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For Project of Sustainable Management and Biodiversity Conservation of Lake Aibi Basin (SMBC)

Ethnic Minority Development Plan and Process Framework

SMBC Executive Office of Xinjiang Uygur Autonomous Region
SMBC Executive Office of Boertala Mongolian Autonomous Prefecture
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Consultant: Li Ze
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Introduction
Article 4 in the Constitution of the People’s Republic of China (adopted on December 4, 1982) states, “The state helps the areas inhabited by minority nationalities to speed up their economic and cultural development in accordance with the peculiarities and needs of the different minority nationalities.” And Article 122 states, “The state gives financial, material and technical assistance to the minority nationalities to accelerate their economic and cultural development.” Ethnic Minority Development Plan (EMDP) is formulated based on national and local laws, regulations, policies, World Bank operational principles, and detailed surveys on livelihoods of local residents. The compilation of the document is to protect the biodiversity, in the course of developing a comprehensive action plan of sustainable development for the ethnic minority families, especially for poor families, in the zones affected by the project, based on the principle of free, prior and informed consultations, and to ensure that they can benefit from the project or from the implementation of the project, so that their production and living standards can be improved, and their capacity of sustainable development can be enhanced.

This report, the Ethnic Minority Development Plan, is written for the program “Conservation and Restoration of Biodiversity in Lake Aibi National Wetland Natural Reserve”, a sub-project in the Project for Sustainable Management and Biodiversity Conservation of Lake Aibi Basin (SMBC) in Xinjiang Uygur Autonomous Region, China. In the following text, the "Project for Sustainable Management and Biodiversity Conservation of Lake Aibi Basin" will be referred to SMBC, "Conservation and Restoration of Biodiversity in Lake Aibi National Wetland Natural Reserve" will be referred to CRB.
1. Project Overview

1.1 SMBC Profile
Taking biodiversity conservation of the Aibi wetlands and their surrounding areas as an engine, SMBC objectives are to protect and restore the ecological environment in Bozhou, and even Xinjiang Autonomous region, to protect the local biodiversity, and to promote the coordination and mutual support between eco-protection and socio-economic development within the local, Xinjiang and greater geographical regions. The entire project can be decomposed into four parts.

1. 1. 1 Optimize the Allocation of Water Resource
1) Investigation & Evaluation on Water Resource of Project Area
   The water consumption structure of different water uses can be discovered according with the field surveys on industrial & domestic water of Lake Aibi watershed. Making use of years of hydrometries, meteorological observations, groundwater observation data, water resource evaluation documents done before and field survey, the surface water resource, groundwater resource, total water resource and water quality of Lake Aibi watershed can be estimated, and Bozhou water-saving potential of agricultural area and water-saving irrigation demonstration plots and the water-saving potential of different water-use types can be evaluated.
2 ) Demonstration on Water Consumption Monitoring Analysis of Multi-types Irrigation Mode
   Water-saving irrigation demonstration project will be implemented in 6030 mu of water-saving irrigation within three counties. After implementation of the project, the current conventional irrigation will be changed into the drip irrigation.
3) Exploitation of Dynamic Observation System for Water Consumption Structure
   Based on the principles of practicability, universality, openness, advancement, property to be used easily, standardization, security and sharing and requirement analysis, the dynamic observation & analysis system on the water consumption structure of Lake Aibi watershed can be established.

1. 1. 2 Sustainable land management
1）The Protection on Natural Forest Resource in Water-head Site
   The mountain forest resources in Bortala Project Area are managed by Santai Forest Centre, Jinghe Forest Centre, Haritrege Forest Centre and Haesha Forrest Centre. In the implementation period of the project, each management & protection organization should confirm management & protection responsibility according to the activity frequency of people and livestock, the availability of transportation and communication, and difficulties of management & protection. During the implementation period of the project, the management & protection area of mountain forest conserving water resources is determined to be 900,000 Mu/Year,
2）Natural Forest Protection Cultivation Demonstration
   The demonstration area of forest cultivation management in the project duration is 52,600 Mu, respectively selected in 4 demonstration points, namely: Santai Forestry Centre Mountain Natural Forest with the type of mountain land (12738Mu), Hot-spring County valley secondary forest with the type of bottom land forest (16361 Mu), Bole Gobi secondary forest with the type of wilderness (11024 Mu) and Jinghe County Huashan desert secondary forest with the type of desert (12600 Mu).
3）Forest Resource Monitoring
Protection cultivation management observation: observing the conservation of water and soil, water source conservation, vegetation cover, and change in biodiversity in closed cultivation area, analyzing the effect of forest cultivation based on the collected observation data, realizing the effects of forest cultivation demonstration.

4) Demonstration of Sustainable Production Management on Typical Natural Desert Grassland

Based on the desert grasslands with high biodiversity value, 30,000 Mu demonstration areas is selected: 10,000 Mu of which is used for rotational grazing; 10,000 Mu as the effective grazing demonstration; and the left 10,000 Mu is enclosed to forbid grazing.

Artificial desert rangeland construction demonstration: Constructing 8500 Mu alternative forage grass base which uses artificial clove and/or ryegrass for grazing in the places nearby the desert with high biodiversity value.

1. 1. 3 Management and Rehabilitation of Biodiversity Protection in Lake Aibi National Wetland Natural Reserve

1) Management and Protection on Desert Forest Resource

2,100,000 Mu desert forests whose main species are diversiform-leaved poplar, halxylon ammondendron and Chinese tamarisk are distributed in the project area. The project will reinforce the publicity and education of forest laws, regulations, and forest protection policies, prevent deforestation to farm, illegally occupy forest land, denudation, preventing illegal hunting and illegal collection of wild plants.

2) Biodiversity Protection Observation and Typical Species Protection Analysis

Carrying out the protection analysis of rare endangered plants & animals including red deer and Lake Aibi birch in Lake Aibi Wetland National Natural Reserve and the protection analysis of the ranodon sibiricus kessler in Ranodon Sibiricus Kessler Natural Reserve.

3) Biodiversity Protection Management

Expanding and deepening the public participation in scope and in content through administrative actions, including popular science education, on-site and off-site training, posters, promotional graphics, media publicity; and so on. Through implementation of the institution construction and action plan to the specific objects and events, actions of biodiversity protection management in all protected areas would be steadily improved and administrative effectiveness enhanced.

1. 1. 4 Technical support and project management

1) Ability Building

The ability building of project management mainly includes:

a) Management Training
b) Technical Training

2) Project Management

According to the requirement of project action, establish two-stage management agencies at autonomous region level and autonomous prefecture level respectively.

Conducting real-time estimation and evaluation on the action progress, plan implementation effectiveness and influence through building & implementing Observation & Estimation System. The Observation & Estimation System includes: (a) Project progress observation; (b) Purchase and financial management monitoring based on the contract; (c) Environmental and social safeguard monitoring; and (d) Monitoring of project activity effect based on the project target framework.
1.2 CRB Area Profiles - Lake Aibi National Wetland Nature Reserve

This report 'Ethnic Minority Development Plan' is written for the program 'Conservation and Restoration of Biodiversity in Lake Aibi National Wetland Natural Reserve (CRB)', a sub-project in the Project for Sustainable Management and Biodiversity Conservation of Lake Aibi Basin (SMBC) in Xinjiang Uygur Autonomous Region, China. The CRB project area is limited to the Lake Aibi National Wetland Nature Reserve (hereinafter referred to as Protected Area). The Protected Area is located in Boertala Mongolian Autonomous Prefecture of Xinjiang Autonomous Region, the northwest edge of China. Along the China - Kazakhstan border, it is the hub of the western border. The range of the Protected Area includes Aibi waters within the Bozhou administrative area, desert around Lake Aibi, and wet and dry lake bottom. Its northeast and east parts reach the border between Jinghe County of Bozhou and Toli County and Wusu City of Tacheng Prefecture. Its southwest part extends to the planning area of northern railway green corridor. The geographical location ranges from E82° 36' to E83° 50' and N44° 37' to N45° 15'. The total area of 267085hm² accounts for 10% of Bozhou.

The low-lying Protected Area is the lowest in the western Junggar depression and catchment basin. Surrounded by mountains, only the northeast of Aibi protected area connects to Guertongban desert. Its lakefront is made of the piedmont deluvial, alluvial, and lacustrine plain, widely distributed rock desert, gravel desert, desert, muddy desert, salt desert, marsh, and mudflat. Lake Aibi in the central and western part of the protected areas with elevation of 189 meters. The protected area is one of the few desert species concentrated area in inland deserts, and a key area of the north Xinjiang and Junggar Basin as an indicator of ecological environmental changes. Therefore, its ecological and geographical location is extremely important. It is typical of natural ecosystems with high conservation value in China inland desert.

The protected area is rich in wetland resource. Under the background of arid desert, there are different intrazonality biotypes such as rivers, lakes, forests, and meadows, which provides good living conditions for all fauna and flora. The protected area is also rich in animal resources, currently identified 167 species of various vertebrates, including amphibians: 1 order, 2 families, 4 species; reptiles: 2 orders, 6 families, 7 genus, and 10 species; mammals: 6 orders, 2 families, and 32 species; birds: 28 families, 111 species; fish: 2 families, 10 species; zooplankton: 7 phylum, 57 species (among these zooplanktons, the Aibi Artemia population is the largest). Among these wildlives, there are 6 species of state I-class protected animals, and 19 species of II-class protected animals. There are 385 kinds of seed plants in the protected area, mainly Populus, Haloxyon, Haloxyon persicum, willow, Su wolfberry, camel thorn, Apocynum, and salt wood. Among these seed plants, 10 species are the state II-Class protected. There is another extremely rare endemic plant in the protected area - small leaflet Aibi birch.


1.3 Policies about forest protection and nature reserves in China and Xinjiang
In order to strengthen the construction and management of nature reserves, protect the natural environment and resources, the State Council in 1994 adopted the "Regulation on Nature Reserves", In Article 25: such activities as logging, grazing, hunting, fishing, gathering medicinal herbs, cultivation, burning, mining, quarrying, dredging etc., shall be prohibited unless it is otherwise provided by relevant laws and regulations in nature reserves. And Article 32 states: “No production installations shall be built in the core area and buffer zone of natural reserves.”

Prior to the adoption of "Regulations" in 1984, the Sixth National People's Congress adopted the "Forest Law of PRC", and amended it in 1998 to protect, nurture, and rationally use forest resources. In Article 23 of "Forest Law", it is forbidden to disafforest for purposes of reclaiming land, quarrying stone and digging sand or earth as well as other purposes. Precious trees outside nature reserves and the plant resources with special value in forest areas should be carefully protected (Article 24). In 2000 the State Council adopted the "Implementation Regulations of Forest Law of the People's Republic". Article 21 of the regulation states: It is forbidden to disafforest for purposes of reclaiming land, gathering seeds, and mishandly resin tapping, digging bamboo shoots, dig roots, stripping trees skin and excessive pruning. These laws and regulations would result in some restrictions to local people livelihoods.

In order to better implement above laws and regulations, while reducing their impacts on livelihoods of local residents, the Eighth People's Congress Standing Committee of Xinjiang Uygur Autonomous Region adopted "Regulation on Nature Reserves in Xinjiang Uygur Autonomous Region (RNRX)" in twenty-fifth meeting on January 22, 1997. In addition to stating: "Any government or individual in Xinjiang Uygur Autonomous Region who sets up, manages nature reserves, and does with the activities relevant to nature reserves shall comply with "Regulation on Nature Reserves" and RNRX (Article 3), RNRX states: "Planning and management of nature reserves should give attention to local economic development and residents’ needs of production and living " (Article 15), and "Local governments and residents in nature reserves should comply with the relevant provisions of nature reserves and do with productions, business activities in accordance with those provisions. Those governments and individuals can contract the services and management tasks organized by nature reserves to increase economic incomes" (Article 16).

1.4 Relevant World Bank policies
The policy of involuntary resettlement of World Bank covers direct economic and social impacts that both result from Bank-assisted investment projects, and are caused by
(a) the involuntary taking of land resulting in
   (i) relocation or loss of shelter;
   (ii) lost of assets or access to assets; or
   (iii) loss of income sources or means of livelihood, whether or not the affected persons must move to another location (OP 4.12, para.3);
A process framework is prepared when Bank-supported projects may cause restrictions in access to natural resources in legally designated parks and protected areas. The purpose of the process framework is to establish a process by which members of potentially affected communities participate in design of project components, determination of measures necessary to achieve resettlement policy objectives, and implementation and monitoring of relevant project activities (OP 4.12, Annex A - Involuntary Resettlement Instruments)

2 Identifying restrictions of access to natural resources in CRB affected area

According to the survey on the Kekebasitao settlement carried out by the World Bank Working Group during November 25-26, 2008, a social and economic investigation organized by the GEF Project Office during May 4-16, 2009, the field survey conducted by EMDP Investigation Team during March 28 –April 6, survey undertaken by the CRB pre-assessment mission during July 27 – August 6, 2010 (P110661), Kekebasitao has been identified as the only settlement within the CRB affected area, located at the northwest of the protected area, and the southeast corner of the protected area is the seasonal pasture of the part of the livestock from adjacent Guertu Town of Wusu City. The construction of the protected area has caused some restrictions of access to the natural resources on the local residents of those two places.

2.1 Kekebasitao

1) Profile

Kekebasitao settlement is located at the northern bank of Lake Aibi, a mixture of the experimental and the buffer zones of the protected area. There are 51 households with 40 houses and 216 people. The settlement is in a diversifolious poplar forest of 2 square kilometers. Among them, 32 households live on livestock; their pastures are distributed along lakeside wetlands, about 31 kilometers long and 5 km wide. The remaining 18 households live on working elsewhere and collecting animal and plant resources of Lake Aibi.

There is only one easy access for forest leading to the nearest Port Alashankou. Although the straight-line distance is 35 km, even a good off-road vehicle needs nearly 80 minutes to ride. Far from the cities or towns, there is no electricity. Lantern and solar energy are their main lighting, and dry wood and cow dung are collected for fuel. As the living environment is very poor, child-education and medical care are extremely inconvenient. 1,500 Yuan per capita net income is much lower than that in Tuoli County and other counties, residents are in red poverty.

Vegetation around Kekebasitao is desert shrub, with hot summer, flooding spring, so the grazing period is under severe restrictions. Previously, it was only used for winter and autumn grazing. Only two artesian wells and a well dug in 1998 are used as water sources for the settlement residents and livestocks. For a long time, the settlement expansion has been slow because poor water and grassland resource restrict livestock scale.

According to relevant documents and surveys, in the 60's of last century, the place is mainly used as the autumn and winter pasture for Kukehada village of Kupu
township in Toli County. Few herders settled here. In the early eighties of the last century when the land contract, some of the residents had returned to Toli County and were distributed their contract livestock and pastures, but the pasture here was not distributed for contraction until the early nineties when the second land contract, the livestock and pasture around the settlement were given to the settled population. After that, some population returned here. In 1998, there were 13 households. Since then, new people have moved in every year from Tuoli County, but the population has increased slowly. In 2009, there were only 51 households.

