783 640"><i>All China Federation of Trade Union [2009] No.32 —</i></p> <p data-bbox="213 707 847 936"><i>Opinions of the All China Federation of Trade Union on Strengthening the Work of Female Employees in Enterprise Trade Unions</i></p>	2009-07-17	
<p data-bbox="213 1005 847 1111"><i>All China Federation of Trade Union, the Ministry of Water Resources —</i></p> <p data-bbox="213 1178 839 1599"><i>Notice of the All China Federation of Trade Union and the Ministry of Water Resources of the People's Republic of China on Issuing the Provisions on Congress of Workers and Staff in Enterprises and Public Institutions of the Water Resources System</i></p>	2015-05-01	
<p data-bbox="213 1666 791 1771"><i>The Ministry of Health, the All-China Women's Federation [1993] No.11 —</i></p> <p data-bbox="213 1839 759 1944"><i>Notice of the Ministry of Health, the Ministry of Labour, the Ministry of</i></p>	1993-11-26	

Document Name	Implementation Date	Update Information
<i>Personnel, the All-China Federation of Trade Union, and the All-China Women's Federation on Issuing the Provisions on the Health Care of Female Employees</i>		
<p><i>The State-owned Assets Supervision and Administration Commission, CPC Committee —</i></p> <p><i>Notice of the State-owned Assets Supervision and Administration Commission and CPC Committee on Issuing The Guideline Opinions on Strengthening and Promoting the Work of Female Employees in State-owned Key Enterprises</i></p>	2013-02-17	

## **Chapter 4 Organizational Structure and Ability of Environmental and Social Risk Management**

### **1. The Core Responsibilities of the Management Departments**

#### **(1) The Executive Committee**

The Executive Committee is the supreme decision-making body of environmental and social risk management. Its core responsibilities include:

- (a) Listening to the Risk & Performance Department's feedback on the environmental and social risks and mitigation measures so as to decide on whether to approve the implementation of each project;
- (b) Conducting spot checks on the environmental and social risk management process of the ongoing projects and completed projects every year;
- (c) Listening to the Internal Audit Department's opinion about the operation of the entire environmental and social management system.

#### **(2) The Risk & Performance Department**

The Risk & Performance Department is the implementation body that conducts environmental and social risk management. Its core responsibilities include:

- (a) Managing the environmental and social risks according to the management scheme during the whole process of the projects of the Fund and other projects funded by it;
- (b) Assigning coordinator, manager and post-evaluation manager of the environmental and social risk management in accordance with different phases during the project implementation process, and submitting reports on

environmental and social risk management to the department head as required.

### **(3) General Administration & HR Department**

The General Administration & HR Department is the internal body in charge of the supervision and examination of environmental and social management. Its responsibilities include: examining the effectiveness of the operation and management of the Risk & Performance Department every year, and submitting written reports on the examination results to the Executive Committee for deliberation.

### **(4) External 3rd Party Consulting Firm**

The External 3rd Party Consulting Firm offers technological support to the implementation of the Center's environmental and social management system. Its core responsibilities include: offering technological support during the approval, design, implementation and completion phases of the project so as to assure the feasibility and effective implementation of the mitigation measures. The panel compiles professional report and offers technological support according to the requirements set by the Risk Management Department, and submits written reports to the Risk & Performance Department.

## **2. Responsibilities and Capacity Requirements of the Management Personnel**

The Center shall assign management personnel to relevant positions gradually according to the responsibilities and ability requirements. Given the current human resources, the Center shall make full use of the external experts to make up for its lack of capacity and professionalism, and assist the staff in different departments to perform the following responsibilities of environmental and social management.

### **(1) Director General of Environmental and Social Risk Management in the Risk & Performance Department**

(a) Responsibilities:

- Learn and manage the environmental and social risks before, during and after the project implementation;
- Coordinate with the manager of environmental and social risk management who identifies, manages and evaluates the risks, and submits work reports to the Center's Executive Meeting;
- Apply advanced knowledge in the environmental and social risk management field to related tasks;
- Use knowledge and practical skills to complete complex tasks of environmental and social risk management independently.

(b) Qualifications and Experience:

- Master's degree or above in environmental science, ecology, environmental management and social science;
- At least five years' experience in environmental and social risk management and work experience in the large-scale organizations related to environmentally sustainable development and social protection and development;
- Familiar with Chinese laws, regulations and codes about environmental and social risk management;
- Skilled in interpersonal communication, cross-cultural communication and negotiation, and able to communicate effectively with senior staff and senior officials in the government;
- Excellent communication skills in oral or written English, and able to conduct



policy dialogue and interaction effectively, and connect with a wide range of stakeholders.

## **(2) Coordinator of Environmental and Social Risk Management**

### **(a) Responsibilities:**

- As the manager before the implementation of the project, he/she should communicate and coordinate with the Legal Department, the Finance Department and the Credit-granting Department;
- Research on the background of the project and conduct comprehensive analysis on the risks;
- Coordinate with the External 3rd Party Consulting Firm and organize evaluation on the environmental and social risk management, compile evaluation reports, and report the work to the department head.

### **(b) Qualifications and Experience:**

- Master's degree or above in environmental management, environmental science, and social science;
- At least 3 years' experience in environmental or social security management and project experience in large multi-lateral development institutions and financial institutions;
- Excel in organizing and coordinating, and has experience in organizing seminars for expert groups or scientific research institutions;
- Skilled in interpersonal communication, cross-cultural communication and negotiation, and able to communicate effectively with senior staff and senior

officials in the government;

- Excellent communication skills in oral or written English, and able to conduct policy dialogue and interaction effectively, and connect with a wide range of stakeholders.

### **(3) Manager of Environmental and Social Risk Management**

(a) Responsibilities:

- As the manager during the implementation of the project, he/she should supervise the planning of environmental and social risk management in the design and implementation process of the project, deal with the negative influence of the project in time, and report to the department head;
- Supervise the implementation of environmental and social risk management, collect and sort out the progress reports on the project's environmental and social risk management, and organize the Center's inspectorate to conduct site inspection on Category A and Category B projects.

(b) Qualifications and Experience:

- Master's degree in environmental management, environmental science, or social science;
- At least 3 years' experience in environmental and social management and project experience in multi-lateral development institutions or financial institutions;
- Excel in organizing and coordinating, and has experience in organizing seminars for expert groups and scientific research institutions;

- Competent in project management and implementation, able to deal with complicated problems actively and effectively and to finish work timely;
- Excellent communication skills in oral or written English, and able to conduct policy dialogue and interaction effectively, and connect with a wide range of stakeholders.

**(4) Manager of Environmental and Social Risk Management (Post-Project Evaluation)**

(a) Responsibilities:

- As the manager after the implementation of the project, he/she should collect the completion reports after the projects are completed, follow up the implementation of the environmental and social management plan, ensure the implementation of the security measures and report to the department head;
- Organize the Review Panel to carry out performance evaluation on environmental and social management of completed projects, review the realization of the environmental and social management goals.

(b) Qualifications and Experience:

- Master's degree in environmental management, environmental science, or social science;
- At least 3 years' experience in environmental and social management and project experience in the multi-lateral development institutions and financial institutions;
- Excel in organizing and coordinating, and has experience in organizing seminars for expert groups or scientific research institutions;

- Skilled in interpersonal communication, cross-cultural communication and negotiation, and able to communicate effectively with senior staff and senior officials in the government;
- Excellent communication skills in oral or written English, and able to conduct policy dialogue and interaction effectively, and connect with a wide range of stakeholders.

