

联合国开发计划署-全球环境基金

UNDP-GEF

中国典型水土流失区退化天然林用地修复  
与管理项目

社会与环境保护专家  
工作大纲

2024年7月29日

国家林业和草原局生态建设工程管理中心

# Terms of Reference

## Social & Environmental Safeguards Specialist

### Project title

UNDP-GEF Restoration of Degraded Natural Forests and Soil Erosion Management Improvement in Erosion-Prone Regions of China

<b>Consultancy Title:</b>	Social & Environmental Safeguards Specialist
<b>Project ID:</b>	00119054/PIMS 6489
<b>Type of Contract:</b>	Individual Contract
<b>Duty Station:</b>	Home-based, require travel to project sites. Travel locations: Fujian-Changting, Chongqing-Wuxi, Guizhou-Libo, Yunnan-Xishuangbanna, Gansu-Xiaolongshan.
<b>Languages Required:</b>	English and Chinese
<b>Expected Starting Date:</b>	August 20, 2024
<b>Expected duration of Contract:</b>	50 working days From August 20, 2024 to August 20, 2025

### 1. Background

The UNDP-GEF Project “Restoration of Degraded Natural Forests and Soil Erosion Management Improvement in Erosion-Prone Regions of China” has been funded by the Global Environment Facility (GEF), implemented by United Nations Development Programme (UNDP), and executed by Ecological Rehabilitation Program Management Center (ERPMC) of National Forestry and Grassland Administration (NFGA) of People’s Republic of China (PRC). The project implementation cycle is 5 years (from 1 December 2022 to 30 November 2027).

While China has been able to increase its overall forest cover, the quality of forests remains relatively low. Despite the increase in tree coverage, this has not led to improved forest function. For instance, soil retention in many areas has not improved, proving that current efforts are insufficient to address the negative impacts from the decades of deforestation. Similarly, other ecosystem services provided by Natural Forest Use Land (NFUL), in particular, services related to soil improvement and surface runoff are weak. The challenge of restoring NFUL is difficult, considering that many regions have an ecologically fragile environment and poor soil quality.

The project responds to the degraded natural forests and removes the barriers in the soil erosion-prone regions of China through cooperative, innovative and strategic approaches, supports the Government of China’s effort to meet the national Land Degradation Neutrality (LDN) targets by strengthening policy and incentive frameworks, enhancing institutional and individual capacities, improving the ecosystem services in these areas, safeguarding globally significant biodiversity, and leveraging expanded sources of financing for sustainable management of NFUL.

The Project Objective is to mainstream sustainable Forest Landscape Restoration (FLR) and LDN for improving flows of ecosystems services of degraded NFUL in soil erosion-prone regions of

China, based on a multi-level governance and landscape approach. The project objectives will be achieved through four interrelated components with

- Component 1: Institutional Strengthening for Forest Landscape Restoration of Natural Forest Use Land;
- Component 2: Demonstration and upscaling of innovative participatory FLR interventions;
- Component 3: Incentive systems for durable investment in sustainable management of NFUL; and
- Component 4: Coordination, Knowledge Management, and Monitoring and Evaluation.

The five demonstration landscapes include Xiaolongshan Forestry Center in Gansu Province, Wuxi County in Chongqing Municipality, Xishuangbanna area in Yunnan Province, Libo County in Guizhou Province, and Changting County in Fujian Province.

The full project document is available upon request.

## **2. Social and Environmental Safeguards**

UNDP's Social and Environmental Standards (SES) underpin our commitment to mainstream social and environmental sustainability in our Programmes and Projects to support sustainable development. The objectives of the standards are to:

- Strengthen the social and environmental outcomes of Programmes and Projects;
- Avoid adverse impacts to people and the environment;
- Minimize, mitigate, and manage adverse impacts where avoidance is not possible;
- Strengthen UNDP and partner capacities for managing social and environmental risks;
- Ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people.

