

JAPAN INTERNATIONAL COOPERATION AGENCY (JICA)
GUIDELINES FOR ENVIRONMENTAL AND SOCIAL CONSIDERATIONS
(Translation of Japanese Version)

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List of Acronyms

EIA	Environmental Impact Assessment
IEE	Initial Environmental Examination
JICA	Japan International Cooperation Agency
MOFA	Ministry of Foreign Affairs
OECD	Organization for Economic Cooperation and Development
TOR	Terms of Reference

Preface

Owing to the recent increase of public interest in environmental issues, Principle 17 of the Rio Declaration on Environment and Development proclaims that an environmental impact assessment (EIA), as a national instrument, shall be undertaken for proposed activities that are likely to have a significantly adverse impact on the environment and that are subject to the decisions of a competent national authority.

Agenda 21 proposes that governments should promote the development at the national level of appropriate methodologies for making integrated energy, environment, and economic policy decisions for sustainable development, inter alia, through an EIA (9.12(b)).

The Universal Declaration of Human Rights makes clear a common standard of achievement for all peoples and all nations: to promote respect for human rights and freedoms, and to secure their universal and effective recognition and observance. Environmental and social considerations refer not only to the natural environment, but also to social issues such as involuntary resettlement and respect for the human rights of indigenous peoples.

In 1985, the Organization for Economic Cooperation and Development (OECD) Council Recommendation on the Environmental Assessment of Development Assistance Projects and Programs was endorsed. Since then, multilateral donors—including the World Bank and main bilateral donors—have prepared guidelines for environmental considerations and have applied them while implementing Official Development Assistance (ODA).

Until now, the JBIC Guidelines for the Confirmation of Environmental and Social Considerations (2002) and the JICA Guidelines for Environmental and Social Considerations (2004) have been applied to Loan aid and technical cooperation, respectively.

When the law concerning the independent administrative institution Japan International Cooperation Agency (JICA) was revised in June 2006, JICA, an implementing agency of the Japanese ODA, came to manage three forms of assistance—technical cooperation, Loan aid, and Grant aid—in an integrated fashion through a merger of the JICA and JBIC wings of the ODA after the effectuation of the law in October 2008. Due to this situation, two sets of guidelines were integrated based on the characteristics of three schemes. JICA established a committee for revising its guidelines for environmental and social considerations. The members of this committee came from universities, non-governmental organizations (NGOs), the private sector, and related ministries, and meetings of the committee were open to the public. In addition to the discussions of the committee, the

guidelines were prepared through public comments and consultation processes in order to ensure their transparency and accountability.

JICA's Business Protocol and Mid-term Plan clearly state that JICA implements cooperation activities in accordance with the guidelines. JICA encourages host country governments, including local governments, borrowers, and project proponents, to implement the appropriate measures for environmental and social considerations when engaging in cooperation activities. At the same time, JICA provides support for and examinations of environmental and social considerations in accordance with the guidelines.

When encouraging the appropriate consideration of environmental and social aspects, it is JICA's policy to provide active support to projects that promote environmental conservation and to projects that contribute to the protection of the global environment, such as attempts to reduce greenhouse gas emissions. JICA also has a policy of being actively involved in supporting the enhancement of environmental and social considerations in developing countries.

1. Basic Matters

1.1 Policy

Japan's ODA Charter states that in formulating and implementing assistance policies, Japan will take steps to assure fairness. This will be achieved by giving consideration to the conditions of the socially vulnerable and to the gap between rich and poor, as well as the gaps among various regions in developing countries. Furthermore, when implementing ODA, great attention will be paid to factors such as environmental and social impacts on developing countries.

JICA, which is responsible for ODA, plays a key role in contributing to sustainable development in developing countries. The inclusion of environmental and social costs in development costs and the social and institutional framework that makes such inclusion possible are crucial for sustainable development. Internalization and an institutional framework are requirements for measures regarding environmental and social considerations, and JICA is required to have suitable consideration for environmental and social impacts.

Democratic decision-making is indispensable for environmental and social considerations. It is important to ensure stakeholder participation, information transparency, accountability, and efficiency, in addition to respect for human rights, in order to conduct an appropriate decision-making process.

In this context, with respect to human rights and in view of the principles of democratic governance, the measures for environmental and social considerations are implemented by ensuring a wide range of meaningful stakeholder participation and transparency of decision-making, as well as by working for information disclosure and by ensuring efficiency. Governments bear the responsibility for accountability, but at the same time stakeholders are responsible for their comments.

Owing to the issues discussed above, JICA always considers environmental and social impacts when implementing cooperation projects.

1.2 Objectives

The objectives of the guidelines are to encourage Project proponents etc. to have appropriate consideration for environmental and social impacts, as well as to ensure that JICA's support for and examination of environmental and social considerations are conducted accordingly. The guidelines outline JICA's responsibilities and procedures, along with its requirements for project proponents etc., in order to facilitate the achievement of these objectives. In doing so, JICA endeavors to ensure

transparency, predictability, and accountability in its support for and examination of environmental and social considerations.

1.3 Definitions

1. “Environmental and social considerations” means considering environmental impacts including air, water, soil, ecosystem, flora, and fauna, as well as social impacts including involuntary resettlement, respect for the human rights of indigenous people, and so on.
2. “Project proponents etc.” stands for host countries and host country governments, including local governments, borrowers, and project proponents.
3. “Cooperation projects” include the following: (1) Loan aid, (2) Grant aid (excluding projects executed through international organizations), (3) Preliminary studies of grant aid undertaken by the Ministry of Foreign Affairs (MOFA), (4) Technical cooperation for development planning, and (5) Technical cooperation projects, undertaken by JICA.
4. “Projects” are undertakings that project proponents etc. conduct and that JICA supports.
5. “Environmental and social considerations studies” include baseline surveys, predicting and evaluating the adverse impacts and likely impacts that projects may have on the environment and on local society, and mitigation measures to avoid and minimize these.
6. “Environmental impact assessment” includes evaluating the environmental and social impacts that projects are to have, analyzing alternative plans, and preparing adequate mitigation measures and monitoring plans in accordance with the laws or guidelines of host countries.
7. A “strategic environmental assessment” is an assessment that is implemented at the policy, planning, and program levels, but not a project-level EIA.
8. “Support for environmental and social considerations” means offering project proponents etc. assistance by conducting environmental and social considerations studies, analyzing countermeasures, accumulating knowledge and experience, developing human resources, and so on.
9. An “examination of environmental and social considerations” is a confirmation of the measures taken by project proponents etc. to meet the requirements of the guidelines in view of the project’s characteristic features and the inherent nature of the affected countries and/or area.
10. “Screening” means deciding whether proposed projects are likely to have impacts that need to be assessed by conducting environmental and social considerations studies according to project description and site description. JICA conducts screening by classifying proposed projects into four categories: A, B, C, and FI.
11. “Scoping” means choosing alternatives for analysis, a range of significant and potentially significant impacts, and study methods.
12. “Local stakeholders” means affected individuals or groups (including illegal dwellers) and local NGOs. “Stakeholders” are individuals or groups who have views about cooperation projects,

including local stakeholders.

13. The “Advisory Committee for Environmental and Social Considerations” is a third-party council that consists of external experts and provides advice regarding JICA’s support for and examination of the environmental and social considerations of cooperation projects.

14. “Follow-up activities” range from the confirmation that project proponents etc. reflect the conclusions of environmental and social considerations studies in Technical Cooperation for Development Planning, to the implementation of plans.

15. “Terms of Reference” (TOR) are a set of administrative, procedural, and technical requirements.

16. An “Environmental Impact Assessment (EIA) level study” is a study that includes the analysis of alternative plans, the prediction and assessment of environmental impacts, and the preparation of mitigation measures and monitoring plans based on detailed field surveys.