#### **(5) Internal Control Inspector**

##### **(a) Responsibilities:**

- Identify the potential environmental and social risks in the Center's management, and conduct reviews accordingly;
- Audit the working procedure and project management of the Risk Management Department, examine whether the Center's environmental and social management system functions effectively and accurately;
- Apply business management knowledge, analyzing skills and experience to the examination of the environmental and social management system, propose suggestions for improvement, and report the work to the director general of the Center.

##### **(b) Qualifications and Experience:**

- Bachelor's degree or above in business, environmental management, environmental assessment, or finance;
- At least three years' experience in the external and internal examination of EHS or financial affairs, work experience in the internal examination and risk management of multi-lateral or international institutions, or work experience in

the examination of ISO14001 and OHSAS18000;

- Able to deal with complicated and challenging tasks, excellent communication skills in speaking or writing, able to conduct policy dialogue and interaction effectively, and connect with a wide range of stakeholders.

#### **(6) External 3rd Party Consulting Firm**

The panel should cooperate with the coordinators to assess the potential environmental and social risks before the project, and form evaluation reports; assess the performance of environmental and social management after the project and conduct quantitative analysis of the implementation of the environmental and social management plan.

##### **(a) Responsibilities:**

- Actively carry out risk evaluation according to the Center's management regulations, and adopt the best practices and draw on outstanding cases from around the world;
- Assess the project's environmental and social management performance and conduct quantitative analysis on the implementation of the environmental management plan;
- Share the knowledge and trends of best practices concerning risk management regularly;
- Assist the Center to analyze the circumstances and benefits of adopting the best international practices.

##### **(b) Qualifications and Experience:**

- Master's degree in environmental science, environmental engineering, environmental assessment, or social science;
- At least five years' experience as environmental and social security expert in international or national projects or large-scale multi-lateral institutions;
- Know well of the Center's environmental and social risk management system, able to do in-depth analysis, able to use different analysis instruments and methodologies, and able to conduct qualitative and quantitative analysis;
- Excellent interpersonal communication, cross-cultural communication and negotiation skills, and able to work in a diversified group with high degree of freedom.

## **Chapter 5 Monitoring and Review of Management Programme**

### **1. The Purpose of Monitoring and Review of the Management Programme**

Internal Monitoring and Review of environmental and social risk management refers to the evaluation on the completeness of the Center's environmental and social management system, the compliance of the project implementation, and the effectiveness of the management system with the help of certain assessment indicators and methods. Completeness measures whether the management system includes nine necessary elements. Compliance examines the degree of compliance with the system's requirements in the project selection, evaluation, design, approval and implementation phases. Effectiveness examines whether the Center conforms to the state and local laws and regulations or achieves its general goal, and the Center's overall performance.

The Monitoring and Review shall abide by the following principles:

- (1) Objectivity and impartiality: the review should be conducted according to the monitoring and review procedures and critical evaluation issues, so as to ensure that the review results are real;
- (2) Scientific methods and standards: the design of Monitoring and Review process should be scientific and feasible, and its implementation should follow standardized procedures;
- (3) Independence: there shall not be direct conflict of interest between the inspector and the approval, design, implementation of the project;
- (4) Reliability: the report on monitoring and review shall include the successful parts as well as the failed parts of the project;

(5) Goal-orientation: monitoring and review should be oriented towards the proper implementation of environmental and social management, focusing on the compliance of the management system, the achievement of the goal, efficiency and sustainability of the results.

## **2. Responsibilities Parties**

### **(1) General Administration & HR Department**

As the department in charge of the Center's internal control, the General Administration & HR Department is responsible for organizing the monitoring and review of the project's environmental and social risk management. The department shall assign a review coordinator of environmental and social risk management to arrange the internal monitoring and review. Before conducting the monitoring and review, the inspectors shall be familiar with the project to be reviewed.

To lead the review group of environmental and social risk management, the review coordinator shall fulfill the following duties:

- (a) Learn about the condition of the environmental and social risk management to be reviewed, compile the outline of the review task on the project (the review purpose, project description, review scope, project participants, review contents, expected results and implementation plan);
- (b) Communicate adequately with the members in the review group to enable them to fully understand the contents in the review outline;
- (c) Offer necessary support and feedback to the review work, directly communicate and coordinate with the review group and project participants, and deal with the problems that occur during the review;
- (d) Examine whether the review report draft conforms to the relevant



requirements set by this regulation, and give feedback.

The coordinator of environmental and social risk management shall not participate in the detailed review work carried out by the review group, so as to maintain impartiality.

## **(2) The Review Group of Environmental and Social Risk Management**

The review group of environmental and social risk management consists of at least three inspectors, including one group leader and two group members. The leader shall be assigned by the coordinator of environmental and social risk management.

The review group shall be equipped with the following knowledge and abilities:

(a) Basic knowledge and skills. The review group shall gain the theoretical knowledge and methodology concerning internal review and environmental and social risk management, as well as all-round capabilities such as economic analysis, environmental analysis and social research.

(b) Communication skills. The review group shall have strong communication skills and carry out friendly exchanges with the project participants so as to encourage them to participate in the review.

(c) Organizational skills and coordination ability. The review group shall be competent in organizing and coordinating activities, including allocating and mobilizing different resources, ensuring that the review is completed within the required time limit and the successful implementation of the monitoring and review.

(d) Knowledge of environmental and social management. The review group shall be familiar with the relevant policies and professional knowledge of the environmental and social risk management of international projects, as well as

the industry background and development of the project under review.

### **3. The Procedure of Monitoring and review of the Management Programme**

The monitoring and review of environmental and social risk management shall be conducted following the procedure of preparation, review design, review implementation, review result report and result assessment.

The preparation includes determining the purpose for review, assigning review managers, compiling the outline for review, deciding on the implementation mode of review, and establishing a qualified review group. The review group shall fully understand the contents of the outline, ensure the output of the task, and formulate a detailed work plan.

The review design refers to the design of a detailed implementation scheme according to the review outline, which includes completing the basic information table of the project, designing the review framework table, deciding on the method for evidence collection, designing the question list for face-to face interview and survey. The review framework table shall incorporate key review questions and indicators, evidence and the source of evidence, and the method for evidence collection.

The implementation of the review requires the review group to collect, sort out and analyze the evidence and come up with conclusions and suggestions according to the implementation scheme. Evidence is collected directly from file analysis and field research. In file analysis, information about the compliance and efficiency of the project is obtained through project files, which include project application documents, progress report on the environmental and social management plan, project examination report and project completion report. In field research, the group reviews the development and implementation of the project, learns about the effect and influence of the project's environmental and social risk management, and assesses its performance through face-to-face interview, panel discussion and on-site visit.

The review group should sort out the evidence according to the review indicators, compare the actual indicator values with the expected or designed ones to judge whether the project goal has been achieved, and then analyze the project participants' opinion and suggestions on the review indicators.

In evidence analysis, the review group first grades on different indicators concerning key review questions, and then calculates the average score of each key review question and factor. Lastly, the group gets the overall performance of the project by multiplying the score and weight of each review factor. (See Annex 3).

The review results include two parts: the review results of three types of review contents, and the overall evaluation of the review. The review group shall examine and grade cautiously and draw conclusions with sufficient evidence.

#### **4. The Report and Application of the Results of the Monitoring and Review**

When the review results come out, the review group shall compile the report by chapter in the prescriptive form. Generally, it includes the following five parts: abstract, project description, general introduction of the environmental and social management review, review analysis and review opinion.

The monitoring and review shall be conducted once a year after the implementation of the project. For completed projects, the monitoring and review work shall be completed within a year after the contract ends.

The Department of Internal Review and Control shall report the review results timely and use the results as the reference for decision-making and the assessment of project implementation.

