

World Bank-financed Project

World Bank-financed Gansu Revitalization and Innovation Project

Ethnic Minority Development Framework (EMDF)

Gansu Project Management Office (PMO)
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Abbreviations

AH	-	Affected Household
AP	-	Affected Person
EMDP	-	Ethnic Minority Development Plan
HD	-	House Demolition
EMDF	-	Indigenous Peoples Policy Framework
LA	-	Land Acquisition
M&E	-	Monitoring and evaluation
OP	-	Operational Policy
PMO	-	Project Management Office
PRC	-	People's Republic of China
RAP	-	Resettlement Action Plan

Units

Currency unit	=	Yuan (CNY)
1.00 yuan	=	\$0.15
1 hectare	=	15 mu

A. Purpose of this EMDF

The World Bank-financed Gansu Revitalization and Innovation Project (hereinafter, the “Project”) aims to increase income-generating opportunities, improve access to infrastructure and services, and strengthen institutional capacity of participating entities. It integrates community development, transport, natural and cultural tourism, environmental rehabilitation and capacity building in a multi-sector collaborative approach, with focus on: 1) create employment and improve livelihoods for lower-income urban and rural residents in Gansu; 2) help build institutions and capacity for Gansu’s development; 3) focus on learning and global knowledge transfer, as well as building replicable development models.

Project areas have been strategically selected on the basis of poverty levels, bottom 40 percent population and underutilized endowments. Among all the fourteen prefectures in Gansu, four along the Xi’an-Urumqi east-west corridor (the ancient silk road route) have been strategically selected to benefit from the project based on the results of economic geography and competitive cities analysis. These prefectures are Tianshui, Dingxi, Zhangye, and Jiuquan. They were selected on the basis of (a) poverty level and size of the bottom 40 percent of the population (that is, per capita dispensable income lower than the national poverty line and the national 40th percentile); (b) transformation from agriculture or manufacturing to a service-based economy; (c) having underutilized endowments with high potential for local economic development; (d) location (that is, directly located with their hubs and spokes along Gansu’s main tourism circuit); and (e) not having been sufficiently funded before under various government and donor development programs (that is, experiencing inequality).

The Project consists of 8 subprojects in 8 counties / districts: 1) Majiayao Culture Exhibition Center and Majiayao Site Scenic Zone; 2) Jiuquan Silk Road Research Center and Library; 3) Xuanquanzhi Site Protection and Demonstration in Dunhuang City; 4) Lacquer Ware Skills Inheritance and Development in Maiji District; 5) Hanmo Culture and Art Center in Tongwei County; 6) Cultural Heritage Protection, Inheritance and Development in Ganzhou District, Zhangye City; 7) Dadiwan Site in Qin’an County; 8) Mandarin Duck Jade Origin Town in Shandan Town, Wushan County.

In the 8 project counties (districts), there are some scattered minority habits (e.g., Yunan Yugur Autonomous County, Zhangye City), the task conducted a detailed survey on minority impacts in the 8 project counties (districts) with the assistance of the Gansu PMO, local PMOs, and ethnic and religious affairs bureaus. See Table 1-1.

Since the Project is still at the preparation and preliminary design stages, its scope and scale of construction may vary due to detailed design, optimization or adjustment. Once such change goes beyond the planned project area, some minority habitats may be involved, and may fall into the Bank’s Policy on Indigenous Peoples (OP4.10). Thus, an Indigenous Peoples Policy Framework (EMDF) will be prepared.

This EMDF has been prepared in accordance with the applicable PRC laws and regulations, and the Bank’s OP4.10 to ensure that affected minority residents receive social and economic benefits suited to their cultural customs, and measures are taken to avoid, minimize or compensate for negative impacts on minority residents. Once ethnic minority present is identified in future project

implementation, an Ethnic Minority Development Plan will be prepared under the guidance of this EMDF.

In order to prepare the EMDF, the PMOs, and the EMDF and SA task forces conducted fieldwork from December 2017 to March 2018 to learn each subproject area's population, ethnic composition, minority villages, minority habitats, etc. according to the 4 identification criteria.

1) Questionnaire survey: with 410 copies in total, including 401 valid copies and 0 minority copy;

2) FGD: 94 village-level FGDs were held to discuss topics related to the Project, with 352 participants in total, including 97 women, 83 old people and 5 minority residents;

3) Key informant interview: 198 key informant interviews were conducted at the village, town and city levels, including 52 men-times of in-depth interviews, including 5 minority residents and 31 women;

4) Stakeholder discussion: 4 stakeholder discussion meetings were held with different municipal and township departments on the Project's potential impacts, measures to reduce risks and suggested actions.