17. An “Initial Environmental Examination (IEE) level study” is a study that includes an analysis of alternative plans, a prediction and assessment of environmental impacts, and a preparation of mitigation measures and monitoring plans based on easily available information including existing data and simple field surveys.

18. An “agreement document” details an agreement between JICA and project proponents etc. to implement cooperation projects; these documents include Loan Agreements (L/A) for Loan aid, Grant Agreements (G/A) for grant aid, and others.

19. A “preparatory survey” is a survey that prepares JICA cooperation programs and also identifies and prepares individual projects by confirming relevance, effectiveness, efficiency, etc.

20. A “JICA cooperation program” is a strategic framework for assisting developing countries in achieving their specific mid- to long-term development objectives (including cooperation objectives and appropriate cooperation scenarios that will help to achieve them).

21. “Project formation” is a type of preparatory survey that identifies and prepares a project to be supported by Loan aid, grant aid, or technical cooperation projects; it also confirms the relevance, effectiveness, efficiency, etc. of the project.

22. “Detailed design study” is a study that decides the detailed plan of a project such as project objective, confirmation of feasibility, scale of input and activities, and it is conducted after the approval of the project by MOFA.

1.4 Basic Principles Regarding Environmental and Social Considerations

While project proponents etc. bear the ultimate responsibility for the environmental and social considerations of projects, JICA supports and examines appropriate environmental and social considerations undertaken by project proponents etc. to avoid or minimize development projects’ impacts on the environment and local communities, and to prevent the occurrence of unacceptable adverse impacts. JICA thus promotes sustainable development in developing countries.

In these guidelines, JICA has created clear requirements regarding environmental and social considerations, which project proponents etc. must meet. JICA provides project proponents etc. with support in order to facilitate the achievement of these requirements through the preparation and implementation of cooperation projects. JICA examines undertakings by project proponents etc. in accordance with the requirements, and makes adequate decisions regarding environmental and social considerations on the basis of examination results.

JICA recognizes the following seven principles to be very important.

1. A wide range of impacts must be addressed.

The types of impacts addressed by JICA cover a wide range of environmental and social issues.

2. Measures for environmental and social considerations must be implemented from an early stage to a monitoring stage.

JICA applies a Strategic Environmental Assessment (SEA) when conducting Master Plan Studies etc., and encourages project proponents etc. to ensure environmental and social considerations from an early stage to a monitoring stage.

3. JICA is responsible for accountability when implementing cooperation projects.

JICA ensures accountability and transparency when implementing cooperation projects.

4. JICA asks stakeholders for their participation.

JICA incorporates stakeholder opinions into decision-making processes regarding environmental and social considerations by ensuring the meaningful participation of stakeholders in order to have consideration for environmental and social factors and to reach a consensus accordingly. JICA replies to stakeholders' questions. Stakeholders who participate in meetings are responsible for what they say.

5. JICA discloses information.

JICA itself discloses information on environmental and social considerations in collaboration with project proponents etc., in order to ensure accountability and to promote the participation of various stakeholders.

6. JICA enhances organizational capacity.

JICA makes efforts to enhance the comprehensive capacity of organizations and operations in order for project proponents etc., to have consideration for environmental and social factors, appropriately and effectively, at all times.

7. JICA makes serious attempts at promptness.

JICA addresses request of acceleration for the prompt implementation of projects while undertaking environmental and social considerations.

1.5 Responsibility of JICA

While project proponents etc. take the initiative to deal with the environmental and social considerations of projects, JICA provides support for and examinations of the environmental and social considerations that project proponents etc. implement in accordance with Sections 2 and 3 of the guidelines, depending on the nature of cooperation projects.

1.6 Requirements of project proponents etc.

1. Project proponents etc. are required to incorporate the output of environmental and social considerations studies into project planning and decision-making processes.
2. When JICA provides support for and examinations of environmental and social considerations, JICA examines the requirements that must be met, as mentioned in Appendix 1. In addition, JICA examines the items shown in Appendix 2 in order to satisfy the environmental impact assessment reports required for Category A projects.

1.7 Covered Schemes

The guidelines cover five schemes: (1) Loan aid, (2) Grant aid (excluding projects executed through international organizations), (3) Preliminary studies of grant aid undertaken by MOFA, (4) Technical cooperation for development planning, and (5) Technical cooperation projects.

1.8 Measures Taken in an Emergency

In an emergency—which means a case that must be dealt with immediately, such as restoration after natural disasters or post-conflict restoration—when it is clear that there is no time to follow the procedures of environmental and social considerations mentioned in the guidelines, JICA reports at an early stage to the Advisory Committee for Environmental and Social Considerations on categorization, judgment of emergency, and procedures to follow, and discloses a result. JICA asks advice from the Advisory Committee when it is necessary.

1.9 Dissemination

JICA explains the guidelines to project proponents etc. and requests their understanding.

1.10 Advisory Committee for Environmental and Social Considerations

JICA establishes the Advisory Committee for Environmental and Social Considerations as an independent council composed of external experts with the knowledge necessary to provide advice regarding support for and examinations of the environmental and social considerations of cooperation projects.

2. Process of Environmental and Social Considerations

2.1 Information Disclosure

1. In principle, project proponents etc. disclose information about the environmental and social considerations of their projects. JICA assists project proponents etc. by implementing cooperation projects as needed.
2. JICA itself discloses important information about environmental and social considerations at the main stages of cooperation projects, in a manner in accordance with the guidelines.
3. JICA discusses frameworks with project proponents etc. in order to ensure information disclosure, and comes to an agreement in an early stage of cooperation projects.
4. The information to be disclosed includes that of environmental and social considerations and of the cooperation projects themselves.
5. Besides the information to be disclosed publicly by JICA, JICA provides information about environmental and social considerations to third parties to the extent possible in response to requests.
6. JICA encourages project proponents etc. to disclose and present information about environmental and social considerations to local stakeholders.
7. Project proponents etc. disclose information well in advance when they have meetings with local stakeholders in cooperation with JICA. On these occasions, JICA supports project proponents etc. in the preparation of documents in an official or widely used language and in a form understandable by local people.
8. JICA discloses information on its website in Japanese, English, and/or local languages, and provides related reports for public reading at its library and at related overseas offices.
9. JICA pays due consideration to the confidentiality of the commercial and other matters of Project proponents etc., taking into account their competitive relationships, and encourages them to exclude such confidential information from any documents on environmental considerations that they submit which may later be subject to public disclosure. JICA takes into account information control in Project proponents etc.. and discloses their documents subject to their approval. Any information that is prohibited from public disclosure in the agreement between JICA and Project proponents etc.. may be disclosed only through the agreement of Project proponents etc.. or in accordance with legal requirements.

2.2 Categorization

1. JICA classifies projects into four categories according to the extent of environmental and social impacts, taking into account an outline of project, scale, site condition, etc.
2. Category A: Proposed projects are classified as Category A if they are likely to have significant

adverse impacts on the environment and society. Projects with complicated or unprecedented impacts that are difficult to assess, or projects with a wide range of impacts or irreversible impacts, are also classified as Category A. These impacts may affect an area broader than the sites or facilities subject to physical construction. Category A, in principle, includes projects in sensitive sectors, projects that have characteristics that are liable to cause adverse environmental impacts, and projects located in or near sensitive areas. An illustrative list of sensitive sectors, characteristics, and areas is provided in Appendix 3.

3. Category B: Proposed projects are classified as Category B if their potential adverse impacts on the environment and society are less adverse than those of Category A projects. Generally, they are site-specific; few if any are irreversible; and in most cases, normal mitigation measures can be designed more readily.

