

JAPAN INTERNATIONAL COOPERATION AGENCY  
GUIDELINES FOR ENVIRONMENTAL AND SOCIAL CONSIDERATIONS

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Japan International Cooperation Agency

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## **List of Acronyms**

B/D	Basic Design
D/D	Detailed Design
EIA	Environmental Impact Assessment
IEE	Initial Environmental Examination
JBIC	Japan Bank for International Cooperation
JICA	Japan International Cooperation Agency
MOFA	Ministry of Foreign Affairs
OECD	Organization for Economic Cooperation and Development
R/D	Record of Discussions
S/W	Scope of Work
TOR	Terms of Reference

## **Preface**

Principle 17 of the Rio Declaration on Environment and Development proclaims that an Environmental Impact Assessment, as a national instrument, shall be undertaken for proposed activities that are likely to have a significant adverse impact on the environment and are subject to a decision of a competent national authority. Agenda 21 proposes that the governments should, at the national level, promote the development of appropriate methodologies for integrating energy, environmental and economic policy decisions for sustainable development, inter alia, through environmental impact assessment (9.12(b)). The Universal Declaration of Human Rights makes clear a common standard of achievement for all peoples and all nations to promote respect for human rights and freedoms, and to secure their universal and effective recognition and observance. In 1985, the OECD Council Recommendation on Environmental Assessment of Development Assistance Projects and Programs was endorsed, and since then multilateral donors including the World Bank and main bilateral donors have prepared guidelines for environmental considerations and applied them.

JICA, which is responsible for the implementation of technical cooperation and the preliminary study of grant aid projects in Japan's bilateral grants, prepared environmental guidelines for infrastructure projects in 1990, in response to a proposal made by the first JICA Working Task on Environmental Cooperation in 1988, which introduced a screening and a scoping process to the preparatory study of Development Study. After more than ten years since the former guidelines were prepared, JICA decided to revise them, in response to the need for preparing basic principles of environmental and social considerations for all of JICA's activities. The revisions extended the range to be covered by the guidelines, promoted information disclosure, and strengthened the internal organization to ensure compliance with the guidelines and to enhance environmental and social considerations for the Official Development Assistance according to the governmental policy.

In December 2002, JICA established a committee for revising JICA guidelines for environmental and social considerations. The members of this committee were from universities, NGOs, private sector and related ministries. The committee held nineteen meetings which were open to the public and submitted its proposal of new guidelines to JICA in September 2003. JICA then established a follow-up committee for the guidelines in November 2003 and a draft of guidelines prepared by JICA was reviewed by the follow-up committee. JICA requested public comments from December 2003 to February 2004 for two months and incorporated submitted comments into the guidelines. JICA completed the new guidelines for environmental and social considerations in March 2004.

These guidelines cover development studies, preliminary studies of grant aid projects and technical cooperation projects. The Business Protocol and Mid-term Plan of JICA state clearly that JICA implements cooperation activities in accordance with the guidelines. JICA encourages the recipient governments by conducting cooperation activities to implement the appropriate measures for environmental and social considerations, and at the same time JICA gives support for and examination of environmental and social considerations according to the guidelines. JICA will make a comprehensive review of the guidelines within five years of their enforcement and revise them if necessary.

## **I. BASIC MATTERS**

### **1.1 Policy**

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

JICA, which is responsible for technical cooperation in ODA, plays a key role in contributing to sustainable development in developing countries. The inclusion of environmental and social costs in development costs, and the social and institutional framework to make it possible to internalize environmental and social costs in development costs, are crucial for sustainable development. The internalization and the institutional framework are requirements for measures of environmental and social considerations, and JICA has been requested to take suitable considerations of environmental and social factors.

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

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

Under the above views, JICA considers the environmental and social impacts when implementing cooperation projects.

### **1.2 Objectives**

The objectives of the guidelines are to encourage the recipient governments to take appropriate considerations of environmental and social factors as well as to ensure that JICA's support for and examination of environmental and social considerations are conducted accordingly. The guidelines outline JICA's responsibility and procedures, and requirements for the recipient governments to facilitate achievement of the objectives.

### **1.3 Definitions**

1. "environmental and social considerations" means considering environmental impacts on air, water, soil, ecosystem, fauna and flora as well as social impacts including involuntary resettlement and respect for human rights of indigenous people and so on.
2. "cooperation projects" means development studies, preliminary studies of grant aid project or technical cooperation projects that JICA undertakes.

3. “projects” means undertakings or projects that the recipient governments conduct and JICA supports.
4. “environmental and social considerations studies” means studies including baseline surveys, predicting and evaluating adverse impacts and likely impacts that projects are to have on the environment and local society, and mitigation measures to avoid and minimize them.
5. “environmental impact assessment” means evaluating environmental and social impacts that projects are likely to have, analyzing alternative plans and preparing adequate mitigation measures and monitoring plans in accordance with laws or guidelines of the recipient governments.
6. “strategic environmental assessment” means an assessment being implemented at the policy, planning and program level rather than a project-level EIA.
7. “support for environmental and social considerations” means offering the recipient governments assistance by conducting environmental and social considerations studies, analyzing countermeasures, accumulating knowledge and experience, and developing human resources and so on.
8. “examination of environmental and social considerations” means judging whether adequate considerations for the projects are ensured. Judgement is performed by discussing the considerations with the recipient governments and doing field surveys; by confirming project description, site description, likely impacts on the environment and society, and legal frameworks concerning EIA; and by confirming the implementing of capacity, including the budget, organization, personnel and their experience, and the frameworks and operating procedures regarding information disclosure and public participation.
9. “screening” means deciding whether proposed projects are likely to have impacts that should be assessed by conducting environmental and social considerations studies according to project description and site description. JICA conducts screening by classifying proposed projects into three categories: A, B and C. Proposed projects classified as Category A are likely to have significant adverse impacts, and proposed projects classified as Category B are likely to have less adverse impacts than those of Category A projects. Category C projects are likely to have minimal or no adverse impacts.
10. “scoping” means deciding alternatives to be analyzed, a range of significant and likely significant impacts, and study methods.
11. “local stakeholders” means affected individuals or groups including squatters and local Non-governmental Organizations (NGOs), and “stakeholders” means individuals or groups who have views about cooperation projects, including local stakeholders.
12. “advisory council of environmental and social considerations review” means a council which advises on the support for and examination of environmental and social considerations about cooperation projects.
13. “international agreements” means agreements between the government of Japan and the recipient governments after the Ministry of Foreign Affairs selects cooperation projects.
14. “follow-up activities” means confirming that the recipient governments incorporate the conclusions of environmental and social considerations studies in the decision-making process to implement projects.
15. “Terms of Reference (TOR)” means a set of administrative, procedural and technical