5) Literature collection and review: Literatures on local population, ethnic groups, culture, customs, etc., including statistical yearbooks, reports, annals, etc. were collected to learn local minority features, and differences from Han people in production and living.

Interviews with key institutions and baseline data gathering. The team interviewed Qinan County Section of Ethnic Affairs on January 24, 2018 to understand overall situation on ethnic minority in the county. Mr. Wang, section head, introduced that ethnic minority people living scattered in the county, but mainly by marriage to Han people. There are 2310 people with ethnic minority registration status, including Hui, Tibetan, Tujia, Miao, and Manchu, accounting for 0.33% of total population of the county. There is no ethnic minority concentration as defined by World Bank OP4.10.

Group interviews. A group interview took place on January 24, 2018 at Shaodian village of Wuying county. Three ethnic minority persons (2 Hui people, and 1 Manchu) participated in the interview. All three said they were aware of the planned project and support the project. They mentioned that there are only few ethnic minority people in the village, no more than five including themselves.

Gansu is a province in which minority residents are scattered in all counties, cities and districts. The identification of minority impacts in the 8 project counties (cities / districts) is shown in Table 1-1 and Appendix 1. The minority population in the 8 project counties (cities / districts) has the following features: 1) The minority population in the project area is scattered, mostly being Hui, Mongolian, Zhuang and Yugur people entering the project area for marriage and work. However, this minority population is very small, and they have no fixed community, no common language and no common culture, and show no difference from the mainstream ethnic group of Han in terms of social welfare, rights, protection, cultural customs and lifestyle. In addition, local minority residents enjoy the same public services as the Han people; 2) Minority residents are scattered, and there is no fixed minority settlement or ancestral estate in the project area; and 3) No minority population will be affected by LA and HD for the Project. Minority residents will benefit from the Project indirectly other than directly, and the Project will have almost no negative impact on them.

There is no minority population present that triggers OP4.10 in the 8 subproject areas, so it is impossible to organize eligible minority population for project identification, public participation and analysis, and to analyze the Project's positive and negative impacts on minority residents, and the free, prior and informed consultation process does not apply.

Although there is a Yugur autonomous county (Sunan) in Zhangye City, OP4.10 does not apply to it because it is not within the project area, and there is no need to prepare an EMDP.

Therefore, no ethnic minority development plan will be developed for the Project. However, if any centralized minority group is identified due to any change in the project area in future implementation, OP4.10 will be triggered, and an ethnic minority development plan (EMDP) will be developed to protect the rights and interests of minority residents.

Since this project supports cultural heritage and cultural tourism, which will largely involve taking advantage of historical ethnic minority culture and tradition, capacity building to managing units of Component 1 will be needed. This task will be undertaken by the external monitoring team. A ToR will be prepared and reviewed by Bank task team, so that the monitoring team has capacity to assist project PIUs in promoting ethnic minority benefiting from project activities. When ethnic minority cultural heritage is being used for income generation activities, the methods and approach will be consulted with relevant ethnic minorities, and in the absence of ethnic minorities, local Ethnic Minority Affairs Commission will be consulted, in order to make proper promotion of ethnic minority cultural heritage.

Table 1-1 Screening Table of Local Minority Distribution

Project county / district	Subproject	Township	Village / community	Minority population	Gross population
Qin'an County	1. Dadiwan Site in Qin'an County	Wuying Town	Shaodian Village	0	1847
		Longcheng Town	Wohuang Village	0	1624
			Fengwei Village	0	2447
			Lueyang Village	0	1636
Lintao County	2. Majiayao Culture Exhibition Center and Majiayao Site Scenic Zone	Taoyang Town	Majiayao Village	0	1585
			Hekou Village	0	2264
			Qijiatan Village	0	1521
			Yangjiadian Village	0	1504
			Cheliujia Village	0	1810
			Lifanjia Village	0	1760
			Yanwujia Village	0	1715
			Wangjiazui Village	0	1946
Ganzhou District	3. Cultural Heritage Protection, Inheritance and Development in Ganzhou District, Zhangye City	Nanguan Sub-district	Donghu Community	137	7840
		Jiantan Town	Xilaisi Community	57	12010
			Gucheng Village	0	1753
Dunhuang City	4. Xuanquanzhi Site Protection and Demonstration in Dunhuang City	Mogao Town	Xindun Village	5	1894
Suzhou District	5. Jiuquan Silk Road Research Center and Library		Feitian Road Community	319	24700
Maiji	6. Lacquer Ware Skills	Ganquan	Xizhi Village	0	1902