4. Category C: Proposed projects are classified as Category C if they are likely to have minimal or little adverse impact on the environment and society.

5. Category FI: Proposed projects are classified as Category FI if they satisfy all of the following requirements: JICA's funding of projects is provided to a financial intermediary or executing agency; the selection and appraisal of the sub-projects is substantially undertaken by such an institution only after JICA's approval of the funding, so that the sub-projects cannot be specified prior to JICA's approval of funding (or project appraisal); and those sub-projects are expected to have a potential impact on the environment.

6. When necessary, JICA can change a category even after screening. This might occur such as when a new significant impact has come to light as a result of the cooperation project process, or in other specific situations.

7. Projects may not be clearly specified at an early stage of a Master Plan Study. In such cases, the study is categorized based on its likely significant impacts. At that time, derivative, secondary, and cumulative impacts are also considered. When considering plural alternatives, projects are classified in the category of the alternative that has the most significant impact. JICA reviews the categorization accordingly after projects have been identified with a progression of studies.

8. JICA requests that Project proponents etc. fill in the screening form found in Appendix 4; the information in this form will be a reference for the categorization of proposed projects.

2.3 Impacts to be Assessed

1. The impacts to be assessed with regard to environmental and social considerations include impacts on human health and safety, as well as on the natural environment, that are transmitted through air, water, soil, waste, accidents, water usage, climate change, ecosystems, fauna and flora, including trans-boundary or global scale impacts. These also include social impacts, including migration of population and involuntary resettlement, local economy such as employment and

livelihood, utilization of land and local resources, social institutions such as social capital and local decision-making institutions, existing social infrastructures and services, vulnerable social groups such as poor and indigenous peoples, equality of benefits and losses and equality in the development process, gender, children's rights, cultural heritage, local conflicts of interest, infectious diseases such as HIV/AIDS, and working conditions including occupational safety. Items to be addressed in the specific project are narrowed down to the needed ones through the scoping process.

2. In addition to the direct and immediate impacts of projects, the derivative, secondary, and cumulative impacts as well as impacts associated with indivisible projects will also be assessed with regard to environmental and social considerations, so far as it is rational. The life cycle impact of a project period is also considered.

3. Various kinds of relevant information are needed in order to assess impacts on the environment and local communities. There are, however, uncertainties in predicting such impacts caused by the incomplete understanding of impact mechanisms and the limited information available. Therefore, if the scale of uncertainty is considered to be large, project proponents etc. provide environmental and social considerations that include preventive measures as much as possible.

2.4 Consultation with Local Stakeholders

1. In principle, project proponents etc. consult with local stakeholders through means that induce broad public participation to a reasonable extent, in order to take into consideration the environmental and social factors in a way that is most suitable to local situations, and in order to reach an appropriate consensus. JICA assists project proponents etc. by implementing cooperation projects as needed.

2. In an early stage of cooperation projects, JICA holds discussions with project proponents etc. and the two parties reach a consensus on frameworks for consultation with local stakeholders.

3. In order to have meaningful meetings, JICA encourages project proponents etc. to publicize in advance that they plan to consult with local stakeholders, with particular attention to directly affected people.

4. In the case of Category A projects, JICA encourages project proponents etc. to consult with local stakeholders about their understanding of development needs, the likely adverse impacts on the environment and society, and the analysis of alternatives at an early stage of the project, and assists project proponents as needed.

5. In the case of Category B projects, JICA encourages project proponents etc. to consult with local stakeholders when necessary.

6. JICA encourages project proponents etc. to prepare minutes of their meetings after such consultations occur.

2.5 Concern about Social Environment and Human Rights

1. Environmental and social factors are affected by the social and institutional conditions of host countries and by the actual conditions of each project location. Therefore, JICA fully takes these conditions into account when examining environmental and social factors. In particular, special consideration must be taken for cooperation projects when disclosing information and holding consultations with local stakeholders, after obtaining understanding from the host governments in countries and areas affected by conflict or where basic freedoms, including freedom of expression and the right to receive legal remedy, are restricted.

2. JICA respects the principles of internationally established human rights standards such as the International Convention on Human Rights, and gives special attention to the human rights of vulnerable social groups including women, indigenous peoples, persons with disabilities, and minorities when implementing cooperation projects. JICA obtains country reports and information widely about human rights that are issued by related institutions, and seeks to understand local human rights situations by disclosing information about cooperation projects. Thus, JICA integrates local human rights situations into decision-making processes that relate to environmental and social considerations.

2.6 Laws, Regulations and Standards of Reference

1. In principle, JICA confirms that projects meet the requirements for environmental and social considerations stated in the Guidelines in the following ways.

2. JICA confirms that projects comply with the laws or standards related to the environment and local communities in the central and local governments of host countries; it also confirms that projects conform to those governments' policies and plans on the environment and local communities.

3. JICA confirms that projects do not deviate significantly from the World Bank's Safeguard Policies, and refers as a benchmark to the standards of international financial organizations; to internationally recognized standards, or international standards, treaties, and declarations, etc.; and to the good practices etc. of developed nations including Japan, when appropriate. When JICA recognizes that laws and regulations related to the environmental and social considerations of the project are significantly inferior to the aforementioned standards and good practices, JICA encourages project proponents etc., including local governments, to take more appropriate steps through a series of dialogues, in which JICA clarifies the background of and reasons for the inferior regulations and takes measures to mitigate the adverse impacts when necessary.

4. JICA takes note of the importance of good governance surrounding projects in order that measures for appropriate environmental and social considerations are implemented.

5. JICA discloses information with reference to the relevant laws of project proponents etc. and of

the government of Japan.

2.7 Advice of the Advisory Committee for Environmental and Social Considerations

1. On necessary projects among Categories A and Category B, the Advisory Committee for Environmental and Social Considerations gives advice on environmental and social considerations in preparatory surveys. JICA reports to the Committee, and the Committee gives advice as needed at the environmental review and monitoring stages. On the projects of technical cooperation for development planning, the Advisory Committee gives advice at full-scale study stage. Ad hoc members are requested to participate in the meetings when necessary, taking into account the nature of each project.
2. Meetings of the Advisory Committee are open to the public. Minutes are prepared with the names of speakers in the order of speaking and are made available to the public.
3. Any committee established for the purpose of giving technical advice to cooperation projects shall obtain advice regarding environmental and social considerations from the Advisory Committee.

2.8 Decision-making by JICA

2.8.1 Loan aid, Grant Aid, and Technical Cooperation Projects

1. JICA takes the outcomes of its environmental reviews into account when making decisions regarding the conclusion of agreement documents. If, as a result of its environmental review, JICA decides that appropriate environmental and social considerations are not ensured, it will encourage project proponents etc. to undertake appropriate environmental and social considerations. If appropriate environmental and social considerations are not undertaken, JICA will not undertake Loan aid, grant aid, or technical cooperation projects.
2. Cases in which JICA judges that appropriate environmental and social considerations are not ensured are, for example, ones in which it is obvious that the justification of projects is not recognized by an analysis of alternatives, including the “without project” scenario; cases in which projects are expected to have significant impacts when they are implemented even if mitigation measures are ensured; cases in which the residents or social organizations concerned have participated little in the process of project planning and are not expected to do so in the future even though serious impacts are predicted; and cases in which it is expected to be difficult to implement mitigation measures that will avoid or minimize impacts on the social and institutional conditions of project sites.
3. When it is considered necessary to ensure the enforcement of environmental and social considerations by Project proponents etc., JICA will make the utmost effort to ensure that the following through agreement documents:

- 1) Project proponents etc. are to report to JICA on measures and monitoring related to the environmental and social considerations that they undertake. If, owing to unforeseen circumstances, there is a possibility that the requirements for environmental and social considerations may not be fulfilled, they are to report this to JICA.
- 2) If any problems regarding environmental and social considerations arise, project proponents etc. are to attempt to hold discussions with local stakeholders.
- 3) If it becomes evident that project proponents etc. have not met the conditions set out by JICA in the guidelines, or if it becomes apparent that projects will have adverse impacts on the environment after the conclusion of agreement documents because of the failure of Project proponents etc. to supply correct information during the environmental review process, JICA may, in accordance with agreement documents, make changes to the agreement, including the suspension and declaration of the principal outstanding due and of Loan aid, grant aid, and technical cooperation projects.