2) Restrictions: In addition to grazing, these new residents migrated here largely due to Cistanche with relatively high economic value found in the area. Dayun, scientific name Cistanche, often grows up on the roots of Haloxylon, Tamarix, sibirica, Artemisia Calligonum and other plants in the desert. It is a kind of perennial herbs in a parasitic manner, depending on nutrient and water from parasitifers. Known as "desert ginseng" due to its functions of "improving health", Cistanche is a source of income for Kekebasitao residents. The host plants such as Haloxylon, Tamarix, sibirica, Artemisia Calligonum and other plants are easy to be damaged in the course of Cistanche gathering, resulting in the large area death of host plants. Forestry sector of Xinjiang set the strict prohibition on such gathering in Xinjiang area. Article 24 in "Forest Law" of PRC states: "Earnest protection should be extended to precious trees outside of the natural protection areas and the plant resources with special value inside the forest districts; without the approval of the competent forestry authorities at the provincial, autonomous region or directly-administered municipality, no cutting and collecting shall take place."

Local Haloxylon persicum is a kind of national key protected species, even prior to the establishment of protected areas in 2002, such activities are not allowed. In 2004 Cistanche collection is more strictly prohibited, so that the income of these people has decreased. Some villagers turned to commercial and set up small shops in the settlement. Some have worked elsewhere, such as Alashankou, Bozhou. Some might go back to Toli County, because most of those people have their own contracted pasture and forage land there.

Lake Aibi is salty one and no any fishes are discovered currently. In 1999, a professor from Shihezhi University found that Artemia in Lake Aibi could be used to feed sea fishes and have the economic value for increasing household incomes. The environment in Xinjiang region is not available to develop marine products and the Artemia must be frozen above -3 degree immediately in hot summer seasons to be transferred to eastern coastal area in China for marine feed. The investment to freezers is much high and could only be used for one month a year during the Artemia capturing season in summers. From Artemia capturing, collection, frozen to the transportation, sale, a production chain is formed to link production and market, the capital, technics, and management of the chain are not available in inland Xinjiang, so, constrained local communities and business men to invest the project. Therefore, business men from eastern coast win the biddings every year. The seasonal migrant workers could reach hundreds, including those Kazak herders migrated from Tachen Prefecture. Some unexpected issues were happened; the business men had no longer to hire the herders. From the economic interests, the enterprises intend to obtain more
profit during the limited capturing season; they want hired workers to concentrate on their work. But the local people often can not, they are more homely, such conflicts could affect the company’s intentions to hire locals.

Overall, the northern part of Lake Aibi shows desert shrub landscape, carrying capacity is very low. However, Kekebasitao is located at the proluvial fan front of Laba River, where high groundwater level, combined with mountain melt snow in spring and summer, forms the pasture distributed along lakeside wetlands, about 31 kilometers long and 5 km wide. Because of hot summer and flooding spring, the grazing period is under severe restrictions. Previously, it was only used for winter and autumn grazing. Seasonal growth of fodder grass determines that herdsmen have to harvest it in the period of July to August each year to fight fodder shortage in winter for livestocks. Forage site is located in the east of 5-6 kilometers away from the settlement. In order to protect the vegetation around Lake Aibi, forage harvest has been prohibited since the establishment of the Protected Area in 2006 because the forage site is located in or near the core area. In addition, local residents are prohibited from building houses, changing pens, digging wells, which causes considerable impacts on livestock size, breeding, especially water use according to "Regulation on Nature Reserves".

2.2 Livestock Team of Guertu Town

1) Profile: The southeast corner of Aibi Natural Reserve is covered with bush with a small area of open forest. There is no settlement in the region. The adjacent is the livestock team 3, 4, 5 of Guertu Township of Wusu City, with 116 households. Among them, 98 households are Kazak, and 18 Mongolian.

2) Restriction: Each year from April to May and from September to November, herds in livestock team 3, 4, 5 go through Aqikesu River and Huashulin (birch forest) Protection Station. In the past several years, Protected Area restricted grazing in the region due to the discovery of the endemic species Aibi Birch (currently only 370 strains). Currently, the Protected Area only sets enclosure around the Aibi birch community, but there are still some cows and horses occasionally biting the leaves.

2.3 Restrictions after the start of CRB

The above restrictions had existed before the start of CRB, and will extend to the whole course of the construction and management of The Protected Area. After 2008, with the herdsmen settle-down project in Xinjiang developing in depth, less and less livestock needs to transit pastures in spring and autumn. Because livestock mortality and disability rate is very high in the transition, about 30%, more nomad herders choose modern transportation to transport livestock. Analysis from the surveys on nomads shows that their dependence on natural resources in the protected area is reduced year by year. One of the objectives of the Bank's involuntary resettlement policy is to make local residents benefit from the World Bank-supported projects. Since the inception of this project (2008), the administrative organization of the Protected Area has gradually understood the World Bank's involuntary resettlement policy. It did some coordination and would like to see the participation of local
residents and discuss ways improving their living level, so that they benefit from the implementation of the project. For example, the Protected Area currently only sets the enclosure around Lake Aibi birch community. It plans to hire local herdsmen working as rangers and doing other services, which is in line with RNRX and the World Bank’s involuntary resettlement policy.

2.4 brief summary
1) Kekebasitao settlement is the only permanent settlement within the protected area. There are 50 households with 40 houses, 11 households renting houses seasonally. Vegetation around Kekebasitao is desert shrub, with hot summer, flooding spring, so the grazing period is under severe restrictions. Previously, it was only used for winter and autumn grazing. As the living environment is very poor, child-education and medical care are extremely inconvenient. 1,500 Yuan per capita net income is much lower than that in Tuoli County and other counties. For a long time, the settlement expansion has been slow because poor water and grassland resource restrict livestock and population scale. Some villagers have turned to commercial and set up small shops in the settlement. Some have worked elsewhere, such as Alashankou, Bozhou. Still might some go back to Toli County, because most of those people have their own contracted pasture and forage land there.
2) Adjacent to the southeast corner of Lake Aibi Natural Reserve is the livestock team 3, 4, 5 of Guertu Township of Wusu City, with 116 households. Among them, 98 households are Kazak, and 18 Mongolian. Each year from April to May and from September to November, part of herds from livestock team 3, 4, 5 go through Aqikesu River and Huashulin (birch forest) Protection Station.
3) The issue and implementation of Forest Law and Regulation on Nature Reserves and the establishment of protected areas in 2006 have produced some negative effects on the local residents, such as restrictions on haying, grazing, and housing. However, these effects have existed already prior to the start of World Bank project. After the launch of the World Bank project (2008), there is no new restriction of access to natural resource. Having discussed with the administrative of the protected area and inspected management planning of the protected area, the investigators have not found the instruction of new restrictions from Protected Area.
4) With the acceleration of pastoral settlement projects, as well as the enhancement of awareness of Protected Area and local residents, the consultation mechanism between two sides has gradually established, and these restrictions have a weakened trend.

3. Residents’ livelihood in CRB affected area
3.1 household livelihood surveys
Residents’ livelihood is one of the important foundations in making EMDP. Firstly, the livelihood status quo can provide a benchmark. Secondly, any action must conform to local livelihoods.

3.1.1 Ways of Survey
On the basis of free, prior and informed consultations, survey methods can be divided into two types: comprehensive survey and non-comprehensive survey. Comprehensive survey means census. Non-comprehensive survey includes major survey, typical survey, and sampling survey.
A comprehensive survey has been undertaken to Kekebasitao settlement. Every household has been visited in-depth, and detailed livelihoods have been recorded (including households moving out). Sampling survey was undertaken in the survey of 3,4,5-affected pastoral team, Kuertu town, Wusu city. In the survey, we discussed with the representatives to understand different types of affected people (such as vulnerable groups, etc.) on the project's observations and recommendations in-depth; Meanwhile, the investigation team also collected statistical information and visited some of the cadres and masses, and further confirmed the overall situation of geography, history, economic and cultural traditions, religion and other aspects in the affected areas. Survey in general starts from the communication with county (city) governments, and then the county (city) governments inform and mobilize the various departments, township (town) to closely cooperate with surveys. Survey methods and strategies should be noted. Cooperation with counties (cities) and townships (towns), villages and group cadres in the survey ensure the quality, quantity, and timely completion of investigations.

3.1.2 Survey Methods

Information obtained through different survey methods is of very different characteristics and functions. In order to fully understand the social economic conditions of the affected areas, different survey methods to collect information are employed in the project.

Questionnaire
The main purpose of the questionnaire survey hopes to understand socio-economic situation of the local people and their assessments and attitudes to the impacts caused by the project implementation through the detailed social investigation, so that the deeper sociology and anthropology analysis can be made to ensure that the project is conducive to supporting low-income, vulnerable groups.

The method used in the project is that the investigators fill in questionnaires based on the respondents’ answers to the questions. A total of 76 questionnaires have been completed through the method.

Interview
The investigators communicated with the affected people according to the designed outline, but the conversation was not limited to it. Both sides can discuss extensively and in depth the given subject, on relevant issues, events, phenomena, from past to now, from the reasons to the results, from the motivation to act, from the individual to others. It is an approach of free, prior and informed consultation. The investigators recorded the content of the conversations. 35 people have been interviewed in the survey.

Observation
Investigators can also obtain first-hand information through on-site direct observation (including writing, photography, photos, etc.). This method is used to approve data on geographical environment, crops, and buildings.

3.1.3 Investigation Agency
In order to ensure the success of socio-economic survey and quality of compiling the action plan, PMO commissioned a senior expert, Mr. Li Ze who is familiar with World Bank policies, over the plan of survey, research, and compilation, invited Xiao Ping, a professor of Three Gorges University and research scientist of Lab of Global
Land and Water Resource in the department of geography of McGill University, as
the chief editor. Tuerwenjiang, a Uygur research associate in Institute of Sociology of
Xinjiang Academy of Social Sciences is responsible for the field investigation,
research, and compilation as the executive leader. Kazak scientists Azhar Ma and Jia
Naer in Xinjiang Academy of Social Sciences participated in the fieldwork.
Meanwhile, the PMO and the local government also sent Kazak staffs to accomplish.

3.1.4 Survey implementation

On 28 March the investigation team went to Bozhou Prefecture. After
communicating with the leaders of the project office and the Protected Area, the
investigation team, accompanied by Chief of Falcon Buick of the State Forestry
Administration, drove to Kekebasitao settlement in the next day to conduct a 3-day
census. The investigators visited the sites of Cistanche digging, Artemia catching,
abandoned cultivated, and prohibited forage grassland. On April 1, the investigation
team went to Alashankou port to interview 5 households working here from
Kekebasitao settlement. On April 2, the investigation team arrived at Kupu Township
of Toli County and had a discussion with the local cardres, and then went to Toli
County to communicate with the county commissioners and leaders of related
departments and collected information. On April 3, the investigation team went to
Wusu City and had discussions with persons in charge of city and relevant
departments and Guertu town mayor, then, accompanied by them, went to the land
cultivated by 91 Regiment (here there is a deserted breeding station of Guertu Town),
a train station and stock team 4 to conduct an on-site investigation and exchange with
local residents. The next day the investigation team, led by Guertu town mayor,
conducted interviews and questionares with the representatives of stock team 3, 4, 5
in the town government building, and then divided into two groups, one group
continued interviews and questionares in stock team 3, another group went to
Huashulin (birch forest) Protected Station to investigate the pasture prohibited by
Protected Areas. On April 5, investigation team arrived in Jinghe County, and had a
formal discussion with leadership of Jinghe County, Protected Area, PMO, and the
relevant functional departments in the next day to understand their views and ideas.
After discussion, the team, accompanied by them, visited a herdsmen settlement, and
on April 6 evening went back to Urumqi.

Table 1 List of social-economic impact survey for CRB

<table>
<thead>
<tr>
<th>Time</th>
<th>Investigation Site</th>
<th>Investigation content</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.28</td>
<td>Bole City</td>
<td>Informal discussion with head of Bozhou PMO Li Wenhua, director of Protected Area Gao Xiang, deputy director of Protected Area Ainiwaer and others</td>
</tr>
<tr>
<td>Date</td>
<td>Location</td>
<td>Activities</td>
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<tr>
<td>3.29-4.1</td>
<td>Kekebasitao</td>
<td>Questionnaires 46 households, interview 15 households, on-site observation on wetlands, Haloxylon forest, lake, fishery stations, management and protection station, storage grassland, deserted water diversion channel, deserted cultivated land, the demolition of houses</td>
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<td>4.1</td>
<td>Alashankou</td>
<td>Questionnaires 5 households working in Alashankou from Kekebasitao, informal discussion with Alashankou Forestry Branch Secretary Ablimit and other 2</td>
</tr>
<tr>
<td>afternoon</td>
<td>Kupu township, Toli county</td>
<td>Discussion with Commissioner of Toli County Ma Yishan, Aisati member of standing committee of Toli County, Kupu Town mayor Kuwati, chiefs of civil affair, livestock bureau, forestry bureau and other sectors</td>
</tr>
<tr>
<td>4.2</td>
<td>Toli county</td>
<td>Discussion with vice commissioner of Toli County Baheti and Kupu Town Mayer Kuwati, chief of police bureau, office of poverty alleviation, livestock, forestry of the county</td>
</tr>
<tr>
<td>morning</td>
<td>Wusu City, Guertu Town</td>
<td>Discussion with Han member of standing committee of Wusu City, Guertu Town mayor Wumen, Guertu Town secretary Meng Fangang, chiefs of forestry, animal husbandry, Land and Resources bureau, and then to 91 regiment, stock team 4 of Guertu Town, fence built by Protected Areas for field observations</td>
</tr>
<tr>
<td>4.3</td>
<td>Guertu Town</td>
<td>Discussion with Guertu Town mayor Wumen, representatives of stock team 3, 4, 5 of Guertu Town, questionnaire 30 households, to Huashulin (birch forest) stations, grassland enclosure, cultivated land and pastures of stock team 3, for field observation</td>
</tr>
<tr>
<td>afternoon</td>
<td>Jinghe County</td>
<td>Discussion with Tuxinbateer member of standing committee of Jinghe County, Niezhiqiang chief of forestry bureau, Bolati chief of animal husbandry bureau</td>
</tr>
<tr>
<td>4.5</td>
<td></td>
<td>Discussion with Bateer member of standing committee, vice commissioner Wang Shun, Niezhiqiang chief of forestry bureau, Bolati chief of animal husbandry bureau, Gao Xiang chief of Protected Area, persons from land resources bureau and grasslands station, then visited a herdsman settlement</td>
</tr>
<tr>
<td>4.6</td>
<td>Jinghe County</td>
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</tbody>
</table>
3.2 Resident Livelihoods in CRB affected areas

3.2.1 Kekebasitao settlement

The Kekebasitao settlement is located within the protected area, but all household residents are registered in Kupu Town of Toli County. A comprehensive census has been undertaken to Kekebasitao settlement. Every household has been visited in-depth, and detailed livelihoods have been recorded (including households working elsewhere).