District	Inheritance and Development in Maiji District	Town			
Tongwei County	7. Hanmo Culture and Art Center in Tongwei County	Pingxiang Town	Songbao Village	0	1636
Wushan County	8. Mandarin Duck Jade Origin Town in Shandan Town, Wushan County	Shandan Town	Shandan, Chechuan and Hedian Villages	13	5023
Total				531	78417

Table 2 Ethnic Minority Policy Framework of the PRC and the Bank

Type	Policy / regulations	Contents and key points
State laws and regulations	State laws and regulations: Constitution of the PRC, Law of the PRC on Regional Ethnic Autonomy, Law of Organization of Villager Committee of the PRC, Regulations on the Administrative Work of Ethnic Minority Xiangs the PRC, 13 th Five-year Plan for Ethnic Minority Programs, Decision of the Central Government on Some Major Issues in Deepening Cultural Restructuring	①In addition to the same powers as local governments, the authorities of the localities of ethnic autonomy also have the following rights: autonomous legislative power; autonomy in the administration of local political, economic, financial, scientific, educational and cultural affairs, the right to organize local public security forces, and the right to use and develop ethnic minority languages, etc. ②Citizens of the PRC shall have freedom in religious belief, and the state and the authorities of the localities of ethnic autonomy shall guarantee such freedom for citizens of all ethnic groups. ③ Administrative regulations for ethnic minorities shall be formulated to promote the development economic and cultural programs of ethnic minority Xiangs, protect the lawful rights and interests of ethnic minorities, and enhance the unity among different ethnic groups. ④Except those deprived of political rights, villagers attaining 18 years of age, regardless of ethnic group, race, sex, occupation, family background, religious belief, education, property condition or term of residence, shall have the right to vote and the right to be elected. ⑤The state shall support all ethnic minorities financially, materially and technically to accelerate their economic development, cultural and other social programs. ⑥All ethnic languages shall be equal. All ethnic groups shall be free to use and develop their own languages, and shall be encouraged to learn from one another's language. ⑦The protection of ethnic folk cultures shall be subject to the principles of protection mainly, rational development, government dominance and social participation.

World Bank	Operational Policy (OP4.10) and Bank Procedure (BP4.10)	<p>This policy aims to ensure that the development process fully respects the dignity, human rights, economies, and cultures of Indigenous Peoples.</p> <p>(1) The Bank recognizes that the identities and cultures of Indigenous Peoples are inextricably linked to the lands on which they live and the natural resources on which they depend. These distinct circumstances expose Indigenous Peoples to different types of risks and levels of impacts from development projects, including loss of identity, culture, and customary livelihoods, as well as exposure to disease. Gender and intergenerational issues among Indigenous Peoples also are complex. As social groups with identities that are often distinct from dominant groups in their national societies, Indigenous Peoples are frequently among the most marginalized and vulnerable segments of the population. As a result, their economic, social, and legal status often limits their capacity to defend their interests in and rights to lands, territories, and other productive resources, and/or restricts their ability to participate in and benefit from development. At the same time, the Bank recognizes that Indigenous Peoples play a vital role in sustainable development and that their rights are increasingly being addressed under both domestic and international law.</p> <p>(2) Bank-financed projects include measures to (a) avoid potentially adverse effects on the Indigenous Peoples' communities; or (b) when avoidance is not feasible, minimize, mitigate, or compensate for such effects. Bank-financed projects are also designed to ensure that the Indigenous Peoples receive social and economic benefits that are culturally appropriate and gender and inter-generationally inclusive.</p> <p>(3) When a project affects Indigenous Peoples, the TT assists the borrower in carrying out free, prior, and informed consultation with affected communities about the proposed project throughout the project cycle. At all stages of the project, the parties consulted have prior access to information on the intent and scope of the proposed project in a culturally appropriate manner. It shall also be determined that if the affected communities give broad support to the project based on the SA and consultation process.</p> <p>(4) The EMDP should be flexible and practical, and include the following: legal and institutional framework suited to ethnic minorities; information on demographic, social, cultural and political features of affected communities, ancestral territories owned, used or occupied by them, and natural resources on which they live; a summary of SA; a summary of free, prior, and informed consultation results in affected communities at the preparation stage, which has gained broad community support for the project; a framework for ensuring free, prior, and informed consultation with affected communities during project implementation; an action plan for ensuring that ethnic minorities receive culturally appropriate social and economic interests; after potential negative impacts on ethnic minorities have been determined, an appropriate action plan that avoids, minimizes or mitigates, or compensate for such impacts; the financial budget and financing plan for the EMDP; a procedure for addressing appeals from minority communities arising from project implementation; and an M&E and reporting mechanism, and indicator system suitable for the implementation of the EMDP.</p>
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B. EMDP Preparation and Approval