2.8.2 Technical Cooperation for Development Planning and Preliminary Studies of Grant Aid Projects undertaken by MOFA

1. JICA confirms environmental and social considerations at the review stage of proposed projects and makes recommendations to MOFA based on the results.
2. JICA takes necessary measures to ensure that cooperation projects have suitable environmental and social considerations, if unexpected inadequacy issues come to light after MOFA selects the projects.
3. JICA recommends that MOFA cease to operate cooperation projects when JICA concludes that it is impossible to ensure environmental and social considerations even if the above measures are taken. Cases in which it is impossible to ensure environmental and social considerations are the same as the cases mentioned in statement 2 of Section 2.8.1.

2.9 Ensuring Appropriate Implementation of and Compliance with the Guidelines

JICA appropriately implements the principles and procedures mentioned in the guidelines, and ensures compliance with them. JICA responds to objections regarding non-compliance with the guidelines by establishing an independent body that is separate from project execution departments, in accordance with the Objection Procedures based on the Guidelines for Environmental and Social Considerations.

2.10. Implementation and Review of the Guidelines

1. The guidelines will be proclaimed on April 1st, 2010, will come into force on July 1st, 2010, and will be applied to the projects whose applications are made by project proponents etc., on and after

the effective date of the guidelines. For the projects whose applications have been made before the effective date, the “JBIC Guidelines for Confirmation of Environmental and Social Considerations 2002” will apply to Loan aid, and the “JICA Guidelines for Environmental and Social Considerations 2004” will apply to technical cooperation for development planning. In case of Grant aid, “JICA Guidelines for Environmental and Social Considerations 2004” will be referred to. On the other hand, preparatory surveys whose implementation has been agreed between project proponents etc., and JICA on and before June 30th, 2010, will follow previous JICA and JBIC guidelines, respectively.

2. JICA verifies the status of the implementation of the guidelines, and will reexamine its way of procedures within five years of their enforcement by hearing the opinions of concerned people. In addition, JICA will create a comprehensive review of the guidelines within ten years of their enforcement on the basis of its findings. Revisions are made as needed, based upon the results mentioned above. When JICA revises the guidelines, JICA seeks opinions from the government of Japan and developing countries, NGOs in developing countries, as well as NGOs in Japan, the private sector, experts, etc., in a process designed to ensure transparency and accountability.
3. JICA studies the issues as well as its methods in applying the guidelines, and incorporates the results of these studies in a review of the guidelines.

3. Procedures of Environmental and Social Considerations

3.1 Preparatory Survey

3.1.1 Preparation of JICA Cooperation Program

1. JICA collects information from project proponents etc., and when necessary, it consults with project proponents etc. and conducts field surveys in order to consider the environmental and social aspects of potential projects.
2. JICA makes efforts to avoid or minimize significant environmental and social impacts by applying a SEA when preparing a sectoral or regional cooperation program.
3. JICA discloses final reports on its website promptly after their completion.

3.1.2 Project Formation (Loan aid, Grant aid (excluding projects executed through international organizations), and Technical cooperation projects)

The following stipulations range from the decision to undertake surveys to the preparation of TOR.

1. JICA classifies projects into one of the aforementioned four categories, taking into account an outline of project, scale, site conditions, etc. For Category C projects, the environmental and social considerations process is completed at this stage.
2. JICA discloses the results of such categorization on its website—including the name of each project and its country, location, project outline, category, and its reason—before making the decision to undertake preparatory surveys.
3. Prior to the implementation of preparatory surveys, JICA conducts field surveys and collects opinions and information from stakeholders for Category A projects. It also does so, if necessary, for Category B projects, and incorporates the results into a TOR of the surveys. In addition, when project documents on environmental and social considerations are available, JICA makes any necessary confirmation of the contents prior to the surveys.

The following stipulations specify the procedure for the implementation of Feasibility Studies.

4. JICA applies a SEA when the preparatory surveys include not only project-level but also upper-stream-level studies, which are called Master Plan Studies. For Category A projects, JICA encourages project proponents etc. to disclose related information, hold local stakeholder meetings based on stakeholder analysis, and make efforts to avoid and minimize environmental and social impacts while scoping and alternative scenario analyses are being conducted. Such actions are also taken for Category B projects if necessary.
5. JICA ensures sufficient survey periods and assigns an expert(s) on environmental and social considerations to missions to prepare scoping drafts by collecting related information, conducting field surveys, and consulting with project proponents etc.

6. Project proponents etc. disclose scoping drafts, which consist of project name, countries, locations, project outlines, categorizations and the reasons behind them, alternatives, impacts, and contents. Project proponents etc. also consult with local stakeholders reflecting stakeholder analysis for Category A projects and, if necessary, for Category B projects. JICA supports project proponents etc. in doing so in order that they incorporate the results of such consultations into their environmental and social considerations surveys. Consultations broadly cover the needs of cooperation projects and alternative analyses, including “without project” scenarios.
7. JICA conducts environmental and social surveys at the EIA level for Category A projects and at the IEE level for Category B projects and Master Plan Studies, in accordance with TOR. JICA prepares drafts of mitigation measures—including avoidance, minimization, and compensation—as well as drafts of monitoring plans and of institutional arrangements for environmental and social considerations.
8. Project proponents etc. consult with local stakeholders after information disclosure when considering the rough outline of environmental and social considerations, as needed. JICA supports this process and incorporates the results of such consultations into survey results.
9. Project proponents etc. consult with local stakeholders on draft reports for Category A projects and also, if necessary, for Category B projects, after the information disclosure. JICA supports this process and incorporates the results of such consultations into final reports.
10. JICA discloses final reports on its website promptly upon their completion.
11. If, for technical cooperation projects, a preparatory survey is not conducted but a detailed planning survey is conducted, the aforementioned procedures are followed for the detailed planning survey.
12. In the case of supplementary types of preparatory surveys, the necessary procedures mentioned in items 5 through 10 are followed according to the contents of the survey after the completion of the procedures in items 1 and 2.

3.2 Loan aid, Grant Aid (excluding projects executed through international organizations) and Technical Cooperation Projects

3.2.1 Environmental Review

1. JICA conducts an environmental review in accordance with the project category, and refers to the corresponding environmental checklists for each sector when conducting that review as appropriate.
2. If JICA does not conduct preparatory surveys, it classifies projects promptly after receiving official requests and discloses such categorization on its website. In addition, JICA discloses the classification of projects based on detailed information on its website prior to the environmental review.
3. When JICA concludes preparatory surveys, it discloses final reports or equivalent documents on

its website in the case of Category A projects and also, if necessary, in case of Category B projects prior to the environmental review. In cases in which JICA conducts a detailed plan preparing study in place of preparatory surveys, it follows the same procedure. Bidding information is excluded from disclosed documents.

