

JAPAN INTERNATIONAL COOPERATION AGENCY (JICA) GUIDELINES FOR ENVIRONMENTAL AND SOCIAL CONSIDERATIONS (Draft)

(English Translation of Japanese Version)

- Changes in the contents are indicated by underlines.
- Changes pertaining to translation and/or wording only are indicated in italics.

Preface

[The 2030 Agenda for Sustainable Development: Inclusion of Environment and Society]

1. In response to the growing global interest in environmental issues, the parties of the United Nations Conference on Environment and Development in 1992 agreed on the Agenda 21, which presents the basic principles and the action plan for achieving sustainable development.
2. The Universal Declaration of Human Rights, adopted in 1948, sets the common standards for all peoples and all nations in order to respect and ensure human rights and freedoms. In recent years, the “Guiding Principles on Business and Human Rights: Implementing the United Nations ‘Protect, Respect and Remedy’ Framework” was unanimously endorsed at the United Nations Human Rights Council in 2011.
3. The 2030 Agenda for Sustainable Development was adopted at the United Nations Summit in September 2015, in order to realize a sustainable, diverse and inclusive society. This was aimed at promoting unified international development goals that cover both environmental and human rights protection.
4. In order to realize a society that “Leaves No One Behind,” Japan has proposed to the world a direction of contributing to nation-building and human resource development based on the principles of human security.

[Climate Change]

5. In recent years, frequent occurrence of extreme weather events and its impacts have been observed all over the world. These can be attributed to climate change. Thus, there is an urgent task to promote climate change mitigation and adaptation measures throughout the world.
6. In the Paris Agreement adopted at the Conference of the Parties to the United Nations Framework Convention on Climate Change (UNFCCC) in 2015, the international community has committed to keeping the increase in the global average temperature to well below 2 °C above pre-industrial levels. Efforts are being pursued to limit the temperature increase to 1.5 °C and to transition to a decarbonized society.
7. As a member of the international community, Japan is aiming to realize a decarbonized society through promotion of various measures, based on “the Long-term Strategy under the Paris Agreement” and “Net Zero GHG Emissions by 2050.”

[Environmental Assessment]

8. *In implementing Official Development Assistance (ODA), multilateral donors such as the World Bank as well as major bilateral donors have developed and implemented their guidelines for environmental and social considerations, since the Organization for Economic Co-operation and Development (OECD) adopted “the Recommendation of the Council on the Environmental Assessment of Development Assistance Projects and Programs” in 1985.*

[JICA Guidelines for Environmental and Social Considerations]

9. Since enforcement of the revised Act on the Incorporated Administrative Agency - Japan International Cooperation Agency (JICA) in October 2008, JICA became the inclusive executing agency of the Japanese ODA, responsible of technical cooperation, loan aid and grant aid. The JICA Guidelines for Environmental and Social Considerations were developed in 2010.

10. JICA’s Business Protocol and Mid-term Plan clearly state that JICA has to implement cooperation projects in accordance with the JICA Guidelines for Environmental and Social Considerations. 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 the cooperation projects. At the same time, JICA provides support for and reviews of environmental and social considerations of the projects in accordance with the JICA Guidelines for Environmental and Social Considerations.

[Process of Revision]

11. The JICA Guidelines for Environmental and Social Considerations were revised in 20XX, based on the review and examination of the recent trends of the Sustainable Development Goals (SDGs), the response of the international community to the threats of climate change, and the efforts to improve the quality of environmental and social considerations, after ten years of enforcing the JICA Guidelines for Environmental and Social Considerations.

12. For making a revised version of the JICA Guidelines for Environmental and Social Considerations (hereinafter called “the JICA Guidelines”), JICA obtained advice from the Advisory Committee for Environmental and Social Considerations, and had discussions in the Advisory Council for the Revising Guidelines, which consists of members from academia, non-governmental organizations (NGOs), private sectors and related ministries. To ensure transparency and accountability, JICA also sought public comments on the JICA Guidelines.

[Other Efforts]

13. Aside from encouraging cooperation projects to implement appropriate environmental and social considerations, JICA has a policy to actively support projects that promote environmental conservation/improvement and projects that contribute to the protection of the global environment, such as reductions and removals of greenhouse gas emissions.

14. JICA also has a policy *to be actively engaged* in supporting capacity building *activities for developing countries in terms of environmental and social considerations*.

I. Basic Principles

1.1 Policy

[Development Cooperation Charter]

1. The Development Cooperation Charter positions human security as the guiding principle that lies at the foundation of Japan's development cooperation. Human security is defined as a concept that pursues the right of individuals to live happily and in dignity, free from fear and want, through their protection and empowerment.

2. The Charter presents the priority policies for development cooperation, which encompass “inclusiveness” with leaving no one behind, “sustainability” over generations, “quality growth” with “resilience,” in order to realize poverty eradication through such growth.

3. The Charter also stipulates that full attention shall be given to the impacts of development on the environment and climate change, as well as on the social aspects which cover reducing disparities and consideration of the socially vulnerable, in implementing development cooperation. With efforts to engage a wide range of stakeholders, Japan’s development cooperation shall give full considerations to ensuring environment and equity.

[Quality Infrastructure Investment]

4. The principle of integration of environmental and social considerations into infrastructure investments was recognized in “the G7 Ise-Shima Principles for Promoting Quality Infrastructure Investment,” which was agreed at the G7 Ise-Shima Summit in 2016 and in “the Principles for Quality Infrastructure Investment,” which was approved at G20 Osaka Summit in 2019. Japan has announced its intention to implement infrastructure investments in accordance with the principle.

[Rationale behind the Environmental and Social Considerations for JICA]

5. JICA, the executing agency of ODA, plays a key role in contributing to the “sustainable development” *initiatives being implemented by project proponents. In order to realize sustainable development, environmental and social costs incurred by the development project*

need to be incorporated in the development costs. It is important to establish the social and institutional framework that allows the reflection and consideration of these costs in decision-making. JICA recognizes that the “environmental and social considerations” means materializing such internalization and institutional framework.

6. Respect for basic human rights, meaningful participation of diverse stakeholders, transparency of information, accountability and efficiency are all necessary in order to realize a democratic decision-making, which is crucial for environmental and social considerations to function. Relevant government agencies shall be accountable and stakeholders should be responsible for their own statements. .

7. JICA ensures the participation of diverse stakeholders in society, including women and socially vulnerable local residents, and supports the achievement of gender equality at all stages of development. These are necessary in order to achieve inclusive development, which leaves no one behind, based on the concept of human security. In addition, JICA contributes to the transition to a zero-carbon society based on the climate change actions of the international community.

8. Based on the above-mentioned principles, JICA shall implement the appropriate environmental and social considerations in accordance with the policies of the Government of Japan when implementing development cooperation.

1.2 Objectives

The objectives of the *JICA Guidelines* are to encourage project proponents to have appropriate environmental and social *considerations*, as well as to ensure JICA’s *proper implementation of support for and review of environmental and social considerations*. The *JICA Guidelines* outlines JICA’s responsibilities and procedures, along with its requirements for project proponents, in order to achieve these objectives. In doing so, JICA endeavors to ensure transparency, predictability, and accountability in its support for and review of environmental and social considerations.