requirements.

16. “Scope of Work (S/W)” means agreement documents between JICA and counterpart institutions in recipient countries that include the scope of the studies, the contents to be addressed, a schedule of studies, and mutual undertakings.
17. “Record of Discussions (R/D)” means agreement documents between JICA and counterpart institutions in recipient countries that include the objectives of technical cooperation projects, the activities, a schedule of the activities, and mutual undertakings.
18. “Environmental Impact Assessment (EIA) level study” means a study including analysis of alternative plans, prediction and assessment of environmental impacts, and preparation of mitigation measures and monitoring plans on the basis of detailed field surveys.
19. “Initial Environmental Examination (IEE) level study” means a study including analysis of alternative plans, prediction and assessment of environmental impacts, and preparation of mitigation measures and monitoring plans on the basis of secondary data and simple field surveys.
20. “coordinated detailed design (D/D) study with JBIC” means a detailed design study for a yen loans project where JICA works in closer cooperation with Japan Bank for International Cooperation (JBIC).
21. “basic design study” means a study to prepare basic plans, basic designs, cost estimation and operational organization plans about grant aid projects.

#### **1.4 Basic Principles regarding Environmental and Social Considerations**

JICA supports the recipient governments by offering cooperation projects into which JICA incorporates appropriate environmental and social considerations so as to avoid or minimize development projects’ adverse impacts on the environment and local communities. JICA thus promotes sustainable development in developing countries.

JICA makes clear requirements that the recipient governments must meet and that are mindful of environmental and social considerations in the guidelines, and JICA provides the recipient governments with support to facilitate the achievement of these requirements by implementing cooperation projects. JICA examines undertakings by the recipient governments in accordance with the requirements and makes adequate decisions regarding environmental and social considerations on the basis of the results of the examination.

JICA submits proposals to MOFA regarding selection of cooperation projects from a viewpoint of environmental and social considerations, so that the Government of Japan can make an appropriate decision regarding project selection. JICA recognizes the following seven principles to be very important.

1. A wide range of impacts to be addressed is covered.

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

2. Measures for environmental and social considerations are implemented at an early stage.

JICA introduces the concept of Strategic Environmental Assessment (SEA) when conducting Master Plan studies, etc., and works with the recipient governments to address a wide range of environmental and social factors from an early stage. JICA makes an effort to include an analysis

of alternatives on such occasions.

3. Follow-up activities are carried out after cooperation projects are terminated.

JICA asks the recipient governments to incorporate the outcome of environmental and social considerations in the implementation of projects after cooperation is terminated. JICA offers cooperation projects in accordance with other requests, when necessary.

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

JICA pays attention to accountability and transparency when implementing cooperation projects.

5. JICA asks stakeholders for their participation.

JICA incorporates stakeholder opinions into decision-making processes regarding environmental and social considerations, and JICA ensures the meaningful participation of stakeholders in order to take consideration of environmental and social factors and to reach a consensus accordingly. Stakeholders participating in meetings are responsible for what they say.

6. JICA discloses information.

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

7. JICA enhances organizational capacity.

JICA makes an effort to enhance the comprehensive capacity of organizations and operations to consider environmental and social factors appropriately and effectively at all times.

### **1.5 Responsibility of JICA**

1. The recipient governments take the initiative in dealing with environmental and social considerations of their projects. However JICA supports and examines measures for environmental and social considerations that the recipient governments implement in the following ways which are responsive to the nature of such cooperation projects and are in accordance with the guidelines.
2. When requests for cooperation projects are made, JICA examines the contents with regard to environmental and social considerations and categorizes the proposed projects.
3. When JICA makes plans of projects, JICA prepares reports on environmental and social considerations studies in collaboration with host countries. JICA reviews the categorization if necessary and conducts scoping with information disclosure and stakeholder consultation.
4. JICA conducts monitoring during the implementation stage of technical cooperation projects. During this stage, it is necessary to consider environmental and social factors.
5. JICA conducts follow-up activities after cooperation projects are terminated.
6. JICA provides technical assistance to host countries through mutual collaborative work for environmental and social considerations studies.
7. JICA provides technical assistance regarding the enforcement of environmental impact assessment in host countries, in response to other requests.
8. JICA makes an effort to incorporate the concept of SEA into cooperation projects when taking part in the planning or program level rather than in the project level, or comprehensive studies like master plan studies. At the same time, JICA works with the recipient governments to take

measures to address a wide range of measures for environmental and social considerations from an early stage.

9. JICA keeps in mind accountability and transparency when supporting and examining environmental and social considerations.
10. Experts dispatched by JICA give the recipient governments advice or support, with respect to the relevant clauses of the guidelines within the experts' mandates.