4. JICA changes the category of projects, if necessary, when new environmental and social impacts are found.

(1) Category A projects

1. Project proponents etc. must submit EIA reports (see Appendix 2) for Category A projects. For projects that will result in large-scale involuntary resettlement, a Resettlement Action Plan (RAP) also must be submitted. For projects that will require the measures for indigenous people, an Indigenous People Plan (IPP) must be submitted as well.
2. JICA publishes the status of host countries' submission of major documents on environmental and social considerations on its website. Prior to its environmental review, JICA also discloses the following: (1) EIA reports and environmental permit certifications, (2) RAPs for projects that will result in large-scale involuntary resettlement, and (3) IPPs for projects that address issues of indigenous people. Specifically, JICA discloses EIA reports 120 days prior to concluding agreement documents. In addition, JICA discloses a translated version of these major documents, subject to approval by project proponents etc.
3. JICA undertakes its environmental reviews based on the EIA and other documents submitted by project proponents etc. Environmental reviews for Category A projects examine the potential positive and negative environmental impacts of projects. JICA examines necessary measures to avoid, minimize, mitigate, or compensate for potential negative impacts, as well as measures to promote positive impacts, if any such measures are available. JICA also examines the results of information disclosure and local stakeholder consultation.
4. JICA discloses the results of environmental reviews on its website after agreement documents are concluded.

(2) Category B projects

1. The scope of environmental reviews for Category B projects may vary from project to project, but it is narrower than that of Category A projects. JICA undertakes its environmental reviews based on information provided by project proponents etc. and others. Environmental reviews for Category B projects examine the potential positive and negative environmental impacts and necessary measures to avoid, minimize, mitigate, or

compensate for potential negative impacts, as well as measures to promote positive impacts, if any such measures are available. When an EIA procedure has been conducted, the EIA report may be referred to, but this is not a mandatory requirement.

2. JICA discloses the following: (1) EIA reports and environmental permit certifications, (2) RAPs for projects, and (3) IPPs for projects that will require measures for indigenous people, when these documents are submitted by project proponents etc.

3. JICA discloses the results of environmental reviews on its website after concluding agreement documents.

(3) Category C projects

1. For projects in this category, environmental review will not proceed after categorization.

(4) Category FI projects

1. JICA examines the related financial intermediary or executing agency to see whether appropriate environmental and social considerations as stated in the guidelines are ensured for projects in this category. JICA also examines institutional capacity in order to confirm environmental and social considerations of the financial intermediary or executing agency, and, if necessary, requires that adequate measures be taken to strengthen capacity.

2. The financial intermediary or executing agency examines the potential positive and negative environmental impacts of sub-projects and takes the necessary measures to avoid, minimize, mitigate, or compensate for potential negative impacts, as well as measures to promote positive impacts if any such measures are available.

3. In principle, JICA undertakes environmental reviews and information disclosure for the sub-projects prior to their implementation in a same manner as specified for Category A projects, if those sub-projects are likely to be under the cooperation projects.

4. JICA discloses the results of environmental reviews on its website after concluding agreement documents.

(5) Engineering Service Loans

1. In the case of engineering service loans, which are Loan aids that cover only engineering services (including surveys, designs, etc.) of the project, JICA carries out environmental reviews according to the projects' category.

2. However, if surveys for environmental and social considerations are conducted in or in parallel with the said engineering service loans, fulfillment of necessary environmental and social considerations may be confirmed at the time of the environmental review of the proceeding phases of the project.

3.2.2 Monitoring and its confirmation by JICA

1. Over a certain period of time, JICA confirms with project proponents etc. the results of monitoring the items that have significant environmental impacts. This is done in order to confirm that project proponents etc. are undertaking environmental and social considerations for projects that fall under Categories A, B, and FI.
2. The information necessary for monitoring confirmation by JICA must be supplied by project proponents etc. by appropriate means, including in writing. When necessary, JICA may also conduct its own investigations.
3. When third parties point out in concrete terms that environmental and social considerations are not being fully undertaken, JICA forwards such claims to project proponents etc. and, if necessary, encourages them to take appropriate action. When project proponents etc. respond to the claim, JICA confirms that they carry out an investigation of the specific claim, an examination of countermeasures, and incorporation into the project plans through transparent and accountable processes.
4. Also, when necessary, JICA may request the cooperation of project proponents etc. in conducting its own investigations in order to confirm the state of the undertaking of environmental and social considerations.
5. If JICA judges that there is a need for improvement in a situation with respect to environmental and social considerations, it may ask project proponents etc. to take appropriate actions in accordance with the agreement documents. Also, when necessary, JICA may provide assistance by itself. If the response of project proponents etc. is inappropriate, JICA may consider taking its own actions in accordance with the agreement documents, including the suspension of the disbursement.
6. When projects undergo significant changes, JICA recategorizes them and carries out an environmental review according to Section 3.2.1. JICA discloses an outline of changes and new categories as well as major environmental and social considerations documents promptly after receiving them.
7. JICA discloses the results of monitoring conducted by project proponents etc. on its website to the extent that they are made public in project proponents etc. When third parties request further information, JICA discloses it, subject to approval by project proponents etc.
8. If JICA conducts a detailed design study by itself, JICA carries out an environmental review for the target project before the commencement of the study. JICA reviews detailed resettlement action plans if necessary. JICA discloses the final report on its website.

3.3 Preliminary Studies of Grant Aid Undertaken by MOFA

For preliminary studies of grant aid undertaken by MOFA, JICA follows the procedures of

preparatory surveys mentioned in Section 3.1.2, taking the environmental review procedures mentioned in Section 3.2.1 into consideration. JICA recommends that MOFA suspend cooperation projects when JICA concludes that it is impossible to ensure environmental and social considerations.

3.4 Technical Cooperation for Development Planning

3.4.1 Review Stage of Proposed Projects

1. JICA reviews proposed projects submitted to MOFA by confirming the scope of the project, site description, etc., and categorizes projects through a first screening. After that, JICA makes decisions on proposed projects from the viewpoint of environmental and social considerations and makes recommendations to MOFA.
2. For a certain period, JICA discloses information on its website regarding Category A projects, such as country, area, and project description, before making its recommendation to MOFA. JICA then collects external information and opinions in order to incorporate these in the recommendation. Environmental and social considerations procedures of Category C projects will not proceed after screening.
3. If there is not sufficient information for category classification, JICA makes inquiries to project proponents etc. through the Embassies of Japan, JICA overseas offices, and other institutions. If information obtained through inquiries is considered insufficient, JICA dispatches teams to collect information regarding environmental and social aspects through consultations with the persons concerned and conducts field visits in host countries, along with other methods. JICA promptly discloses study reports.
4. Soon after the conclusion of international agreements by MOFA, JICA discloses names, countries, locations, outlines, and sectors of projects, as well as their categorization and their reasons, on its website. For Category A and B projects, JICA discloses recommendations to MOFA on its website.

3.4.2. Detailed Plan Preparatory Study Stage (Master Plan Study and Feasibility Study)

1. JICA conducts detailed plan preparatory studies based on the results of first screenings. JICA dispatches an expert(s) on environmental and social considerations to conduct field surveys for Category A and B projects, ensuring the provision of an adequate study period.
2. JICA examines measures for environmental and social considerations described in requests and collected at the aforementioned review stage, and conducts information-gathering, field surveys, and consultations with project proponents etc. On the basis of collected information and consultations, JICA categorizes projects through second screening and reviews the categorization when necessary.
3. JICA conducts provisional scoping according to categorization, and prepares drafts of TOR for environmental and social considerations studies. For Category A projects, JICA conducts field

surveys, obtains information and opinions from local stakeholders, and incorporates results into drafts of TOR.

4. JICA consults with project proponents etc. about environmental and social considerations and concludes mutual undertakings, partnership, and coordination.

5. JICA prepares drafts of agreement documents after consultation with project proponents etc. about the organizational structure of environmental and social considerations. JICA obtains basic agreements with host countries to incorporate the results of environmental and social considerations studies into the decision-making process of projects.