1.3 Definitions

1. “Environmental and social considerations” means considering impacts on human health and safety, natural environment and society. Specific items to be considered are shown in 2.3.
2. “Project proponents” refers to host country governments related to the project, borrowers, or project executing agencies. *Host country governments related to the project may include local governments.*

3. “Approval agencies of host countries” refer to the ministries and agencies that have the authority to approve environmental assessment reports in accordance with the host countries’ laws and regulations related to environmental assessment.
4. “Cooperation projects” means cooperation undertaken by JICA for project proponents. The schemes covered are presented in 1.7.
5. “Projects” are undertakings that project proponents *implement* and that JICA supports.
6. “Environmental and social considerations studies” include *the assessment, prediction and evaluation of potential adverse impacts a project may cause on the environment and local society, as well as plans to avoid and minimize these impacts.*
7. “Environmental assessment” includes an assessment of *potential* environmental and social impacts that *may be caused by the project*, an analysis of alternative plans, *as well as* adequate mitigation measures and monitoring plans, in accordance with laws or regulations of *the* host countries.
8. “Strategic environmental assessment (SEA)” refers to an environmental assessment at the decision-making of the higher stage than the project-level environmental assessment. *An SEA may take place at the planning stage before the project or at the policy stage before the planning stage.*
9. “Support for environmental and social considerations” *refers to assistance provided to project proponents in order to conduct environmental and social considerations studies, to examine appropriate measures, to improve knowledge and skills, and to develop human resources, among others.*
10. “Review of environmental and social considerations” is a confirmation of the measures taken by project proponents to meet the requirements of the JICA Guidelines, in view of the project’s characteristics and the inherent nature of the *project areas/affected countries.*
11. “Screening” means *an evaluation of the need for conducting environmental and social considerations studies based on the characteristics of the project and the project site.* JICA conducts screening by classifying proposed projects into four categories, namely, A, B, C, and FI.
12. “Scoping” *refers to determining methodologies and coverage of significant or potentially significant environmental and social impacts that will be assessed, as well as of alternatives to be analyzed.*
13. “Local stakeholders” are project affected individuals or groups, including illegal dwellers, and local NGOs. “Stakeholders” are individuals or groups who have knowledge and/or views about the cooperation projects, including local stakeholders.

14. “Advisory Committee for Environmental and Social Considerations” is a third-party council that consists of external experts. The Advisory Committee provides advices on JICA’s support and review of the environmental and social considerations of the cooperation projects.
15. “Follow-up activities” are *conducted in order to confirm that the conclusions of the environmental and social considerations studies in the Technical Cooperation for Development Planning are reflected, in the relevant plans.*
16. “Terms of Reference (TOR)” are a set of administrative, procedural, and technical requirements for carrying out a study.
17. “Environmental Impact Assessment (EIA) level study” is a study that includes an analysis of alternatives, a detailed prediction and an assessment of environmental and social impacts, and a *development* of mitigation measures and monitoring plans, based on detailed field surveys.
18. “Initial Environmental Examination (IEE) level study” is a study that includes analysis of alternatives, prediction and assessment of environmental and social impacts, and *development* of mitigation measures and monitoring plans, based on available information such as existing data and *brief* field surveys *if necessary.*
19. “Agreement document” *refers to an official document between JICA and project proponents for agreeing to implement cooperation projects.* The documents include Loan Agreements (L/A) for loan aid, Grant Agreements (G/A) for grant aid, and Record of Discussions (R/D) for technical cooperation projects and technical cooperation for development planning.
20. “Preparatory survey” is a survey *for developing* JICA cooperation programs. *It* also identifies and prepares individual projects, *and* confirms relevance, effectiveness, and efficiency, etc. of the projects.
21. “JICA cooperation program” *refers to cooperation objectives and appropriate cooperation scenarios* for assisting developing countries in achieving their specific development objectives.
22. “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.
23. “Detailed design study” is a study *to confirm the* detailed plan of a project, including project objectives, relevance, inputs and activities. It is conducted after the approval of the project by Ministry of Foreign Affairs (MOFA) of Japan.

1.4 Basic Principles on Environmental and Social Considerations

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

JICA *clearly states the* requirements regarding environmental and social considerations *in the JICA Guidelines*, which project proponents must meet. JICA provides *the* project proponents with support *for meeting* the requirements through cooperation projects. JICA *reviews the fulfillment of the requirements by the* project proponents, and makes decisions *based on the results of the review.*

JICA recognizes *that* the following eight principles *are particularly important.*

1. A wide range of impacts must be addressed.

JICA covers a wide range of environmental and social impacts as items to be considered.

2. Environmental and social considerations must be implemented from an early stage *until* monitoring stage.

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

3. JICA reviews the environmental and social considerations in accordance with the mitigation hierarchy.

JICA confirms that environmental and social impacts are avoided to the extent possible, and if this is not possible, the impacts are minimized, reduced, then mitigated, and if significant impacts remain, compensations are considered.

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

JICA ensures accountability and transparency when implementing cooperation projects.

5. JICA *requests* stakeholders for their participation.

JICA *ensures meaningful participation of stakeholders and* incorporates stakeholder opinions into decision-making processes, in order to *implement environmental and social* considerations *that are appropriate to the local situation* and to reach a consensus. JICA *responds to suggestions*

raised by stakeholders. Stakeholders who participate should be responsible for their own statements.

6. JICA discloses information.

JICA *actively* discloses information on environmental and social considerations in collaboration with project proponent, in order to ensure accountability and to promote participation of various stakeholders.

7. JICA enhances *its* organizational capacity.

JICA makes efforts to enhance *the* capacity of *its* organizations and operations, *in order to sufficiently and effectively implement* environmental and social considerations.

8. JICA *considers* promptness.

JICA addresses requests *for* acceleration of *its process towards project* implementation, while undertaking environmental and social considerations.

1.5 Responsibility of JICA

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

1.6 Requirements for Project Proponents

1. *The project proponents* 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 *reviews* environmental and social considerations, JICA *requests project proponents to fulfill* the requirements *described* in Appendix 1. In addition, JICA *requests them to cover* items *presented* in Appendix 2 *when preparing the* environmental assessment reports required for Category A projects.

1.7 Covered Schemes

The JICA Guidelines cover following schemes: (1) Loan aid, (2) Grant aid (excluding projects executed through international organizations), (3) Technical cooperation for development planning, (4) Technical cooperation projects, and (5) Schemes similar to the above and related studies.

1.8 Measures Taken in an Emergency

An emergency case is a situation where there is clearly no time to follow the procedures of the environmental and social considerations mentioned in the JICA Guidelines, due to urgent operations, such as support for restoration after natural disasters or post-conflict restoration. JICA reports the project categorization, judgment of emergency, and procedures to follow to the Advisory Committee for Environmental and Social Considerations at an early stage, then the results of the Advisory Committee are disclosed. JICA seeks the advice(s) from the Advisory Committee when necessary.

1.9 Dissemination and Operation

1. JICA explains the JICA Guidelines to project proponents and seeks their understanding.
2. JICA discloses “Frequently Asked Questions and Answers about JICA Guidelines for Environmental and Social Considerations” (FAQ), which is a supplementary explanation to the JICA Guidelines. The FAQ is prepared based on international trends and good practices, and does not constitute a part of the JICA Guidelines. JICA refers to the FAQ in the implementation of the JICA Guidelines.

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, *in order to seek* advice regarding *support* for and *review* of the environmental and social considerations of cooperation projects.