1. Identification and screening of ethnic minorities

1.1 Basis of identification

An "ethnic minority" means a unique, vulnerable social and cultural group with the following features to varying degrees:

- Self-identification as a member of a unique minority cultural group, and such feature is recognized by others;

- Collectively attached to a geographically unique residential area or ancestral estate in the project area, and to the natural resources of such residential area or estate;
- Having traditional cultural, economic, social or political institutions different from the mainstream society;
- Having a minority language different from the official language of the country or region.

Field Screening

At the early preparation stage, the PMO will conduct screening to see if there is any ethnic minority in the project area or if any ethnic minority is attached collectively to the project area. In order to conduct screening, the Bank will engage qualified and knowledgeable social experts.

2. SA

The breadth, depth and type of analysis match the nature and extent of potential impacts of the Project. As necessary, the SA Report will include the following:

- Reviewing the legal and institutional framework suited to minority residents on a scale appropriate to the Project;
- Collecting baseline information on the population, social, cultural and political features of affected minority communities, land and estates traditionally owned, used or occupied by them, and natural resources on which they rely;
- Identifying primary stakeholders, and drafting a detailed and culturally appropriate ethnic minority consultation procedure for all stages on the basis of the review results and the baseline information;
- Evaluating the Project's potential positive and negative impacts on the basis of free, prior and informed consultation with affected minority residents, and analyzing their relative vulnerability and potential risks;
- Determining and evaluating measures to avoid or minimize negative impacts on the basis of free, prior and informed consultation with affected minority residents, and ensuring that minority residents benefit from the Project in a culturally suited manner

3. EMDP Preparation

If the Bank finds that there is any ethnic minority in the project area or any ethnic minority is attached collectively to the project area, the Gansu PMO will conduct SA to evaluate the Project's potential positive and negative impacts on such ethnic minority, and prepare an EMDP through consultation.

In the case ethnic minority present is identified, consultations with ethnic minority people should be conducted following the following requirements: a) provide information prior to the consultation through means acceptable to EM culture and tradition, and methods they are comfortable with; b) assess needs expressed by EMs and include this in project activities to support achieving project PDOs, and include this in the EMDP to be prepared; c) assess negative impact to EMs and avoid/mitigate to the lowest possible degree, and maximize potential for EMs to benefit from project activities acceptable to them; d) EMDP should be based on free consultation with EMs, through questionnaires, village level focus group discussions, project related discussions, and key informants interviews at village, township and city levels. The process of preparing the EMDP should be transparent through regular public information disclosure, and a mechanism of receiving complaints and suggestions from EMs should be established.

The PMO will determine if affected minority communities can provide extensive support to the Project based on SA, and free, prior and informed consultation. If such support is available, the borrower should prepare a detailed EMDP. As necessary, the EMDP will include the following:

- An information summary: reviewing a legal and institutional framework suited to minority residents on a scale appropriate to the Project; collecting baseline information on the population, social, cultural and political features of affected minority communities, land and estates traditionally owned, used or occupied by them, and natural resources on which they rely;
- An SA summary;
- A summary of free, prior and informed consultation: conducting such consultation at the preparation stage in minority communities for extensive community support;
- A framework document that ensures that free, prior and informed consultation is conducted with affected minority communities at the implementation stage;
- An action plan to ensure that minority residents receive culturally appropriate social and economic benefits, including measures to improve the capacity of the IAs if necessary;
- An appropriate action plan to avoid, minimize or compensate for potential negative impacts on minority residents;
- Budget and financing plan of the EMDP;
- An appropriate and understandable grievance redress procedure for minority communities, established by reference to common local judicial recourse and dispute settlement mechanisms;
- An appropriate EMDP implementation M&E and reporting mechanism, including arrangements made for free, prior and informed consultation with affected minority communities

The EMDP should be prepared in accordance with the applicable state and provincial laws and regulations, and the Bank policy on indigenous peoples (OP4.10 and BP4.10). For the policy framework. See Table 2.

Both PRC and Bank policies have the same goal in respect of ethnic minorities, namely fully respecting their dignity, power, economy and culture, promoting their equality and development, and paying special attention in their economic, social and cultural development to protect their rights and interests, and improve their social and economic status.