## **Annex 1 Review Criteria for Environmental and Social Influence**

### **1. The Identification and Review Framework of Environmental and Social Risks**

#### **(1) The Purpose of the Identification and Review of Environmental and Social Risks**

During the project's preparation and design phases, professional consultants should identify the potential risks concerning the environment, resettlement of the affected residents, minority groups, labor protection and cultural heritage protection, and evaluate the identified risks to figure out the complexity and sensitivity.

#### **(2) The Procedure of the Identification and Review of Environmental and Social Risks**

Project owners should prepare the environmental and social evaluation report according to the state regulations. For the environmental and social risks not mentioned in the report, the Center's manager of environmental and social risk management shall hire External 3rd Party Consulting Firm in the preliminary stage to make a question list based on the materials provided by the project owner. With the feedback of the question list, the review panel will conduct preliminary assessment of the project and carry out on-site field research to collect project information. On the one hand, the panel checks the carbon emission reductions and, on the other hand, it evaluates the environmental and social risks and formulates a review report through the environmental and social risk review method. Then, the report will be sent for approved to the Executive Committee and the grade of environmental and social risk is decided.

#### **(3) The Responsibilities of the Identification and Review of Environmental and**

## **Social Risks**

The coordinator of the environmental and social risk management of the Risk & Performance Department makes general arrangement of the risk identification and review as well as organizes and coordinates the review panel. The director general of risk management of the Risk Management Department is responsible for the overall supervision of the progress of risk identification and review, checking and approving the review report submitted by the review panel, and reporting to the Center's Executive Meeting. As the supreme decision-making institution, the Center's Executive Meeting decides on the level of the project's environmental and social risk and the project's type.

As the technological supporter of the identification and review of environmental and social risks, the review panel shall present the project baseline and the influence of the environmental and social risk during the implementation faithfully and accurately, make quantitative evaluation on the level of risks, and decide on the type of the project.

## **2. The Grading Criteria of the Environmental and Social Risks**

### **(1) The Grading Principles of Environmental and Social Risks**

The Project Categorisation follows Zero Tolerance Principle. Projects located in the following areas will be directly deemed to be Category A:

- Near or within a sensitive and vulnerable ecosystem (such as natural reserves, wet lands, wild area, coral reefs and habitats of endangered species);
- Near or at cultural historical sites (historical sites of archeological value and existing cultural heritage);
- Densely-populated areas where the project may lead to serious problems such as involuntary resettlement and pollution;

- Areas where activities for development are concentrated or the allocation of natural resources is already unbalanced;
- Watercourses, recharging areas in the aquifer or catchment areas of drinkable water;
- Land and waters with other important resources (fishery, mine field, land for medicinal plantation, and favorable agricultural soil);

Project categorizations are determined on a case by case basis and subject to the most sensitive factors of the new potential activity, factors taken into account include the nature, location, scale, sensitivity and the level of E&S risks and impacts in all aspects identified in the Performance Standards. The assessment result will decide which category does the project falls into.

<b>Category</b>	<b>Description</b>	<b>Requirements</b>
<b>Category A</b>	This type of project has huge influence on the environment and society. The influence may be significant, irreversible, in various forms, and unprecedented. The project is unable to meet the performance requirements for environmental and social sustainability.	A full-scale ESA is required which is normally an Environmental and Social Impact Assessment (ESIA).
<b>Category B</b>	The negative influence on the environment and society of this type of project is smaller than that of Category A. The influence is restricted to where the project locates, with very little irreversible influence on the environment. The project is unable to fully meet the performance	The scope of ESA for a Category B project may vary from project to project, but it is narrower than that of an ESA for Category A projects.

requirements for environmental and social sustainability.

<b>Category C</b>	This type of project has subtle or no negative influence on the environment and society.	No further ESA action is required for a Category C project.
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Based on the categorization, projects exerting subtle influence on the environment and society are classified as Category C, which require no further evaluation. For Category A and Category B projects that have tangible influence on the environment and society, the Center shall require the project owners to provide materials and information about the project for review. If there are relevant documents like the review report on the environmental impact, involuntary resettlement plan, indigenous population and ethnic minority settlement plan, the details in them shall be further reviewed. By referring to the performance standards for environmental and social sustainability set by IFC, the information about the following aspects shall be covered in the submitted documents:

- (a) Evaluation and management of the environmental and social risks and impact;
- (b) Working conditions;
- (c) Resource efficiency and pollution control;
- (d) Public health, safety and security;
- (e) Land acquisition and involuntary resettlement;
- (f) Protection of biodiversity and management of biological natural resources;
- (g) Indigenous population;
- (h) Cultural heritage.

## **(2) Criteria for Project Categorization**

### **(a) Environmental and Social Impact**

#### **(i) Category A**

If the proposed project may cause significant negative impact that is highly sensitive, diversified or unprecedented, and not limited to where the project is located or to the facility itself, it is categorized into Category A.

For Category A projects, the potential positive and negative impact shall be evaluated through environmental and social evaluation. Then the project will be compared with other alternatives, and the measures to prevent or mitigate the impact as well as the suggestions to recoup the losses and to improve the environment management will be proposed.

The negative impact caused by Category A projects are diversified, for example:

- The permanent transformation of some important resources;
- The damage to natural habitats, reduction of biodiversity, or the loss of environmental function in nature;
- The threat to human health (from the production, storage or disposal of hazardous wastes, insufficient measures to protect the workers' health and safety, and water and air quality that cannot meet the standards);
- Relocation of large population and businesses;
- The destruction, damage, and loss of cultural heritage, cultural relics and intangible cultural heritage;



- The permanent loss of productive assets and other assets of involuntary migrants, indigenous population and vulnerable groups, and/or the loss of income, living, housing, family, and public resources.

Although decisions on categorization are made on a case-by-case basis, examples of Category A projects are :

- Large dams and reservoirs
- Forestry (large scale)
- Agro-industries (large scale)
- Industrial plants (large-scale)
- Large port and harbor developments
- Projects with large resettlement components and all projects with potentially major impacts on human populations
- Projects affecting indigenous or tribal populations

(ii) Category B

A proposed project is classified as Category B if its potential adverse environmental impacts on human populations or environmentally important areas are less adverse than those of Category A projects. These impacts are site-specific; few if any of them are irreversible; and in most cases mitigatory measures can be designed more readily than for Category A projects. The scope of ESA for a Category B project may vary from project to project, but it is narrower than that of an EA for Category A projects.

Examples of Category B projects are:

- Agro-industries (small scale)
- Electrical transmission
- Thermal and hydropower development
- Aquaculture and mariculture

- Renewable energy
- Rural water supply and sanitation
- Rehabilitation, maintenance, and modernization projects (small scale)
- Manufacture of construction materials
- General manufacturing
- Greenfield projects in existing industrial estates

(iii) Category C

Category C projects have minimal and negligible impact on the environment and society. Beyond screening, no further EA action is required for a Category C project. Examples of Category C projects are:

- Advisory assignments
- Forestry
- Factoring companies
- Life insurance companies
- Mortgage securitization
- Telecommunications
- Fast transportation
- Securities underwriters and broker/dealers
- Technical assistance
- Rights issues

(b) Performance Standards for Environmental and Social Sustainability

(i) Performance Standard 1 : evaluation and management of environmental and social risks and impact. The project owners shall meet the following requirements:

- establish a environmental and social evaluation and management system;
- formulate policies on the environmental and social goals and principles;

- establish procedures for the identification of project risks and impact;
- put forward a scheme for risk and impact management;
- establish and maintain a specific organizational structure for risk management;
- establish and maintain a risk emergency and response system;
- establish procedures for monitoring and review so as to ensure the effectiveness of the management scheme;
- establish a mechanism for communication and report for the stakeholders.