A key mechanism to ensure these standards are applied is through UNDP's project-level Social and Environmental Screening Procedure (SESP) which is a requirement for all proposed projects. The objectives of the SESP are to: (a) Integrate the SES Overarching Principles (human rights, gender equality and environmental sustainability); (b) Identify potential social and environmental risks and their significance; (c) Determine the Project's risk category (Low, Moderate, High); and (d) Determine the level of social and environmental assessment and management required to address potential risks and impacts.

The SESP and Environmental and Social Management Framework (ESMF) developed during the project preparation grant (PPG) phase identified nine risks, all of them carrying moderate risk ratings. Given this, the Social & Environmental Safeguards Specialist will assist the Project Management Office (PMO) in advancing the project's compliance with the UNDP SES in accordance with requirements for projects carrying moderate safeguards risks.

## **3. Scope of work**

The ERPMC, in collaboration with the UNDP China, is seeking a Chinese social and environmental safeguard specialist (hereafter the Specialist) with international and national experience. Under the overall supervision and guidance of UNDP and daily management of NPMO, the Social & Environmental Safeguards Specialist will work closely with the Project

Manager, M&E Officer, Gender-Safeguard Specialist, part-time consultants, and subcontractors to scope out the SES work required; assess safeguards risk management including gender equality and social inclusion implemented to date, screen remaining activities for environmental safeguard risks (using the updated template) and jointly deliver the required SES assessments and management instruments, with the NPMO serving in a coordination and technical advisory role; provide training to enable better understanding on safeguard issues for relevant stakeholders and how the project's SES instruments should be implemented and monitored; and to share good examples and best practices on monitoring and reporting.

The overall purpose of the consultancy is to carry out the relevant risk screenings and assessments, guide and review safeguards deliverables developed by other relevant consultants and subcontractors to make sure they are in line with UNDP's SES Policy and national regulatory frameworks and requirements. The Specialist will work 50 days for the project (UNDP-GEF PIMS ID number: 6489), and complete all the tasks no later than April 20, 2025. Deliverables from this specialist will be subject to rigorous quality assurance review by an international SES expert, selected from the UNDP RBAP regional LTA roster.

The Specialist will be responsible for the following outputs and related activities:

**a) Prepare a work plan, review the project existing safeguard documents and plans and develop a Review Report, and update SESP (using the 2021 template) as needed.**

This document review and analysis will identify data availability and gaps, ensure the availability of data/information from different sources are sufficient and satisfies SES requirements. The documents include but not limited to:

- (i) Social and Environmental Screening Procedure (SESP) (Annex 5 to Prodoc);
- (ii) Environmental and Social Management Framework (ESMF) (Annex 10a);
- (iii) Participatory Landscape Assessment (Annex 10b);
- (iv) Indigenous Peoples Planning Framework (Annex 10c);
- (v) Livelihood Viability Screening Assessments (Annex 10d)
- (vi) Stakeholder Engagement Plan (Annex 8);
- (vii) Gender Analysis and Action Plan (Annex 11);,
- (viii) A Climate and Disaster Risk Screening (Annex 17);,
- (ix) A COVID-19 Analysis and Action Framework (Annex 18);
- (x) 2023 Project Progress Report;
- (xi) other deliverables relevant to SES work.

**Key deliverables: A work plan, review report, updated SESP as needed**

**b) Risk assessment and management.** Based on the ESMF, SESP, assessments and management frameworks, and on-site research at project sites (visit at least three sites), provide guidance, assess, review and revise safeguard deliverables developed by consultants and subcontractors, prepare a comprehensive targeted risk assessment and management report including all required safeguard deliverables and mitigation, monitoring and institutional measures to implement relevant risk management plans so as to ensure the project's full compliance with the requirements of UNDP's Social and Environmental Standards, including:

- (i) SESA principles and methods to be incorporated into the development of policy frameworks

and the 5 NFUL landscape strategies under Component 1, and the development of ecological compensation pilots (Output 3.1);

- (ii) ESIA methods and content to be incorporated into the 5 Participatory Landscape Assessments (Output 2.1);
- (iii) ESMPs to be incorporated into the 5 NFL Demonstration and Management Plans; (Output 2.1 and 2.2);
- (iv) Livelihoods Action Plans to be developed under Output 2.2 (following Livelihood Viability Assessments);
- (v) An Ethnic Minorities (Indigenous Peoples) Plan for each of the 5 NFUL landscapes.