6. When JICA makes agreements with project proponents etc., JICA concludes agreement documents that include draft TOR for projects. If no agreement can be reached, JICA suspends studies without concluding agreement documents. When JICA decides that projects will not be implemented, it makes recommendations to MOFA to cease cooperation.

7. JICA discloses agreement documents and information regarding environmental and social considerations on its website promptly after concluding them.

3.4.3. Full-scale Study Stage (Master Plan Study)

1. JICA enlists an expert(s) on environmental and social considerations to participate in study teams for Category A and B studies, ensuring the provision of an adequate study period.

2. JICA collects relevant information and conducts field surveys covering a wider area than that of the detailed plan preparatory study stage, holds consultations with project proponents etc., and prepares scoping drafts.

3. For Category A studies, after the disclosure of the scoping drafts, project proponents etc. conduct consultations with local stakeholders based on stakeholder analyses. JICA incorporates the results of such consultations into its TOR. The consultations cover the needs of projects and the analysis of alternatives. For Category B studies, project proponents etc. consult with local stakeholders after the disclosure of scoping drafts when necessary.

4. TOR includes understanding of needs, impacts to be assessed, study methods, analysis of alternatives, a schedule, and other items. JICA applies a SEA to such studies.

5. In accordance with TOR and in collaboration with project proponents etc., JICA conducts IEE-level environmental and social considerations studies, and analyzes alternatives, including “without project” situations. During studies, JICA incorporates its results into related reports prepared accordingly.

6. For Category A studies, when preparing a rough outline of environmental and social considerations, a series of stakeholder consultations are conducted after information disclosure when necessary. JICA incorporates the results of such consultations into such studies.

7. Based on the aforementioned procedure, JICA prepares draft reports incorporating the results of

environmental and social considerations studies, explains them to project proponents etc., and obtains their comments. For Category A studies, draft reports are disclosed and consultations with local stakeholders are conducted. JICA incorporates the results of such consultations in its final reports. For Category B studies, consultations with local stakeholders after the disclosure of draft final reports are conducted when necessary.

8. JICA prepares final reports incorporating the study results and submits them to project proponents etc. after confirming that the reports meet the requirements of the guidelines.

9. JICA discloses final reports on its website promptly after their completion.

3.4.4. Full-scale Study Stage (Feasibility Study)

1. JICA enlists expert(s) on environmental and social considerations to participate in study teams, ensuring the provision of an adequate study period.

2. JICA collects relevant information, conducts field surveys in a wider area than that of preparatory studies, holds consultations with project proponents etc., and prepares scoping drafts.

3. For all Category A projects and for Category B projects as needed, after disclosing scoping drafts, project proponents etc. conduct consultations with local stakeholders based on stakeholder analyses.

JICA incorporates the results of such consultations in the TOR of environmental and social considerations studies. The consultations cover project needs and analyses of alternatives.

4. The TOR includes understanding of development needs, impacts to be assessed, study methods, analysis of alternatives, a schedule, etc.

5. In line with the TOR and in collaboration with project proponents etc., JICA conducts (at the EIA level for Category A projects and at the IEE level for Category B projects) environmental and social considerations studies, including mitigation measures to avoid, minimize, or compensate for adverse impacts; a monitoring plan; and an institutional arrangement. JICA also analyzes alternatives, including “without project” situations. JICA incorporates the results of such studies into related reports that are prepared accordingly.

6. When considering a rough outline of environmental and social considerations, information is disclosed and consultations with local stakeholders are conducted as needed. JICA incorporates the results into its studies.

7. JICA prepares draft reports, incorporating the results of environmental and social considerations studies, and explains them to project proponents etc. in order to obtain comments. After the disclosure of draft reports, consultations with local stakeholders are conducted for all Category A projects and for Category B projects as needed. JICA incorporates the results of such consultations into final reports.

8. JICA prepares final reports and submits them to project proponents etc. after confirming that they meet the requirements of the guidelines.

9. JICA discloses final reports on its website promptly after their completion.

3.4.5 Follow-up Activity

1. JICA confirms as needed reflection of results and recommendations regarding environmental and social considerations studies into EIA, resettlement action plans, mitigation measures, etc., and discloses the results of such confirmations on its website.
2. When third parties indicate that unexpected environmental and social impacts appear after the completion of Technical Cooperation for Development Planning, JICA uncovers problems by conducting field surveys and makes recommendations to related organizations when necessary. JICA discloses all such recommendations.

Appendix 1. Environmental and Social Considerations Required for Intended Projects

In principle, appropriate environmental and social considerations are undertaken, according to the nature of the project, based on the following:

1. Underlying Principles

1. Environmental impacts that may be caused by projects must be assessed and examined in the earliest possible planning stage. Alternatives or mitigation measures to avoid or minimize adverse impacts must be examined and incorporated into the project plan.
2. Such examinations must be endeavored to include an analysis of environmental and social costs and benefits in the most quantitative terms possible, as well as a qualitative analysis; these must be conducted in close harmony with the economic, financial, institutional, social, and technical analyses of projects.
3. The findings of the examination of environmental and social considerations must include alternatives and mitigation measures, and must be recorded as separate documents or as a part of other documents. EIA reports must be produced for projects in which there is a reasonable expectation of particularly large adverse environmental impacts.
4. For projects that have a particularly high potential for adverse impacts or that are highly contentious, a committee of experts may be formed so that JICA may seek their opinions, in order to increase accountability.

2. Examination of Measures

1. Multiple alternatives must be examined in order to avoid or minimize adverse impacts and to choose better project options in terms of environmental and social considerations. In the examination of measures, priority is to be given to avoidance of environmental impacts; when this is not possible, minimization and reduction of impacts must be considered next. Compensation measures must be examined only when impacts cannot be avoided by any of the aforementioned measures.
2. Appropriate follow-up plans and systems, such as monitoring plans and environmental management plans, must be prepared; the costs of implementing such plans and systems, and the financial methods to fund such costs, must be determined. Plans for projects with particularly large potential adverse impacts must be accompanied by detailed environmental management plans.

3. Scope of Impacts to Be Assessed

1. The impacts to be assessed with regard to environmental and social considerations include impacts on human health and safety, as well as on the natural environment, that are transmitted

through air, water, soil, waste, accidents, water usage, climate change, ecosystems, fauna and flora, including trans-boundary or global scale impacts. These also include social impacts, including migration of population and involuntary resettlement, local economy such as employment and livelihood, utilization of land and local resources, social institutions such as social capital and local decision-making institutions, existing social infrastructures and services, vulnerable social groups such as poor and indigenous peoples, equality of benefits and losses and equality in the development process, gender, children's rights, cultural heritage, local conflicts of interest, infectious diseases such as HIV/AIDS, and working conditions including occupational safety.

2. In addition to the direct and immediate impacts of projects, their derivative, secondary, and cumulative impacts as well as the impacts of projects that are indivisible from the project are also to be examined and assessed to a reasonable extent. It is also desirable that the impacts that can occur at any time throughout the project cycle should be considered throughout the life cycle of the project.

4. Compliance with Laws, Standards, and Plans

1. Projects must comply with the laws, ordinances, and standards related to environmental and social considerations established by the governments that have jurisdiction over project sites (including both national and local governments). They must also conform to the environmental and social consideration policies and plans of the governments that have such jurisdiction.

2. Projects must, in principle, be undertaken outside of protected areas that are specifically designated by laws or ordinances for the conservation of nature or cultural heritage (excluding projects whose primary objectives are to promote the protection or restoration of such areas). Projects are also not to impose significant adverse impacts on designated conservation areas.