(ii) Performance Standard 2: labor and working conditions. The project owners shall meet the following requirements:

- implement human resource-related policies and procedures proportionate to the staff size;
- not interfere with the staffs' decision to join staff associations, to appeal or to complain; not discriminate or treat partially in employment;
- provide channels for receiving complaint so that the staff can lodge a complaint about work;
- not use child labor in any way and by any means; not force the laborers in any way;
- provide a safe and healthy working environment for the staff.

(iii) Performance Standard 3: resource efficiency and pollution control. The project owners shall meet the following requirements:

- improve resource efficiency by measures that are technologically and financially practical and cost-effective;

- reduce green house gas emission by measures that are technologically and financially practical and cost-effective;
- avoid pollutant discharge, and if unavoidable, reduce and control the total amount of the pollutants to the largest extent;
- avoid the production of hazardous or harmless waste, and if unavoidable, reduce the production volume and recycle and reuse by safe and harmless ways;
- set up and implement general management methods for controlling the pests that have significant economic impact and vectors that have significant impact on public health.

(iv) Performance Standard 4: community health, safety and security. The project owners shall meet the following requirements:

- evaluate the risks and impact on the health and safety of the affected community and put forward mitigation measures according to *Guidance to Environment, Health and Safety*;
- avoid or reduce to the largest extent the potential risks to the community caused by hazardous materials;
- avoid or reduce to the largest extent the risks of getting infectious diseases;
- establish a risk emergency and response mechanism for the affected communities.

(v) Performance Standard 5: land acquisition and involuntary relocation. The project owners shall meet the following requirements:

- consider the feasible alternatives, and avoid resettlement as far as possible;
- when involuntary resettlement is unavoidable, compensate the asset losses of the resettled communities and individuals and assist them by improving their living standard and recovering their livelihood;
- understand the socioeconomic situation through census, and decide on the group of people that deserve compensation and assistance;
- when project-related land acquisition or utilization causes involuntary resettlement, formulate resettlement plan or livelihood recovery plan;
- establish procedures to supervise and evaluate the implementation of resettlement plan or livelihood recovery plan;

(vi) Performance Standard 6: the protection of biodiversity and the management of natural resources sustainability. The project owners shall meet the following requirements:

- avoid the impact on biodiversity and ecosystem in the first place, and if unavoidable, reduce the impact to the lowest;
- take measures to prevent species invasion;
- when the primary products are brought from areas subject to huge natural change or from important habitats of animals, take systematic verification measures to evaluate the principal supplier;
- adopt good management experience and advanced technologies in management, to ensure the sustainability of biological natural resources and establish a production management system.

(vii) Performance Standard 7: indigenous population and ethnic minorities.

The project owners shall meet the following requirements:

- avoid negative impact on the affected indigenous communities as far as possible, and if unavoidable, reduce the impact to the lowest level by all means;
- compensate for the negative impact of the project and implement indigenous population development plan in accordance with cultural conventions;
- when the project occupies the land for traditional or habitual use, or uses the natural resources on the land for commercial purpose, and is expected to bring about negative impact, take relevant mitigation measures.

(viii) Performance Standard Eight: cultural heritage. The project owners shall meet the following requirements:

- conform to relevant laws, identify and protect cultural heritage in line with the internationally recognized practices of cultural heritage protection, field study and recording;
- protect cultural heritage in project design and implementation processes;
- set procedures to manage the cultural heritage discovered by accident during the implementation and operation of the projects;
- not move any cultural heritage unable to duplicate, unless in the following three conditions: no alternatives are available, the overall benefits outweigh the losses, and the best technology for transferring is adopted. For cultural heritage able to duplicate, employ mitigation measures to avoid the

occupancy of the heritage.

## **Annex 2 Scoring System for Analysis of Environmental & Social Risk Management**

### **1. Analysis of Environmental and Social Risk Management**

To ensure the E&S performance of new potential activity consistent with the Fund's standards and requirements, the Fund adopts a scoring system to analyse the ability of the project owner to manage E&S risks in all aspects of IFC Performance Standards at project appraisal stage.

The level of risk of new potential projects is determined by the highest level of significance and also of identified risks across all PS 1-8 potential risk areas. In addition, the scoring system is also affect the key areas for project monitoring and management during following project implementation.



## 2. Scoring criteria

Performance Standard 1: evaluation and management of environmental and social risks and impact

The total score is 55, with High risk less than 22, Medium risk between 22 and 24, and Low risk between 44 and 55.

Performance standard		Items	Completely Conformance	Partly Conformance	Completely non-conformance
Evaluation and management of environmental and social risks and impact	Put forward a risk and impact management scheme.	The management formulates a policy and actions to reduce the impact and improve the performance so as to deal with the environmental and social risks and impact.	5	3	1
		The management scheme formulates an action plan for environmental and social management, and specifies the necessary measures and their expected results, all accompanied by measurable indicators.	5	3	1

Performance standard		Items	Completely Conformance	Partly Conformance	Completely non-conformance
		The management scheme defines the actions that the third party shall take, and the purpose of the events controlled by the third party.	5	3	1
	Establish and maintain a specific organizational structure of risk management.	Internal or external personnel in charge of environmental and social management and their qualifications/experience	5	3	1
		Staff in the structure who directly take charge of the environmental and social performance should have the knowledge, skills and experience to implement specific measures and actions as required by the environmental and social management system, and the methods to implement them proficiently and effectively.	5	3	1

Performance standard		Items	Completely Conformance	Partly Conformance	Completely non-conformance
	Establish and maintain a risk emergency and response system.	The functions of a risk response system include defining the areas where accidents and emergencies may happen, potential affected communities and individuals, emergency procedures, standby facilities and resources, assigning responsibilities, communicating with the potential affected communities and parties, and conducting regular training, etc.	5	3	1
		Emergency preparation and emergency response are subject to regular evaluation and modification so as to reflect the changing situations.	5	3	1
		Record the measures, resources and responsibilities related to emergency preparation and response, and provide	5	3	1

Performance standard		Items	Completely Conformance	Partly Conformance	Completely non-conformance
		sufficient information to the potential affected communities and related government departments.			
	Establish a communication and complaint mechanism for stakeholders.	Formulate and implement the <i>Stakeholders' Participation Plan</i> , which is based on the risks, impact and development of the project, and on the characteristics and interest of the affected communities.	5	3	1
		Disclose the following information to the affected communities: (1) the purpose, nature and size of the project; (2) the duration of the proposed project; (3) any potential risks to or impact on the community and the mitigation measures; (4) the ways that the expected stakeholders may be involved; (5)	5	3	1

Performance standard		Items	Completely Conformance	Partly Conformance	Completely non-conformance
		complaint mechanism.			
		when the affected community has to take on the recognized risks and negative impact caused by the project, conduct negotiation to allow the affected community to express opinion about the risks, impact and mitigation measures of the project, and then consider the opinion and give feedback.	5	3	1

Performance Standard 2: Labor and working conditions

The total score is 70, with High risk less than 28, Medium risk between 28 and 56, and Low risk between 56 and 70.