**Key deliverables: Targeted risk assessment and management report including all required safeguard deliverables and mitigation, monitoring and institutional measures to implement relevant risk management plans**

c) **Capacity building** for SES measures including SESA, ESIA, ESMP, IPP, etc., and workshops on how to ensure better implementation of specific plans, and enhance monitoring and reporting to equip relevant stakeholders with better awareness and understanding of SES compliance, conducting exchange of experience with Safeguards Specialists in five landscapes, with particular attention given to FPIC and operation of the Grievance Redress Mechanism (GRM).

**Key deliverables: Training material and workshops**

#### 4. Expected outputs and deliverables

No.	Deliverables	Duration (work days)	Tentative Date	Payment (%)	Review and Approval Required
1	Work plan. Review report and the updated SESP (using the 2021 template) as needed.	5	September , 2024	20%	UNDP NPMO(National Project Management Office)
	Capacity building for SES measures including SESA, ESIA, ESMP, FPIC if applied and enhance the implementation of management plans and workshops on sharing the related experience abroad with the five landscapes.	5	2024-2025		
2	On-site research at project sites (visit at least three sites ). Targeted assessment and management report;	25	September - December, 2024	50%	UNDP NPMO

3	Submit SES documents and revision based on review comments before the final SES package is approved by UNDP (including targeted assessment and management Report, and other SES documents as required).	15	March, 2025	30%	UNDP NPMO
	Total	50			

### 5. Payment Schedule

Scope of Price Proposal and Schedule of Payments:

- a) Financial proposals must be expressed on the basis of “a daily fee” in US Dollars.
- b) Any travel expenses will be paid for directly by NPMO and should not be included in the price proposal.
- c) Payment will be made according to the following schedule:
  - **First payment:** 20% contract price shall be paid following submitting the work plan, Review Report, and the updated SESP as needed; preparing training materials and conducting capacity building activities on SES measures including SESA, ESIA, ESMP, FPIC.
  - **Second payment:** 50% contract price shall be paid following completion of on-site research at project sites (at least three), draft targeted assessment and management report.
  - **Third payment:** 30% contract price shall be paid after the final SES package is submitted and approved by UNDP (including targeted assessment and management Report, and other SES documents as required), conducting workshops on experience change and measures to better implement SES management plans.

### 6. Information on Working Arrangements

During the entire assignment period,

- The Specialist will work under the direct guidance of National Project Director and will work closely with NPMO and PPMOs’ teams;
- The Specialist will be given access to relevant information necessary for execution of the tasks under this assignment;
- Payments will be made upon submission of a detailed time sheet and work report, and acceptance and confirmation by the NPMO, on days worked (with a “day” calculated as 8 hours of work) and outputs delivered. If the quality does not meet standards or requirements, the Specialist will be asked to rewrite or revise (as necessary) the document before proceeding to payment.

### 7. Competencies

- Demonstrates integrity by modelling the UN’s values and ethical standards;
- Promotes the vision, mission and strategic goals of the UN;
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability;
- Treats all people fairly without favouritism.