5. Social Acceptability

1. Projects must be adequately coordinated so that they are accepted in a manner that is socially appropriate to the country and locality in which they are planned. For projects with a potentially large environmental impact, sufficient consultations with local stakeholders, such as local residents, must be conducted via disclosure of information at an early stage, at which time alternatives for project plans may be examined. The outcome of such consultations must be incorporated into the contents of project plans.

2. Appropriate consideration must be given to vulnerable social groups, such as women, children, the elderly, the poor, and ethnic minorities, all members of which are susceptible to environmental and social impacts and may have little access to decision-making processes within society.

6. Ecosystem and Biota

1. Projects must not involve significant conversion or significant degradation of critical natural habitats and critical forests.

2. Illegal logging of forests must be avoided. Project proponents etc. are encouraged to obtain certification by forest certification systems as a way to ensure the prevention of illegal logging.

7. Involuntary Resettlement

1. Involuntary resettlement and loss of means of livelihood are to be avoided when feasible by exploring all viable alternatives. When, after such an examination, avoidance is proved unfeasible, effective measures to minimize impact and to compensate for losses must be agreed upon with the people who will be affected.

2. People who must be resettled involuntarily and people whose means of livelihood will be hindered or lost must be sufficiently compensated and supported by project proponents etc. in a timely manner. Prior compensation, at full replacement cost, must be provided as much as possible. Host countries must make efforts to enable people affected by projects and to improve their standard of living, income opportunities, and production levels, or at least to restore these to pre-project levels. Measures to achieve this may include: providing land and monetary compensation for losses (to cover land and property losses), supporting means for an alternative sustainable livelihood, and providing the expenses necessary for the relocation and re-establishment of communities at resettlement sites.

3. Appropriate participation by affected people and their communities must be promoted in the planning, implementation, and monitoring of resettlement action plans and measures to prevent the loss of their means of livelihood. In addition, appropriate and accessible grievance mechanisms must be established for the affected people and their communities.

4. For projects that will result in large-scale involuntary resettlement, resettlement action plans must be prepared and made available to the public. In preparing a resettlement action plan, consultations must be held with the affected people and their communities based on sufficient information made available to them in advance. When consultations are held, explanations must be given in a form, manner, and language that are understandable to the affected people. It is desirable that the resettlement action plan include elements laid out in the World Bank Safeguard Policy, OP 4.12, Annex A.

8. Indigenous Peoples

1. Any adverse impacts that a project may have on indigenous peoples are to be avoided when feasible by exploring all viable alternatives. When, after such an examination, avoidance is proved unfeasible, effective measures must be taken to minimize impacts and to compensate indigenous peoples for their losses.

2. When projects may have adverse impacts on indigenous peoples, all of their rights in relation to land and resources must be respected in accordance with the spirit of relevant international declarations and treaties, including the United Nations Declaration on the Rights of Indigenous Peoples. Efforts must be made to obtain the consent of indigenous peoples in a process of free, prior, and informed consultation.

3. Measures for the affected indigenous peoples must be prepared as an indigenous peoples plan (which may constitute a part of other documents for environmental and social consideration) and must be made public in compliance with the relevant laws and ordinances of the host country. In preparing the indigenous peoples plan, consultations must be made with the affected indigenous peoples based on sufficient information made available to them in advance. When consultations are held, it is desirable that explanations be given in a form, manner, and language that are understandable to the people concerned. It is desirable that the indigenous peoples plan include the elements laid out in the World Bank Safeguard Policy, OP4.10, Annex B.

8. Monitoring

1. After projects begin, project proponents etc. monitor whether any unforeseeable situations occur and whether the performance and effectiveness of mitigation measures are consistent with the assessment's prediction. They then take appropriate measures based on the results of such monitoring.

2. In cases where sufficient monitoring is deemed essential for appropriate environmental and social considerations, such as projects for which mitigation measures should be implemented while monitoring their effectiveness, project proponents etc. must ensure that project plans include feasible monitoring plans.

3. Project proponents etc. should make efforts to make the results of the monitoring process available to local project stakeholders.

4. When third parties point out, in concrete terms, that environmental and social considerations are not being fully undertaken, forums for discussion and examination of countermeasures are established based on sufficient information disclosure, including stakeholders' participation in relevant projects. Project proponents etc. should make efforts to reach an agreement on procedures to be adopted with a view to resolving problems.

Appendix 2. EIA Reports for Category A Projects

The following conditions are met in principle:

- When assessment procedures already exist in host countries, and projects are subject to such procedures, project proponents etc. must officially finish those procedures and obtain the approval of the government of the host country;
- EIA reports (which may be referred to differently in different systems) must be written in the official language or in a language widely used in the country in which the project is to be implemented. When explaining projects to local residents, written materials must be provided in a language and form understandable to them;
- EIA reports are required to be made available to the local residents of the country in which the project is to be implemented. The EIA reports are required to be available at all times for perusal by project stakeholders such as local residents and copying must be permitted;
- In preparing EIA reports, consultations with stakeholders, such as local residents, must take place after sufficient information has been disclosed. Records of such consultations must be prepared;
- Consultations with relevant stakeholders, such as local residents, should take place if necessary throughout the preparation and implementation stages of a project. Holding consultations is highly desirable, especially when the items to be considered in the EIA are being selected, and when the draft report is being prepared; and
- It is desirable that EIA reports cover the items enumerated in the following.

Illustrative Environmental Impact Assessment Report for Category A Projects

NB

An EIA's scope and level of detail should be determined in accordance with the project's potential impacts. The EIA report should include the following items (not necessarily in the order shown):

- Executive summary: This concisely discusses significant findings and recommended actions.
- Policy, legal, and administrative framework: This is the framework within which the EIA report is to be carried out.
- Project description: This describes the proposed project and its geographic, ecological, social and temporal context, including any off-site investments that may be required (e.g. dedicated pipelines, access roads, power plants, water supply, housing, or raw material and product storage facilities). It also indicates the need for any resettlement or social development plan. It normally includes a map showing the project site and the area affected

by the project.

- **Baseline data:** This assesses the dimensions of the study area and describes relevant physical, biological, and socio-economic conditions, including all changes anticipated to occur before the project commences. Additionally, it takes into account current and proposed development activities within the project area but not directly connected to the project. Data should be relevant to decisions about project site, design, operation, or mitigation measures, and it is necessary to indicate the accuracy, reliability, and sources of the data.
- **Environmental impacts:** This predicts and assesses the project's likely positive and negative impacts in quantitative terms, to the extent possible. It identifies mitigation measures and any negative environmental impacts that cannot be mitigated, and explores opportunities for environmental enhancement. It identifies and estimates the extent and quality of available data, essential data gaps and uncertainties associated with predictions, and it specifies topics that do not require further attention.
- **Analysis of alternatives:** This systematically compares feasible alternatives to the proposed project site, technology, design, and operation including the "without project" situation in terms of the following: the potential environmental impacts; the feasibility of mitigating these impacts; their capital and recurrent costs; their suitability under local conditions; and their institutional, training, and monitoring requirements. For each of the alternatives, it quantifies the environmental impacts to the extent possible, and attaches economic values where feasible. It also states the basis for selecting the particular proposed project design, and offers justification for recommended emission levels and approaches to pollution prevention and abatement.
- **Environmental Management Plan (EMP):** This describes mitigation, monitoring, and institutional measures to be taken during construction and operation in order to eliminate adverse impacts, offset them, or reduce them to acceptable levels.
- **Consultation:** This includes a record of consultation meetings (date, venue, participants, procedures, opinions of major local stakeholders and responses to them, and other items), including consultations for obtaining the informed views of the affected people, local NGOs, and regulatory agencies.

^{NB}

This Appendix is based on the World Bank Operational Policy - OP 4.01, Annex B.