### **1.6 Requirements of the Recipient Governments**

1. The recipient governments are required to incorporate the outcome of environmental and social considerations studies into their planning and decision-making process once they receive authorization for a project's implementation.
2. When JICA considers either the selection of proposed projects or the support for and examination of environmental and social considerations, JICA examines how the recipient governments meet the requirements that JICA requires as mentioned in Appendix 1.
3. Various documents prepared through the EIA process and reports (EIA documents) must be written in official languages or in languages familiar to people within the host countries. Documents written in understandable languages and forms for local people must be prepared and explained to them.
4. It is requested that EIA documents be made open to local stakeholders including local people. In addition, EIA documents should be available for public reading at all times, and the making of copies of these for the local stakeholders should be permitted.

### **1.7 Covered Schemes**

The guidelines cover three schemes which JICA implements: Development Studies, Preliminary Studies of Grant Aid Projects, and Technical Cooperation Projects. In the case when JICA conducts studies besides the above three schemes, JICA respects related clauses of the guidelines according to project objectives.

### **1.8 Measures Taken in an Emergency**

An emergency is defined as a case that must be dealt with immediately – such as restoration after natural disasters or post-conflict restoration – when it is clear that there is no time to follow procedures of environmental and social considerations mentioned in the guidelines. In such an emergency, JICA consults the advisory council of environmental and social considerations' review on categorization, judgement of emergency, and procedures to follow at an early stage, and discloses results of review by the advisory council and results of cooperation projects after their completion.

### **1.9 Dissemination**

JICA makes the guidelines available through its home page. JICA explains the guidelines to the recipient governments, ministries and related institutions, and requests that they take the guidelines into consideration.

## **II. Process of Environmental and Social Considerations**

### **2.1 Information Disclosure**

1. In principle, the recipient governments disclose information about environmental and social considerations of projects. JICA assists the recipient governments by implementing cooperation projects.
2. JICA itself discloses important information about environmental and social considerations at the main stages of cooperation projects in an appropriate manner in accordance with the guidelines.
3. JICA discusses frameworks to ensure information disclosure with the recipient governments and comes to an agreement with them at an early stage of cooperation projects.
4. The information to be disclosed includes that of the project itself.
5. Besides the information to be disclosed on JICA's own judgment, JICA provides information about environmental and social considerations to third parties within the extent possible in response to requests.
6. JICA encourages the recipient governments to disclose and present information about environmental and social considerations to local stakeholders.
7. JICA discloses information well in advance when JICA has meetings with local stakeholders in cooperation with the recipient governments, so that they have time to review the information.
8. JICA discloses information through its website in Japanese and English, and provides related reports for public reading at its library and at a concerned overseas office.
9. JICA prepares documents in cooperation with the recipient governments in an official or familiar language and an understandable form for local people, and is willing to provide them with documents at the same time of information disclosure on its website.

### **2.2 Consultation with Local Stakeholders**

1. In principle, the recipient governments consult with local stakeholders through means that induce reasonably broad public participation, in order to consider environmental and social factors in the way most suitable to local situations and to reach an appropriate consensus. JICA assists the recipient governments by implementing cooperation projects.
2. With the recipient governments, JICA discusses and reaches a consensus on the frameworks for consulting with local stakeholders at an early stage of cooperation projects.
3. In order to have meaningful meetings, JICA, in collaboration with the recipient governments, publicizes in advance that JICA consults with local stakeholders, particularly the people directly affected.
4. In the case of Category A projects, JICA consults with local stakeholders in collaboration with the recipient governments about the understanding of development needs, the likely adverse impacts on the environment and society of such needs, and an analysis of alternatives at an early stage. JICA will hold at least a series of discussions at each stage of scoping, preparing an outline of measures for environmental and social considerations, and the completion of a draft of the final report.
5. In the case of Category B projects as well, JICA consults with local stakeholders in collaboration with the recipient governments when necessary.

6. JICA prepares minutes of the meeting in collaboration with the recipient governments when consulting with local stakeholders.

### **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 the natural environment. Impacts on the natural environment include trans-boundary or global-scale impacts through air, water, soil, waste, accidents, water usage, climate change, ecosystems and biodiversity. The impacts to be assessed also include social impacts, which include the migration of populations and involuntary resettlement; local economy such as employment and livelihood; utilization of land and local resources; social institutions such as social infrastructure and local decision-making institutions; existing social infrastructures and services; vulnerable social groups such as the poverty level and indigenous peoples; equality of benefits and losses and equality in development process; gender; children's rights; cultural heritage; local conflict of interests and infectious diseases such as HIV/AIDS.
2. In addition to the direct and immediate impacts of projects, derivative, secondary and cumulative impacts are also to be assessed in regard to environmental and social considerations within the extent possible. The life cycle impact during a project period is considered also.
3. Various kinds of relevant information are needed to assess impacts on the environment and local communities. There are, however, uncertainties in predicting impact due to incomplete understanding of an impact mechanism and limited information available. Therefore, if the scale of uncertainty is considered to be large, JICA provides environmental and social considerations which include preventive measures as much as possible.

### **2.4 Inquiry to Advisory Council of Environmental and Social Considerations Review**

1. In order to seek advice regarding support for and examination of environmental and social considerations about cooperation projects, JICA establishes a standing advisory council as a third party, composed of external experts with the necessary knowledge.
2. The advisory council takes part in Category A and B projects from a request review stage until a final stage and gives advice about the propriety of support in response to inquiries by JICA. The council also gives advice on each cooperation project. Ad-hoc members are requested to participate in the council when necessary, taking into account the nature of each project.
3. Discussions by the advisory council are open to the public. Minutes are prepared with the names of speakers in the order of speaking and are made available to the public.
4. A committee to be established for the purpose of giving technical advice to cooperation projects must obtain advice from the advisory council in regard to environmental and social considerations.