II. Process of Environmental and Social Considerations

2.1 Information Disclosure

1. In principle, project proponents disclose information about environmental and social considerations of their projects. JICA assists *the* project proponents *through* implementing cooperation projects as needed.
2. JICA discloses important information about environmental and social considerations at the *key* stages of cooperation projects, in an *appropriate* manner in accordance with the *JICA Guidelines*.
3. JICA discusses *and agrees* with project proponents *on the frameworks that* ensure information disclosure *at the* early stage of cooperation projects.
4. The information to be disclosed *has to* include environmental and social considerations, *as well as the project information*.

5. *In addition to the information to be disclosed*, JICA provides information about environmental and social considerations to third parties to the extent possible in response to *their* requests.
6. JICA *actively* encourages project proponents to disclose and present information about environmental and social considerations *of their projects* to local stakeholders.
7. Project proponents disclose information well in advance when they have *consultations* with local stakeholders in cooperation with JICA. On *such* occasions, JICA supports project proponents in preparation of documents in an official or widely used language(s) and in a form understandable by local peoples.
8. JICA discloses information on its website in Japanese, English, *official language(s) and/or language(s) widely used in the host countries*. It also provides *the relevant* reports for public reading at *the JICA* library and at related overseas offices.
9. JICA pays due consideration to the confidentiality of the commercial and other matters of *project* proponents, taking into account their competitive relationships. *JICA* encourages *project proponents* to exclude confidential information from any documents on environmental considerations that they submit which may later be subject to public disclosure. JICA takes into account *the management of information of project* proponents, and discloses their documents subject to their approval. Any information that is prohibited from public disclosure in the agreement *documents* between JICA and *project* proponents may be disclosed only *upon obtaining the approval of the project* proponents or in accordance with legal requirements.

2.2 Categorization

1. JICA classifies projects into four categories as shown in 2 to 5 below, based on the extent of environmental and social impacts, taking into account *the project's characteristics*, scale, site condition, *etc.*
2. Category A: Proposed projects are classified as Category A if these 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 areas broader than the sites or facilities subject to physical construction. Category A, in principle, includes projects in sensitive sectors, projects *with* characteristics that are *likely* to cause adverse impacts, and projects located in or near sensitive areas. An illustrative list of *the* sensitive sectors, characteristics, and areas is provided in Appendix 3.
3. Category B: Proposed projects are classified as Category B if the potential adverse impacts on the environment and society are less than those of Category A projects. Generally,

these are site-specific, *with few irreversible impacts*, and *can be addressed by general* mitigation measures *in most cases*.

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

5. Category FI: Proposed projects are classified as Category FI if these satisfy all of the following *conditions*: JICA's funding of projects is provided to a financial intermediary or executing agency; *the financial intermediary or executing agency substantially undertakes* the selection and appraisal of sub-projects under the projects, only after JICA's approval of the funding, so that the sub-projects cannot be specified prior to JICA's approval for the funding (or prior to JICA's appraisal of the project); and those sub-projects are expected to have potential impacts on the environment and society.

6. When necessary, JICA *may change the project* category even after screening. This *may* occur when new significant impacts *are revealed as the project progresses*, or in other specific situations.

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

8. JICA requests project proponents *to fill in* the screening form *shown in* Appendix 4, *and refers to* the screening form *when categorizing the* 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, wastes, accidents, water use, climate change, biodiversity, and ecosystem services, including trans-boundary or global scale impacts. These also include social considerations such as: Migration of population including 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 *peoples in poverty* and indigenous peoples, equality of benefits and losses and equality in the development process, gender, children's rights, cultural heritages, local conflicts of interest, infectious diseases such as HIV/AIDS, and working conditions including occupational safety. Items to be addressed in a specific project are narrowed down to *relevant items* 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 *are also to be examined and assessed*, so far as it is rational. The *impacts through a project life cycle* are also considered.

3. Various kinds of relevant information are needed in order to assess impacts on the environment and society. 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 provide environmental and social considerations that include preventive measures as much as possible.

2.4 Consultation with Local Stakeholders

1. In principle, project proponents *take the initiative to* consult with local stakeholders through means that induce broad public participation to a reasonable extent, in accordance with Appendix 5 of the JICA Guidelines. *This is for realizing the environmental and social considerations that is most suitable to local situations, and for reaching an appropriate consensus.* JICA assists project proponents by implementing cooperation projects as needed.

2. In an early stage of cooperation projects, JICA *discusses and agrees* with project proponents on frameworks for *consultations* with local stakeholders.

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

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

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

6. JICA encourages project proponents to prepare *minutes of their meetings after* consultations.

2.5 Considerations for Social Environment and Human Rights

1. Social and institutional conditions of host countries and actual conditions of each project location *affect the implementation of the environmental and social considerations*. Therefore, JICA fully *considers* these conditions when *supporting for and reviewing of the environmental and social considerations*. In particular, special consideration *is required for* disclosing information *or* holding consultations with local stakeholders, *with understandings of host country governments, for cooperation projects in the countries and the 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 *when implementing cooperation projects*. JICA gives special attention to the human rights of vulnerable social groups, including women, children, elderly people, people in poverty, indigenous peoples, persons with disabilities, refugees, internally displaced persons, and minorities. JICA obtains country reports and information widely about human rights that are issued by related institutions, discloses information about cooperation projects, seeks to understand local human rights situations, in order to *reflect these into JICA's decision making*.

3. When security guards are hired for the project or other personnel are deployed to ensure and maintain the security of the project area as well as the persons related to the implementation of the project during the project preparation and implementation, JICA checks that such personnel will not use any force to provide security except for preventive and defensive purposes.

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 *JICA Guidelines in line with 2, 3, and 4 below*.
2. JICA confirms that project proponents comply with the laws or standards related to the environment and *society established by the host country governments*, including local governments. It also confirms that *project proponents* conform to *their* governments' policies and plans on the environment and *society*.
3. JICA confirms that projects do not deviate significantly from the World Bank's environmental and social policies. JICA refers to standards *stipulated by* international financial organizations, *other* internationally recognized standards, *and* international standards/treaties/declarations *as well as* good practices of developed nations including Japan, *as a benchmark*, when appropriate. When JICA recognizes that environmental and social considerations of *a* project are significantly *deviate from* the aforementioned standards and good practices, JICA encourages *the* project proponents to take more appropriate *environmental and social considerations* through a series of dialogues, in which JICA clarifies the background and reasons and *confirms countermeasures as necessary*.
4. JICA takes note of *that a* good governance surrounding projects *is important for realizing* appropriate environmental and social considerations *to be taken*.
5. JICA discloses information *in accordance with* relevant laws of *the host country government* and of the Government of Japan.