Performance standard		Items	Completely Conformance	Partly Conformance	Completely non-conformance
Labor and working conditions	Implement human resource-related policies and procedures.	Regulations on staff management in line with the state laws are specified in the policies and procedures.	5	3	1
		When the work relation is established or when any substantial change takes place, clear and intelligible information about the staff' rights should be provided in writing. The rights refer to those in line with the National Labor Act, National Employment Act, and those applicable to the staff with a collective agreement, including rights related to working time, payment, overtime, salary and welfare.	5	3	1
	Not interfere with the staff's decision to join staff associations or to complain; not	The staff have the rights to join staff associations or conduct collective bargaining at their free will. They are able to complain through other channels without interference, and their rights in working conditions and employment terms are protected.	5	3	1

Performance standard		Items	Completely Conformance	Partly Conformance	Completely non-conformance
	discriminate or treat partially in employment.	Employment is based on the principles of equal opportunity and equal treatment. There is no discrimination in any aspect of employment and disciplinary measures, including the employment process, payment (salary and welfare), working conditions and employment terms, training, task assignment, promotion, dismissal and retirement.	5	3	1
		Take actions to prevent and tackle harassment, threat or exploitation to the staff, especially the female staff.	5	3	1
Provide channels for complaint so that the staff can lodge a complaint about work.		Establish a complain mechanism for the staff to complain about work, inform the applicants about this mechanism during the employment process and ensure the effectiveness of the mechanism.	5	3	1
		Assign people to manage the complaints following transparent procedures, give quick response to the complaints, and give timely feedback to the complainer. Any punishment or revenge on the complainer is prohibited. Anonymous complaints are acceptable and should be dealt with.	5	3	1
		The complain mechanism is compatible with other legal or administrative channels for seeking remedial measures.	5	3	1
	Not use child labor in any form and by any means; not	Not use child labor in any form that involves economic exploitation, hinders child education or the development of the child's physical health,	5	3	1

Performance standard		Items	Completely Conformance	Partly Conformance	Completely non-conformance
	force the laborers in any way.	intelligence, mental health, and have harmful moral and social effects.			
		Not employ children under the age of 18 and ask them to do dangerous work. All the work assigned to employees under the age of 18 is subject to risk evaluation with regular supervision on the employee's health, working conditions and working time.	5	3	1
		Not use forced labor, including work or services provided involuntarily under the threat of force or punishment and involuntary or forced laborers in any form, and not hire people involved in human trafficking.	5	3	1
Provide a safe and healthy working environment for the staff.		Provide a safe and healthy working environment for the staff, and fully consider the inherent risks in the working area concerning specific industries and dangerous work, including physical, chemical, biological and radioactive risks as well as special risks targeted female staff.	5	3	1
		Mitigate risks through safety and health measures to avoid accident, harm and disease in or related to work.	5	3	1



Performance Standard 3: resource efficiency and pollution control.

The total score is 60, with threshold value of High risk less than 24, Medium risk between 24 and 28, and Low risk between 28 and 60.

Performance standard		Items	Completely Conformance	Partly Conformance	Completely non-conformance
Resource efficiency and pollution control	Improve resource efficiency by measures that are technologically and financially practical and cost-effective.	Take measures aimed at saving raw materials, energies and water resources; consider the principle of clean production in product design and production.	5	3	1
	Reduce green house gas emission by measures that are technologically and financially practical and cost-effective.	Take measures that include but are not limited to selecting the backup location for the project, adopting reproducible, low-carbon, and sustainable management mode for farming, forestry, and animal husbandry, and reducing dispersive emissions and eruptive burning.	5	3	1
	Avoid pollutant discharge, and if unavoidable, reduce and control the total amount of pollutants to the largest extent.	If pollution of land and underground water exists for a long time, decide on whether or not to take the responsibility to take actions; responsibility should be taken according to the State's laws and good international conventions in the industry.	5	3	1

Performance standard	Items	Completely Conformance	Partly Conformance	Completely non-conformance	
		Give full consideration to the relevant factors so as to mitigate the potential negative impact on the surrounding environment, including: (1) current environmental conditions; (2) limited environment capacity; (3) current and future land use; (4) whether the project is located in areas with high level of biodiversity; and (5) whether there are unspecified or irreversible results because of the potential accumulative impact.	5	3	1
Avoid the production of hazardous or harmless waste, and if unavoidable, reduce the production volume and recycle and reuse in safe and harmless ways.		If the waste is unable to recycle or reuse, dispose of, destroy or deal with them through environmentally friendly methods, including controlling the emissions and residues during the transportation and waste disposal processes.	5	3	1
		If the waste is considered hazardous, adopt alternatives in line with good international conventions in the industry and dispose of them through environmentally friendly methods, and at the same time conform to the restrictions applicable to the trans-boundary movement of such waste.	5	3	1

Performance standard		Items	Completely Conformance	Partly Conformance	Completely non-conformance
		If the disposal of hazardous waste is to be implemented by third parties, choose legal enterprises with good reputation as the contractors, and the contractors should be approved by the government supervision institution and acquire the certification document to enter the location for disposal.	5	3	1
		Make sure that the waste disposal plant is licensed, and that its operation is in line with accepted standards, and identify its location. If the waste disposal plant does not meet the requirements, reduce the amount of waste transferred to this plant and consider other alternatives, including building facilities for recycling and disposal managed by the Center itself.	5	3	1
Set up and implement the general management methods for pest and vector control.		Formulate and implement regulations on the general management of pests and vectors.	5	3	1
		If the management activities of pests are to use chemical pesticides, choose those with low toxicity, proved to be effective to the targeted species, and with the least negative impact on the non-targeted species and the environment.	5	3	1

Performance standard		Items	Completely Conformance	Partly Conformance	Completely non-conformance
		Design the mechanism for pesticide application, so as to (1) avoid the destruction of the natural enemies of the targeted pest, and if unavoidable, reduce the destruction as much as possible, and (2) avoid the risk of developing drug resistance by the pest and vector carriers, and if unavoidable, reduce the risk as much as possible.	5	3	1
		Not buy, store, use, produce or trade pesticides categorized as Ia (extremely hazardous) or Ib (highly hazardous) by the World Health Organization; not buy, store, use, produce or trade pesticides categorized as II (moderately hazardous) by the World Health Organization unless the production, procurement, distribution and/or utilization of these chemicals are properly controlled.	5	3	1

Performance Standard 4: community health, safety and security.

The total score is 30, with High risk less than 12, Medium risk between 12 and 24, and Low risk between 24 and 30.

Performance Standards		Items	Completely Conformance	Partly Conformance	Completely non-conformance
Community health, safety and security	Evaluate the risks and impact on the health and safety of the affected community and put forward mitigation measures according to the <i>Guidance to Environment, Health and Safety</i> .	Deal with the health and safety issues of the community through the identification procedures for environmental and social risks and impact, based on which formulate an <i>Action Plan</i> to disclose related information to the affected communities.	5	3	1
	Avoid or reduce to the largest extent the potential risks to the community caused by hazardous materials.	When the public (including the staff and their families) are faced with dangers, especially life-threatening ones, implement special measures to avoid or reduce to the largest extent the risks by modifying, replacing or eliminating the conditions or materials that cause dangers.	5	3	1
	Avoid or reduce to the largest extent the risk of getting infectious diseases by the community.	Avoid or reduce to the largest extent the risk of getting infectious diseases caused by project activities, including water-aided, water-based, and water-related diseases, diseases spread via vectors, and infectious diseases; and take into consideration the	5	3	1

Performance Standards		Items	Completely Conformance	Partly Conformance	Completely non-conformance
		vulnerable group's higher infection risk and higher sensitivity.			
		Avoid or reduce to the largest extent the spread of infections resulted from labor increase in temporary or permanent projects, formulate proper supervision scheme so as to examine the staff's health conditions and to record and report on the existing diseases.	5	3	1
		Gain health information through physical examination or other health screening methods before employment so as to prevent the spread of infections, but it should be ensured that the information is not used for employment discrimination or other forms of discrimination.	5	3	1
	Establish the risk emergency and response mechanism for the affected communities.	Cooperate with the affected communities, local governments and other related parties to help them make good preparation for the emergency response, especially when participation and cooperation is in need under urgent conditions; put on records the emergency preparation and response, resources and responsibilities, and disclose the information properly to relevant	5	3	1

Performance Standards		Items	Completely Conformance	Partly Conformance	Completely non-conformance
		government departments and other related parties.			