### **2.5 Categorization**

1. JICA classifies projects under three categories according to the extent of environmental and social impacts. To make this classification, JICA takes into account an outline of the project, the scale, the site condition, and the environmental impact assessment scheme in host countries.

2. Category A: Projects are classified as Category A if they are likely to have significant adverse impacts on the environment and society. Projects with complicated impacts or unprecedented impacts, which are difficult to assess or which have a wide range of impacts or irreversible impacts, are also classified as Category A. Projects are also classified as Category A if they require a detailed environment impact assessment by environmental laws and the standards of the recipient governments. The impacts may affect an area broader than the sites or facilities subject to physical construction. Category A, in principle, includes projects in sensitive sectors (i.e., characteristics that are liable to cause adverse environmental impact) and projects located in or near sensitive areas. An illustrative list of sensitive sectors, characteristics and areas is given in Appendix 2.
3. Category B: Projects are classified as Category B if their potential adverse impacts on the environment and society are less adverse than those of Category A projects. Generally they are site-specific; few if any are irreversible; and in most cases normal mitigation measures can be designed more readily.
4. Category C: Projects are classified as Category C if they are likely to have minimal or little adverse impacts on the environment and society.
5. JICA flexibly reviews a categorization even after screening, to determine whether a new significant impact has come to light as a result of the cooperation project process.
6. Projects may not be clearly specified at an early stage like the Master Plan Study. In such cases, however, projects are categorized based on their likely significant impacts. At that time, derivative, secondary and cumulative impacts are also to be considered. When considering plural alternatives, projects are classified as the category of that alternative which has the most significant impact among them. JICA reviews the categorization accordingly after projects have been identified by means of a progress of studies.
7. JICA requests that the recipient governments fill in the screening form of Appendix 3 and the information in this form will be a reference for the categorization of proposed projects.

## **2.6 Laws and Standards of Reference**

1. JICA in principle confirms whether projects meet the requirements for environmental and social considerations in the following ways.
2. JICA confirms whether projects comply with laws or standards relating to the environment and local communities within both central and local governments in host countries as well as whether projects conform to their own policies and plans.
3. JICA refers to international standards, treaties and declarations and good practices which Japan, international and regional organizations and developed countries have. When JICA recognizes that laws and regulations regarding environmental and social considerations of host countries are substantially inferior to these standards and good practices, JICA encourages the recipient governments – including local governments – to take more appropriate considerations through a series of dialogues, and confirms background and justification for that.
4. JICA takes into account the importance of good governance surrounding projects so that measures for appropriate environmental and social considerations are implemented.
5. JICA discloses information with reference to relevant laws of the recipient governments and the

government of Japan.

## **2.7 Concern about Social Environment and Human Rights**

1. Environmental and social factors are affected by the social and institutional conditions of host countries and the actual conditions of the project location. Therefore, JICA fully takes these conditions into account when supporting and examining environmental and social conditions. In particular, special measures must be taken for cooperation projects when disclosing information and holding consultation with local stakeholders after obtaining understanding from the recipient governments, in countries and areas affected by conflict or where basic freedoms – including freedom of expression and the right to receive legal relief – are restricted.
2. JICA respects the principles of internationally established human rights standards like the International Convention on Human Rights, and gives special attention to the human rights of vulnerable social groups – including women, indigenous peoples, persons with disabilities, and minorities – when implementing cooperation projects. JICA obtains country reports and information issued by related institutions about human rights, and JICA understands local human rights situations by disclosing information about cooperation projects. Thus, JICA integrates local human rights situations into the decision-making process regarding environmental and social considerations.

## **2.8 Decision-making by JICA**

1. JICA makes recommendations to the Ministry of Foreign Affairs of Japan (MOFA) from the viewpoint of environmental and social considerations at the review stage of requests. In addition to the categorization by screening, JICA makes these recommendations after confirming the nature of proposed projects, site description, scope of impacts on the environment and local communities, operational capacities of the recipient governments and project executing bodies, and prospect of information disclosure and public participation in addition to categorization by screening. The recommendations include changing studies to an upper level or changing preliminary studies of grant aid projects to feasibility studies when necessary.
2. JICA takes necessary measures to ensure suitable environmental and social considerations of cooperation projects, if unexpected inadequate matters come to light after MOFA concludes international agreements.
3. JICA makes a decision to stop cooperation projects and recommends MOFA to do the same when JICA concludes that it is impossible to ensure environmental and social considerations even if the above measures are taken. Cases where it is impossible to ensure environmental and social considerations are, for example, where development needs are inappropriately understood, where projects are expected to have significant impacts even if mitigation measures are taken into consideration during implementation stage, where the affected residents or social organizations concerned hardly participate in projects and are not expected to do so in the future though serious impacts are to be predicted, or where it is expected to be difficult to implement mitigation measures to avoid or minimize impacts in consideration of social and institutional conditions to the project's site, etc.

## **2.9 Ensuring Appropriate Implementation of and Compliance with the Guidelines**

JICA appropriately implements principles and procedures mentioned in the guidelines and ensures compliance with them. JICA responds to objections regarding non-compliance with them by establishing a body for prescribing regulations separately from the guidelines. The body is independent from the project executing departments.