## **8. Education & Experience**

- Master's degree or above in environment, sociology, economics, development, community-based natural resource management or a closely related field;
- At least 10 years of experience related to social and environmental standards and impact assessment in an international development context; previous experience in supporting UNDP/GEF will be an added advantage;
- Knowledge of gender equality and women's empowerment (including gender mainstreaming and gender analysis); community engagement;
- Demonstrated knowledge of cultural heritage (including physical and intangible cultural resources); displacement and resettlement (including Livelihoods Recovery Action Plan);
- Experience working with indigenous peoples/ethnic minorities (including Free, Prior and Informed Consent, Indigenous Peoples Plans);
- Demonstrated experience in developing or maintaining project-level ESIA, ESMP and GRM related to biodiversity and land degradation projects;
- Experience related to social and environmental safeguards and/or impact assessment in an international development context;
- Good communication and coordination skills with project areas and institutions;
- Excellent working knowledge of English and fluency in Mandarin;
- Prior experience in application of safeguard standards in China as an asset;

## **9. Characteristics of the Consultancy**

- Category and Modality of the Consultancy: Individual Consultancy
- Contract Duration: 12 months (50 days)
- Place of work: External Consultancy
- Manager or Coordinator: Report to and work under the guidance of UNDP, while seeking inputs from the related specialists in PMOs, UNDP China Office and the UNDP Regional Technical Advisor (RTA).

# 社会与环境保障专家 工作大纲

## 项目名称

UNDP（联合国开发计划署）-GEF（全球环境基金）中国典型水土流失区退化天然林用地修复与管理项目

咨询名称:	社会与环境保障专家
项目 ID:	00119054/PIMS 6489
合同类型:	个人合同
工作地点:	在家办公，需要出差到项目景观区。出差地点：福建-长汀、重庆-巫溪、贵州-荔波、云南-西双版纳、甘肃-小陇山。
所需语言:	英语和汉语
预计开始日期:	2024年8月20日
预计合同期限:	50个工作日 2024年8月20日至2025年8月20日

## 1. 背景

UNDP-GEF“中国典型水土流失区退化天然林用地修复与管理项目”是由全球环境基金通过联合国开发计划署援助的国际项目，项目国内合作机构是国家林业和草原局，由生态建设工程管理中心负责执行和具体实施。项目实施期从2022年12月1日开始到2027年11月30日结束，共计五年。

项目将借鉴国际上天然林保护修复的先进理念和实践经验，通过加强政策和激励机制、提高机构和个人能力、改善区域生态系统服务流、保护全球重要生物多样性以及扩大天然林用地（NFUL）可持续管理融资，支持中国政府实现土地退化零增长（LDN）的目标。



项目目标将通过四个相互关联的组分来实现：（一）天然林用地森林景观恢复（FLR）的机制强化；（二）示范及推广创新的参与式森林景观恢复(FLR)方法；（三）天然林用地可持续管理的持久投资激励机制；以及（四）协调，知识管理，监测与评估。

项目五个景观区包括福建长汀县、重庆巫溪县、贵州荔波县、云南西双版纳和甘肃小陇山。完整的项目文件可供索取。

## 2. 社会 and 环境保护措施

UNDP 的社会和环境标准（SES）支持我们将社会和环境可持续性纳入支持可持续发展的方案和项目的主流。这些标准的目标是：

- 加强方案和社会和环境成果；
- 避免对人和环境造成不利影响；
- 在无法避免的情况下，尽量减少、缓解和管理不利影响；
- 加强开发署和合作伙伴管理社会和环境风险的能力；
- 确保利益相关者充分有效的参与，包括通过一个机制来回应受项目影响的人的投诉。

确保这些标准得到应用的一个关键机制是通过 UNDP 的项目级社会和环境筛选程序（SESP）这是所有拟议项目的一项要求。SESP 的目标是：（a）纳入 SES 总体原则（人权、性别平等和环境可持续性）；（b）识别潜在的社会和环境风险及其重要性；（c）确定项目的风险类别（低、中、高）；和（d）确定解决潜在风险和影响所需的社会和环境评估和管理水平。

在项目准备（PPG）阶段制定的 SESP 和环境与社会管理框架（ESMF）确定了九项风险，所有这些风险等级为中风险。鉴于此，社会和环境保障专家将协助项目管理办公室（PMO）根据具有中等保障风险的项目的要求，推进项目符合开发署 SES 的要求。