2.7 Advice of the Advisory Committee for Environmental and Social Considerations

1. For Category A projects and necessary projects among Category B projects, the Advisory Committee for Environmental and Social Considerations gives advices on environmental and social considerations *for the preparatory surveys*. The Advisory Committee gives *the advices on the projects during the environmental review and monitoring stages as necessary, when reported by JICA*. For the technical cooperation projects for development planning, the Advisory Committee gives *the advices at the full-scale study stage*. Ad hoc members *may be requested to participate in committee meetings when necessary, taking into account the nature of the project*.
2. Meetings of the Advisory Committee are open to the public. *Meeting minutes are prepared with the names of the speakers in the order of their comments/advices. The meeting minutes are made available to the public.*
3. Any committees established for the purpose of giving technical advices to cooperation projects *must obtain advices 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 *reflects the outcomes of its environmental reviews into the decisions regarding the conclusion of agreement documents*. If, as a result of *the environmental review*, JICA *determines that appropriate environmental and social considerations cannot be ensured, it will encourage the project proponents to undertake appropriate environmental and social considerations*. If appropriate environmental and social considerations are *still not undertaken, JICA will not implement the loan aid, grant aid, or technical cooperation projects*.
2. JICA *considers that appropriate environmental and social considerations are not ensured when, for example:*
 - *The justification of the project is not clearly recognized even after comparing the alternatives, including the “without project” situations;*
 - *Significant environmental and social impacts are expected when implementing the project even if mitigation measures are taken;*
 - *There is little involvement of affected peoples and related civil society organizations, and there is no prospect of further involvement, even though significant environmental and social impacts are concerned; and*

- *It is expected that it would be difficult to avoid environmental and social impacts and implement mitigation measures, considering the social and institutional conditions of the area where the project is conducted.*

3. When it is considered necessary to ensure the enforcement of environmental and social considerations by project proponents, JICA *would* make the utmost effort to ensure the following through agreement documents:

- Project proponents report to JICA on measures and monitoring related to the environmental and social considerations that they undertake. *They also report to JICA, if, owing to unforeseen circumstances, there is a possibility that the requirements for environmental and social considerations may not be fulfilled.*
- *Project proponents make an effort to hold discussions with local stakeholders related to the projects, if any problems regarding environmental and social considerations arise.*
- *JICA may, in accordance with agreement documents, make changes to the agreement of loan aid (including suspension and acceleration), grant aid, and technical cooperation projects, This may occur when project proponents obviously do not meet the requirements set out by JICA according to the JICA Guidelines, or when it is revealed after concluding the agreement documents that the projects have adverse impacts on the environment due to failure of the project proponents to supply correct information to JICA during the environmental review process.*

2.8.2 Technical Cooperation for Development Planning

1. JICA *checks the* 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 *appropriate* environmental and social considerations, if unexpected *inappropriate* 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-mentioned measures are taken (*refer to No. 2 of Section 2.8.1 above*).

2.9 Ensuring Appropriate Implementation of and Compliance with the JICA Guidelines

JICA appropriately implements the principles and procedures mentioned in the *JICA Guidelines*, and ensures compliance with them. JICA responds to objections regarding non-compliance with the *JICA 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. Application and Review of the JICA Guidelines

1. The JICA Guidelines is *promulgated* on MM/DD/YY and comes into force on MM/DD/YY (the effective date). *The JICA Guidelines* is applied to the projects whose applications are made by project proponents on and after the effective date. For the projects whose applications are made before the effective date, “the JICA Guidelines for Environmental and Social Considerations (April 2010)” is applied. For preparatory surveys, agreed to be implemented with project proponents before MM/DD/YY, and cooperation projects based on those surveys, “the JICA Guidelines for Environmental and Social Considerations (April 2010)” is applied regardless of the timing of the application.
2. JICA verifies the *actual implementation status* of the *JICA Guidelines*, and *reviews the operational aspects* within five years of the enforcement by hearing opinions of concerned people. In addition, JICA *conducts a comprehensive examination* of the *JICA Guidelines* within ten years of the enforcement, *based on the review results*. Revisions are made as needed, based upon the results mentioned above. When JICA revises the *JICA Guidelines*, JICA seeks opinions from the Government of Japan, *governments of developing countries*, NGOs in developing countries, NGOs in Japan, the private sector, experts, etc., in a process designed to ensure transparency and accountability.
3. JICA studies the issues *and* methods in applying the *JICA Guidelines*, and incorporates the results of these studies *into the revision* of the *JICA Guidelines*.

III. 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, and when necessary, *JICA discusses* with *the project proponents* and conducts field surveys in order to consider environmental and social aspects of *the cooperation program*.
2. JICA makes efforts to avoid or minimize significant environmental and social impacts by applying *an SEA* when preparing a sectoral or regional cooperation program.
3. JICA discloses *the final report of the preparatory survey* on its website promptly after *its completion*.

3.1.2 Project Formation (Loan Aid, Grant Aid (excluding projects executed through international organizations), and Technical Cooperation Projects)

(Decision of Survey Implementation and TOR Preparation)

1. JICA classifies *the Project* into one of the aforementioned four categories, taking into account *project characteristics and site conditions*. For Category C projects, the environmental and social considerations process is completed at this stage.
2. JICA discloses the results of *the categorization* on its website, including *project name, country, location, project outline, category, and reason behind the categorization*, before making *a decision to undertake the preparatory surveys*.
3. Prior to the preparatory surveys, JICA conducts field surveys and collects opinions and information from stakeholders for *all Category A projects, and if necessary Category B projects*. *The results of the field surveys are incorporated into the TOR of the preparatory surveys. JICA reviews project documents related to environmental and social considerations prior to the survey, if available.*

(Implementation of Feasibility Study)

4. JICA applies *an SEA* when the preparatory surveys include not only project-level but also upper-stream-level studies (*e.g. Master Plan studies*). *When conducting scoping and alternative analyses, JICA encourages project proponents to disclose related information, to hold consultations with local stakeholders based on stakeholder analysis, and to make efforts to avoid and minimize environmental and social impacts, for all Category A projects and if necessary Category B projects.*
5. JICA ensures sufficient survey period, assigns expert(s) of environmental and social considerations to *the survey team*, collects related information, conducts field surveys, consults with project proponents, *and makes a draft scoping, for Categories A and B projects.*
6. Project proponents *conduct consultations with local stakeholders based on stakeholder analysis, after disclosing the draft scoping report, for Category A projects, and if necessary Category B projects. In the consultations, the project proponents present the project name, country, location, project outline, category and reason behind the categorization, alternatives, impact items and impact details.* JICA supports *the project proponents and incorporates the results of the consultations into the environmental and social considerations surveys. Consultations broadly cover the needs of cooperation projects and alternative analyses, including “without project” situations.*

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 *the* TOR. JICA prepares drafts of impact mitigation measures, including avoidance, minimization, reduction, mitigation, and compensation, as well as drafts of monitoring plans and institutional arrangements for environmental and social considerations.
8. Project proponents consult with local stakeholders after information disclosure when *examining* the rough outline of environmental and social considerations, as needed. JICA supports this process and incorporates the results of *the* consultations into *the* survey results.
9. Project proponents consult with local stakeholders on draft reports for Category A projects, and if necessary for Category B projects, after the information disclosure *of the reports*. JICA supports this process and incorporates the results of *the* consultations into *the* final reports.
10. JICA discloses *the* final reports on its website promptly upon the completion.
11. *For* technical cooperation projects, *if* a detailed planning survey is conducted *instead of a preparatory survey*, the aforementioned procedures are *also* followed for the detailed planning survey.
12. In case of supplementary *types of* preparatory surveys, *after the completion of the procedures in paragraphs 1 and 2*, the necessary procedures *out of the procedures* mentioned in *paragraphs 5 through 10 above* are conducted *depending on* the contents of the *supplemental* survey.