## **2.10 Implementation and Review of the Guidelines**

1. The guidelines come into force on April 1, 2004 and projects proposed in and beyond FY 2004 are subject to the guidelines. Ongoing cooperation projects requested before April 1, 2004 are subject to possible items mentioned in the procedures. JICA proceeds with a system to respond to objections regarding non-compliance with the guidelines.
2. JICA verifies the status of implementation of the guidelines, and based on its findings makes a comprehensive review of them within five years of their enforcement. A revision is made as needed. When JICA revises the guidelines, JICA seeks opinions from the government of Japan and developing countries, NGOs in developing countries, as well as NGOs in Japan, the private sector and experts, etc., in a process which ensures transparency and accountability.
3. JICA studies problems to be solved and methods in applying the guidelines, and incorporates the results of studies in a review process of the guidelines.

### **III. Procedures of Environmental and Social Considerations**

#### **3.1 Review Stage of Proposed Projects (All Schemes)**

1. JICA reviews proposed projects submitted to the Ministry of Foreign Affairs (MOFA), by confirming a project and site description, environmental impact assessment process in the recipient governments and other information, and categorizes it through first screening. After that, JICA makes decisions on proposed projects from the viewpoint of environmental and social considerations and makes recommendations to MOFA;
2. JICA discloses information of Category A projects, such as a country, an area and project description, for a certain period on its website before making its recommendation to MOFA, and collects external information and opinions to incorporate these in the recommendation;
3. If there is not sufficient information for category classification, JICA makes inquiries to the recipient governments through the Embassies of Japan, JICA overseas offices and other institutions. If information obtained through inquiries is considered insufficient, JICA dispatches teams, etc., to collect information regarding environmental and social aspects through consultations with persons concerned and field visits in recipient countries and other methods. JICA promptly discloses study reports; and
4. Soon after the conclusion of international agreements by MOFA, JICA discloses names, countries, locations, outlines and sectors of projects, and their categorization together with their reasons on its website. For Category A and B projects, JICA discloses recommendations to MOFA on its website.

#### **3.2 Development Study (Master Plan Study)**

##### **3.2.1 Preparatory Study Stage**

1. JICA conducts preparatory studies for cooperation projects based on the results of the first screening. JICA dispatches a necessary expert(s) for environmental and social considerations to conduct field surveys for Category A and B cooperation projects and also, if necessary, for Category C cooperation projects;
2. JICA examines measures for environmental and social considerations described in the requests and collected at the above-mentioned review stage. In addition, JICA conducts information gathering, field surveys and consultations with the recipient governments. On the basis of collected information and consultations, JICA categorizes projects through a second screening and reviews the categorization when necessary;
3. JICA conducts provisional scoping according to categorization and prepares drafts of the Terms of Reference (TOR) for environmental and social considerations studies. For Category A studies, JICA conducts field surveys, obtains information and opinions from local stakeholders, and incorporates results into drafts of TOR;
4. JICA consults with the recipient governments about environmental and social considerations and concludes mutual undertaking, partnership and coordination; and
5. JICA prepares drafts of the Scope of Work (S/W) after consultation with the recipient governments about the organizational structure of environmental and social considerations. JICA obtains basic agreement from the recipient governments to incorporate results of environmental

and social considerations studies into decision-making process of projects.

### **3.2.2 Stage of S/W Signature**

1. When JICA obtains agreements with the recipient governments, JICA signs S/W that includes draft TOR for projects. If no agreement can be reached, JICA suspends studies without signing S/W. JICA judges projects not to be implemented, then JICA makes recommendations to MOFA to stop cooperations; and
2. JICA discloses promptly S/W and information regarding environmental and social considerations after signing it.

### **3.2.3 Full-scale Study Stage**

1. JICA involves a member(s) for environmental and social considerations in study teams for Category A and B studies;
2. JICA collects relevant information and conducts field surveys covering a wider area than that of the preparatory study stage, holds consultations with the recipient governments, and prepares drafts of scoping;
3. For Category A studies, JICA consults with local stakeholders in collaboration with the recipient governments after disclosure of drafts of scoping, and incorporates results of consultation into TOR. The consultation widely covers the needs of projects and the analysis of alternatives. For Category B studies, JICA consults with local stakeholders in collaboration with the recipient governments after the disclosure of drafts of scoping when necessary;
4. The TOR includes an understanding of needs, the impacts to be assessed, study methods, an analysis of alternatives, a schedule and other matters. JICA endeavors to incorporate the concept of Strategic Environmental Assessment into such studies. JICA then obtains an agreement on the TOR with the recipient governments through consultations;
5. In accordance with the TOR and in collaboration with the recipient governments, JICA conducts IEE-level environmental and social considerations studies, and analyzes alternatives including a “without project” situation. During studies, JICA incorporates its results into related reports prepared in a process accordingly;
6. For Category A studies, when preparing a rough outline of environmental and social considerations, JICA holds a series of stakeholder consultations in collaboration with the recipient governments after information disclosure and incorporates the result of consultation into these studies. For Category B studies, JICA consults with local stakeholders after information disclosure in collaboration with the recipient governments, when necessary;
7. Based on the above-mentioned procedure, JICA prepares drafts of the final reports incorporating results of environmental and social considerations studies, and explains them to the recipient governments to obtain their comments. For Category A studies, JICA discloses the drafts to and consults with local stakeholders in collaboration with the recipient governments, and incorporates the results of that consultation into the final reports. For Category B studies, JICA consults with local stakeholders in collaboration with the recipient governments after disclosure of drafts of the final reports when necessary;
8. JICA prepares final reports incorporating results of study, and submits them to the recipient

- governments after confirming that the reports meet the requirements of the guidelines; and
9. JICA discloses final reports promptly after their completion, on its website and at the JICA library and a relevant overseas office.