Performance Standard 5: land acquisition and involuntary relocation.

The total score is 40, with High risk less than 16, Medium risk between 16 and 32, and Low risk between 32 and 40.

Performance standards		Items	Completely Conformance	Partly Conformance	Completely non-conformance
Land acquisition and involuntary relocation	Consider the feasible alternatives, and avoid resettlement as far as possible.	Reduce resettlement as far as possible and avoid forced movement by means of alternative project designs.	5	3	1
		Take the following measures to reduce the impact as far as possible: (1) compensate for asset loss according to the replacement cost; (2) ensure proper information disclosure, negotiate with the affected parties and invite them to participate if the resettlement is implemented; (3) improve or help recover the migrants' livelihood and living standard; (4) provide enough housing with protected tenancy in the place for resettlement so as to improve the living conditions of the migrants.	5	3	1
	Compensate the asset losses of the resettled communities and individuals and assist	The requirements of compensation are transparent, and are applied equally to all communities and people.	5	3	1



Performance standards		Items	Completely Conformance	Partly Conformance	Completely non-conformance
	them in improving their living standard and recovering their livelihood.	Only if the compensation is arranged properly, and the migrants are provided with resettlement and subsidies (if applicable) can the acquired land and relevant assets be used; offer opportunities to the resettled communities and individuals so as to share the development benefits brought by the project.	5	3	1
	Understand the socioeconomic situation through census, and decide on the group that deserve compensation and assistance.	If involuntary resettlement is inevitable, as a result of negotiation or acquisition, collect socioeconomic data through census, based on which decide on which group are affected by the resettlement and are qualified for compensation and assistance; and prevent the unqualified individuals from enjoying the benefit.	5	3	1
	If project-related land acquisition or utilization causes involuntary resettlement, formulate a resettlement plan or a livelihood recovery plan.	If land acquisition or restriction on land utilization may cause the resettlement of entities or economy but the exact nature or size is uncertain at the developing stage, establish a framework for resettlement or livelihood recovery and propose general principles based on the performance standards.	5	3	1

Performance standards		Items	Completely Conformance	Partly Conformance	Completely non-conformance
	Establish procedures to supervise and evaluate the implementation of resettlement plan or livelihood recovery plan.	Establish procedures to monitor and evaluate the implementation of the resettlement action plan or livelihood recovery plan, and correct errors if necessary; monitor according to the risks and impact of the project; when monitoring, negotiate with the affected group.	5	3	1
		When the negative impact of resettlement is eliminated by methods in line with relevant plans and performance standard goals, the resettlement action plan and the livelihood recovery plan can be regarded as completed; assign external personnel to inspect and audit according to the scale and complexity of the resettlement of entities and economy, and decide on whether the two plans are completed and conform to all regulations.	5	3	1

Performance Standard 6: the protection of biodiversity and the management of natural resource sustainability.

The total score is 35, with High risk less than 14, Medium risk between 14 and 28, and Low risk between 28 and 35.

Performance standards		Items	Completely Conformance	Partly Conformance	Completely non-conformance
The protection of biodiversity and the management of natural resource sustainability	Avoid the impact on biodiversity and ecosystem in the first place, and if unavoidable, reduce the impact to the lowest.	Conduct baseline analysis on the qualities of biodiversity and ecosystem services, including the review on the general files, the participation and negotiation of the stakeholders, field survey and other relevant evaluation.	5	3	1
		Identify qualified professionals to assess the value of biodiversity and the ecosystem services, and propose proper mitigation measures; take mitigation and management actions targeted at the impact on biodiversity and ecosystem and adjust the actions according to condition changes and monitoring results.	5	3	1
	Take measures to prevent alien species invasion.	Prevent the invasion of any alien species (which currently do not appear in the area where the project is located); conduct risk assessment on the potential invasiveness before the introduction of any alien species.	5	3	1

Performance standards		Items	Completely Conformance	Partly Conformance	Completely non-conformance
		Take measures to avoid the possibility of alien species' invasion accidentally or unintentionally, such as the transference of cultures and biological medium (including soil, ballast and plant materials) of alien species	5	3	1
		If there is alien species invasion in the countries and areas where the project is located, try to limit the spread of these species to the unreached areas; if possible, to take measures to eliminate the species from the natural habitats under their management.	5	3	1
	If the purchased primary products are produced in areas subject to huge natural change or in important habitats of animals, take systematic verification measures to evaluate the principal supplier.	Evaluation includes: (1) identify the source of supply and the type of habitat; (2) provide documents on the project's main supply chain; (3) procure products only from the suppliers who are sure not to make significant change to the natural or significant habitats; (4) if possible, take actions within certain time to hand over the main supply chains to suppliers who are proved not to make significant change to the area.	5	3	1

Performance standards		Items	Completely Conformance	Partly Conformance	Completely non-conformance
	Adopt good management experience and advanced technologies in management, ensure the sustainability of biological natural resources and establish a production and management system.	For projects concerning the primary production of biological and natural resources (including natural and artificial forestry, farming, animal husbandry, aquaculture, and fishery), adopt good management conventions and technologies in the industry to manage the biological natural resources in a sustainable way; the verification and authorization of the production and management should be implemented by independent agencies.	5	3	1

Performance Standard 7: protection of indigenous population and ethnic minorities.

The total score is 45, with High risk less than 18, Medium risk between 18 and 36, and Low risk between 36 and 45.

Performance Standards		Items	Completely Conformance	Partly Conformance	Completely non-conformance
Protection of indigenous population and ethnic minorities	Avoid negative impact on the affected indigenous communities as far as possible, and if unavoidable, reduce the impact to the lowest level by all means.	Work on feasible alternative design; negotiate with the affected minority communities and listen to the advice from qualified experts so as to avoid such impact.	5	3	1
		If the alternative proposal cannot prevent the negative impact, reduce it to the lowest level and compensate with methods in line with cultural conventions; the compensation should be commensurate with the nature and scale of the impact and the vulnerability of the affected minority community.	5	3	1
		The actions to be taken should be decided after negotiation with and participation of the affected minority community, and be included in a plan with a set time frame or a plan specially made for minorities in a broader community.	5	3	1

Performance Standards		Items	Completely Conformance	Partly Conformance	Completely non-conformance
	Compensate for the negative impact of the project and implement indigenous population development plan in accordance with cultural conventions.	Formulate a <i>Minority Development Plan</i> that clarifies the measures in line with cultural conventions which are targeted at reducing or compensating the negative socioeconomic impact; the plan should clearly define the measures and screen out those aimed at increasing the positive impact and opportunities for the minority group; in appropriate conditions, the plan may include measures in favor of the protection and sustainable management of the natural resources the minorities are dependent on.	5	3	1
	If the project is implemented on the minorities' land for traditional or habitual use, or the natural resources on the land are used for commercial purpose, and the project is expected to bring about negative impact, take relevant mitigation measures.	Not develop projects on these lands; if unavoidable, reduce the area to the smallest and try to put this endeavor in records.	5	3	1
		Avoid the impact on the natural resources and the import natural area of the minority group; if unavoidable, reduce the impact to the lowest level and put this endeavor in records.	5	3	1
		Before the purchase or rental of land, verify and examine all the property right and interests and the usage of traditional resources.	5	3	1

Performance Standards		Items	Completely Conformance	Partly Conformance	Completely non-conformance
		Evaluate and record the resource usage of the affected minority community; avoid partiality towards any land requirement proposed by the minority group; the evaluation of the usage of land and usage of natural resources should involve both genders, and give particular consideration to the role of females in the management and usage of these resources.	5	3	1
		Ensure that the affected minority community is informed of their land ownership according to the national law, the commercial development of the land and natural resources; provide compensation, proper administrative procedures, and opportunities for cultural sustainable development.	5	3	1



Performance Standard 8: cultural heritage.