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 based on the project category. JICA refers to the applicable environmental checklist depending on the project's sector.
2. In case that JICA does not conduct preparatory surveys, JICA categorizes projects promptly after receiving the official requests, and discloses the result of the categorization on its website. JICA discloses the result of the categorization based on more detailed information on its website, prior to the environmental review.
3. *In case that JICA conducts preparatory surveys, JICA discloses the final report or equivalent documents, excluding information related to a bid, on its website, for Category A projects, and if necessary Category B projects, prior to the environmental review. This is also for the case that a preparatory survey is not conducted but a detailed planning survey is conducted.*
4. JICA changes the category of projects, if necessary such as when new environmental and social impacts are found.

(1) Category A Projects

1. Project proponents must submit *environmental assessment* reports (see Appendix 2) for Category A projects. For projects that result in large-scale involuntary resettlement, a Resettlement Action Plan (RAP) also must be submitted. For projects that require the measures for indigenous people, an Indigenous Peoples Plan (IPP) must be submitted as well.

2. JICA publishes the status of host countries' submission of major documents on environmental and social considerations, including environmental permit certifications, on its website. Prior to its environmental review, JICA also discloses the following: (1) Environmental assessment reports approved by or submitted to the approval agencies of host country governments, (2) RAP for projects that result in large-scale involuntary resettlement, and (3) IPP for projects that require the measures for indigenous people. Specifically, JICA discloses the environmental assessment reports, which are approved by or submitted to the approval agencies of host country governments, 120 days or more prior to concluding the agreement documents. However, for private sector investment finance, JICA may disclose the environmental assessment reports 60 days or more prior to concluding the agreement documents. If the submitted environmental assessment reports are not approved yet, JICA additionally discloses the final environmental assessment reports once approved. In addition, JICA discloses environmental permit certifications when submitted. JICA discloses a translated version of these major documents, subject to approval by project proponents.

3. JICA undertakes the environmental reviews based on the environmental assessment reports and other documents submitted by project proponents. Environmental reviews for Category A projects examine the potential positive and negative environmental and social impacts of *the* projects. JICA examines *the* necessary measures to avoid, minimize, reduce, mitigate, or compensate for potential negative impacts, as well as measures to promote positive impacts, if any *of* such measures are available. JICA also *reviews* the results of information disclosure and local stakeholder consultations.

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

(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 *the* environmental reviews based on information provided by project proponents and *by* others. Environmental reviews for Category B projects examine the potential positive and negative environmental and social impacts and necessary measures to avoid, minimize, reduce, mitigate, or compensate for potential negative impacts, as well as measures to promote positive impacts, if any such measures are available. *Environmental assessment* reports may be referred to, in case the project follows the environmental assessment procedures, but this is not a mandatory requirement.

2. *If submitted by project proponents*, JICA discloses: (1) *Environmental assessment* reports and environmental permit certifications, (2) *RAP*, and (3) *IPP*.

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

(3) Category C Projects

1. *After project categorization*, no environmental review is conducted for Category C projects.

(4) Category FI Projects

1. JICA reviews, *through the* financial intermediary or executing agency, to ensure a project's appropriate environmental and social considerations stated in the *JICA Guidelines*. JICA also reviews institutional capacity of the financial intermediary or executing agency *for implementation of environmental and social considerations*, and if necessary, requires adequate measures *to* be taken to strengthen *the* capacity.

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

3. *In case that a project may include Category A sub-project(s)*, JICA, in principle, undertakes the environmental reviews and information disclosure for the Category A sub-project(s) in a same manner as required for Category A projects, prior to implementation of the sub-project(s). In case the sub-project(s) are categorized as B, JICA requires the financial intermediary or executing agency to undertake

environmental and social considerations in a same manner as specified in the JICA Guidelines. In case the sub-project(s) are categorized as C, the environmental review after project categorization is not conducted.

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

(5) Engineering Service Loans

1. In case of *the* engineering service loans, which are loan aids that cover only engineering services *such as* surveys and designs of a project, JICA carries out environmental reviews according to the category of the project, *prior to providing the engineering service loans.*

2. However, if *the* survey for environmental and social considerations is conducted *during* or in parallel with the *provision of the* engineering service loan, JICA may confirm the fulfillment of requirements of environmental and social considerations *during* the environmental review for the project *subsequent to the engineering service loans.*

3. Notwithstanding the provisions in the preceding paragraph, if any environmental and social impacts due to preparatory physical works during the engineering service loans are foreseen, JICA confirms the impacts brought by preparatory physical works during the environmental review for the engineering service loans. When any unforeseen environmental and social impacts become apparent during the engineering service loans, JICA undertakes the same procedures specified in 6 of 3.2.2 of the JICA Guidelines.

3.2.2 Monitoring and Check of Monitoring Results

1. *In principle, over a certain period, JICA checks with project proponents about monitoring results of items, which have significant environmental and social impacts.* This is done in order to confirm that project proponents are undertaking environmental and social considerations for projects that fall under Categories A, B, and FI.

2. The information necessary to confirm monitoring results must be supplied by the project proponents to JICA through appropriate means, including in writing. When necessary, JICA may also conduct its independent investigation(s).

3. When third parties point out *specifically* that environmental and social considerations are not being fully undertaken, JICA forwards such claims to *the* project proponents and, if necessary, encourages them to take appropriate actions. When project proponents 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. When necessary, JICA may request the cooperation of project proponents 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 to take appropriate actions in accordance with the agreement documents. When necessary, JICA may provide assistance. If the response of project proponents is inappropriate, JICA may consider taking actions in accordance with the agreement documents, including suspension of the disbursement.

6. When a project *undergoes* significant changes, JICA *re-categorizes the project* and carries out an environmental review according to Section 3.2.1. JICA discloses an outline of *the changes and the new category* as well as major environmental and social considerations documents promptly after receiving them.

7. JICA discloses the results of monitoring conducted by project proponents on its website, with a consent of the project proponents. When third parties request further information, JICA discloses it, subject to *an* approval by project proponents.

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 Technical Cooperation for Development Planning

3.3.1 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 *based on the project and regional characteristics*. After that, JICA makes *recommendations to MOFA regarding the adoption of the proposed projects* from the viewpoint of environmental and social considerations.

2. JICA discloses information on its website regarding Category A projects, such as *the project country, area, and project description, for a certain period*, before making its recommendation to MOFA. JICA then collects external information and opinions in order to incorporate these in the recommendation. *The procedures of the environmental and social considerations for Category C projects end* after screening.

3. If *necessary* information for *categorization is insufficient*, JICA makes inquiries to project proponents through the Embassies of Japan, JICA overseas offices, and other institutions. If information obtained through inquiries is considered insufficient, JICA dispatches *a survey* team to collect information regarding environmental and social aspects through consultations with the persons concerned, field visits in host countries, *and* other methods. JICA promptly discloses *the results of the survey*.

4. Soon after the conclusion of international agreements by MOFA, JICA discloses *the project* names, countries, locations, outlines, sectors, the *project* category and *its rationale* on its website. For Category A and B projects, JICA discloses recommendations to MOFA on its website.

3.3.2. Detailed Plan Preparatory Study Stage (*Applicable for both Master Plan Study and Feasibility Study*)

1. JICA conducts *the* detailed plan preparatory studies based on the results of *the* first screening. *While ensuring an adequate study period*, JICA dispatches an expert(s) on environmental and social considerations to conduct field surveys for Category A and B projects.

2. JICA examines *the information related to* environmental and social considerations described in *the* requests and collected *during the* review stage. *JICA* conducts *data collection*, field surveys, and consultations with *the* project proponents. *Based on the* collected information and consultations, JICA categorizes projects through *a* second screening and *changes* the categorization, *as* necessary.