1) Basic situation of the investigated village group

The investigation team surveyed the current all 40 existing houses in Kekebasitao, and identified a total of 51 households and 216 people. 46 households and 198 people have been investigated. The average size of the surveyed households is 4.3 people. All are Kazak herdsmen. Among them, 18 households do not have any livestock; they live on working wages or herding for others.

2) Housing situation

Ways of access to housing: Housing is the most important property of the residents. Their access ways are mainly two kinds: The first is privately owned (by themselves or inherited from their parents, etc.), accounting for 92.0%; the second is tenement (no housing), accounting for 8.0%.

House structure: All surveyed houses are mud-timbered structure. Of which 5 was built in the 70s, 3 in 80s, 23 in 90s, and 5 after 2000. It can be seen that the peak of house construction is in the 90's, the most in 1997, up to 7.

Floor space: The average area of the surveyed houses is 58.6 square meters, 14.4 per capita square meters, and the average cost of the house construction is 12,457 Yuan. In addition to living house, most families have miscellaneous rooms (40 square meters on average), primarily storehouses and sheep pens. In general, the resident living area is rather narrow.

Satisfaction degree of living and the environment: 48.7% of the households said that they are not satisfied with the current housing condition; only 10% of the households said that they are quite satisfied or very dissatisfied. The detailed analysis on the living conditions of the respondents find that satisfaction on the local "public order" and "air quality" are ranked on the first two positions; however, the local "traffic", "water supply", and "public service" are ranked very low.

There is no electricity there, but some families use solar panels. This power unit can only drive a TV set and indoor lighting. It is worth more than 3,000 Yuan, but
the residents now only pay 1,200 Yuan, and the rest is subsidized by the government.

![Fig.4.1 Satisfaction degree of interviewed villagers on living conditions and housing in Kekebasitao](image)

3) Production and transport tools

In the family-owned means of production and transportation, two households have bought cars, and 23 purchased 1-2 motorbikes, which accounts for 57.5% of the total households. Motorcycles have become an essential means of transport for many families.

4) Production and management

Management way

Kekebasitao residents are Kazakh herders. Their most common livelihood is livestock. There are 1281 sheep in the settlement, but there are 10 households which do not have any sheep. Four households have more than 100 sheep, while six households have 50-100. Next, there are 189 cattle in the settlement. there are 9 households which do not have any cattle, and there are only 6 households which have more than 10 cattle. A few households own some horses.

Mode of production

The survey shows that the mode of production of Kekebasitao residents is single. 32 households live on livestock grazing and the average production time is 360 days with little rest, which is related to their nomadic nature. Usually, herdsman drive their animals to new pasture in April, because their original pasture is flooded by melting snow from the Naba River. Generally, a herd of animals is driven along the Naba River up to leased pasture, 10 km away from Kekebasitao. Pasture belongs to Kupu Township. The households redeploying pasture usually have large size of herds, and those households that only own a few or 10-20 sheep entrust them for herding. Young and undergrowth animals remain in the settlement. Coupled with extremely hot summer, floods withdraw in July and August, and then herds can come back. From August to April next year, livestock herds concentrate on the pasture around the settlement, eating a few corn every morning, then driven out together, and returning to their own fens on evening.

Only a small part of the villagers work elsewhere as stevedores and porters,
mostly in Alashankou Port, but jobs are very unstable. Few people go to Bozhou to do odd jobs such as picking cotton.

5) **Household income and expenditure**

**Income structure**

Household income in the questionnaire is divided into seven items, but livestock (23 households), helper and others (18 households) are the main sources of income. Other sources of construction, commerce and services, transportation, and wage income have 1 household each respectively. In 2009, the total income is 415,950 Yuan, of which, livestock income is 288,000 Yuan accounting for 69.23% of total income, and helper income is 96,900 Yuan, 23.3%. Average per capita income and per capita net income are 2,100 Yuan and 1,500 Yuan respectively. However, there are huge differences in average per capita income, only 710 Yuan in the poorest family, and up to more than 7,000 Yuan in the rich family.

**Expenditure structure**

In 2009, the total household expenditure is 295,325 Yuan, of which the least household expenditure is 2,600 Yuan, the highest 38,080 Yuan, and the average total household expenditure 6420 Yuan. In family expenditures, education, food, and health care are listed at first three major expenses; purchase of clothing came in fourth.

6) **Social network**

Generally, social network (particularly kinship network) can provide capabilities of extensive personal supports which are positively significant to individuals and communities. It can not only solve or alleviate many problems and difficulties in daily life and maintain normal daily life, but also help reduce pressures, promote good health and increase personal happiness. The survey asked individuals a question: from whom they would seek help when they encounter financial and emotional difficulties. The result shows that husband's parents and relatives are the most frequent in the reference rate (52%) when they meet economic problems, wife’s parents and relatives is the second (46.15%), then, village cadres (26.93%), and their own brothers. 5 households from Kekebasitao working in Alashankou are introduced by their own relatives. In the investigation, they strongly expressed their frustration that it is difficult for them to find a suitable job without more relatives and trusted social networks in Bozhou and Alashankou industrial area. Rates of supports and comforts from both sides’ relatives are highest when they encounter personal emotional problems. The reason is that the relationship among the residents in the settlement has more or less kinship ties, coupled with the environment block and a limited social circle.

7) **Attitudes and wishes of the residents**

It is understandable that the residents have negative attitudes to answer whether the construction of the Protected Area brings benefits to individuals or collective because in recent years, the Protected Area prevents harvesting fodder grass, housing, catching Artemia and so on, which have resulted in great difficulties in production and daily life. It is, however, unexpected that all people hold entirely negative attitude toward the issue. Compared with the previous findings of the social assessment, this result is a tremendous setback. The last survey concluded that: "They have no objection to the project's implementation. Poor herders have a clear understanding on
the local environment, and are also aware that establishment of the protected areas will help improve the local living environment for future generations. But they are also clearly aware of various impacts of the project on their livelihood, child education, and transport."

Nevertheless, they are still willing to support the Governments to construct the protected areas (100%). If the project requires them to go out to work, most of them have positive answers (willing, 40%, or need training before they work, 35%). In the choice of working places, most replies are the Alashankou port (38.89%), Bozhou only 16.67%. This is not strange because the Alashankou Port is the nearest city with more job opportunities. There are no language barriers. Bozhou is, after all, far away, and language is also a problem. But 36.11% people chose other places, indicating that local resident selections on working places are diverse.

In professional training, almost half of the people want to learn a kind of skills (43.75%), but more people do not know what to choose (46.88%) yet.

8) Opinion expression

Most people do not know how to raise their living level through CRB implementation. The main way they express their dissatisfaction is to go with the stream (52.5%), followed by seeking to solve problems through legal channels (40%), then, join with others to go directly to the relevant government departments (20%), and a few replies appeal to the higher authorities for helps with other people (Because the answer sheet is multi-choices, the total percentage may exceed 100%). About attitude toward the village business, more than 73.68% of the respondents chose "very concerned and often put forward their views/suggestions", or "more concerned about, and sometimes put forward their views/suggestions", but there are 23.68% people only concerned with their own affairs.

4. 2 livestock team of Guertu Township

Sampling survey was undertaken in the survey of 3,4,5-affected pastoral team, Kuertu town, Wusu city. In the survey, we discussed with the representatives to understand different types of affected people (such as vulnerable groups, etc.) on the project's observations and recommendations in-depth

1) Basic situation of the surveyed households

30 households of peasants and herdsmen and 140 populations have been surveyed, accounting for 20 percent of the total population. Of which: Kazakh is 27 households (13 pure herdsmen, 14 semi ranching); Han 3, all are peasants. The average size of surveyed household is 4.66 populations.

2) Housing situation

Ways of access to housing: Housing is the most important property of the residents, but the way of livestock team 4 accessing to housing is somewhat special. They rent troop barracks collectively, and individuals do not pay. The houses of livestock team 3 are mostly funded by governments, such as anti-seismic houses. Different with the traditional nomadic, modern herdsmen have their own permanent residence and villages.

Housing structure: 4 households are brick-concrete structure, 510 square meters; 13 brick-timber, 1379 square meters; 10 mud-timber, 1097 square meters, 3 households have not filled in structure.

Housing area: The average housing area of the sample households is 110.59 square meters, 21.33 square meters per capita. In addition to living house, most
families have miscellaneous rooms (84.2 square meters on average), primarily storehouse and sheep pen. In general, residents living area is rather spacious.

**Satisfaction degree of living and environment:** 96.43% of the sample households express they are satisfied with their own current housing situation, even very satisfied households accounted for 3.57%, which is consensus to the above data of housing area. Detailed analysis on living conditions of respondents found that they rank the local "public order" and "air quality" satisfaction at first two positions, but they are very dissatisfied to the local "traffic" and "water" (76.67 %, 46.67%), and "public service" is general.

![Fig. 4.3 Satisfaction degree of interviewed villagers on living conditions and housing in Guertu Township](image)

### 3) Production and transport tools

Among the means of production and transportation owned by sample households, 26 households have bought a motorcycle, accounting for 86.67% of the total, of which six have purchased two motorcycles, so that motorcycles have become an essential means of transport of peasant and herdsmen families. 23 households have bought a tractor, 7 bought pumps, which shows the importance of agricultural mechanization and irrigation in local development.

### 4) Land

Land plays a vital role in the production and business of peasants and herdsmen as the most important factor of production. Household land mainly consists of two parts as a productive material in the CRB project area:

The first part is cultivated land. Every sample households, whether peasants or semi ranching, has average 47.2 mu contracted cultivated land, from the largest 95 mu to the least 8 mu.

The second part is the pasture. There are 8 herdsmen households with, flock size above 200 sheep and goats. They not have contracted cultivated land, but have been distributed spring, summer and winter pastures. Those eight households transfer their livestock through grazing transitions in spring and autumn pastures, go back to their contracted pasture in summer, and return to their villages where they have their own permanent residence, fattening their livestock to sell.

Have two both have a large flock (250, 280), has contracted with an area of no small arable land (60 acres, 50 acres). Two households have either large flocks (250,
280), or no small area cultivated contracted land (60 mu, 50 mu).

From per capita cultivated land, there are some potential for the mixture of cultivation and livestock.

5) Production and management

Management way

Livestock teams of Guertu Township are now the mixture of livestock and cultivation. Although every family has livestock, but the division of cultivation and livestock has been formed, such as professional grain cultivation, feed production, and livestock households. Animal husbandry is still ranked as the first, almost every family has sheep. Even grain cultivation households have 10-20 sheep, when changing pastures; they turn over herds to livestock households. This mode of operation makes the implementation of the pastoral settlement project very successful. In 2009, 100 herdsman households of Guertu Town have settled down, with permanent houses, warm-keeping cancha and haymow (The standard of each household: housing is 60 square meters, warm-keeping cancha 80 square meters, haymow 50 m). Each household is distributed 50 acres of forage land. Next few years, the pastoral settlement project would be accelerated because settled herdsmen are very satisfied with the project which is supported by the government from the finance and policy.

Mode of production

Although livestock teams of Guertu Township are now the mixed units of livestock and cultivation, the average working time of family is still 360 days each year. Unlike pure herdsmen in agricultural areas, all peasant households here have livestock. They have to raise livestock in the winter which is considered as spare time in agriculture and flatting time for livestock. There is a small part of the villagers working elsewhere, the general duration is 90 days. The important livestock transition lines of the team 3,4,5 pass through the southeast corner of the protected area. After the establishment of protected areas in 2006, part of the region has been fenced to be protected.

6) Household income and expenditure

Income structure

Household income in the questionnaire is divided into seven kinds, but livestock (28) is the most important, and 15 of which integrate livestock with cultivation. Other 2 households are pure crop farming. In 2009, the total income is 1,442,100 Yuan, of which animal husbandry income is 472,200 Yuan, accounting 32.74 percent of the total income; crop farming income 933,900 Yuan, accounting for 64.76 percent. Per capita income and per capita net income are respectively 10,300 Yuan and 7310 Yuan.

Expenditure structure

In 2009, among the surveyed household expenditure, the least household is 12,140 Yuan, the highest 59,529 Yuan, and the average 31,612. The average per capita expenditure is 6774.1 Yuan. In various household expenditures, the food is 7890.67 Yuan, far exceeding the other expenses. The differences of clothing, education, health care expenditures are not too big, changing from 3500 to 4100 Yuan, ranked 2 to 4. Unlike Kekebasitao, the average cost of human contacts is more than 2600 Yuan, ranked fifth.

Fig. 4.2 various household expenditures of livestock team of Guertu Township in 2009  unit: Yuan

22
<table>
<thead>
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<th>Item</th>
<th>Minimum</th>
<th>Maximum</th>
<th>Average</th>
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<td>31612</td>
</tr>
<tr>
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<td>20000</td>
<td>7890.67</td>
</tr>
<tr>
<td>Clothing</td>
<td>0</td>
<td>10000</td>
<td>4090</td>
</tr>
<tr>
<td>Education</td>
<td>0</td>
<td>20000</td>
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</tr>
<tr>
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<td>1500</td>
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<tr>
<td>Human contact</td>
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<td>1000</td>
<td>2653.34</td>
</tr>
<tr>
<td>For aged</td>
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<td>933.33</td>
</tr>
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</tr>
<tr>
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<td>7200</td>
<td>1780.67</td>
</tr>
<tr>
<td>Others</td>
<td>0</td>
<td>2600</td>
<td>3760</td>
</tr>
</tbody>
</table>

7) Social network of surveyed villagers

The questionnaire survey asks a question: to whom individuals seek helps first when they encounter financial and emotional difficulties. The result shows that village cadres are mentioned with the highest rate (83.3%, 36.36%), others are rarely mentioned.

8) Attitudes and wishes of the surveyed residents

28 households are willing to cooperate with the government to built the protected area, only two do not want. But most residents are concerns about negative impacts on their livelihoods caused by the establishment of the protected areas.

9) Opinion expression

The ways of peasants and herdsmen expressing their dissatisfaction are intense. The most is to go with others directly to the relevant government departments (53.33%), followed by seeking to solve the problem through legal channels (50%). There are also many people to select appealing to higher authorities for helps with other people (46.67%) (Because the answer sheet is multi-choices, percentage assembles may exceed 100%). About attitude to the village business, more than 76.67% of the respondents chose "very concerned and often put forward their views / suggestions". 16.67% choose "concerned about, and sometimes put forward their views / suggestions". There are only 6.67% people only concerning with their own affairs.

3.3 short summary

1) Survey routes and methods are carefully arranged, and all investigations are free, prior and informed consultation.
2) The results show that animal husbandry is the main means of livelihood to the local residents, and also the main reason for the conflict between the local residents and Protected Area. But this conflict is not inevitable, which is why the residents of the two places express their support attitude.
3) According to the survey, the current poverty situation remains severe. Kekebasitao residents almost all below the absolute poverty, incomes in Wusu three livestock teams also less than the average of Wusu and Guertu Township. The lives of poor people are still relatively difficult and opportunities to increase income are relatively less. As the slow income growth, the gap between have and have-not is widening.
4) In the surveys on Kekebasitao Settlement and livestock teams of Gurtu Town, the
local residents expressed their active support willing to the construction of the protected area. They hope the government will speed up the construction of pastoral settlements and provide more employment opportunities and job training, especially for their children.

