

Appendix 1

Environmental and Social Screening Checklist

This checklist is used by executing agency to review the potential environmental and social safeguard impacts of subprojects and determine whether the subprojects will trigger relevant safeguard policies of World Bank. It is a tool to screen, classify and evaluate the project activities during project preparation. This checklist shall be used in conjunction with Appendix 5, “Project Exclusion List”.

Name of subproject	
Location of subproject	
Owner of subproject	
Type and department of subproject	
Investment estimation	
Start and completion dates	

Part one: Environmental Screening Checklist

Table 1 Environmental Screening Checklist

Issues	Answer			If yes, it will trigger safeguard policies of World Bank	If yes, relevant documents shall be provided
	Yes	No	Remarks		
Will the subproject cause significant negative environmental impact? Are these impacts sensitive, diverse or unprecedented? Please provide a brief description:				OP 4.01 Environmental assessment of Category A	Excluded from the project scope.
Is the impact beyond the project area? Is the impact of project implementation beyond the scope of planning? Are these major negative environmental impacts irreversible? Please provide a brief description:				OP 4.01 Environmental assessment of Category A	Excluded from the project scope.

Does the proposed project have little or no negative environmental impact? Please provide a brief description:				OP 4.01 Environmental assessment of Category C	No review required.
According to the above definition, the project is neither Category A nor Category C? Please provide a brief description:				OP 4.01 Environmental assessment of Category B	Limited environmental and social impact assessment or environmental and social management plan.
Will the subproject have serious negative social impact? Are these impacts sensitive, diverse or unprecedented? Please provide a brief description:				OP 4.01 Environmental assessment of Category A	Excluded from the project scope.
Will the project endanger material and cultural resources (cultural relics protection units above the county level)? Please provide a brief description:				OP 4.11 Physical cultural resources	Excluded from the project scope.
Will the project endanger cultural resources that are meaningful to the local community or town (such as the temple of the god of earth in the village)? Please provide a brief description				OP 4.11 Physical cultural resources	If yes, the site selection shall be compared and the opinions of relevant affected persons shall be solicited in advance.
Does the project involve changes or degradation of non-critical natural habitats? Please provide a brief description:				OP 4.04 Natural habitats	Environmental and social management plan
Does the project involve significant changes or degradation of critical natural habitats?				OP 4.04 Natural habitats	Excluded from the project scope.
Will a new dam be built or an existing or under construction dam be reconstructed in the subproject?				OP 4.37 Dam safety	Excluded from the project scope.
Does the project make the quality of surrounding surface water worse?				OP 4.04 Natural habitats	Strict water environment protection measures to reduce the impact on water environment

Does the project get pesticides (directly through the project, indirectly through loans, co-financing, or government counterpart funding), or may there be ways to influence pest management programs, even if the project has never been envisaged to buy pesticides?				OP4.09 Pest management	Elaborated in the framework of environmental and social impact management (pest management plan)
Does the subproject involve involuntary land acquisition, property loss or loss of sources of income and livelihood? Please provide a brief description:				OP 4.12 Involuntary resettlement	Resettlement framework
Are there ethnic minority communities in the subproject area, and will the proposed subproject bring them positive or negative impacts? Please provide a brief description:				OP 4.10 Indigenous people	Ethnic development plan
Will the project have an impact on forests or forest dependent groups? Will it affect their interaction or dependence on forests? Or is the project designed to bring change to the management or conservation of natural or planted forests? Please provide a brief description:				OP4.36 Forest	Excluded from the project scope.
Will the project have a significant impact on or cause significant changes and degradation to key natural forest areas or other natural habitats?				OP4.36 Forest	Excluded from the project scope.

Conclusions and safeguards measures required

According to OP4.01 of World Bank, the subprojects are classified into Category and the following environment safeguard guarantee measures are required:

1. _____
2. _____
3. _____

4. _____

Note: Category C project does not need environmental management plan, and does not need to take environmental protection measures to mitigate the impact.

Environmental management plan shall be prepared for Category B.

Category A needs to prepare environmental impact report and environmental management plan separately, which will be excluded from the scope of this project.

Instruction for filling the environmental screening checklist

See the above table for details of the environmental and social screening checklist for subprojects. This checklist is applicable to all subproject. During the subproject review process, the following contents shall be determined according to the nature of the subproject:

1. Potential environmental and social impacts of subprojects;
2. Environmental categories of subprojects based on environmental and social impacts;
3. During preparation of subprojects, the specific action plan of subprojects must be prepared before being approved.

According to the screening results in the above table, it is determined which of the three categories A, B and C the subprojects belong to. There are three kinds of processing procedures respectively.

1. Category C projects do not need environmental management plan, and do not need to take environmental protection measures to mitigate the impact.
2. Environmental management plan and general pest management plan shall be prepared for Category B projects. If the subproject involves land acquisition and resettlement, relevant documents shall be prepared according to the resettlement policy framework.
3. Category A subproject shall be excluded from the project.