3. JICA conducts provisional scoping according to *the project* categorization, and prepares drafts of TOR for *the study of* environmental and social considerations. For Category A projects, JICA conducts field surveys, *collects* information and opinions from stakeholders, and incorporates results into *the* draft TORs.

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

5. JICA prepares *the* draft agreement documents after consultation with *the* project proponents about the *implementation system for* environmental and social considerations. JICA obtains *the* basic agreement with *the project proponents* to incorporate the results of environmental and social considerations studies *appropriately* into the *project planning decisions*.

6. *If agreements can be made* with the project proponents, JICA concludes *the* agreement documents, *which* include *the* draft TOR for *the* projects. *If an agreement cannot* be reached, JICA suspends *the project* without concluding *the* agreement documents. When JICA *judges* that *the project should* not be implemented, it makes recommendations to MOFA to cease *the* cooperation.

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

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

1. JICA enlists *the expert(s) necessary for* environmental and social considerations to participate in *the* study teams for Category A and B studies, *while ensuring an* adequate study period.
2. JICA collects relevant information and conducts field surveys *that cover* a wider area than that of the detailed plan preparatory study, holds consultations with *the* project proponents and prepares *the draft* scoping.
3. For Category A studies, after the disclosure of the *draft* scoping, *the* project proponents conduct consultations with local stakeholders based on *the* stakeholder analyses. JICA incorporates the results of such consultations *in the environmental and social considerations studies*. The consultations *broadly cover understanding of project* needs and the analysis of alternatives. For Category B studies, project proponents consult with local stakeholders after the disclosure of *the draft* scoping when necessary.
4. *The* TOR includes understanding of *project* needs, impacts to be assessed, study methods, analysis of alternatives, schedule, and other items. JICA applies a SEA to such studies.
5. In accordance with *the* TOR and in collaboration with *the* project proponents, JICA conducts IEE-level environmental and social considerations studies, and analyzes alternatives, including *the* “without project” situations. During *the* studies, JICA incorporates its results into *the* relevant reports prepared accordingly.
6. For Category A studies, when preparing *the* outline of environmental and social considerations, *information is disclosed and* consultations with local stakeholders are conducted when necessary. JICA incorporates the results of such consultations into *its* studies.
7. Based on the aforementioned *procedures*, JICA prepares *the* draft reports incorporating the results of environmental and social considerations studies *and* explains these to *the* project proponents *in order to* obtain their comments. For Category A studies, *after the* draft reports are disclosed, 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 *are conducted* after the disclosure of draft final reports, when necessary.
8. JICA prepares *the* final reports incorporating the study results and submits them to *the* project proponents after confirming that the reports meet the requirements of the *JICA Guidelines*.
9. JICA discloses *the* final reports on its website promptly after *its* completion.

3.3.4. Full-scale Study Stage (Feasibility Study)

1. JICA enlists expert(s) *necessary for the* environmental and social considerations to participate in *the* study teams, *while ensuring an* adequate study period.

2. JICA collects relevant information, conducts field surveys *that cover* a wider area than that of *the detailed plan preparatory study*, holds consultations with *the* project proponents, and prepares *the draft* scoping.
3. For all Category A projects and *if necessary* for Category B projects, after disclosing *the draft* scoping, *the* project proponents conduct consultations with local stakeholders based on stakeholder analyses. JICA incorporates the results of such consultations in the environmental and social considerations studies. The consultations *broadly cover understanding of* project needs and *the analysis* of alternatives.
4. The TOR includes understanding of *project* needs, impacts to be assessed, study methods, analysis of alternatives, schedule, *and other items*.
5. In *accordance* with the TOR and in collaboration with *the* project proponents, JICA conducts *EIA-level environmental and social considerations studies* for Category A projects, and *IEE-level* for Category B projects. *The studies shall include* measures to avoid ,minimize *and manage environmental and social impacts (including compensation and offset in case impacts cannot be avoided)*; a monitoring plan; and an institutional arrangement. JICA also analyzes alternatives, including *the* “without project” situations. JICA incorporates the results of such studies into related reports that are prepared accordingly.
6. When considering *the* outline of environmental and social considerations, information is disclosed and consultations with local stakeholders are conducted as needed. JICA incorporates the results *of such consultations* into its studies.
7. JICA prepares *the* draft reports, incorporating the results of environmental and social considerations studies, and explains these to *the* project proponents in order to obtain *their* comments. After the disclosure of *the* draft reports, consultations with local stakeholders are conducted for all Category A projects and *if necessary* for Category B projects. JICA incorporates the results of such consultations into *the* final reports.
8. JICA prepares *the* final reports and submits these to *the* project proponents after confirming that *the reports* meet the requirements of the *JICA Guidelines*.
9. JICA discloses *the* final reports on its website promptly after *its* completion.

3.3.5 Follow-up Activity

1. *As necessary*, JICA confirms *if the* results and recommendations regarding environmental and social considerations studies *are reflected in the projects' environmental assessment reports, Resettlement Action Plans, Indigenous Peoples Plans*, mitigation measures, etc. *JICA* discloses the results of *its assessment* on its website.

2. *In case of receiving claims about unexpected environmental and social impacts after the completion of the Technical Cooperation for Development Planning, JICA conducts field surveys, if necessary, to identify the problems and makes recommendations to related organizations. JICA discloses all such recommendations.*

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Appendix 1. Environmental and Social Considerations Required for Projects

In principle, *projects are required to undertake* appropriate environmental and social considerations, according to the nature of the *Project*, based on the following:

1. Basic Principles

1. Environmental *and social* impacts caused by projects must be assessed and examined *at* the earliest possible planning stage. Alternatives or mitigation measures must be examined, in order to avoid such impacts as much as possible, and to minimize, reduce or mitigate them when such avoidance is impossible. *The result of the examinations must be reflected* 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, *and to be* in a close harmony with the economic, financial, institutional, social, and technical analyses of projects.
3. The findings of the examination of environmental and social considerations, *including* alternatives and mitigation measures, must be *documented* as *an independent* document or as a part of other documents. Environmental assessment reports must be *prepared* for projects *with potential significant* impacts.
4. For projects *which may* have *significant impacts in particular*, or *for controversial projects*, a committee of experts may be formed so that *projects* 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 *by the project* 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, reduction, and then mitigation of *the* impacts must be considered, in accordance with the mitigation hierarchy. Compensation measures must be examined only when significant impacts are still remain *even with* the aforementioned measures.
2. Appropriate plans and systems for measures, 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. For projects with particularly *significant* impacts, *detailed environmental management plans* must be prepared.

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 use, climate change, biodiversity, and ecosystem services, including trans-boundary or global scale impacts. These also include social considerations such as: Migration of population including 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 *peoples* 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, derivative, secondary, and cumulative impacts as well as impacts *associated with* indivisible *projects* are also to be examined and assessed to a reasonable extent. It is also desirable *to consider* the impacts through *a* project *life cycle*.

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 host country governments, including local governments. Projects must also conform to the environmental and social consideration policies and plans of the host country governments.

2. In principle, Projects must be undertaken outside of areas that are specifically designated for conservation of nature or cultural heritages by the host county governments, unless the main purpose of the Projects is to promote or restore the protection of such areas. Also, projects shall not cause significant adverse impacts on *such* designated conservation areas.