4 The poverty and the causes of poverty in the CRB-affected areas

4.1 Poverty and its local standards

"Poverty" mentioned in the report is based on the National Bureau of Statistics’ definition, that is, an extreme shortage of material and so a person or a family can not achieve acceptable minimum living standard in society. "Minimum living standard" mentioned in the definition, known as the "poverty line", is commonly used to define whether people are stricken by poverty as an important basis. The national poverty standard is less than 1198 Yuan of annual per capita income.

Xinjiang poverty standard is set by less than 1067 Yuan per capita income, but Tacheng poverty standard was re-calculated in early 2009, of which Wusu poverty standard is defined as annual per capita income of less than 1588 Yuan.

4.2 Population stricken by poverty in the CRB affected area

Tuoli is a national poor county. By the end of 2009, according to the national poverty standard, Tuoli County still has 12955 rural low-income people with 2038 households, which accounts for 31% of county's total agricultural population. Tuoli County ranks among the highest poverty in the northern Xinjiang. And Kekebasitao is considered the poorest settlement of Tuoli County. Now it has 6 households with 24 people living on rural subsistence allowances; one household with 3 people enjoy five guarantees (childless and infirm old persons who are guaranteed food, clothing, medical care, housing and burial expenses), but there are 46 households and 188 people who meet the condition of rural subsistence allowances, of whom two people are disabled.

According to Xinjiang standard, by the end of 2009, Wusu City has 3018 population of 754 households stricken by poverty. According to Tacheng standard, The city has 5880 population of 1480 households striken by poverty. These population are distributed in all towns scattered throughout the city, but, in the three autonomous region-level poor villages, the remote rural townships along the north slope of Tianshan, and pasture around Ganjiahu Haloxylon forest reserve, more population stricken by poverty can be found. Three autonomous regional-level poor villages are the first round Ganjiahu livestock team 4, the second round Haotuhuer village of Jiergeneteguolen Mongolia Township, and the third round Kekesala village (livestock team 3).

Wusu Guetu livestock team 3 is the Xinjiang autonomous region-level poor villages and has 504 population of 107 households, of whom 19 households in red-poverty, and 5 disabled in 5 households in 2009. Livestock team 5 has 25 households in red-poverty, 16 disabled in 16 households, and 1 childless and infirm old person.

4.3 Reasons for poverty

Poverty in Toli and Wusu County is mainly caused by poor natural conditions, inadequate infrastructure, backward mode of production, lack of development funds and production means, illness, disability, aging, and the historical and social factors.

（1）Frequent natural hazards, such as drought, floods, hail, snowstorms, dry
heat wind, and earthquake affect peasants and herders’ production and life. If already in poverty, suffering such blows would have greater impacts. Some poor rural areas with harsh natural conditions, poor soil, high cost of agricultural production, low yield agricultural products are unable to support existing population.

(2) The local advantages have not been fully shown up because of single cropping structure and low level of agricultural industrialization. Irrational structure of agriculture and animal husbandry, low quality of agricultural products, less brand name products, inchoate regional comparative advantage in agricultural production, disconnection between the supply and demand structures of agricultural products make some farming products “difficult to sell”, and thus affecting the income increase of herders and peasants.

(3) Because of less attention and input in agricultural production and economic construction and long time insufficient infrastructure, transportation, water conservancy facilities and services for agricultural production can not meet the needs of industrial and agricultural production, resulting in slowing county economic development and poverty alleviation.

(4) Backward rural education, poor sanitation, and relatively low physical and cultural qualities of rural residents make them old fashioned, complacent, inert, and not strong in the sense of scientific farming and acceptance of new techniques. Also being unresponsive to market information, lack of enrichment capability, and low value-added agricultural products make it difficult to access to development opportunities, and easy to be stricken by double risks of poor natural conditions and market volatility, especially under today's market economy.

(5) Being located in the remote country border area, lack of transport facilities and information, difficulty in selling agricultural products, and being in great poverty.

(6) Transfer of surplus labor force in the agricultural and pastoral areas lags behind, so that the surplus labor force sticks to their rural areas, which makes it difficult to raise the agricultural productivity and increase the income.

(7) Lack of labors because of being aged, weak, sick and disabled, and heavy load due to too many kids.

All these reasons can be found in the Kekebasitao settlement, such as remote location, poor quality of the residents and infrastructure, single economic structure, and illness. In addition to these common reasons, the poverty of the Kekebasitao settlement has some its unique characteristics.

Gulizati (female, 26 years old, resident in Alashankou but from Kekebasitao settlement): Our family has two children: the elder is son, the younger daughter. We do not have any job opportunity in Kekebasitao. So, we moved to Alashankou for our survival and children education. We rent an apartment and we couple work for our children. Here we both work odd jobs, loading and unloading work, cleaning and other jobs, no fixed work site, and no arrangement, mainly introduced by those relatives and friends. About 20 days in a month we work outside the home. We always work here, so the house in the village is useless to us, so we sold it to someone else. We rent a single apartment here; the rent fee is very cheap, 1,200 Yuan a year. Every month the minimum living cost is about 600 Yuan. In addition, children’s tuition fee and water and electricity exceed the money our couple earns. Our family's average monthly income is 900 Yuan or so, mainly from my husband’s wage income. I also
want to go out for work, but I do not know the Chinese language, so no one hires me. Without jobs, I have to stay home

Saerhetibieti (male, 41 years old, resident in the Kekebasitao settlement): Now our family has more than 200 sheep and goats, a dozen cows; we can be considered a wealthy family in the village. Many years ago (referring to the 1998 and 2000) our family could be considered one of the poorest families. At that time, I was married and had no property. Then, the Artemia worms in the lake was just found, and the management was not as stringent as now. My wife and I, two people, seized this opportunity of catching Artemia in the lake. We both earned 2-30000 Yuan a year. We used the money to buy sheep and goats. So, our family was quickly getting rich. At that time, like us, many people in our village earned a lot of money through catching Artemia. Each of their families had more than 20 sheep and goats. But they felt that herding sheep is not as good as catching Artemia, so they sold their own sheep, and made money only by catching Artemia. Later, the government did not allow our villagers to catch Artemia, so their economic source was broken. They did not expect the government to take measures so quickly to prohibit them from catching Artemia. It was too late for them. Their money soon ran out. One to two years later, they became poor families.

4.4 Implemented measures for ethnic minority development in the CRB affected area and their social, economic benefits

This report discusses specific Toli County (Kekebasitao) and Wusu City (Livestock Team of Gurtu Town) based on the development background of the whole Xinjiang.

(1) Poverty alleviation and development projects. Through 30 years’ efforts, Xinjiang has made brilliant achievements in poverty alleviation and development. People stricken by poverty have declined from 532 million 30 years ago to less than 2.53 million now, of which, 2.43 million people cast off poverty and set out on a road to prosperity in the new century.

In 2009, Wusu distributed 17 million Yuan subsistence allowances, 16,800 urban and rural low income people benefit from it; implemented 2.3 million Yuan funds of poverty reduction, 1200 population stricken by poverty benefit from it. At the same year, Tuoli County has accepted 9.91 million Yuan of financial poverty alleviation funds, started 25 new projects; stably solved the problem of food and shelters of 2230 people in 490 rural households, completed 110% of the assigned project of Xinjiang Autonomous Region.

(2) Drinking water safety project in rural area. Under the support from the central government, Xinjiang Autonomous Regions set drinking water safety in the rural area as priority in improving livelihood of peasants and herders. By the end of 2008, Xinjiang has invested funds 3.327 billion Yuan for drinking water safety project construction, solved the problem of 690.85 million rural residents, and effectively controlled the spread of waterborne infectious diseases.

(3) Herdsmen settlement project. The region has now settled, semi-settled
185,000 herdsmen households, accounting for 78% of the total herdsmen households. The 4-season nomadic mode of production is changing to stable breeding in cold seasons and grazing in warm seasons. The herders’ income has steadily increased, and the pastoral economy has made great progress. At the same time, through the implementation of community-based management of pastoral settlement, the traditional pasture management has been changed, herdsmen child employment, education, medical care, and health conditions have greatly improved, and life quality of herdsmen has significantly increased.

(4) Professional training for rural labor transfer. In recent two years, Xinjiang Autonomous Region cumulatively invests 200 million Yuan special funds for vocational training subsidy of rural surplus labor. In 2008, professional training for labor transfer in the whole region reached to 41 million person-times, the total income of the regional rural surplus labor employment reached to 4 billion Yuan, and per capita income of transfer labor employment is 2750 Yuan. Employment training for rural labor transfer plays an important role in promoting peasants and herdsmen to get rich.

In 2009, Wusu completed vocational training 14,150 people (time), realized employment and re-employment 4229 people, which reached 121% of the objective task. Registered urban residents unemployment rate was controlled within 2.2%; transferring rural surplus labor force 13,650 people, completed 341% of the objective task. In 2009, Tuoli County has accepted financial training capital of 230,000 Yuan for poverty alleviation, assigned 8 training programs. It has already set up one issue of training programs for embroidery, farm machinery driving, and motorcycle repair respectively. These programs trained 107 peasants and herdsmen stricken by poverty, and their employment rate reached to 88%. It has also organized 4 issues of training programs for guiding transfer of surplus women labors, which trained 714 women, and completed 112% of the objective task (800 people) set by Xinjiang Autonomous Region. Moreover, it offered 4 issues of suitable technical training courses, which trained 2289 poor peasants and herdsmen stricken by poverty (times).

(5) New cooperative medical system in agricultural and pastoral areas (NCMS). By the end of 2008, Xinjiang launched a new cooperative medical work in the rural and pastoral areas in 89 counties, covering 100 million agricultural and livestock people, which accounts for 97.7% of the total population of agriculture and animal husbandry. 950.27 million people enjoy subsistence allowances, and the participation rate reached to 94.47%. Over 90% of peasants and herdsmen are satisfied with NCMS and NCMS is playing more important roles in protecting the health of peasants and herdsmen.

Wusu is expanding insurance coverage, Participant rate of NCMS is 90%, basic medical insurance for urban residents was 80%. In 2009, The total compensation of NCMS funds is 10.9 million Yuan, nearly 184,000 peasants and herdsmen benefit from it.

(6) Anti-seismic housing project. Both south and north piedmont of Tianshan is seismic active areas. By the end of 2008, Xijinag had cumulatively invested 41.2 billion Yuan for anti-seismic housing project construction funds, which was used to
construct and improve 189.3 million anti-seismic houses, and 836 million people moved into new homes. 14 anti-seismic houses had been constructed in the Kekebasitao settlement, but further construction was stopped by the Protected Area.

Wusu invested 110 million Yuan in 2009, completed the level D reconstruction of dangerous houses, strengthened anti-seismic schools and a number of key projects; Kekebasitao settlement constructed 14 anti-seismic houses, but stopped by Protected Area.

(7) Actions for vitalizing border areas and enriching people, and supporting development of ethnic minority with fewer population. In 2008, State Ethnic Affairs Commission allocated 154.75 million Yuan for ethnic minority development funds to Xinjiang in order to implement "11th Five-year Plan for National Minority Enterprise", "Supporting Development Plan for Nationality with Fewer Population (2003-2010)" and 11th Five-year Action Plan for Vitalizing Border Areas and Enriching People, further promote the socio-economic development of minorities in Xinjiang, and improve production and living conditions of ethnic minority people. Among these funds, 97 million Yuan is the fund for actions for vitalizing border areas and enriching the people, and is mainly arranged to the projects which need less investment, but have good markets, and can quickly increase the income of peasants and herdsmen, or improve the livelihoods of border residents with special difficulties. The Grant of Supporting Development Plan for Nationality with Fewer Population is 42 million Yuan. On the one hand, this grant is focused on the unresolved problems in reaching the standard (sitong, wuyou, and sandadao) for settlements of ethnic minorities with less population. On the other hand, it supports the key programs which can increase income and propel Chinese ethnic minorities with less population to walk on the prosperous road.

Having received 1.8 million special funds for actions for vitalizing border areas and enriching people, Tuoli County has now finished “rural poverty alleviation and development plan in border areas”. Kekebasitao is a border village group and belongs to a special range of this fund.

5. Relevant policies and regulations on ethnic minority development
   - Chapter 8 Poverty alleviation (1994)
3. "State Program for Poverty Relief" (1994)
4. "Central Committee of the CCP and State Council Decision about Solving the Food and Shelter Problem of the Rural Poor as Soon as Possible" (1996)
5. "Decision about Further Poverty Alleviation through Development" (1999)
6. Development action plan

6.1 objectives

The purpose of EMDP is to provide a relatively realistic roadmap to reduce poverty of ethnic minorities and increase peasant and herdsman’s income and capability for sustainable development, and to point out the possible opportunities and possible action options to maximize the project's role in the ethnic development and social benefits based on CRB. The specific objectives of EMDP are as follows:

- Through appropriate control of the use of land resources, greatly ease the poverty in affected areas and lay a solid foundation for the region's coordination between biological diversity conservation and socio-economic development;
- Based on CRB and local social, cultural, economic characteristics, design various ways and means to improve peasant and herdsmen income, and accelerate the transition from pasture animal husbandry to modern animal husbandry and the process of surplus labor transfer of peasants and herdsmen, and minimize the project negative impacts;
- By organizations, institution innovation and capacity building, guide more affected peasants and herdsmen, especially the poor families, social forces engaging in the local resource management and ecological restoration, and enhance the sustainable development capacity of communities and peasants and herdsmen.

6.2 Principles of compiling EMDP

6. 2 Emphasizing the diversity of poverty

CRB impacted area is a multi-ethnic area in poverty which is Kazakh-based, mixed with a small number Mongolian and Han nationality. The United Nations Development Programme Human Development and Poverty reported that human poverty is defined as the lack of basic human development opportunities and choices of longevity, health, decent life, freedom, social status, self-esteem and respects from others. This definition emphasizes the diversity nature of poverty, including income levels, the basic situation of human and social development such as education and health conditions, women's and men's social status and welfare, and capacity of all citizens to participate in the development process. Overcoming human poverty needs to enhance capabilities of poor people coping with disease, economic shocks, natural disasters, conflict and discrimination. Eliminating poverty is not only to increase and use goods or capital, but also to improve the overall asset base of poor people: personal, social, cultural, institutional and environmental assets. In addition, the elimination of human poverty should pay attention to some of the adverse factors,
such as gender, race, age, and disability. Therefore, EMDP must contribute to the overall improvement of economic and social status of the poor within the CRB affected area.

6.2.2 Mutual promotion of ecological construction and national development

The CRB affected area is environmentally fragile areas, with wind erosion, drought, inundation, and damage to vegetation, so ecological construction should be set as priority. Therefore, on the one hand, we should strengthen the construction of the Protected Area, curb the trend of ecological deterioration, and make it to be continuously improved to achieve sustainable development. On the other hand, from the view of ethnic minority development, we must transform traditional grassland animal husbandry to a stable breeding conducive to ecological protection, and water-saving agricultural and household economy based on eco-development; at the same time, accelerate the transfer of surplus labors to reduce the pressure in the context of urbanization. Rural labors should be guided rationally and orderly to flow, to be stably transferred, reliably employed, and effectively earn income. In other words, the development of ethnic minorities must be able to coordinate mutual dependencies of people-society-nature communities, to coordinate the relationship between ecological protection and development, the overall and the local interests, the long-term interests and the current interests, fully display CRB’s ecological, economic and social efficiency, and realize sustainable use of resources and environment and socio-economic sustainable development.