Both PRC and Bank policies lay stress on the public participation of minority communities, and the action plan across all stages, the provision of all relevant information in a culturally appropriate manner, and the collection of comments, attitudes and expectations of minority residents to win their extensive support.

Both PRC and Bank policies emphasize that a series of measures be taken to ensure that affected minority residents receive social and economic benefits suited to their cultural customs, and measures be taken to avoid, minimize or compensate for negative impacts on minority residents.

4. EMDP Approval

In order to determine if the Project is eligible for Bank funding, the PMO should submit an EMDP that complies with the Bank's social safeguard policies to the Bank for review two months

before implementation. The Project will be implemented until the EMDP is approved, and the approved EMDP should be disclosed on local newspapers and government websites.

C. Implementation Process

The EMDP should propose a specific implementation schedule for all required activities, appoint agencies responsible, and fix funding sources. At the implementation stage, the PMO will be responsible for the implementation of the EMDP, and take appropriate measures to enhance the Project's positive benefits and mitigate its negative impacts.

Funds needed for the implementation of the EMDP will be from the budget, government finance, special funds of competent authorities and publicly raised funds.

D. Public Participation and Information Disclosure

The EMDP must describe the measures taken or to be taken, enable affected minority residents to participate in the proposed project activities, conduct free, prior and informed consultation with affected minority communities, provide all relevant information in a culturally appropriate manner, and determine if affected minority communities can provide extensive support to the Project based on SA, and free, prior and informed consultation.

At the draft and final EMDP preparation stages, the PMO should also disclose the EMDP to the APs and the public at certain places and in certain languages. The draft EMDP should be disclosed at least one month before Bank review, and the final EMDP must be disclosed after the Bank approval.

During public participation and EMDP disclosure, opinions of the APs were collected for this EMDF, which was also disclosed in the project area.

Appendix 1 Screening of Minority Population Affected by the Project

Project district / county	Subproject	Township	Village / community	Minority population	Gross population	Hui	Salar	Dongxiang	Bao'an	Tibetan	Mongolian	Other	Minority population / gross population		
Qin'an County	Dadiwan Site	Wuying Town	Shaodian Village	0	1847	0	0	0	0	0	0	0	0		
		Longcheng Town	Wohuang Village	0	1624	0	0	0	0	0	0	0	0	0	
			Fengwei Village	0	2447	0	0	0	0	0	0	0	0	0	0
			Lueyang Village	0	1636	0	0	0	0	0	0	0	0	0	0
Lintao County	Majiayao Culture Exhibition Center	Taoyang Town	Majiayao Village	0	1585	0	0	0	0	0	0	0	0		
			Hekou Village	0	2264	0	0	0	0	0	0	0	0	0	
			Qijiatan Village	0	1521	0	0	0	0	0	0	0	0	0	0
			Yangjiadian Village	0	1504	0	0	0	0	0	0	0	0	0	0
			Cheliujia Village	0	1810	0	0	0	0	0	0	0	0	0	0
			Lifanjia Village	0	1760	0	0	0	0	0	0	0	0	0	0
			Yanwujia Village	0	1715	0	0	0	0	0	0	0	0	0	0
			Wangjiazui Village	0	1946	0	0	0	0	0	0	0	0	0	0
			Zhangye City	Cultural Heritage Protection, Inheritance and Development	Xiguan town	Donghu Community	137	7840	30	0	9	0	70	13	15
Xilaisi Community	57	12010				50	0	0	7	0	0	0	0.475%		
Jiantan Town	Gucheng Village	0			1753	0	0	0	0	0	0	0	0	0	
Dunhuang City	Xuanquanzhi Site Protection and Demonstration	Mogao Town	Xindun Village	5	1894	0	0	0	0	5	0	0	0.26%		
Jiuquan City	Jiuquan Silk Road Research Center and Library		Feitian Road Community	319	24700	257	0	0	0	27	0	35	1.29%		
Tianshui City	Lacquer Ware Skills Inheritance and Development	Ganquan Town	Xizhi Village	0	1902	0	0	0	0	0	0	0	0		
Tongwei County	Hanmo Culture and Art Center	Pingxiang Town	Songbao Village	0	1636	0	0	0	0	0	0	0	0		
Wushan County	Mandarin Duck Jade Origin Town in Shandan Town	Shandan town	Shandan, Chechuanand Hedian Villages	13	5023	13	0	0	0	0	0	0	0.25%		
Total				531	78417	350	0	9	0	109	13	50	0.67%		