The total score is 60, with High risk less than 24, Medium risk between 24 and 48, and Low risk between 48 and 60.

Performance Standards		Items	Completely conformance	Partly conformance	Completely non-conformance
Cultural heritage	Conform to relevant laws, identify and protect cultural heritage in line with the internationally recognized practices of cultural heritage protection, field study, and recording.	In order to protect the cultural heritage, conform to the relevant laws, including national laws that define the obligations under the <i>Convention of the Protection on World Culture and Natural heritage</i> , and identify and protect cultural heritage in line with the internationally recognized practices of cultural heritage protection, field study, and recording;	5	3	1
		If the project is found to exert negative impact on the cultural heritage during the recognition of risks and impact, employ qualified experts to assist in cultural heritage verification and protection.	5	3	1
	Protect cultural heritage during the project design and implementation processes.	Besides abide by national laws, adopt internationally recognized practices to conduct site investigation, excavation, protection and publication.	5	3	1

Performance Standards		Items	Completely conformance	Partly conformance	Completely non-conformance
		The results of the evaluation of cultural heritage are included in the evaluation documents, and disclosed along with other information in the documents.	5	3	1
		Establish procedures for the management of cultural heritage discovered accidentally, and follow such procedures if applicable.	5	3	1
	Set procedures to manage the cultural heritage discovered by accident during the implementation and operation of the projects.	To avoid any interference to any cultural heritage discovered accidentally before the qualified experts make the assessment and decide on the measures to be taken as required by the performance standards.	5	3	1
		The procedures include those for record keeping and experts' verification, the trusteeship of movable heritage at all levels and the immediate disposal of the cultural heritage discovered accidentally; clear criteria for temporary lockout should be set up.	5	3	1
		Avoid damages to cultural heritage caused by resettlement or project activities (e.g. construction) in the project design.	5	3	1

Performance Standards		Items	Completely conformance	Partly conformance	Completely non-conformance
	Not move any cultural heritage unable to duplicate, unless the three requirements are fulfilled: no alternatives are available, the overall benefits outweigh the losses, and the best technology for transferring is adopted.	If unavoidable, adopt the optimum feasible technology to resettle and preserve the cultural heritage; the best feasible technology suggested by the experts had better be evaluated by other foreign experts so as to ensure it is the optimum.	5	3	1
		Before the resettlement, negotiate with the historical or traditional owner or user of the heritage, and take their opinion into consideration.	5	3	1
	For cultural heritage able to duplicate, to employ mitigation measures to avoid the occupancy of the heritage.	Adopt the following mitigation mechanisms: (1) reduce the negative impact to the lowest level and take recovery actions on the spot in order to maintain the value and function of the cultural heritage, including the ecosystems necessary for the maintenance and recovery of the heritage; (2) if the recovery cannot be conducted on the spot, recover the function of the heritage in another place, including maintaining the ecosystems necessary for the cultural heritage.	5	3	1

### Annex 3 The Framework and Indicators for the Monitoring and review of the Management Programme

#### 1. The Framework and Indicators for the Monitoring and Review of the Management Programme

Contents	Key items	Indicators	100	≥80	≥60	<60
Compliance with regulations (weighing 30%)	1.1 The compliance of the decision and report of the project	1. Due diligence investigation of the project conducted by the environmental and social risk assessment departments	Abundant materials and deep investigation	Complete materials and investigation in line with the regulations	Few materials and few investigations	Very few materials and hardly any investigation
		2. The compliance of the documents submitted by the departments	Completely in accordance with the regulations	Relatively in accordance with the regulations with few exceptions	Basically in accordance with the regulations with some exceptions	Hardly in accordance with the regulations
		3. The completeness of	Complete	Relatively	Basically	Few materials

Contents	Key items	Indicators	100	≥80	≥60	<60
		the application materials of the project		complete	complete	
		4. Whether the decision is made by the Center's director general and reported to the Fund Board	Yes	/	/	No
		5. Whether the suggestions on the environmental and social risk management from the Fund Board are implemented strictly	Follow the suggestions and implement them meticulously	Follow most of the suggestions	Follow part of the suggestions	Neglect the suggestions
	1.2 The compliance of	1. Whether the communication and	Yes	/	/	No

Contents	Key items	Indicators	100	≥80	≥60	<60
	project preparation to regulations	coordination are made with the legal, finance, and credit granting departments				
		2. The completeness of the materials of the project	Very complete	Basically complete	Partly complete	Few materials
		3. Whether the review on the project is implemented strictly according to regulations	Completely according to the regulations	Relatively according to the regulations with few exceptions	Basically according to the regulations with some exceptions	Hardly or not according to the regulations
		3. Whether the external experts are invited and whether their professional suggestions are adopted	Yes	/	/	No

Contents	Key items	Indicators	100	≥80	≥60	<60
		4. Whether the work report is given regularly	Yes	/	/	No
		3.The solution to the problems mentioned by the review experts	Follow the suggestions	Follow most of the suggestions	Follow part of the suggestions	Neglect the suggestions
	1.3 The compliance of project implementation	1. Whether the plan for the social and environmental management is complete	Yes	/	/	No
		2. Whether the negative impact of the project is solved timely	Discovered timely and solved effectively	Not discovered timely but solved effectively	Fhe measures are of relatively low effectiveness	Not dealt with
		3. Whether the project is	On schedule	Overdue	/	Not tracked

Contents	Key items	Indicators	100	≥80	≥60	<60
		tracked regularly				
		4. Whether the report on the progress of the environmental and social management plan is collected timely	On schedule	Overdue	/	Not collected
	1.4 The compliance of the post-project review	1. Whether the completion report is collected timely	on schedule	overdue	/	Not collected
		2. Whether the experts participate in the review of the project implementation	Yes	/	/	No
Efficiency	1.5 The timeliness	1. The completion of	On schedule	Overdue	/	Not evaluated



Contents	Key items	Indicators	100	≥80	≥60	<60
	of each step	project review				
		2. Time for project report	On schedule	Overdue	/	Not reported
		3. Time for post-project review	On schedule	Overdue	/	Not evaluated
Effect	1.6 The fulfillment of the environmental and social benefits	Whether there are positive impact on the local society and environment during the management of project implementation	Yes	/	/	No
		Whether there are negative impact on the local society and environment during the management of project	Yes	/	/	No

Contents	Key items	Indicators	100	≥80	≥60	<60
		implementation				
	1.7 The applicability and timely update	The level to which the management system is applicable and implemented	Very applicable, and plays a significant role	Relatively applicable, and able to avoid risks	Basically applicable, and able to avoid a few risks	Inapplicable
		Whether the update and revision of the system is applicable timely	Updated and revised timely	Updated and revised relatively timely, hardly inapplicable	Updated occasionally, with some articles inapplicable	Never updated

## 2. Overall Result Analysis of Monitoring and Review

Contents	Grade (score)				Weight
	1. Compliance	Highly compliant ( $\geq 95$ )	Compliant ( $\geq 80, < 95$ )	Partly compliant ( $\geq 60, < 80$ )	
2. Efficiency	Highly efficient ( $\geq 95$ )	Efficient ( $\geq 60, < 80$ )	Partly efficient ( $\geq 60, < 80$ )	Not efficient ( $< 60$ )	15%
3. Effect	Very satisfied ( $\geq 95$ )	Satisfied ( $\geq 60, < 80$ )	Partly satisfied ( $\geq 60, < 80$ )	Unsatisfied ( $< 60$ )	55%
Performance of the project	Very successful ( $\geq 95$ )	Successful ( $\geq 60, < 80$ )	Partly successful ( $\geq 60, < 80$ )	Unsuccessful ( $< 60$ )	100%