6.2.3 Treating both principal and secondary aspect of poverty

The construction of the Protected Area is a project lasting 30 years, and its long-term ecological and economic benefits are obvious. But the peasants and herdsmen are more concerned about the immediate practical problems, and GEF projects have only a 3-year implementation period. Therefore, in order to get their supports and active participation, development plans must be able to solve their urgent problems. When complying EMDP, in addition to considering its long term effects, we must take into account those actions with economic efficiency in a short time firstly, which can increase income of poor population and reduce negative influences on environment as small as possible. Otherwise, it is difficult for EMDP to sustain. In line with the principles of treating both principal and secondary aspect of poverty, this report has designed actions to enhance capacity for sustainable development although it is oriented by short-term actions to increase income of peasants and herdsmen.

6.2.4 Adhering to multi-sectoral, multi-area participation

Owing to the separation of right of pasture use and the ownership and the separation of household registration and administrative jurisdiction, the implementation of development plan also involves the game among stakeholders in Bozhou and Tacheng. But SMBC is a part of ecological and socio-economic development process of Aibi, even Xinjiang region. The compilation of this action plan should particularly pay attention to fit the process, with particular emphasis on the coordination of different stakeholders, so that the scattered resources and power can be joined together to maximize the efficiency and change the long-term poverty
and backwardness of the area as quickly as possible. Minority development work is a complex social system project, involving many departments, such as the Poverty Alleviation Office, Bureau of agriculture and animal husbandry, agricultural development office, Bureau of Civil Affairs. This action plan also particularly stress the cooperation among different departments and integration of different resources, such as cooperation with agricultural development in the construction of artificial forage lands and cultivation and livestock breeding with peculiarity, cooperation with tourism department in promoting eco-tourism, and cooperation with Alashankou Port in accelerating the transfer of surplus labor force.

6.2.5 Willingness rather than involuntary, participation, and sequential forward
In the traditional mode, the beneficial rural households are only passively involved in the project implementation, they do not take the direct liability to the project success, and thus, they lack a sense of responsibility, enthusiasm, and initiative on the project. EMDP will strictly follow the principle of voluntariness of peasants and herdsmen (free, prior and informed consultation, participatory approach), emphasizing their dominant position and active participation. CRB fully respects their right of knowing, options, participation and supervision, so the beneficial people can engage in the planning, implementation, inspection, supervision and management, thereby stimulating their sense of responsibility, democratic supervision, competition, and enterprise.

6.3 Actions to increase income
EMDP can be divided into short-term measures and long-term actions. Short-term measures treat increasing income, reducing costs as the core, such as appropriate land use, new opportunities for employment, developing cultivation and breeding with local specialty.

6.3.1 Starting compensatory mechanisms for conversion of the right of pasture use

CRB involves two places where traditional rights of pasture use of are converted by Protected Area. One is located at Guertu Township of Wusu where herdsmen are partially prohibited passing through in their livestock grazing. The other is that herdsmen of Kekebasitao are prohibited to harvest grass in their traditional grazing areas. In order to ensure that local peasants and herdsmen benefit from the World Bank supported projects, firstly, Protected Area is required no longer introduce new restrictions, for which World Bank calls for making the process framework. Secondly, we have to explore reasonably compensatory mechanisms for the right conversion of traditional grassland use after the establishment of the protected area in 2006.

Livestock and pastures are the assets on which herdsmen live on; compensation for the conversion of rights of pasture use is to ensure that their livelihood condition does not fall. Compensation may be done to increase employment opportunities, or to help them adapt to the new form of livelihood, or can directly remove restrictions on pasture use. For effective conservation, management, rational use and construction of grassland, improvement of grassland production capacity, and promotion of the development of livestock production, Xinjiang Autonomous Region Government
constituted "Xinjiang Grassland Management Fee Collection and Management" in 1997 under "Grassland Law of PRC" and "Rules to Implement <Grassland Law of PRC> in Xinjiang Uygur Autonomous Region". In 2010, Xinjiang started the institution of grassland ecological benefit compensation for banning grazing in important ecological niche. The central government provides financial compensation (See 12.1 for specific compensation standard). These two measures have laid the legal basis for reasonable compensation for the right conversion of traditional grassland use after the establishment of the protected area since 2006. But such compensation is conditional; it gradually reduces the number of livestock in protected areas as a precondition.

Firstly, the affected herdsmen submit their applications for compensation (Application forms see 7.1). Protected Area should consult with those people who submit their applications to develop a common charter which should set obligations responsibility for both sides. Herdsmen have the responsibility and obligation to support and help construction of protected areas, participation grassland management, consciously control the number of livestock not to exceed the current size, while Protected Area has the responsibility and obligation to help herdsmen who comply with the charter to keep their livelihoods not to fall, reward the herdsmen who reduce livestock grazing in protected areas yearly.

Secondly, relevant management and protection station (MPS) of Protected Area and the related livestock teams of Guertu Township of Wushu City will form a joint group to oversee and check the number of livestock into the protected area each year. If the number of livestock diminishes yearly, MPS rewards the livestock teams according to the corresponding proportion (a form of compensation), in particular reward herdsmen who reduce livestock number into the protected areas in spring. Because plants sprout and animals mate in spring, they are vulnerable to grazing damage. Incentives can be directly allocated to herdsmen, or to the relevant livestock teams in the form of development projects.

Thirdly, under the support of Protected Area, herdsmen democratically consulate by themselves, participate in rangeland management, through rest-grazing, rotation grazing, close grazing, and returning land for grazing to wildness, and ultimately achieve the purpose of prohibiting grazing within the protected areas.

6.3.2 Loosing restrictions on the resource use

Recovering Kekebasitao traditional forage harvesting

Traditional practices of local herdsmen in the Kekebasitao area is to harvest forage 20 days after July 20 for stored feed for winter. Forage site is located in the east of 5-6 kilometers away from the settlement. Since the establishment of the Protected Area, they have not been allowed to harvest forage there. The reason is that the forage site is located in or near the core area, harvesting grass will destroy vegetation, but the grazing is still allowed. According to our survey, the reason for it is far-fetched. From April to July each year, the site is flooded by snowmelt and ground water from the Naba River, and grass began to grow with floods. When the flood withdraws in July to August, grass has grown quite dense. Forage harvesting is carried
out after flood withdrawal. Without too much harvest, the impact will not much greater than grazing. Even there are some influences, but after flood in the following year, the vegetation can recover and impacts would be offset. In fact, moderate harvesting is beneficial to the recovery of grassland vegetation. However, the restoration of the traditional forage harvesting is conditional, which is based on the premise of not damaging the environment. Therefore, to set a moderate herd size is very important. MPS Kekebasitao will organize the local herders to develop a charter which demarcates 1,000 mu pastures as forage field and sets responsibilities and rights for self-management of pastures. The herders have the responsibility and obligation to support and assist the construction of the protected areas, to participate in grassland management, consciously constrain livestock not to exceed the current size, decide on the number of annual forage harvesting no longer over the general size of previous years. The Protected Area has the right to check whether the implementation of the provisions and punish violators.

**Encouraging companies to hire Kekebasitao residents to catch Artemia**

In 1999, Aibi Artemia was found by a professor of Shihezi University that it is a kind of good feed for seaculture; thus it has become a resource with high economic value. Catching Artemia has become an important livelihood of the local residents and even some herders have disposed of their livestock to join the ranks of catching Artemia. In 2000, the Aibi fishery sector sold the operating rights of catching Artemia to private owners. For some reasons, the companies do not like to hire Kekebasitao residents, which make quite a few people lose their major income.

*Xiapun (male, 62 years old, Kekebasitao resident):* We came here in the spring of 1990, 20 years past, and we have 5 children. At that time, Tuoli County managed the lake, catching Artemia, digging Cistanche (totidem verbis). Previously Kupu Township said we were to develope here. My family is very poor. There are only five sheep, 2 cows in my family. I am 62 years old now, with arthritis; there is no money to see a doctor (The community doctor said his family owed several thousand Yuan of medical expenses). I used to be a herder and was arranged to come here by Kupu Township. They told me we can catch Artemia, dig Cistanche, and increase income. After we came here, Artemia and Cistanche were really our main source of income. After the establishment of the Protected Areas, we have nothing to do, and the source of income has been cut off.

The Protected Area will coordinate with the Aibi fishery sector and require the company winning the bid must hire Kekebasitao residents. There are more than 1000 people catching Artemia in the lake during the peak period, but labors who can catch Artemia from Kekebasitao settlement are no more than 100 people.

6.3.3 Protected Area providing employment opportunities for local residents preferentially

Daily management and protection of the protected areas is a very monotonous, hard work. It requires a very strong field survival ability and hard-working spirit. The
local Kazakh herders in this area have natural advantages, and they are also very familiar with the local situation. The Protected Area plans to recruit ten Kekebasitao residents as their guards, but this plan needs to be explicitly written in their project.

In addition to the formal employment for the local residents as personnel of MPS, the Protected Areas can also provide part time jobs for the local people as many as possible, such as patrol, guard, transportation, tree planting, security, disaster prevention and other miscellaneous jobs. Since they are familiar with both the situation around the settlement and the protected areas, the local residents have the opportunity to participate in the construction and management of the protected areas. For example, the Protected Area will soon build a simple road connecting Alashankou port, Stone Houses, and Kekebasitao, and the road construction and operation period will produce the jobs or job opportunities. The project owners and implementing agencies can preferentially arrange non-skilled jobs to the local poor people and women during the construction and operation to increase long-term and short-term employment.

Digging Cistanche is absolutely prohibited, no matter who digs. Field survey shows a deep hole left after Cistanche was dug which is very close to Haloxylon. The Protected Area has to maneuver a lot of human and material resources to prevent poach for 1-2 months in the spring each year, and many temporary workers are hired from outside. Hiring the local residents should be a good choice. It not only can reduce the Protected Area's expenditure, increase the local resident income, but also can more effectively prevent poach, because the local people are familiar with the local conditions. Without their helps and participation, it is impossible to stop poach.

The Protected Area can sign an agreement with the local residents. A clause in the agreement provides that the Protected Area has the responsibility to employ a fixed number of the local people during the period of digging Cistanche every spring, but the agreement has to clearly point out that the hired people have responsibility to take care Haloxylon forest, stop pouch events; otherwise, they would be punished, including fines, dismissal, etc..

6.3.4 Organizing jobs elsewhere

Alashankou Port is the nearest city from Kekebasitao, and many local residents are working there, mainly engage in porters. The survey in Alashankou Port has found that although this manual labor is hard, unstable, and income is not much, but they (some of them are more than 50 years old) still think that working in the port is better than staying in Kekebasitao. Their children also go to school in the port; parents have to live with their children to take care of them. Alashankou is the largest port in Xinjiang, and requires a lot of labors. Bozhou prefecture also plans to take the port as the main place to attract Kekebasitao residents to work and live there, so as to reduce population pressure on the Protected Areas. Therefore, the Protected Area and the Port will cooperate to provide the necessary helps for Kekebasitao residents, such as skill training, employment information. Bozhou PMO even wants to cooperate with some large enterprises which establish records for these people in their human resource department, give preference to employ them, and sign long-term labor contracts.
6.4 Capacity building for sustainable development

Sustainable development in ethnic minority area is closely related to community capacity building. Therefore, on the one hand, development plan should particularly emphasize rural human capital investment. Enhance the diligent, self-help and co-operation spirit of peasants and herdsmen, and improve community capacity building based on strengthening the quality of individual peasants and herdsmen through the participations at different levels, training, communication, negotiation. On the other hand, it supports the development of various types of rural community-based organizations, based on which, reconstruct the new management system in rural communities with higher efficiency, but lower management costs. Long-term capacity-building measures mainly refer to how to use the improved production and living conditions through CRB implementation and completion. Provide a long-term, sustainable income source for the affected poor people, and enable them to achieve well-off living standard quickly, through the industrial management and human resource training, and thus reach higher levels of development prosperity with the surrounding people under the technological supports, demonstration and extension, and institutional innovation.

6.4.1 Construction of organization and institution

The national minority development should achieve: organizational leadership, strengthening the carrier, improving the quality of the minority, and encouraging their participation. Specifically, first, development should be organized and institutionalized; Second, poverty alleviation needs carriers, the carrier is CRB which can be used to improve family's living conditions; Third, household must be the main body which is helped in poverty alleviation.

6.4.1.1 Establishing joint co-coordinating organization of Protected Areas - community

In Kekebasitao, a coordinating organization, dominated by the Protected Area, should be established to include cadres of local residents. It develops plans for wetland conservation and management, and community development, so that the community development can be coordinated with the temporary registration system, integrated into the construction, management, and development of the protected areas.

In the east junction of the protected areas with Wusu City, the joint team should be formed by relevant MPS and livestock teams of Guertu Township in Wusu city to develop the relevant charter and community development planning, which link the construction and management of protected areas and community development.

Sun Qiang (male, 42 years old, leader of livestock team of Guertu Township): Our most dissatisfied to Protected Area is the lack of coordination and communication. The establishment of the protected area is good, but it can not disrupt local production and living.

The role of CRB implementation agents in national minority development is actively cooperate with the community government to participate community construction, mainly embodied in: supporting, providing helps to promote community economic development and raise community people's income level, adjusting the community industry structure which is conducive to wetland biodiversity.
conservation, using its own organization and personnel to provide advice and organize training for the community masses. This coordination at grass-root organizations can find problems promptly, and is of more flexibility in the mediation and resolution of problems. Their integration with the government project offices at all levels has formed coordination networks of bottom-up and top-down. It is a kind of security guarantee to ease contradictions.

6.4.1.2 Promoting the development of professional cooperative organizations to combine cultivation with stable feeding

Peasant co-operative organization plays a huge role in raising the degree of peasant organization, achieving connection of small producers and large markets, realizing agricultural economies of scale, and promoting the agricultural industrialization and so on. Many businesses in agricultural operations use cooperative approach to connect rural households to expand the scale, maintain their own decisions, but also can enhance self-and mutual help awareness of the peasants, and their solidarity. In the process of promoting agricultural industrialization, that the peasants are organized according to the cooperative principle is an effective way to improve the degree of peasant organization. Agricultural cooperative organizations are ideal intermediary to coordinate "leading" enterprise and peasant’s interests.

Found in our investigation, mixture between crop farming and livestock is a pivotal to implement projects of herdsmen transfer; it can promote the transformation from traditional nomadic animal husbandry to stable breeding in agricultural areas, optimize the agricultural structure, and reduce the pressure on the environment. Xinjiang herdsmen have carried out this work under the leadership and arrangement of the party committee and government. Supports from Protected Areas and CRB implementation are just to speed up the process.