5. Social Acceptability

1. Projects must be adequately coordinated so that they are accepted in a socially appropriate *manner for the countries and areas where the projects* are planned. For *Projects* with potentially *significant* environmental and social impacts, 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 *are* examined. The outcome of such consultations must be incorporated into the project plans.

2. Appropriate considerations must be given to vulnerable social groups, such as women, children, elderly peoples, people in poverty, indigenous peoples, persons with disabilities, refugees, internally displaced persons, and minorities. Such vulnerable social groups are susceptible to environmental and social impacts and may have little access to decision-making processes within society.

6. Climate Change

1. For projects that are expected to generate more than a certain amount of greenhouse gas emissions, the total amount of greenhouse gas emissions will be estimated and disclosed before the project implementation.

7. Biodiversity

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

2. Illegal logging of forests must be avoided. Project proponents are encouraged to obtain *forest certifications* as a way to ensure the prevention of illegal logging.

8. Involuntary Resettlement and Loss of Livelihood

1. Involuntary resettlement and loss of means of livelihood are to be avoided when feasible by exploring all viable alternatives. *If avoidance is not possible even after such examination, effective measures to minimize impacts and to compensate for losses must be taken upon agreement with the affected people.*

2. *Project affected people, such as people to be resettled involuntarily and/or people who may lose their livelihoods by the project, must be provided sufficient compensations and supports by the project proponents in a timely manner. Compensations must be calculated , at full replacement cost as much as possible, and provided in advance. Project proponents must make efforts for the affected people to improve or at least restore their standards of living, income opportunities and production levels to the pre-project levels. Measures to achieve this may include: Providing land or monetary compensations for losses of land or assets, supporting for alternative sustainable livelihood, supporting for expenses necessary for relocation, and supporting for re-establishment of communities at resettlement sites.*

3. Compensation standards are disclosed and consistently applied. The project affected persons need to be aware of the compensation standards. In principle, the contents of the individual compensation to be agreed are explained to the project affected persons in writing, and the project affected persons can confirm the contents at any time.

4. Appropriate participation of the *project* affected people and their communities must be promoted in the planning, implementation and monitoring of measures against involuntary resettlement and loss of livelihood.

5. For projects that result in large-scale involuntary resettlement, a *Resettlement Action Plans (RAP)* must be prepared and made available to the public prior to the resettlement and provision of compensation and support. In preparing *the RAP*, consultations must be held with the *project* affected people and communities, based on sufficient information made available to them in advance. When consultations are held, explanations must be given in *languages and forms* that are understandable to the *project* affected people. It is desirable that the *RAP* includes elements laid out in the Environmental and Social Standard (ESS) 5 of the World Bank's environmental and social policies.

9. 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. *If avoidance is not possible even after such examination*, effective measures for indigenous peoples must be taken to minimize *the* impacts and to compensate for the 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 *the* relevant international declarations and treaties, including the United Nations Declaration on the Rights of Indigenous Peoples. Efforts must be made to obtain the Free, Prior, and Informed Consent (FPIC) of the affected indigenous peoples.

3. Measures for the affected indigenous peoples must be prepared as an *Indigenous Peoples Plan (IPP)*, which may constitute as a part of other documents for environmental and social *considerations*, and must be made public in compliance with the relevant laws and ordinances of the host country. In preparing the *IPP*, efforts must be made to obtain the FPIC of 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 *languages and forms* that are understandable to the *indigenous peoples* concerned. It is desirable that the *IPP* includes the elements laid out in the ESS 7 of the World Bank's environmental and social policies.

10. Monitoring

1. *During the project implementation, project proponents monitor whether any unforeseeable situations occur, and the performance and effectiveness of the planned mitigation measures. Project proponents 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 must ensure that the project plans include feasible monitoring plans.*
3. *Project proponents should make efforts to make the monitoring results available to local stakeholders involved in the project.*
4. *When third parties point out specifically that environmental and social considerations are not being fully undertaken, project proponents should make efforts to reach an agreement on the procedures to resolve the problems, through forums for discussions and examinations of the countermeasures with participation of stakeholders involved in the projects, based on sufficient information disclosure.*

11. Grievance Redress Mechanism

1. A mechanism for handling concerns and grievances from people and communities affected by the project's environmental and social impacts must be in place.
2. The grievance redress mechanism needs to be easily accessible for the project affected people and communities. Project proponents disseminate the information about the grievance redress mechanism through consultations with local stakeholders. The project affected people and communities must not be disadvantaged by filing a grievance.
3. Project proponents should make efforts to respond promptly to the grievances they receive, taking into account the concerns and needs of the project affected people and communities.

Appendix 2. Environmental Assessment Reports for Category A

Projects

In principle, the environmental assessment reports for Category A projects, which are approved by or submitted to the approval agencies of host countries, fulfill the following conditions:

- When *environmental* assessment procedures already exist in host countries, and projects are subject to such procedures, project proponents must officially finish those procedures and obtain the approval from the approval agencies of the host country.
- *Environmental assessment* reports, which may have *different document names depending on the system*, must be written in the official language or in a language widely used in the host country. When explaining *the reports* to local residents, written materials must be provided in a form understandable to them.
- *Environmental assessment* reports are required to be made available in the host country, including for local residents. The *environmental assessment* reports are required to be available at all times for perusal by stakeholders such as local residents, and *to be allowed to photocopy*.
- In preparing *environmental assessment* 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 stakeholders such as local residents should take place throughout the preparation and implementation stages of a project *as appropriate*. It is desirable to hold the consultations especially at selection of items to be assessed as well as at completion of the draft environmental assessment report.
- It is desirable that *environmental assessment* reports cover the items enumerated in the following.

Illustrative Environmental Assessment Report for Category A Projects

The scope and details of an environmental assessment report should be determined in accordance with the project's potential impacts. The environmental assessment report should include the following items, in no particular order:

- Executive summary: *Briefly describes significant findings and recommended actions.*
- Policy, legal, and administrative framework: *Explains the policy, legal, and administrative frameworks for carrying out the environmental assessment report.*

- Project description: *Briefly* describes the proposed project and its geographic, ecological, social and temporal *contexts*. *It includes all the information on off-site investments that may be required, e.g. dedicated pipelines, access roads, power plants, water supply facilities, housings, or raw material and product storage facilities.* It also *clarifies* the need for *Resettlement Action Plan, Indigenous Peoples Plan, or social development plan.* It normally includes a map showing the project site and the area affected by the project.
- Baseline data: *Assesses the characteristics 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 the current and proposed development activities, which are within the project area but not directly related to the project. Information described here should be relevant to the decisions on location, design, operation, and mitigation measures of the project.* The accuracy, reliability, and sources of the data *should be also explained in this section.*
- Environmental impacts: *Predicts and assesses the potential positive and negative impacts by the project quantitatively to the extent possible. It identifies mitigation measures and all adverse environmental impacts that are unmitigable, and explores opportunities for environmental enhancement. It identifies and estimates the extent and quality of available data, as well as uncertainties associated with essential data gaps and predictions. It also specifies items that do not require further considerations.*
- Analysis of alternatives: *Systematically compares feasible alternatives on the location, technology, design, and operation of the project, including the “without project” situations. The comparison considers the potential environmental impacts, feasibility of mitigating the impacts, capital and recurrent costs, suitability for local conditions, and institutional, training, and monitoring requirements. It quantifies the environmental impacts to the extent possible, and attaches economic evaluations where feasible, for each alternative. It clearly states the basis for selecting a particular proposed project design, and provides justifications for recommended emission levels and approaches to pollution prevention and abatement.*
- Environmental Management Plan (EMP): *Proposes mitigation measures, monitoring, and enhancement of institutions to be carried out during construction and operation of the project, in order to eliminate, offset, and reduce the adverse impacts.*
- Consultation: *Records of consultation meetings, which include date, venue, participants, procedures, opinions of major local stakeholders and responses to them, and other items. It includes records of consultations for obtaining the views of the affected peoples, local NGOs, and regulatory agencies, based on the information given to them.*

Note: This Appendix is made referring to the World Bank [ESS 1](#).