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## **Annex 4 Format Requirements for the Report**

### **1. Format Requirements for the Report on the Review of the Environmental and Social Impact**

The scope and level of detail should be commensurate with the potential impact of the project, and the report should be in both English and Chinese. The contents of the review report should include (the order is not compulsory):

- (1) The abstract about the implementation. To brief on the significant results of the investigation and the suggestions for implementation.
- (2) The framework of policies, laws and administrative management. To discuss about the preconditions of the evaluation on the environmental and social impact concerning policies, laws and administrative management, as well as the environment requirements in these laws and regulations.
- (3) Introduction of the project. To brief on the geography, ecology and social background of the project, including the potential off-site investment (e.g. specially assigned tunnels, access for entry and exit, power plant, water supply, housing, raw materials and facilities for product storage); to describe the need for formulating the relocation plan and the minority protection plan; to include the map of the site of the project and the affected area.
- (4) Baseline data. To evaluate the physical, biological and socioeconomic conditions within the development area, including estimating the changes before the implementation of the project; to take into consideration the development activities being or to be constructed in the area that are irrelevant to the project; the provided data should be relevant to the final decision on the location, design, operation and mitigation measures of the project.
- (5) The environmental and social impact. To conduct quantitative estimation and evaluation on the positive and negative impact of the project as far as possible, to distinguish the negative impact that can or cannot be eliminated by the mitigation measures, and to look for opportunities to improve the environment and society; to identify and evaluate the level and quality of the accessible data, the missing critical

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data, and the uncertainty during the estimation.

(6) The analysis of alternatives. To compare the alternatives systematically, including the location, technology, design and operation of the project; to consider the potential environmental and social impact, the practicability of the mitigation measures, the feasibility under the local conditions, and the expenditure and budget. To conduct a quantitative analysis of the environmental and social impact for every alternative and to consider the economic feasibility.

(7) The plan for the environmental and social management. To include the mitigation measures, supervision and monitoring, and the measures to strengthen the institution.

(8) Annex. To include the writer (individual or organization) of the evaluation report, references, the minutes of the meetings between the institutions and the public, the data in the text and the table of the summarization of data, lists of the related reports (relocation plan, minority protection plan, the review report on the environmental impact, etc.).

## **2. Format Requirements for the Compilation of the Environmental and Social Management Plan**

The environmental and social management plan describes the environmental obligations that are compulsory during the project implementation process, aimed at protecting the environment and reducing disturbance on the residents as far as possible. The environmental and social management plan is compiled according to the laws and regulations as well as the standards set forth by the People's Republic of China, and the environment management principles set forth in ISO 14001. The contents of the plan will be updated during the project implementation, and will be included in the Annex of the contract signed with the contractors, which shall serve as the main legal documents of the loan agreement.

The environmental and social management plan will be submitted to the expert panel for approval, and reported to the director generals of the departments. The contents include but are not limited to:

(1) The purpose and goal. The purpose, basis, and implementation goal of the

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management plan.

(2) Scope and structure. The scope of application (different phases of the project and the area where the project is implemented) and a brief introduction of the contents in each chapter of the management plan.

(3) The framework of laws and regulations. The list of applicable laws and regulations recognized by the panel are not limited to those of the State and the place where the project is implemented, but also the internationally-accepted regulations and best policies of the environmental and social practices.

(4) The environmental and social impact and the mitigation measures. Based on the evaluation report on the environmental impact, the evaluation report on the social impact, the relocation plan and other documents, this chapter will summarize all the main environmental and social impact and the corresponding mitigation measures/ action plans. It should clarify the implementation time, budget, and implementation and supervision agencies of the measures, and stipulate the indicators and frequency of monitoring so as to monitor and control the effect of the measures and thus give response or make adjustments to ensure the fulfillment of the set environmental and social goals.

(5) The environmental and social monitoring plan. The task includes monitoring the environment, society and the reaching of standards. The environmental and social monitoring is inclusive, which mainly aimed at the evaluation of the overall impact of the implementation and operation of the project on the surroundings. The monitoring plan should include the monitoring factors (liquid, gas, solid, noise, etc.), location, parameters, duration, and frequency. The monitoring on the reaching of standards is targeted at the construction work so as to ensure that the constructor meet the relevant standards of the water and air quality and the noise level. The plan should also clarify the operator and supervisor of the monitoring work.

(6) Investment budget. It should include the environmentally-friendly projects, environmental and social monitoring, environmentally-friendly facilities and the installation, occupational health protection, demolition of requisitioned land, cultural heritage protection and minority protection, of which the fund sources should be specified.

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(7) Implementation and operation: ① to clarify the responsibilities and authorities of all the organizational institutions and agencies in the environmental and social management plan; ② to clarify the responsibilities for the training of the awareness of the environmental and social protection, and the way to carry out the training; ③ to establish mechanisms for information disclosure and communication, including internal communication, external communication, and communication on emergencies; ④ to establish a system for document filing and reporting; to clarify the name, initiator, receiver, frequency, type of report and so on; to categorize the documents relevant to the procedures described in the environmental and social plan; and to store them in the archive room in the form of document and registration form; ⑤ to establish complain mechanism so as to discover and deal with the public complaints relevant to the project timely, and to reduce the risks and enable the project to unleash its full potential in providing environmental and social benefits.

(8) Annex. It includes specific information about the project, including the management plan for special risks, for example, the demolition of the requisitioned land and the relocation plan for the involuntary migrants, water and soil conservation plan, biodiversity protection plan, dangerous materials and waste management plan, material resources management plan, disease and pest management plan, and minority protection plan, etc.

### **3. Format Requirements for the Final Report on the Implementation of the Environmental and Social Management Plan**

The final report on the implementation of the environmental and social management plan will summarize in detail the environmental work which has been completed, the impact and problems that have appeared since the evaluation work begins, and the implementation and effects of the mitigation measures, based on the review of the project implementation process. The contents of the report include:

- (1) The project implementation process;
- (2) Organizational structure and management responsibilities of the environmental

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and social management;

(3) The implementation of the mitigation measures in the environmental and social management plan;

(4) The implementation of the environmental and social management plan;

(5) Rectification and work plan for the existing problems;

(6) Annex 1: an overview of the mitigation measures;

(7) Annex 2: the monitoring data of the environmental and social management and the analysis methods.

#### **4. Format Requirements for the Performance Evaluation Report on the Environmental and Social Impact After the Project is Completed**

The performance evaluation report on the environmental and social impact includes the post-project evaluation on the environmental and social management work during the implementation of the project. According to the environmental and social performance indicators prescribed in the project design phase, the fulfillment of the various indicators should be evaluated after the project is completed and the evaluation report should reflect the overall effectiveness of the environmental and social management plan. The contents of the report include:

(1) The final description on the completion of the project.

(2) The evaluation on the project design and implementation:

- The output;
- Budget and expenditure;
- Schedule for implementation;
- The terms of loans related to the environmental and social security;
- The employment of the contractors, suppliers, and consulting advisers, and the procurement;



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- The performance evaluation on the contractors, suppliers, and consulting advisers.

(3) The environmental and social performance evaluation:

- The framework of the environmental and social indicators system;
- The level of fulfillment of the environmental and social indicators system;
- The efficiency of the fulfillment of the environmental and social indicators system;
- Preliminary evaluation on the sustainability of the project;
- The impact (both positive and negative) of the project's output.

(4) The overall evaluation on the project and suggestions:

- The overall evaluation on the project;
- The experience learned from the implementation of the project;
- The suggestions after the completion of the project.