Wumen (Guertu town mayor of Wusu City, Kazak): The nomadic animal husbandry should be changed into the modern animal husbandry, rearing in a pen around settlements. Cotton and other cash crops should be reduced because meat prices rise steadily year by year, rising faster than cotton. The proportion of alfalfa and corn is 50% respectively; alfalfa usually grows 2-3 times a year, yield 5000-6000 kg, corn 1,000 kg, corn straw 5000-6000 kg. Cropping structure of should be changed, each household can come up with 5-10 mu to sow wheat to solve the grain ration, sow in March, harvest in July, 400-500 kg per mu, followed by sowing corn, maturing in Nov. It can be used as silage. 60 ton silage (10 mu) can feed 150 sheep for three-month in pen (sheep daily consumption is 5 kg). We can also do breed improvement, Demi and Tuojite are suitable species for stable breeding because these species produce more meat and wool.

Sun Qiang (male, 42 years old, leader of livestock team of Guertu Township): Now I do not have ideaes to enlarge the scale because of instability. If stable, who do not want to invest? Even the pen is prohibited. If I have conditions, I want to introduce co-operative organizations, such as land cooperatives, transfer, substitution, scale operation, large area land formation, and other mechanized operations.
Investigation team conducted a field survey on a herdsman settlement of Jinghe County. Compared with the traditional animal husbandry, they think that the management, economic efficiency of new model are much better than the old model. Their experience is worth learning.

Auqier (male, 40 years old, Mongonia, herder of Bayinnamu Village in Jinghe County): Our village is a livestock one moving all four seasons. We settled down or partly settle down last year. The poorest household just has 100 sheep and goats, 10 cows and the richest has more than 800 sheep and goats and 100 cows. The whole village has 100 households. 55 households are Mongonian herders, 45 Kazakh. Last year we began a formal settlement, and settlement costs nearly spent more than 70 thousand Yuan, the government is responsible for public facilities such as electricity, roads, and some materials. Our summer and winter pastures are Bayinnamu grassland which is also nature reserve, while the autumn and spring pastures are not. From May to early January we use natural grassland for grazing; from January to early May we use pens and stored forage for stable feeding. When we settle down, the government distributed 70 mu land to every household in our village, so not much is spent to buy feed. Last year our family spent more than 30 thousand Yuan to buy feed, but we have more than 500 sheep and goats, 50-60 cows rearing in pen, time is relatively long, nearly six months, so it is figure out that not too much money spent. Last year, our family net income is more than ten thousands.

6.4.2 Sustainable economic development initiatives

6.4.2.1 Increasing the scope of subsistence allowances and provision of public services

Tuoli County has committed to enlarge the range of subsistence allowances for the Kekebasitao settlement, which basically covers all the residents. The list has been submitted to Civil Affairs Bureau of the county; eligibility has been screened and passed. But the difficulty is the limitation of the base quota. Expanding the scope of subsistence allowances needs the approval of Xinjiang Autonomous Region. At the level, PMO will explain the situation to the relevant departments to accelerate the approval of application of these personnel.

6.4.2.3 Infrastructure supports

Coupled with MPS construction, the Protected Area caters to the needs of the adjacent residents in building roads, health care, communications, energy, water and other infrastructure construction.

Bozhou mobile communication company has established a communication station in the Kekebasitao area, so that mobile phone service can cover the settlement.

The Protected Area plans to build a simple road to connect Alashankou and Kekebasitao central MPS. The feasibility report has been approved; the transportation capacity of this settlement with the outside world would be greatly improved. Road construction and management also produce some long-term and short-term employment opportunities.

The Protected Area is ready to build a solar power station at the Kekebasitao settlement; just a little increase in power in the original design can benefit the local
residents. Bozhou PMO has promised to take this into considerations.

The Protected Area is ready to establish a health clinic in Kekebasitao. In addition to MPS and migrants (such as labors catching Artemia), it can serve the local residents. As the Protected Area prohibits any construction of the housing, the settlement does not have a regular clinic, which has resulted in tremendous difficulties in health care, medicine, and reimbursement for local people. The present clinic is in the doctor’s house. If the new health clinic can hire the village doctor, it would be a win-win choice.

6.4.3 Capacity building and concept change
6.4.3.1 Strengthening vocational training and general education to improve the population quality in poor areas

The emergence and development of modern agriculture and animal husbandry can not be separated with science and technology. Therefore, it requires that peasants and herdsmen have more knowledge of modern culture, science and technology, and management expertise. Training work can rely on the existing agricultural schools, agricultural engineering schools, agricultural technology promotion centers, livestock husbandry veterinary stations, agricultural economic stations, vocational schools, correspondent agricultural universities, various technical training schools in township and scientific associations. Targeted training can be divided into species, livestock, machines, marketing, policies and regulations for training cropping professionals combined with livestock industry. Vocational training can also train professional skills, such as farm machinery repair, drivers, and tour guides.

There is no school in the Kekebasitao settlement, so children’s education is extremely inconvenient. Richer families can send their children to go to school in Bozhou and Alashankou port, while children in poor family have to go to school in the pastoral area of Kupu Township, Tuoli County. The investigation team was told by the local cadres in Kupu Township that the condition of the school in pastoral areas is crude with poor teaching quality. They are also trying to improve it. It would be a far-sighted enterprise for Bozhou prefecture to provide 9-year compulsory education for Kekebasitao children. For those children willing to go to school in Bozhou, it can provide scholarships or tuition exemption incentives. If their parents are willing to accompany their children to school, it can provide them with employment opportunities. These children can be transferred to vocational training, then into labor market 3-5 years after graduation. Their choice range is greatly enlarged after they have learned the Chinese language and special skills, which can significantly reduce the possibility to settle back to Kekebasitao. Currently, the aging trend in Xinjiang is very obvious; the demand for labors would soon exceed the supply of labors.

Xinhua Urumqi, April 10 (Xinhua Mao Yong) The Data released by the Aging Office of Xinjiang Uygur Autonomous Region shows that there are currently more than 2 million people at the age over 60, which accounts for nearly one-tenth of the total population; the annual growth of aging population reaches up to 4.36%, 1.16 percentage points higher than that of the national average. Among those aged people, 80 years old or older reached 21.6 million people, accounting for 10.2% of the elderly population. By the end of the century the elderly population in Xinjiang will
account for one third of the total population, ranking in severe aging population area. By comparing the local economic development and the aging growth rate, the Aging Office of Xinjiang Uygur Autonomous Region points out that per capita GDP in Xinjiang is not only much lower than that in developed countries, but also lower than that in the eastern region of China. The aging rate was higher than the national average, showing the more obvious "Old before Getting Rich" situation.

6.4.3.2 Strengthening poverty alleviation efforts

In the process of poverty alleviation and development, the promotion and application of science and technology must be an important part and would constantly improve the level of poverty alleviation. Those industries (crop farming, livestock, or processing industry) must take advanced science and technology as a practical support and assurance. We should take full advantage of technology bases and the results of scientific and technological progress from CRB to accelerate the transformation of scientific and technological achievements, such as advanced water-saving and cultivation techniques, and introduction and promotion of good varieties. We should take more active measures to encourage private research institutions, various types of rural cooperative organizations and research organizations to participate in projects directly, play a more important role in poverty alleviation and development, raise own levels in the science and technology promotion and extension, and expand a broader development space.

6.5 Expanding the financial channels

In view of the dispersal situation of current financial sectors involving ethnic minorities’ development, we can take the "Lake Aibi Wetland Nature Reserve" project as a platform to integrate the relevant funds from counties to form a joint force. Currently the relevant funds include herder settlement project, agricultural development funds, poverty alleviation funds, public welfare forest funds and so on. For example, Livestock Team 3 of Guertu Township used poverty alleviation fund to have improved 1,500 mu abandoned cultivation caused by lack of water and irrigation and increased 5,000 mu natural pasture through storage and diversion water project. In addition to agriculture and poverty alleviation funds, funds from civil affairs, environmental protection, and water use and conservation should be integrated into use.

Private capital has become increasingly active in recent years in China. Non-governmental organizations actively participate in poverty alleviation through grass-roots projects. They take vulnerable groups as objects to provide services. NGOs often cooperate with local governments, enterprises and other community organizations to develop and provide innovative ways which are conducive to address the social issues. We can take CRB as the center to cooperate with NGO relevant to environmental protection, ecological construction, poverty relief, and to strive for their supports.

The "counterpart support" can be actively promoted to attract the funds and projects from developed regions and relevant State departments. Currently Bozhou Prefecture has established supportive relationships with their counterpart, Hubei Province. In the next decade there are more capital into Bozhou. Hubei Province has
accumulated a lot of experience in the counterpart support in Three Gorges Project, which can be used as a template for further corresponding assistance.

7. Process Framework for Restrictions of Access to Natural Resources

Construction and management of the protected areas have negative impacts on local communities, such as restrictions on access to traditional grazing field and construction of infrastructure. "When the World Bank-supported projects may cause legal parks and protected areas limit access to natural resources, it is necessary for the process framework. The purpose of the framework of this process is likely to be affected community members involved in the design of project components and identify the necessary measures to achieve resettlement policy objectives, and monitoring the implementation of related projects and activities (see OP 4.12, Para.7 and 31)."

7.1 Free, Prior and Informed Consultation and Participatory Approach

A free, prior and informed consultation and participatory approach would be introduced during the CRB implementation which develops appropriate measures. Based on the willingness of the local residents. The content includes:

1) There has been free, prior and informed consultations leading to broad community support for CRB;
2) Ensure that the households involved are fully knowledgeable about the options provided to them in EMDP, as well as the implication and consequences;
3) The households have the power of choice regarding to improving their production and living;
4) Households can express their own development ideas which the PMO will report to the corresponding government departments and actively coordinate;

The case of each household during CRB implementation will be documented. This would consist of an MOU between each household involved and the CRB implementation entity. The document should be witnessed by several members of the community. A suggested text for such a document could be:

"I ________ (full name or thumb print), of __________ (village/hamlet) on ________ (date), do state that I ___(singly) OR ___(with family) am (is) choosing ______ mode of production and life. The choice of myself/my household is my own free will, without any third party influence, advice or pressure. The reason for my choice is __________." I am aware of and have been consulted on the different options - including EMDP.

7.2 Objective and content of the process framework

One of the Bank's involuntary resettlement policy aims is that local residents can benefit from Bank supported projects through public participation. The process framework is to ensure that local residents are consulted in a meaningful way and participate in the project activities that affect them. During project implementation and before the enforcement of any restrictions, an action plan will be prepared, acceptable to the Bank, describing the specific measures to be undertaken to assist the households and/or communities and the arrangements for their implementation. The action plan will be integrated into the management plan of the protected area that will
be prepared during project implementation. Furthermore, since the persons affected by the restrictions of access are also considered to be Ethnic Minorities covered by the Bank policy, the implementation of the action plan contained in the EMDP will be combined and/or done in parallel with the Process Framework. Several of the livelihood enhancement measures proposed in the EMDP are directly related to modifications to prior restrictions of access or new modalities on the use of the protected area based upon the sustainable use and carrying capacity of its natural resources. Specifically, the Framework describes participatory processes by which the following activities will be accomplished:
(a) Preparation and implementation of project activities affecting local communities, including how the affected communities participate in project implementation;
(b) Determination of criteria for eligibility of the affected persons.
(c) Development of measures to assist the affected persons in their efforts to improve, or at least maintain, their livelihoods and living standards;
(d) Resolutions to the conflicts caused by restrictions of access to natural resources;
(e) Monitoring and evaluation arrangements.
As (d) and (e) and the relevant content in EMDP are inseparable, the specific contents will form the chapters 10 and 11 of the joint document.

7.3 Activities in preparation and implementation of CRB affecting the local communities, including how the beneficiary communities participate in CRB
From the current situation, public participation is still insufficient. The past and ongoing surveys remain at stage of promotion, negotiation, and consultation. The public's opinions have not fully influenced the decision. Therefore, a survey is proposed for the willingness of the affected families. The survey content will include the restriction types and extents to the affected households caused by the construction of the protected area (such as prohibition to the house building, harvesting grass, capturing Artemia, and picking Cistanche in Kekebasitao, and restriction on grazing to the livestock team 3, 4, 5 of Guertu Town), what kind of helps they need (such as the easing of restrictions or provide job opportunities, training, and public services), what kind of form they will participate in the CRB, and benefit from it. According to the survey, an action plan will be prepared, acceptable to the Bank, describing the specific measures to be undertaken to assist the households and/or communities and the arrangements for their implementation. The action plan will be integrated into the management plan of the protected area that will be prepared during project implementation.

7.4 Criteria for Eligibility of Beneficiaries
According to the Social Assessment prepared in November 2008, there are 51 households with 216 populations in the experiment area of Lake Aibi reserve zone, including 40 households who have their own houses and 11 households who rent rooms from the house owners in the community. Those 51 households share the grassland around the community and utilize the natural resources around the village. The activities of digging herbs have been restricted since 2006. By some reasons, private enterprises have no longer to hire the villagers to capture Artemia. Bank’s involuntary resettlement policy applies to those households, which has been described
in the given resolutions in details in Chapter 7.

In 2009, 6 households among those 51 want to emigrate elsewhere. PMO respected their opinions and assigned agreements with those 6 households through negotiation. Their houses were compensated as replacement cost. Some cases showed that the compensation were higher than the replacement cost. 5 households among the six found their jobs in Alashankou industrial park and one household moved back to their original village. Anyhow, the 6 households are still eligible to share their entitlement identified by this process framework.

Although there are no permanent settlements within the southeast corner of the protected area adjacent to Guertu Town of Wusu City, the livestock of part of herders in Guertu Town seasonally pass through every year. Now, their pass has been partly restricted by the protected area. If new restrictions are added to these herders, they should be included in the process framework.

7.5 Development of measures to assist the affected persons in their efforts to improve, or at least maintain, their livelihoods and living standard

Several households affected by the project are Ethnic Minorities with traditional land-based modes of production. Therefore, preference will be given to land-based alternative livelihoods or enhancement measures that are compatible with the ethnic minorities’ cultural preferences and are prepared in consultation with them. However, if the provision of land based measures affect the sustainability of the protected area or sufficient land is not available, or if land based measures are not preferred option, non-land-based options built around opportunities for employment or self-employment will be considered. Specific measures can be found in Chapter 6.