## 3. 工作范围

国家林草局生态中心与联合国开发计划署驻华代表处合作，正

在寻找一位具有国际和国内经验的中国社会和环境保障专家（以下简称专家）。在联合国开发计划署的全面监督和指导以及国家项目办的日常管理下，社会与环境保障专家将与项目经理、监测评估官员、性别保障专家、兼职咨询专家和分包商密切合作，确定所需的 SES 工作范围；评估迄今为止实施的保障风险管理，包括性别平等和社会包容，筛选剩余的环境保障风险活动（使用更新的模板），并共同提供所需的 SES 评估和管理工具，为国家项目办发挥协调和技术咨询作用；提供培训，使相关利益相关者更好地了解保障问题，以及如何实施和监测项目的 SES 工具；并分享监测和报告方面的良好范例和最佳做法。

咨询的总体目的是进行相关的风险筛查和评估，指导和审查其他相关专家和分包商制定的保障交付成果，以确保其符合 UNDP 的 SES 政策和国家监管框架和要求。该专家将为项目工作 50 天，并最迟于 2025 年 4 月 20 日完成所有任务。该专家的交付成果将由从 UNDP 亚太区域局区域长期协议名册中选出的国际 SES 专家进行严格的质量保证审查。

该专家将负责以下产出和相关活动：

**(a)编制工作计划，审查项目现有保障文件和计划，编制审查报告，并根据需要更新 SESP（使用 2021 模板）。**

这个文件审阅和分析报告将确定数据可用性和差距，确保来自不同来源的数据/信息的可用性是足够的，并满足 SES 的要求。文件包括但不限于：

- (xii) 社会和环境筛选程序（SESP）（附件 5）；
- (xiii) 环境和社会管理框架（ESMF）（附件 10A）；
- (xiv) 参与式景观评估（附件 10B）；
- (xv) 原住民规划框架（附件 10C）；
- (xvi) 生计可行性筛选评估（附件 10D）
- (xvii) 利益相关者参与计划（附件 8）；

- (xviii) 性别分析和行动计划（附件 11）；
- (xix) 气候和灾害风险筛查（附件 17）；
- (xx) COVID-19 分析和行动框架（附件 18）；
- (xxi) 2023 项目进展报告；
- (xxii) 与 SES 工作相关的其他可交付成果。

主要可交付成果：工作计划、审查报告、根据需要更新的 SESP

(b) 风险评估和管理。根据 ESMF、SESP、评估和管理框架以及实地调研（至少访问三个项目点），提供指导，评估、审查和修订专家和分包商制定的保障交付成果，编写一份全面的有针对性的风险评估和管理报告，包括所有要求的保障交付产出以及实施相关风险管理计划的缓解、监测和制度措施，以确保项目完全符合开发署社会和环境标准的要求，包括：

- (i) 将 SESA 原则和方法纳入组分下的 1 的政策框架和 5 个 NFUL 景观战略的制定，以及生态补偿机制的制定（产出 3.1）；
- (ii) ESIA 的方法和内容纳入 5 项参与式景观评估（产出 2.1）；
- (iii) ESMP 将纳入 5 个 NFUL 示范和管理计划；（产出 2.1 和 2.2）；
- (iv) 根据产出 2.2（在生计可行性评估之后）制定生计行动计划；
- (v) 5 个 NFUL 景观中的每一个都有少数民族（原住民）计划。

主要交付成果：有针对性的风险评估和管理报告，包括实施相关风险管理计划所需的所有保障交付成果及缓解、监测和制度措施

(c) SES 措施的能力建设，包括 SESA、ESIA、ESMP、IPP 等，以及关于如何确保更好地实施具体计划的研讨会，并加强监测和报告，以使利益相关者更好地认识和理解 SES 合规性，与五个景观区的专家进行经验交流，特别关注 FPIC 和申诉补偿机制（GRM）的运作。