### **3.3 Development Study (Feasibility Study)**

#### **3.3.1 Preparatory Study Stage**

1. JICA conducts preparatory studies based on the results of the first screening. JICA dispatches an expert(s) for environmental and social considerations to conduct field surveys for Category A and B studies and, if necessary, for Category C studies as well;
2. JICA examines measures for environmental and social considerations described in requests and collected at the review stage, and collects related information, conducts field surveys and consults with recipient governments. On the basis of collected information and consultations with the recipient governments, JICA categorizes projects through a secondary screening, and reviews categorization when necessary;
3. JICA conducts provisional scoping according to categorization, and prepares drafts of the TOR for environmental and social considerations studies based on the results of the scoping. For Category A studies, JICA conducts field surveys, obtains information and opinions from local stakeholders, and incorporates the results into drafts of the TOR;
4. JICA consults with the recipient governments on environmental and social considerations and concludes mutual undertaking, partnership, and coordination; and
5. JICA prepares a draft of the S/W based on consultation with the recipient governments about drafts of the TOR and the organizational structure of environmental and social considerations. JICA obtains a basic agreement from the recipient governments to incorporate results of environmental and social considerations studies into the decision-making process of project planning.

#### **3.3.2 Stage of S/W Signature**

1. JICA signs the S/W including the drafts of the TOR when agreements with the recipient governments are reached on the scope and implementing structure of the studies. If no agreement can be reached, JICA suspends studies without signing the S/W. When JICA decides that the studies are not to be implemented, it makes recommendations to MOFA to stop studies; and
2. JICA discloses promptly the S/W and the information regarding environmental and social considerations after signing S/W.

#### **3.3.3 Full-scale Study Stage**

##### **3.3.3.1 Category A Study**

1. JICA involves a member(s) for environmental and social considerations in study teams;
2. JICA collects relevant information, conducts field surveys in a wider area than that of preparatory studies, holds consultations with the recipient governments and prepares drafts of scoping;
3. After disclosing the drafts of scoping, JICA consults with local stakeholders in collaboration with the recipient governments and incorporates results of consultation into the TOR of environmental and social considerations studies. The consultations widely cover needs of projects and analysis of

alternatives;

4. The TOR includes understanding of development needs, impacts to be assessed, study methods, analysis of alternatives, a schedule, etc. JICA obtains an agreement on TOR with the recipient governments through consultations;
5. In line with TOR and in collaboration with the recipient governments, JICA conducts EIA-level environmental and social considerations studies including a monitoring plan, an institutional arrangement, and mitigation measures to avoid, minimize or compensate for adverse impacts. JICA analyzes alternatives including a “without project” situation. JICA incorporates the results of studies into relevant reports prepared accordingly;
6. When considering the rough outline of environment and social considerations, JICA consults with local stakeholders, after information disclosure, and incorporates results into the studies;
7. JICA prepares draft final reports, incorporating the results of environmental and social considerations studies, and explains them to the recipient governments to obtain comments. After disclosure of a draft of the final reports, JICA consults with local stakeholders in collaboration with the recipient governments and incorporates results of consultation into the final reports;
8. JICA prepares final reports and submits them to the recipient governments after confirming that they meet the requirements of the guidelines; and
9. JICA discloses final reports promptly after their completion, on its website and at the JICA library and a concerned overseas office.

#### **3.3.3.2 Category B Study**

1. JICA involves a member(s) for environmental and social considerations in study teams;
2. JICA collects relevant information and conducts field surveys in a wider area than that of preparatory studies, conducts scoping together with the recipient governments, and prepares TOR of environmental and social considerations studies;
3. The TOR includes understanding of development needs, impacts to be assessed, study methods, analysis of alternatives and a schedule, etc.;
4. In accordance with the TOR, JICA conducts IEE-level environmental and social considerations studies in which are analyzed alternatives including a “without project” situation. The results are incorporated into various reports prepared in study process, accordingly;
5. JICA reviews screening based on the results of IEE-level studies. For studies newly categorized into Category A, JICA takes procedures as noted in those of the feasibility study of Category A, mentioned in 3.3.3.1. For studies again classified into Category B, the results of environmental and social considerations studies are incorporated into drafts of the final reports. For studies newly categorized into Category C, the process of environmental and social considerations is finished;
6. JICA prepares drafts of the final reports, into which are incorporated the results of environmental and social considerations studies, and explains them to the recipient governments to obtain comments. The comments are incorporated into final reports;
7. JICA prepares final reports, and submits them to the recipient governments after confirming that they meet the requirements of the guidelines;
8. JICA holds consultations with local stakeholders after information disclosure, in collaboration with the recipient governments, if necessary; and

9. JICA discloses final reports promptly after their completion, on its website and at the JICA library and a concerned overseas office.

### **3.4 Detailed Design (D/D) Study**

#### **3.4.1 Coordinated D/D Study with JBIC**

For coordinated detailed design studies with JBIC, JICA considers proposed studies that JBIC concludes are adequate for yen loan projects according to JBIC guidelines. Basically, JICA conducts detailed design studies in the engineering field.

##### **3.4.1.1 Preparatory Study Stage**

1. For Category A and B studies, JICA obtains from JBIC documents regarding environmental and social considerations, and examines the results of JBIC's judgment; and
2. JICA confirms mitigation measures including compensation in cases where impacts cannot be avoided or minimized, monitoring, and the requirements to meet environmental and social considerations for yen loan projects such as a concrete schedule, personnel and organization, budget, etc. When JICA's assessment differs from the review by JBIC, JICA conveys its own relevant information to JBIC and requires JBIC to undertake adequate measures. And JICA discloses the information after making inquiries to the recipient governments and related organizations.

##### **3.4.1.2 Stage of the S/W Signature**

When JICA agrees with the recipient governments on the S/W including a draft of TOR, JICA signs it. If no agreement is reached, JICA suspends studies without signing the S/W.