The following table is summary of those measures:

<table>
<thead>
<tr>
<th>No.</th>
<th>content</th>
<th>Time</th>
<th>Unit in charge</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Bozhou and Tacheng Administrative have established a coordination mechanism, responsible for coordinating Toli County, Protected Area, Wusu City to solve issues in grassland use and ethnic minorities development.</td>
<td>Established in November 19, 2010</td>
<td>Bozhou and Tacheng Administrative Office</td>
</tr>
<tr>
<td>2</td>
<td>Protected Area, together with Toli County and Wusu City, defines the traditional grazing boundary on the site and raise comments in consultation</td>
<td>2010.11-2011.3</td>
<td>Bozhou and Tacheng Administrative, Wusu City, Tuoli County, and Protected Area</td>
</tr>
<tr>
<td>3</td>
<td>brochures printed in Chinese, Kazark to illustrate the main activities of CRB, the impacts on the project area</td>
<td>2010.12-2011.3</td>
<td>PMO Bozhou, Protected Area</td>
</tr>
<tr>
<td>4</td>
<td>Employment information on guardians of Lake Aibi reserve area; Job assistance</td>
<td>2010.12-2014.12</td>
<td>Protected Area, Alasankou</td>
</tr>
</tbody>
</table>
for those who are willing to work in the Alashankou industrial park; Administrative

5 Release the restrictions of access to grazing by grassland rotating and employment of capturing Artemia; Protected Area

1010.12-2014.12

6 Poverty alleviation funds available for those who lose their labor ability and are under poverty line; Bozhou and Tacheng Administrative, Wusu City, Tuoli County, Protected Area

2010.12-2014.12

7 Building clinic available for the villagers Bozhou Administrative, Protected Area

2011.7

8 Organizing training for local herders PMO Bozhou

1010.12-2014.12

7.5 Implementation Arrangements for Process Framework
In order to benefit the affected persons and to foster participatory process, Bortala Prefecture will support the entire resettlement activities. The participatory approach will be developed in more detail during early project implementation. (action plan). It will include measures to ensure a credible approach where decisions are based on sufficient information and open discussions that lead to joint agreements. Steps will be taken to ensure that the community and individuals will be able to participate and voice their concerns and suggestions.

8. Organization and Capacity Building
Capacity building is to improve design, implementation, and monitoring capacity of CRB management office. It is the guarantee for minority development work to achieve specific goals. The Ethnic minority development in CRB area relies heavily on the government and public capacity demonstrated in technology, concept, and institution. Specifically, the development of capacity building includes decision-making, management, legal, policy, technology, education, human resources, public participation, and so on.

8.1 Management agencies and relevant departments

8.1.1 Institution setup
To ensure that the smooth implementation of CRB EMDP, GEF Project Office at Xinjiang Uygur Autonomous Region has instructed Bozhou GEF Project Office to set up a necessary coordinating agent for EMDP. Institutions for this coordinating agent should have:

1. CRB Project Management Office at the level of Xinjiang Autonomous Region (CRB PMO Xinjiang)
2. Bozhou CRB Project Management Office (CRB PMO Bozhou)
3. Relevant village committee and village group (or community work groups) (CWG)
4. External independent monitoring and evaluation agency (EIMEA)
8.1.2 Institution structure and their functions

8.1.2.1 CRB PMO at all levels and SWG

CRB PMO Xinjiang is CRB decision-making agent, set within GEF Executive Office of Aibi project at the level of Xinjiang Autonomous Region (GEF EOX). Its personnel should include GEF EOE, relevant leaders from Bozhou and Tacheng. Its main responsibilities are similar to GEF EOE. CRB PMO Bozhou is set within GEF Executive Office of Aibi project at Bozhou (GEF EOB) and its main responsibilities is similar to GEF EOB, either. The project is implemented in Bozhou Prefecture, but some of the affected groups are under the management of Tacheng Prefecture. Therefore, Bozhou Prefecture and Tacheng Prefecture should establish a consultation mechanism which provides various formal or informal methods (meetings, phones, etc.) to negotiate and solve the problems regarding affected groups, research and develop plans and major policies regularly and irregularly around a year. Meeting summaries which are approved by both sides are written down with clarity form. CRB PMO Bozhou carries out under those summaries.

CWG is composed of MPS, cadres of the villages and villager groups. Its responsibilities are:

1. CWG participates in implementation and impact survey of EMDP;
2. CWG organizes participatory consultation of the public;
3. CWG sets priority to help needy households;
4. CWG selects implementation sites for EMDP;
5. CWG adjusts industrial sectors, organizes a variety of modes of production, and establishes marketing channels;
6. CWG is responsible for funds management and allocation;
7. CWG reports advice and recommendations about EMEAP to higher authorities;
8. CWG reports progress in implementing EMDP.

8.1.2.6 EIMEA

According to the requirements from the World Bank on CRB EMDP, CRB will engage an independent external monitoring agency. Its main responsibilities are:

1. EIMEA is responsible for designing the external monitoring and evaluation working framework of EMDP, in which the content of external monitoring and evaluation, working methods, procedures, timing, and personnel arrangements are specified;
2. According to the approved monitoring and evaluation working framework of CRB EMDP by the World Bank, EIMEA conducts the basement investigation and monitoring;
3. Through interviews, field investigation methods, EIMEA collects data and information on EMDP, and relevant information on socio-economic development in the project affected areas during CRB implementation. EIMEA monitors the measures to assist affected communities and families, and conducts follow-up records;
4. Upon completion of CRB, EIMEA will carry out follow-up socio-economic survey and investigation of community-based poor family living standards, the comparative study on production and living conditions before and after EMDP;
5. EIMEA monitors training activities;
6. EIMEA monitors the work of CWG in the affected areas;
7. EIMEA monitors and evaluates the sufficiency and rationality of public consultation and participation;
（9）EIMEA will evaluate the effects of EMDP and propose improvement measures and remedy if it finds problems in the implementation and anticipate the potential problems;

（10）EIMEA compiles the external monitor and evaluation reports for EMDP, and submits it to the project owners and the World Bank once a year.

8.2 Figure of Organization

9. Public Participation and Consultation

CRB will focus on community participation and consultation; widely consult the opinions from social groups, government departments, communities and local residents, particularly the local vulnerable population in the design, planning, and implementation stages of EMDP. During the project feasibility study in the project preparation stage, the project management office consulted with the local authorities, community groups and residents in the project areas, enterprises and institutions on the issues such as wetland protection, and the ways and means of ethnic minority development. In the preparatory process of EMDP, the project offices one more time fully consulted the opinions of representatives of the local governments and the general population to the development of minorities and finished the compilation of EMDP under the supports of the local governments at different levels. During the project implementation phase, the project offices at all levels will further encourage mass participation in development of ethnic minorities.

9.1 Public participation in the phase of EMDP

（1）November 25-26, 2008, the World Bank Working Group carried out two days of initial social counseling and interviews with herdsman households in the Kekebasitao settlement.
May 4-16, 2009, a socio-economic impact survey was conducted by the investigators organized by GEF Project Office. Peasant and herder representatives in the project-affected areas participated in the survey, and put forward their views to project proposals. During the process of socio-economic survey, the investigators carefully collected wishes and attitudes from the project affected people about the ethnic minority development, and the results laid a foundation for compiling "Social Assessment Report of GEF SMBC".

During March 28 - April 6, 2010, PMO organized EMDP survey. The investigation team undertook census on household livelihoods of Kekebasitao and 10% sampling survey in the affected livestock team 3,4,5, Kuertu Town of Wusu City. In the survey, investigators listened carefully to the willing to the ethnic minority development and attitude to CRB from affected people. The result of this survey forms this report.

In the future, CRB will also enhance policy advocacy of national (minority) development and encourage mass participation through the following measures. Before the implementation of EMDP, notices on CRB should be issued through the local mass meetings; in the project-affected towns and villages, according to the ethnic composition of the local residents, notices are put up in the most receptive languages (Chinese, Kazakh, Mongolian, etc.) to advocate policies of ethnic minority development and measures and complaint channels of the project. A household-based willingness survey will be conducted on someday in 2011 in Kekebasitao Settlement to solicit their views on the resettlement.

9.2 Plan for further public participation and consultation

9.2.1 The contents of public participation and consultation
With the project preparation and implementation, the project offices will conduct further consultations. The main consultation includes:
- Specific opinions from the affected people on this project;
- Appropriation and effectiveness of project design in EMDP;
- Labor usage and training initiatives;
- Other issues that the affected people are concerned with, such as indirect effects on resident production and living conditions during CRB implementation.

9.2.2 Ways of public participation and consultations
Direct way: collect views of residents, and seek proposals from the local governments and the project offices on these issues through discussions with the village cadres or the residents on the main issues which they are concerned with.
Indirect way: Masses reflect their complaints, comments and suggestions through the village (or village group), the project offices at all levels, and the monitoring agency. The project offices at all levels handle the feedback in accordance with procedures.

9.2.3 Public participation and consultation plan
The project offices at all levels will hold public consultations non-periodically and report the situation to the project management office at the higher level. In addition to participating in consultation activities organized by the project offices at
all levels, monitoring consultants will independently consult with the affected people about other monitoring issues, collect their complaints and suggestions, and provide monitoring information for the project offices at all levels.

9.3 Roles of independent monitoring consultant in participation and consultation

- Provide the main issues which the masses are concerned about and reflect the views of complaining;
- Hold talks and discussions with the affected people for consultation periodically;
- Provide opinions and suggestions on handling complaints.

9.4 Enhancing the degree of satisfaction

Project management must make its customers satisfied in the course of achieving project goals; the minority development project has three customers, namely: the affected minorities, the government, and society.

9.4.1 Factors affecting satisfaction

- Unpublicized, unfair, and secret operation;
- Staff violation operation (deduction and receiving);
- Complex procedures, low efficiency, the complained problems could not be solved promptly;
- Unreasonable demands from a small part of people being met, which leads to "honest" dissatisfaction.
- Misunderstanding of the compensation policies, regulations, and standards.

9.4.2 Developing Satisfaction Survey

Satisfaction survey directly reflects the comments of the affected minority population on the project offices and the action quality. It is not just a way of public participation; it is also an effective way to implement the internal monitoring. Results from the satisfaction surveys can make the project offices keep abreast of the needs of the needy people, find the weak links and inadequacies in EMDP, and thus take measures to continuously improve the quality and service.

Satisfaction surveys include the following contents:

- Satisfaction on information disclosure scheme;
- Satisfaction on public participation and consultation;
- Satisfaction on development action process;
- Satisfaction on complaints, appeals and consultations.

9.4.3 Ways to improve satisfactions

It is the best expected result from the project that society and governments are satisfied with minorities' development in a high efficiency with low cost. Internal monitoring will reduce the "black box" operations as possible as it can and enlarge the development choices.

System control to compensation standard can prevent staff's deduction behavior. System brings the high efficiency and simplified procedures to facilitate minority development, so that complaints in minority development can be promptly resolved. At the same time, unreasonable demands also in a timely manner can be dealt with to avoid unfair sense.

It can avoid misunderstanding to make the residents in the areas involved in the
project fully understand policies of ethnic minority development. At the same time, enhancing the satisfaction to development would encourage them consciously to cooperate with development actions, thus greatly improving the efficiency of developmental operations.

10 Grievances and Appeals

To better safeguard the interests of affected persons, CRB will establish convenient and efficient, open and effective complaint mechanisms in which the affected people may lodge a complaint to any problems about ethnic minority development actions at any time.

11.1 Organization accepting the complainant

The project will set up a group to receive complaints, open hotlines to receive public inquiries and complaints. The group is to be composed of five-members: one group leader, part-time by the external monitoring team leader; 3 group members, including 1 from the external monitoring agency, 1 from the World Bank Project Office, and 1 from the implementation agency of the action plan.

10.2 Complaint procedure

(1) The first stage

The affected peasants and herders may present their grievances to CWG orally or in a written form. For oral grievances, CWG must keep a written record and give a clear reply within two weeks if the requirements or suggestions are rational.

(2) The second stage

In case that reply at the first stage does not satisfy the complainants, they may appeal to JPMO after receiving the reply at the first stage. JPMO must make a decision within three weeks.

(3) The third stage

In the event that the affected persons are not satisfied with the reply from JPMO, they may appeal to CRB PMO Xinjiang within one month after receiving reply at the second stage. CRB PMO Xinjiang shall make a reply within four weeks. They may appeal to the civil court within 15 days after receiving the reply from the JPMO.

The above channels will be informed to the residents in the areas that project involves through meetings and other ways, which can make them fully understand their right to appeal. At the same time, the media tool will be employed to strengthen propaganda, and reports, views and recommendations on EMDP from parties are organized into articles and informations for processes and handles of the project offices at all levels promptly. Organizations receiving complaints are free of charge.

10.3 Complaint feedback mechanism

Complaint feedback mechanism is a kind of internal monitoring mechanism within the project offices set up in the appealing process. The importance of establishing the mechanism is:

(1) Timely feedbacks of poor families affected by the project reflect the project offices concerns on poor people and the affected families, both to protect their legitimate rights and maintain their interests in active participation;

(2) Timely feedbacks to project owners and implementation agents can point
out their problems and deficiencies in the development actions, and cause them to pay attention and make improvements. Effective feedback mechanisms include standardized complaint records, automated follow-up and regular reporting system.

- **Standardized records:** Standardized records are the basis of information collection, classification, and processing. The main contents of complaint record list include: the basic situation of the complainant, complaint, replier, and the checking situations.

- **Automated follow-up:** Complaints cover a wide range; only relying on team members can not completely solve the problems, which causes commissioned appropriate professionals or relevant agencies to make replies. This commission will lead to follow-up on complaints handling to ensure that the complainant can get a reply in stipulation time. CRB will avoid delay, omissions, and cheating of replies through computer system to achieve automatic follow-up of complaints, time warning of appeal expiration, and cross-examination by group members to improve efficiency and effectiveness of the group receiving complaints.

- **Periodic reports:** The report is the final step to achieve feedback. In fact, the follow-up procedures have basically realized the information feedback to the project owner and implementation agents, but the feedback only specifically aims at each complaint. Therefore, it is necessary to analyze and report the general situation of all complaints in a certain period of time. These contents include: processing situation of not replied complaints in the last time, disclosed major issues in the new complaints, and proposed approaches and corrective measures. These contents can be reflected in a separate report or in the regular internal monitoring reports.

### 11 Monitoring and Evaluation

Monitoring and evaluation is an important part in the implementation of EMDP and Process Framework. It is an ongoing work to investigate, inspect, monitor and evaluate the implementation of EMDP. In formulating EMDP, monitoring and evaluation program should be compiled in accordance with the activities described in EMDP and Process Framework, and carry out a three-year monitoring and evaluation on the implementation process and results of EMDP. Evaluation report should be submitted each year. Implementation of monitoring and evaluation will be included in the routine supervision and inspection procedures of the World Bank and CRB PMO Xinjiang and CRB PMO Bozhou.

#### 11.1 Objectives of Monitoring and evaluation of ethnic minority development activity

1. To determine whether the actions would follow EMDP, dynamically evaluate the appropriateness of the action plan through continuous monitoring actions of ethnic minority development and evaluating the results, and provide project management decision-making supports for the project owners, implementing agencies, and the World Bank;

2. To propose solutions to the problems that are not implemented under EMDP;

3. To suggest remedies to the actions that are fail to achieve the goals.
11.2 Internal monitoring

Internal monitoring is the project owner and implementing agencies’ continuous internal monitoring of EMDP which relies on top-down management system to grasp the progress of EMDP comprehensively, timely and accurately, find and solve the problems, and provide basis of decision-making for successful implementation of EMDP. It includes monitoring of the project owner and implementing agencies.