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

The sensitive sectors, characteristics, and areas shown in this *Appendix* are *the examples of projects* that likely have significant adverse *impacts* on the environment and society. A project is categorized in accordance with the standards for “Category A” indicated in *the* section 2.2 of the *JICA Guidelines*, depending on the impacts of the projects. Consequently, projects that are likely to have significant adverse *impacts* on the environment and society are categorized as “Category A,” even if they are not included in the sectors, characteristic, or areas on *this* 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 *considerations for the host countries or the regions*

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 *of* desertification

Social Environment

a) Areas with unique archeological, historical, or cultural *values*

b) Areas inhabited by ethnic minorities, indigenous peoples, or nomadic peoples with traditional ways of life, and other areas with special social *values*

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:

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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.

Approved without a supplementary condition	Approved with a supplementary condition	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, *nationally-designated protected areas (coastal areas, wetlands, areas for ethnic minorities or indigenous peoples and cultural heritage, etc. designated by national governments)*

Primary forests, natural forests in tropical areas

Habitats with important ecological value (coral reefs, mangrove wetlands, tidal flats, etc.)

Habitats of rare species that require protection under domestic legislation, international treaties, etc. Areas in danger of large-scale salt accumulation or soil erosion

Areas with a remarkable tendency of desertification

Areas with unique archeological, historical, or cultural values

Areas inhabited by ethnic minorities, indigenous peoples, or nomadic peoples with traditional ways of life, and other areas with special social values

Question 8:

Does the project include any of the following items?

Yes No

If yes, please mark the appropriate items.

Involuntary resettlement (scale: households persons)

Groundwater pumping (scale: m³/year)

Land reclamation, land development, and/or land-clearing (scale: hectors)

Logging (scale: hectors)

Question 9:

Please mark related environmental and social impacts, and describe their outlines.

Air pollution

Water pollution

Soil pollution

Waste

Noise and vibrations

Ground subsidence

Offensive odors

Geographical features

Bottom sediment

Biota and ecosystems

Involuntary resettlement

Local economies, such as employment, livelihood, etc.

Land use and utilization of local resources

Social institutions such as social infrastructure and local decision-making institutions

Existing social infrastructures and services

Water usage

Accidents

Global warming

Poor, indigenous, or ethnic people

Misdistribution of benefits and damages

Local conflicts of interest

Limitation of accessibility to information, meetings, etc. on a specific person or group

Gender

Children's rights

Cultural heritage

Infectious diseases such as HIV/AIDS

Other ()

Outline of related impact:

{

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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

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Appendix 5. Consultation with Local Stakeholders

In principle, consultations with local stakeholders are conducted based on the points presented below, in order to ensure the meaningful participation of the local stakeholders.

Basic Principles

1. The process of consultations with local stakeholders includes:
 - (i) Identification and analysis of local stakeholders
 - (ii) Plan for meaningful consultations with local stakeholders
 - (iii) Information disclosure
 - (iv) Consultations with local stakeholders and feedback, including reporting
 - (v) Receiving and responding to concerns and grievances

2. For the projects, which may have significant environmental and social impacts, consultations with local stakeholders are held with information disclosure, from early preparation stage and during implementation of environmental and social considerations.

Identification of Local Stakeholders

1. Project proponents identify local stakeholders.
2. Project proponents identify individuals or groups among the local stakeholders that may need specific consultation methods due to different concerns or issues regarding the project's impacts, mitigation measures and benefits of the project, corresponding to their circumstances or social vulnerabilities.

Meaningful Consultation

1. Project proponents carry out meaningful consultations by providing local stakeholders with opportunities to express their opinions regarding the potential impacts and mitigation measures of the projects, and allowing the Project proponents to consider and respond to such opinions, so that they can avoid potential conflicts or complaints.

2. Meaningful consultation is a two-way process. Project proponents need to disclose information in advance with a sufficient time in the official language(s) of the host country or in a widely used language in the country, using a format understandable to local residents.

3. Consultations with local stakeholders are conducted in a culturally appropriate manner, and being free of external manipulation, interference, coercion, discrimination, and intimidation.

4. In principle, consultations with local stakeholders are conducted in person. However, this may depend on the local situation of the host country. The consultations are conducted in an appropriate manner, that enables local stakeholders to express their opinions and enables the project proponents to consider and respond to their opinions. The technologies such as remote access and social network services may be used.

Consideration of Vulnerable Social Groups

1. Project proponents identify those who are vulnerable due to specific circumstances among the local stakeholders.

2. Project proponents ensure the participation of the vulnerable social groups in the consultations. Project proponents implement measures so that vulnerable social groups can actively express their opinions and that these opinions are treated fairly.

Significant Changes

1. In case significant changes to the project and additional impacts occur, project proponents provide local stakeholders with information about the additional impacts and mitigation measures, and consult with the local stakeholders.

Appendix 6. Categories and Items in Checklists

The checklists include the following categories and items. When using the checklist, appropriate items *are selected and checked depending* on the sector and nature of the project.

<i>Category</i>	<i>Item</i>
1. Permits and explanations	<ul style="list-style-type: none">• <u>Environmental assessment</u> and environmental permits• Explanations to the local stakeholders
2. Pollution control	<ul style="list-style-type: none">• Air quality (<u>including greenhouse gas</u>)• Water quality <u>and water use</u>• Wastes• Soil contamination• Noise and vibration• Subsidence• Odor• Sediment
3. Natural environment, <i>protected areas</i>	<ul style="list-style-type: none">• Protected areas• Ecosystem <u>and biodiversity</u>• Hydrology• Topography and geology• Management of abandoned sites

4. Social environment, *resettlement*

- Resettlement
- Living and livelihood
- Heritage
- Landscape
- Ethnic minorities and indigenous peoples
- Working conditions (including occupational safety)

5. Others, *impacts during construction*

- Accident prevention measures
- *Monitoring*

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Appendix 7. Monitoring Items

Monitoring items are selected according to the sector and nature of the project. The standards presented in the Environmental, Health, and Safety (EHS) Guidelines of the International Finance Corporation (IFC) are referred to when determining the monitoring items. The latest international standards shall be used, as appropriate.

1. Permits and approvals, explanations

- Response to *conditions set* by authorities

2. Pollution prevention measures

- Air quality
- Water quality and water use
- Waste
- Noise and vibration
- Odors

3. Natural environment

- Ecosystems and biodiversity

4. Social environment

- Resettlement
- *Living* and livelihood

5. Grievance

- Number and contents of complaints

- Response to complaints

Note: For air and water quality, specify whether emission levels or environmental levels. It also should be noted that the monitoring items in the construction phase are different from those in the operation phase of the project.

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