##### **3.4.1.3 Full-Scale Study Stage**

1. For Categories A and B studies, JICA includes a member(s) for environmental and social considerations on study teams;
2. When JICA's assessment differs from the review by JBIC, JICA conveys its own relevant information to JBIC, and requires JBIC to undertake adequate measures. JICA discloses the information after making inquiries to the recipient governments and related organizations;
3. When significant impacts become clear and JICA judges it difficult to address them, JICA makes recommendations to MOFA to stop the studies. JICA discloses recommendations after making inquiries to the recipient governments and related organizations; and
4. After making the inquiries to the recipient governments and related organizations, JICA discloses its final reports promptly after their completion on its website and at the JICA library and a concerned overseas office.

#### **3.4.2 D/D Study except Coordinated D/D Study with JBIC**

For D/D studies – except coordinated D/D studies – JICA reviews documents mentioned in 3.4.2.1, according to the JBIC guidelines. JICA considers proposed studies to which environmental and social factors are given adequate considerations. Basically, JICA conducts D/D studies in the engineering field.

#### **3.4.2.1 Review Stage of Proposed Study**

1. For Category A proposed studies, JICA requests the recipient governments or implementing agencies to submit EIA reports of projects. Appendix 4 shows the items included in the EIA report. A resettlement action plan for involuntary resettlement and a mitigation measures plan of the indigenous people for adverse impacts on them must be attached to the EIA report as the need arises;
2. For Category B proposed studies, JICA requests the recipient governments or implementing agencies to submit the EIA report in cases when an EIA has been implemented. If not available, JICA requests other information and reports regarding environmental and social considerations;
3. For Category A or B proposed studies, as soon as JICA receives the main documents on environmental and social considerations, JICA discloses them after inquiring of the recipient governments or implementing agencies. Documents include the Environmental Impact Statement (EIS), environmental permit certificates issued by the recipient governments, resettlement action plans, mitigation plans for indigenous peoples, and other available documents; and
4. When JICA judges that the proposed studies are not appropriate in accordance with JBIC guidelines, JICA recommends MOFA not to select studies, or to implement environmental and social considerations studies by different schemes such as a development study.

#### **3.4.2.2 Preparatory Study Stage**

1. JICA confirms whether the recipient governments ensure appropriate mitigation measures to avoid or minimize environmentally and socially adverse impacts. Such measures include compensation for unavoidable impacts, monitoring, a concrete schedule to prepare institutional arrangements, personnel and implementing organization, and budget. If not ensured, JICA requests the recipient governments to improve these matters. If no improvements are made, JICA recommends MOFA to stop the studies;
2. For Category A and B studies, JICA dispatches an expert(s) for environmental and social considerations, conducts field surveys and obtains information and opinions from local stakeholders;
3. JICA consults with the recipient governments about environmental and social considerations, and concludes a mutual undertaking and a way of partnership and coordination; and
4. JICA prepares a draft of the S/W based on consultation with the recipient governments about a draft of the TOR and implementing frameworks for environmental and social considerations.

#### **3.4.2.3 Stage of the S/W Signature**

1. JICA integrates mutual undertaking by the recipient governments and JICA into the S/W to prepare mitigation measures to avoid and minimize negative impacts on the environment and society. Mitigation measures include compensation for unavoidable impacts, monitoring, and institutional arrangements. JICA also integrates measures to cope with new impacts in cases when they are found during study periods;
2. JICA signs the S/W including the draft of the TOR when JICA reaches agreements with the recipient governments. If not agreed, JICA suspends studies without signing the S/W. If JICA

judges that the cooperation should not to be implemented, JICA recommends MOFA to stop it; and

3. JICA discloses promptly the S/W and information regarding environmental and social considerations as soon as JICA signs it after inquiring of the recipient governments or implementing agencies.

#### **3.4.2.4 Full-scale Study Stage**

1. Based on agreements in the S/W, JICA provides supports necessary for preparing a monitoring plan, an institutional arrangement, and detailed plans of mitigation measures for avoiding, minimizing, and compensating for environmental and social impacts;
2. When new minor environmental and social impacts become clear during studies, JICA considers appropriate countermeasures through consultations with the recipient governments and local stakeholders;
3. When significant impacts become clear and JICA judges it difficult to address them, JICA recommends MOFA to stop the studies;
4. JICA prepares final reports and submits them to the recipient governments, into which the results of environmental and social considerations studies and other support are incorporated; and
5. JICA discloses final reports promptly after their completion, on its website, and at the JICA library and a concerned overseas office after inquiring of the recipient governments or implementing agencies.

### **3.5 Preliminary Study of Grant Aid Project**

#### **3.5.1 Category A Study**

1. Prior to Basic Design (B/D) studies, JICA confirms the state of EIA implementation and its items, and whether the EIA study meets the requirements of the guidelines, by conducting preparatory studies and other means. JICA promptly discloses the results of those studies on its website;
2. JICA conducts B/D studies in cases where EIA is carried out, or development studies are implemented in accordance with the guidelines and environmental and social considerations studies are not required again. The results of EIA, preparatory studies, and other means are incorporated into the contents of B/D studies. JICA discloses B/D study reports promptly after their completion on its website and at the JICA library and a concerned overseas office; and
3. When new environmental and social considerations studies are required again in cases where EIA is not fully implemented, JICA recommends MOFA either to take appropriate measures – such as conducting necessary environmental and social considerations studies using the development study scheme mentioned in 3.3 or other means – or to stop studies.