Category A subprojects have potential significant negative environmental and social impacts, which are:

- (1) Sensitive (for example, potential impacts are sensitive and may not be reversible. Such as the loss of a major natural habitat, or trigger World Bank safeguard policies, such as OP 4.04 natural habitats, OP 4.36 forest, OP 4.10 indigenous peoples, OP 4.11 physical cultural resources, OP 4.12 involuntary resettlement, etc., or when a project needs to manufacture, use, or deal with a large number of pesticide products that have an impact on the environment (OP 4.04).
- (2) The impacts are diversify or unprecedented.

(3) Impacts beyond the project area (e.g., a dam, which may affect downstream communities or road construction, and may affect nearby forests and natural habitats).

Review example for Category A projects.

When the impacts of subproject on natural habitat will be classified as Category A?

If the review shows that the project has the possibility of significant change or deterioration of key or other natural habitats, it is classified as Category A. Major changes are mainly caused by long-term land use or water use, resulting in complete disappearance or severe reduction of key or other natural habitats. Major changes may include loss of land; replacement of natural vegetation; permanent flooding; drainage, dredging, filling, channelization of wetlands or open-pit mining. Changes can be caused directly by project activities or through indirect mechanisms (e.g., triggering migration along the road). Deterioration is a significant change to a critical or other natural habitat that significantly reduces the ability of the natural habitat to sustain the survival of the local population.

When the impacts of subproject on forest will be classified as Category A?

If the project has potential for significant change or deterioration of natural forest, it is classified as Category A. Natural forest refers to forest land and related rivers. The biological population of its ecosystem is mainly formed by native plant and animal species. Human activities have basically not changed the main ecological functions of the area.

When the impacts of subproject on the physical cultural resources and the project will be classified as Category A?

Physical cultural resources, as defined in OP 4.11, are movable or immovable objects, such as places, structures, organizational structures, natural features and landforms, with archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. Projects that may have a significant adverse impact on physical cultural resources can be classified as Category A.

How are subprojects that involve pest management policies classified as Category A?

Projects involving the production, use, or disposal of large quantities of pesticide products are classified as Category A. Its environmental impact should also take into account the impact on human health and interests.

When is it possible for a subproject involving involuntary resettlement to be classified as Category A?

The World Bank does not provide specific classification criteria related to involuntary resettlement in OP4.12. In general, projects with significant resettlement related impacts should be classified as Category A. In terms of potential significant resettlement impact, as different projects have different scope and scale, necessary judgment methods should be used. The project requires that in ecological or commercial resettlement, any project that results in the loss of more than 10% of the effective output land area of an individual is generally classified as Category a. Scale is also a factor, although sometimes the impact is relatively small. When the project affects the whole community or the vast majority of people (for example, more than 1000 people in total), the implementation capacity may be weakened and it will be classified as Category A according to the classification criteria.

When is it possible for a subproject involving indigenous peoples to be classified as Category A?

The World Bank does not provide classification criteria related to indigenous peoples. Although this policy is often used in the World Bank's team meetings on the definition of indigenous peoples in the project area, the classification criteria specifically reflect the potential negative impacts on indigenous communities. The project requires indigenous people to move, which limits their use of traditional land or resources, or will change the traditional system of indigenous people, which is usually classified as Category A.

Category B projects refer to those subprojects with regional characteristics and certain potential negative environmental and social impacts. Only a small amount of impacts is irreversible.

Category C subprojects refer to those subprojects with little or no negative

environmental and social impact.

Part Two: Social screening checklist

Table 2 Social screening checklist

Issues	Answer			If yes, it will trigger World Bank safeguard policy.	If yes, relevant documents shall be provided
	Yes	No	Remarks		
1. Immigration and land acquisition					
Does the subproject require land acquisition for development (public or private, temporary or permanent)?				OP 4.12 Involuntary resettlement	Resettlement action plan
Does the subproject cause house demolition (including operating and non-operating ones) due to development?				OP 4.12 Involuntary resettlement	Resettlement action plan
Are people prohibited from using their daily economic resources (such as fishing sites, economic forests, planting land)?				OP 4.12 Involuntary resettlement	Resettlement action plan
Does the subproject result in involuntary resettlement of individuals or families?				OP 4.12 Involuntary resettlement	Resettlement action plan
Does the subproject result in temporary or permanent loss of crops, fruit trees and facilities?				OP 4.12 Involuntary resettlement	Resettlement action plan
2. Minorities					
Whether the subproject has affected ethnic minority communities and population				OP 4.10 Indigenous People	
3. Employees					
Does the subproject cause unemployment?					Reemployment plan
Does the subproject result in employee transfer?					Job transfer training
Whether the subproject causes the decrease of employee's income					

Conclusions and Safeguard Measures Required:

According to OP 4.10 and OP 4.12 of World Bank, the following social safeguard documents shall be prepared for the subproject:

1. _____
2. _____
3. _____

Note:

A) if the subproject involves more than 200 people who need to be relocated, a resettlement action plan shall be prepared;

B) if the subproject involves relocation of less than 200 people, a brief resettlement action plan shall be prepared;

C) if significant social impact is expected or there are affected ethnic minority communities in the subproject area, a social evaluation is required.