Appendix 3. Illustrative List of Sensitive Sectors, Characteristics, and Areas

The project of sensitive sectors, characteristics, and areas shown in this illustrative list are those that will likely have a significant adverse impact on the environment and society. Each individual project is categorized in accordance with the standards for “Category A” indicated in the categorization section of the guidelines, depending on the impacts of the individual projects. Consequently, projects that are likely to have a significant adverse impact on the environment and society are categorized as “Category A” even if they are not included in the sectors, characteristic, or areas on the list.

1. Sensitive Sectors

Large-scale projects in the following sectors:

- (1) Mining, including oil and natural gas development
- (2) Oil and gas pipelines
- (3) Industrial development
- (4) Thermal power, including geothermal power
- (5) Hydropower, dams, and reservoirs
- (6) Power transmission and distribution lines involving large-scale involuntary resettlement, large-scale logging, or submarine electrical cables
- (7) River/erosion control
- (8) Roads, railways, and bridges
- (9) Airports
- (10) Ports and harbors
- (11) Water supply, sewage, and wastewater treatment that have sensitive characteristics or that are located in sensitive areas or in their vicinity
- (12) Waste management and disposal
- (13) Agriculture involving large-scale land clearing or irrigation

2. Sensitive Characteristics

- (1) Large-scale involuntary resettlement
- (2) Large-scale groundwater pumping
- (3) Large-scale land reclamation, land development, and land clearing
- (4) Large-scale logging

3. Sensitive Areas

Projects in the following areas or their vicinity:

- (1) National parks, nationally-designated protected areas (coastal areas, wetlands, areas for ethnic minorities or indigenous peoples and cultural heritage, etc. designated by national governments)

(2) Areas that are thought to require careful consideration by the country or locality

Natural Environment

- a) Primary forests or natural forests in tropical areas
- b) Habitats with important ecological value (coral reefs, mangrove wetlands, tidal flats, etc.)
- c) Habitats of rare species that require protection under domestic legislation, international treaties, etc.
- d) Areas in danger of large-scale salt accumulation or soil erosion
- e) Areas with a remarkable tendency towards desertification

Social Environment

- a) Areas with unique archeological, historical, or cultural value
- b) Areas inhabited by ethnic minorities, indigenous peoples, or nomadic peoples with traditional ways of life, and other areas with special social value

Appendix 4. Screening Format

Name of Proposed Project:

Project Executing Organization, Project Proponent, or Investment Company:

Name, Address, Organization, and Contact Point of a Responsible Officer:

Name:

Address:

Organization:

Tel:

Fax:

E-Mail:

Date:

Signature:

Check Items

Please write “to be advised (TBA)” when the details of a project are yet to be determined.

Question 1: Address of project site

Question 2: Scale and contents of the project (approximate area, facilities area, production, electricity generated, etc.)

2-1. Project profile (scale and contents)

2-2. How was the necessity of the project confirmed?

Is the project consistent with the higher program/policy?

YES: Please describe the higher program/policy.

()

NO

2-3. Did the proponent consider alternatives before this request?

YES: Please describe outline of the alternatives

()

NO

2-4. Did the proponent implement meetings with the related stakeholders before this request?

Implemented Not implemented

If implemented, please mark the following stakeholders.

- Administrative body
- Local residents
- NGO
- Others ()

2-2 Does the project include any of the following items?

- Yes No

If yes, please mark the items included in the project.

- Involuntary resettlement (scale: households persons)
- Groundwater pumping (scale: m3/year)
- Land reclamation, land development, and/or land-clearing (scale: hectors)
- Logging (scale: hectors)

Question 3:

Is the project a new one or an ongoing one? In the case of an ongoing project, have you received strong complaints or other comments from local residents?

- New Ongoing (with complaints) Ongoing (without complaints)

Other ()

Question 4:

Is an Environmental Impact Assessment (EIA), including an Initial Environmental Examination (IEE) Is, required for the project according to a law or guidelines of a host country? If yes, is EIA implemented or planned? If necessary, please fill in the reason why EIA is required.

- Necessity (Implemented Ongoing/planning)

(Reason why EIA is required:)

- Not necessary

- Other (please explain)

Question 5:

In the case that steps were taken for an EIA, was the EIA approved by the relevant laws of the

host country? If yes, please note the date of approval and the competent authority.

<input type="checkbox"/> Approved without a supplementary condition	<input type="checkbox"/> Approved with a supplementary condition	<input type="checkbox"/> Under appraisal
---	--	--

(Date of approval: _____ Competent authority: _____)

Under implementation

Appraisal process not yet started

Other (_____)

Question 6:

If the project requires a certificate regarding the environment and society other than an EIA, please indicate the title of said certificate. Was it approved?

Already certified

Title of the certificate: (_____)

Requires a certificate but not yet approved

Not required

Other (_____)

Question 7:

Are any of the following areas present either inside or surrounding the project site?

Yes No

If yes, please mark the corresponding items.

National parks, protection areas designated by the government (coastline, wetlands, reserved area for ethnic or indigenous people, cultural heritage)

Primeval forests, tropical natural forests

Ecologically important habitats (coral reefs, mangrove wetlands, tidal flats, etc.)

Habitats of endangered species for which protection is required under local laws and/or international treaties

Areas that run the risk of a large scale increase in soil salinity or soil erosion

Remarkable desertification areas

Areas with special values from an archaeological, historical, and/or cultural points of view

Habitats of minorities, indigenous people, or nomadic people with a traditional lifestyle, or areas with special social value

Question 10:

In the case of a loan project such as a two-step loan or a sector loan, can sub-projects be specified at the present time?

Yes No

Question 11:

Regarding information disclosure and meetings with stakeholders, if JICA's environmental and social considerations are required, does the proponent agree to information disclosure and meetings with stakeholders through these guidelines?

Yes No

Appendix 5. Categories and Items in Checklist

These checklists include the following categories and items related to the environment. When using these checklists, the appropriate items should be checked based on the sector and nature of the project.

Category	Item
1. Permits and approvals, explanations	<ul style="list-style-type: none">• EIA and environmental permits• Explanations to the public
2. Anti-pollution measures	<ul style="list-style-type: none">• Air quality• Water quality• Waste• Soil contamination• Noise and vibration• Subsidence• Odor• Sediment
3. Natural environment	<ul style="list-style-type: none">• Protected areas• Ecosystem• Hydrology• Topography and geology• Management of abandoned sites
4. Social environment	<ul style="list-style-type: none">• Resettlement• Living and livelihood• Heritage• Landscape• Ethnic minorities and indigenous peoples• Working conditions (including occupational safety)
5. Other	<ul style="list-style-type: none">• Impact during construction• Accident prevention measures• Monitoring

Appendix 6. Items Requiring Monitoring

Items that require monitoring shall be decided on according to the sector and nature of the project, with reference to the following list of items.

Items

1. Permits and approvals, explanations

- Response to matters indicated by authorities

2. Anti-pollution measures

- Air quality: SO₂, NO₂, CO, O₂, soot and dust, suspended particulate matter, coarse particulates, etc.
- Water quality: pH, SS (suspended solids), BOD (biochemical oxygen demand) and COD (chemical oxygen demand), DO (dissolved oxygen), total nitrogen, total phosphorus, heavy metals, hydrocarbons, phenols, cyanogen compounds, mineral oils, water temperature, etc.
- Waste
- Noise and vibration
- Odors

3. Natural environment

- Ecosystems: impact on valuable species, countermeasures, etc.

4. Social environment

- Resettlement
- Lifestyle and livelihood

NB: For air and water quality, specify whether you are monitoring emission levels or environmental levels. Also, it should be noted that the items which require monitoring will differ depending on whether the impact in question will occur during construction or during the operation of the project.