主要成果：培训材料和研讨会

#### 4.预期产出和可交付成果

序号	可交付成果	工作时间 (工作日)	暂定 日期	付款 比例	所需审查和 批准
1	工作计划。 审查报告，根据需要更新 SESP（使用 2021 模 板）。	5	2024 年 9 月	20%	UNDP 国家项目办 (NPMO)
	SES 措施的能力建设，包 括 SESA、ESIA、ESMP、 FPIC（如适用），并加强 管理计划的实施；与五个 景观分享国外相关经验的 研讨会。	5	2024- 2025		
2	实地调研（至少访问三个 景观区）。 有针对性的评估和管理报 告；	25	2024 年 9-12 月	50%	UNDP NPMO
3	根据审查意见提交 SES 文 件和修订版文件包（包括 有针对性的评估和管理报 告，以及所需的其他 SES 文件），获得 UNDP 最终 认可。	15	2025 年 3 月	30%	UNDP NPMO
	总数	50			

#### 5.付款时间表

报价范围和付款时间表：

a) 财务方案必须以美元“每日费用”表示。

b) 必要的差旅费用将由国家执行办公室直接支付，不包含在价格提案中。

c) 将根据以下时间表支付：

第一次付款：支付合同总额的 20%。工作包括提交工作计划、审查报告和根据需要更新 SESP；就 SES 措施（包括 SESA、ESIA、ESMP、FPIC）准备培训材料并开展能力建设活动。

第二次付款：支付合同总额的 50%。工作包括在完成项目现场调研（至少三次）、起草针对性评估和管理报告。

第三次付：支付合同总额的 30%。工作包括提交最终 SES 包并经 UNDP 批准（包括目标评估和管理报告，以及所需的其他 SES 文件），并就经验变化和措施举办研讨会，以更好地实施 SES 管理计划。

## 6.关于工作安排的信息

在整个任务期间，

- 专家将在国家项目主任的直接指导下工作，并将与 NPMO 和 PPMO 的团队密切合作；
- 专家将获得执行本任务项下任务所需的相关信息；
- 付款将在提交详细的时间表和工作报告，并由国家项目办验收和确认后，按工作日（“日”计算为 8 小时工作）和交付的产出支付。如果质量不符合标准或要求，专家将被要求在付款前重写或修改（如有必要）文件。

## 7.能力

- 通过树立联合国的价值观和道德标准来展示诚信；
- 促进联合国的愿景、使命和战略目标；
- 表现出文化、性别、宗教、种族、国籍和年龄敏感性和适应性；
- 公平对待所有人，不偏袒任何人。

## 8.教育和经验

- 环境、社会学、经济学、发展、社区自然资源管理或相关领域的硕士或以上学位；
- 至少 10 年与国际发展背景下的社会和环境标准及影响评估相关的经验；以往支持 UNDP/GEF 的经验将是一个额外的优势；
- 性别平等和妇女赋权知识（包括性别平等主流化和性别分析）；社区参与；
- 展示文化遗产知识（包括物质和非物质文化资源）；流离失所和重新安置（包括生计恢复行动计划）；
- 与土著人民/少数民族合作的经验（包括自由、事先和知情同意、原住民计划）；
- 在开发或维护与生物多样性和土地退化项目相关的项目级 ESIA、ESMP 和 GRM 方面拥有丰富的经验；
- 在国际发展背景下的社会和环境保障和/或影响评估方面的经验；
- 良好的与项目领域机构的沟通和协调能力；
- 优秀的英语工作能力和流利的普通话；
- 具有在中国应用保障标准的先前经验将是额外的优势

## 9.咨询的特点

- 咨询类别和方式：个人咨询
- 合同期限:12 个月（50 个工作日）
- 工作地点：外部咨询
- 经理或协调员：向 UNDP 报告并在其指导下工作，同时寻求项目管理办公室、UNDP 驻华代表处和 UNDP 区域技术顾问（RTA）的相关专家的意见。