11.2.1 Implementation agencies and working procedures

CRB PMO Xinjiang and JPMO are responsible for the internal monitoring on effectiveness and impacts of EMDP and ensure that the project offices and implementation agents to follow the principle of EMDP and implement it according to the schedule. EMDP monitoring and evaluation can be divided into two stages, namely, preparatory stage and implementation stage of monitoring and evaluation.

(1) Preparation of monitoring and evaluation work

Project owners set up an operational office in the preparation stage and arrange the work for internal and external monitoring and evaluation. According to the impact scope of the project, the owners set up a special agency network which is to deal with the business of EMDP, which is equipped with the specialized personnel with operational capacity of ethnic minority development to ensure that the agency network has management ability.

a. Preparation of project owners

- The project owners, as a group leader, set up internal monitoring group for EMDP, which is equipped with the corresponding full-time staff. The key staff to participate in socio-economic survey and compilation of EMDP should be the member of internal monitoring group;
- The project owners organize the trainings for those who engage in EMDP and its implementation in the agency of the project implementation to understand policies of minority development and experience of the World Bank, relevant national policies, compilation of EMDP, and its implementation, monitoring, and evaluation;
- The project owners determine the external monitoring and evaluation consultants, and sign the work contract for monitoring and evaluation;
- The project owners urge external monitoring and evaluation consultants to timely submit the external monitoring and evaluation work plan and preparation for external monitoring and evaluation;
- The project owners declare monitors’ list, the list of responsible persons, telephone, fax and web site to the public.

b. Preparation of the implementing agencies

- The implementing agencies are equipped with the necessary staff and organize trainings;
- The implementing agencies make joint investigation of socio-economic survey and baseline with the project owners and their entrusted professional advisers to establish the information management systems of CRB EMDP;
- The implementing agencies declare monitors’ list, the list of responsible persons, telephone, fax and web site to the public.
(2) Implementation of EMDP Monitoring and Evaluation

The World Bank project manager and community development experts annually conduct at least one inspection to the implementation of EMDP. The inspection will cover the main elements of EMDP. A memorandum will be formed after the inspection. The World Bank project manager will submit written comments on the changes of EMDP, internal monitoring reports and external monitoring and evaluation reports submitted by the project owners after the submission. After this project is finished, the World Bank project managers and community development experts will organize relevant consulting experts to conduct post-evaluation on EMDP.

a. Monitoring and Evaluation Work of the project owners

- The project owners organize the internal monitoring in accordance with EMDP;
- The project owners submit progress report quarterly and provide a detailed internal monitoring report every six months to the World Bank;
- The project owners provide data, materials, and information required by external monitoring and evaluation;
- According to the implementation, the project owners organize to amend EMDP and report these changes timely to the World Bank for approval, and inform the approving opinion to the project offices at all levels and external monitoring and evaluation agency;
- The project owners cooperate and supervise to carry out external monitoring and evaluation activities;
- The project owners declare relevant information to the public, answer questions, and give advice.

b. EMDP implementation monitoring and evaluation of consulting experts

- Consulting experts fulfill the specific implementation plan of routine in accordance with EMDP;
- Consulting experts submit progress report of EMDP and internal monitoring reports to the project owners;
- Consulting experts provide data, materials and information to the external monitoring and evaluation agency;
- Consulting experts receive the supervision and inspection on EMDP implementation of the project owners and the World Bank;
- Consulting experts declare relevant information on EMDP to the public and answer questions.

11.2.2 Purpose and role of internal monitoring

The purpose of internal monitoring is to make the project offices find the problems and changes; accordingly adjust development measures aiming at these problems and changes to realize the program goals. In the process, the role of internal monitoring is reflected in:

(1) Providing decision-making information for the adjustment of the internal organization management and external coordination of the project offices

Rationality and science of the project office management at all levels will greatly affect the efficiency and quality of development actions; at the same time,
implementation of EMDP also involves in the relationship coordination among government departments at all levels, such as Poverty Alleviation Office, Agricultural Development Office, Tourism Bureau, Agriculture and Animal Husbandry Bureau, and Civil Affairs. Therefore, by monitoring, the project offices are able to find these problems and shortcomings, which provide the basis for the adjustment measures.

(2) Providing useful information for decision-making of the project offices at all levels to adjust resources

If the organization management and external coordination is the framework of EMDP, then a variety of resources (human, financial and material resources) is the blood. There are many uncertainties in the implementation of EMDP; therefore, by monitoring, to timely detect a variety of resources that may exist in excess and insufficient provide the basis for the adjustment of resources.

(3) Accumulating experience and achieving procedural learning

Internal monitoring is a continuous feedback which is a process to provide decision-making base for decision-makers. In this process, information accumulation, experience extension, and learning promotion are realized.

11.2.3 Process of internal monitoring

Internal monitoring is a loop system. CRB internal monitoring includes data collection and preliminary analysis, a comprehensive data analysis, reporting and feedback, and restructure and adjustment stages.

(1) Data collection and preliminary analysis stage

The goals of CRB should be guaranteed by development measures, and implementation of these measures mainly relies on the organization of the project offices, process settings and related resource allocation and use. Therefore, the direct object of the internal monitoring data collection is organization, process and resource allocation. The specific content of data collection is a series of key indicators, sub-index and disaggregated indicators shown in two objects.

a. Consultancy expert

Here are mainly consultancy experts monitoring the overall situation, including:

- Coordination: Coordination with relevant agencies outside EMDP, coordination with the internal project offices at all levels, and coordination with the people affected by EMDP which are shown as: joint office, public participation in meetings, seminars, consultation sessions and objective conferences achieve.
- Staff: Staff quality, in place, the training and evaluation and so on.
- Time analysis: Statistics on time spent in each stage of implementing EMDP, calculation of the efficiency of each working procedure, and discovery of bottleneck that hinders the progress.

b. Progress

Here is mainly data collection aiming at the progress of implementing EMDP, including:

- Plan: The reasons for plan adjustment, the number and impact.
- Funds: Availability of funds, payment, usage, consistency and differences with EMDP, and the reasons for such differences.
c. Quality
Here is mainly data collection aiming at the data quality in the process of implementing EMDP, including:

- Complaints and appeals: On complaint and appeal case statistics, consulting experts collect frequency of occurrence of complaints and appeals made by project-affected peasants and herdsmen on the issues, which reflects the quality of ethnic minority development.
- Satisfaction: Through active interviews, consulting experts collect the satisfaction evaluation made by affected peasants and herdsmen (particularly the poor and other vulnerable groups) to every stage of EMDP, and analyze the effect of various activities and the quality of the ethnic minority development.

(2) Comprehensive data analysis
In this stage, the project owners and PMO aggregate and analyze the monitoring reports submitted by the implementation units. Through the vertical (different periods) and horizontal (different implementation areas) comparison, the project owners and PMO examine the implementation and effectiveness of the previous stage measures, integrated evaluating coordination, organization, resource allocation among agencies within the new projects, sum up the problems and some experience worthwhile to be extended, and form the improvements and adjustments for next stage.

(3) Reporting and feedback
During the implementation, every implementing agencies of EMDP at all levels should fill in the monitor report and compile instructions every 6 months, and submit it to the PMO on the 5th in the next month. The PMO will pool and analyze the monitor reports, and hold joint meetings to discuss problems and countermeasures.

(4) Restructure and adjustment
The project owners make decisions for organization, process restructure and adjustment of resources according to the reports and discussions in meetings, and take necessary measures to ensure the progress and quality of ethnic minority development. Implementation of these measures means that the new round of internal monitoring starts.

11.2.4 Internal monitoring standards
Internal monitoring of the specification is to standardize the monitoring information and forms, which make them easy for statistics, comparison, and analysis. CRB internal monitoring forms fall into two categories: basic form and analysis report form.

- The basic form is the table used for the original data collection and statistics. In a process of a project, the format of this table is generally fixed to ensure data consistency and comparability. The basic form is the data source and information base for the analysis report forms.
- The analysis report form is used to calculate, classify, and compare the data in the same form before and after project implementation and data from different forms to understand the relationship and the phenomenon reflected in data through analyzing the contents of the basic form. Therefore, the potential problems can be more comprehensively understood in a process of development action or a
number of processes of associated action developments. The analysis report form approved by the project owners can be increased, reduced or adjusted.

11.2.5 Submitting internal monitoring reports

During the project preparation, the format of the regular or irregular internal working reports written for cooperation with the project processes is different in different projects and stages according to the requirements of the World Bank. After the project is implemented, brief quarterly reports, detailed semiannual and annual reports are needed depending on the project required. The final report is conducted after finishing the implementation of the project. Internal monitoring reports are reported by the implementing agencies of EMDP at all levels to the government at the same level and the implementing agency and project owner at the higher-level.

11.3 External monitoring and evaluation

External monitoring and evaluation is periodical monitoring and objective evaluation of EMDP conducted by organizations or institutions with monitoring and evaluation capacity which are independent of the implementation agencies and project owners. Through field investigations and interviews, external monitoring agencies collect data and information on project implementation and make objective evaluations based on these data and information, then find problems or potential problems, propose opinions and suggestions to solve problems, and feedback to the project owners and the project offices to facilitate the implementation of EMDP for continuous improvement and perfection.

11.3.1 External monitoring consultants

Currently, the consultants from Xinjiang Academy of Social Sciences have been commissioned by the project offices to carry out their independent monitoring and evaluation according to their responsibilities.

11.3.2 Responsibility for external monitoring consultants

(1) According to EMDP, the external monitoring consultants undertake baseline survey of production and living before the implementation.

(2) The external monitoring consultants assist the project owners to train relevant staffs;

(3) The external monitoring consultants undertake regularly follow-up and sampling survey in the project area;

(4) The external monitoring consultants collect social and economic data during implementation of EMDP in the project area, convene the forums participated by the project owners and implementation agency to discuss the appropriateness of minority policies, and make recommendations;

(5) The external monitoring consultants regularly provide monitoring and evaluation reports of EMDP to the project owners;

(6) The external monitoring consultants declare relevant information on implementation of EMDP to the public and answer questions.

The external monitoring consultants will serve as an independent third party in CRB to evaluate the implementation of EMDP and its results, expect the possible problems in the process of achieving EMDP objectives, and propose alternative actions. Specifically, the external monitoring consultants will undertake the following
activities:

- Baseline survey and sampling survey
- Informal interviews
- Public Consultation
- Public complaints

11.3.2.1 Baseline survey and follow-up survey
Baseline survey and follow-up survey are main methods to determine the living standard changes of the affected people, particularly the poor people. To carry out the living standard survey, the external monitoring consultants are required to complete: questionnaire design and testing, training of investigators, the findings of the editing and encoding, the sample extraction of the affected people and registration of the poor peasants and herdsmen. For the Kekebasasitao settlement a data monitoring file for each individual household should be used. The same may perhaps be viable for Guertu settlement herdsmen depending on the number of herdsmen affected by the protected area.

11.3.2.2 Informal interviews
The external monitoring consultants interview the affected people and poor peasants and herdsmen informally, using observation method to supplement and amend the insufficiency in formal interviews. Specific methods include: focus group discussions, household visits, visiting local experts with local knowledge, on-site observation on participants and implementation process.

11.3.2.3 Public Consultation
The external monitoring consultants will periodically organize public consultation for the affected people by classification and zoning. The representatives of the vulnerable groups, particularly women, are invited in each meeting. By monitoring these meetings, the external monitoring consultants will gather information and evaluate:

- Participation of the affected and poor people;
- Issues which the affected and the poor people are concerned about for implementation results;
- The affected people and the poor understanding of EMDP and actual results of the measures;
- Other wishes and requirements from the affected people and the poor.

The external monitoring consultants will promptly report the results of public participation and consultation to CRB PMO Xinjiang, illustrate public participation and consultation during the implementation of EMDP in a special chapter of monitoring and evaluation reports submitted in the written form.

11.3.2.4 Public complaints
The external monitoring consultants have a group receiving complaints to set up a hotline and email to receive and accept the complaints from the affected people.

The external monitoring consultants will regularly test and follow some of the complaints’ handling process and the complainant's satisfaction according to the record list of complaints, understand the operation and effects of complaints, and if necessary, suggest amendments to make the process more smooth and effective.
11.3.3 Monitoring indicators
The external monitoring consultants will provide the following indicators in preparation and implementation of EMDP to CRB PMO Xinjiang:

(1) CRB PMO
- Consistency between Ethnic Minority Development Actions and the Policies
- Organization and management, internal control and its suitability of CRB PMO network
- Accuracy of the internal monitoring reports

(2) Progress of ethnic minorities development
- Capital adequacy and timely preparation
- Extent of implementing the developmental measures (such as the use of labor, employment, skill training, etc.)
- CWG activities
- Satisfaction on the progress of EMDP implementation

(3) Improvement of life and production
- Capacity improvement of the affected people, especially the poor peasants
- Improvement of infrastructure
- Production improvement of the affected enterprises (pasture, farm)
- Results of demonstration and test

(4) Others
- Adequacy and rationality of public consultation and participation
- Hearing and resolving the complaints from the affected people

11.3.4 Submitting the external monitoring and evaluation reports
Each year, the external monitoring consultants submit a monitoring and evaluation report to the project owners from the beginning of the ethnic minority development actions to the end. Before the start of EMDP, the external monitoring consultants conduct a sampling survey of the affected people and an overall baseline survey of the poor, and submit the report of the baseline survey. After EMDP, they will conduct a summative evaluation, and submit the summary evaluation report. According to the project implementation or project management needs, they will conduct special investigation and submit reports.

11.3.5 Follow-up actions after the report
After the external monitoring consultants submit monitoring and evaluation report each time, CRB PMO Xinjiang will discuss issues confirmed in the reports with external monitoring consultants and other relevant agencies, propose follow-up action program. Each monitoring and evaluation report includes:
- Reporting the solutions, the implementation and effects of the problems confirmed in the previous report;
- Reporting by the follow-up actions taken by the relevant agencies after the discussion in the previous report.

12 EMDP budget and fund plan
12.1 Compensation for access to part of the pasture use rights (for herdsmen of Guertu Township of Wusu City)
Compensation for access to the traditional pasture of Guertu Township in Aibi
Nature Reserve, in accordance with the 5th stipulation in the New Deal (1997) document "Xinjiang grassland management fee collection and management", should abide by the following terms:

Collected by area: 15000 mu Spring and Autumn pasture, 20 Yuan / 1000 mu, namely, 300 Yuan / year. Or, the central government provides 6 Yuan/mu per year financial compensation for forbidden grazing in critical zones in 2010 after Xinjiang starts the institution of grassland ecological benefit compensation.

12.2 With establishment of medical clinic and drugs, 200,000 Yuan
12.3 Local herdsmen training, 300 persons (times), 100 Yuan for each person (time), total 30,000 Yuan.
12.4 Absorbing 10 local herdsmen as members of management and protection for the protected area as an alternative livelihood, per person per year 20,000 Yuan × 4 years, total 800,000 Yuan.
12.5 All local people into the coverage of government minimum subsistence as the poverty alleviation. Each household is distributed 300 Yuan poverty relief fund each year by the protected area. The total is 61,200 Yuan (51 households × 300 Yuan × 4 years).
12.6 Landmark and signboard demarcating the boundary of forage pasture, 20 thousand Yuan.