#### **3.5.2 Category B Study**

1. JICA confirms the state of EIA implementation and its items, and whether EIA studies meet the requirements of the guidelines, by conducting preparatory studies and other means. JICA promptly discloses results of studies on its website;
2. JICA conducts B/D studies in cases where EIA is finished, or development studies are implemented in accordance with the guidelines and environmental and social considerations

studies are not required again. The result of EIA and other means are incorporated into the contents of B/D studies. JICA discloses B/D study reports promptly after their completion, on its website and at the JICA library and a concerned overseas office;

3. When new environmental and social considerations studies are required in cases where EIA or other measures are not fully implemented, JICA dispatches a member(s) for environmental and social considerations, and conducts scoping by means of preparatory studies, etc. JICA prepares the TOR of environmental and social considerations studies, including understanding of development needs, impacts to be assessed, study methods, analysis of alternatives including a “without project” situation, a schedule, etc. JICA then discusses the TOR with the recipient governments and obtains consensus;
4. In line with the TOR, JICA conducts IEE-level environmental and social considerations studies. After completion of IEE-level studies, JICA undertakes second screening. For Category A studies newly categorized, JICA conducts environmental and social considerations studies in line with the procedures for a feasibility study of Category A mentioned in 3.3 of the guidelines, or recommends MOFA countermeasures including suspension of studies. For studies that are again categorized as Category B, JICA incorporates results of environmental and social considerations studies into contents of B/D studies, and B/D study reports are disclosed promptly after their completion. For studies newly categorized as Category C, JICA finishes work on environmental and social considerations; and
5. JICA discloses results of studies promptly after their completion, on its website and at the JICA library and a concerned overseas office.

### **3.6 Technical Cooperation Project**

#### **3.6.1 Category A Project**

1. JICA conducts preparatory studies and dispatches a member(s) for environmental and social considerations. JICA confirms the state of EIA implementation and its items, and whether EIA meets the requirements of the guidelines as well as whether environmental and social considerations studies are required again. JICA promptly discloses preparatory study reports after their completion on its website and at the JICA library and a concerned overseas office;
2. JICA signs a Record of Discussions (R/D) which prescribes ways of monitoring and mutual undertaking on environmental and social considerations in cases where EIA is finished, or development studies are implemented in accordance with the guidelines and environmental and social considerations studies are not required again. JICA discloses R/D and information on environmental and social considerations promptly on its website and at the JICA library and a concerned overseas office;
3. When new environmental and social considerations studies are required again in cases where EIA is not fully implemented, JICA recommends MOFA to take appropriate measures, such as conducting necessary environmental and social considerations studies using a development study scheme or other means;
4. JICA confirms the results of monitoring implemented by the recipient governments during cooperation periods. JICA carries out monitoring directly when necessary. JICA discloses the results of monitoring promptly after their completion, on its website and at the JICA library and a

concerned overseas office;

5. When any environmental and social impacts are found during cooperation periods, JICA takes necessary measures in cooperation with the recipient governments; and
6. After the completion of cooperation, JICA evaluates both the impacts to the natural environment and society – whether or not they are predicted by EIA or environmental and social considerations studies – and the effects of mitigation measures taken. JICA discloses the results of evaluation promptly after their completion, on its website and at the JICA library and a concerned overseas office.

### **3.6.2 Category B Project**

1. JICA conducts preparatory studies and dispatches a member(s) for environmental and social considerations. JICA confirms the state of EIA implementation and its items, and whether EIA study meets requirements of the guidelines as well as whether environmental and social considerations studies are required again. JICA discloses preparatory study reports promptly after their completion, on its website and at the JICA library and a concerned overseas office;
2. JICA signs a Record of Discussions (R/D) which prescribes ways of monitoring and mutual undertaking on environmental and social considerations in cases where the EIA is finished, or development studies are implemented in accordance with the guidelines, so that environmental and social considerations studies are not required again. JICA integrates the results of the EIA, etc., into project plans and implements cooperation. JICA discloses the R/D and information on environmental and social considerations promptly on its website and at the JICA library and a concerned overseas office;
3. JICA confirms the results of monitoring implemented by the recipient governments during cooperation periods. JICA conducts monitoring directly when necessary. JICA discloses the results of monitoring promptly after their completion, on its website and at the JICA library and a concerned overseas office;
4. When any environmental and social impacts are found during cooperation periods, JICA takes necessary measures in cooperation with the recipient governments;
5. After the completion of technical cooperation projects, JICA evaluates the impacts to the natural environment and society – whether or not they were predicted by environmental and social considerations studies – and the effects of mitigation measures taken. JICA discloses the results of evaluation promptly after their completion, on its website and at the JICA library and a concerned overseas office;
6. When new environmental and social considerations studies are required again in cases where EIA is not fully implemented, JICA prepares a TOR of environmental and social considerations studies including impact items, study methods, analysis of alternatives including a “without project” situation, a schedule, etc., by conducting scoping. JICA then discusses the TOR with the recipient governments and obtains consensus;
7. In line with the TOR, JICA conducts IEE-level environmental and social considerations studies in collaboration with the recipient governments. After the completion of IEE-level studies, JICA undertakes a second screening. For Category A projects newly categorized, JICA recommends MOFA to take adequate measures to conduct environmental and social considerations studies in

line with procedures of a feasibility study or other means, including suspension of projects. For projects newly categorized as Category C, JICA finishes work on environmental and social considerations. JICA discloses the results of studies on its website and at the JICA library and a concerned overseas office; and

8. For projects again categorized as Category B, JICA incorporates the results of the study into the items of the R/D, and JICA signs the R/D which prescribes mutual undertakings on monitoring and environmental and social considerations. JICA discloses the R/D and information on environmental and social considerations promptly, on its website and at the JICA library and a concerned overseas office.

### **3.6.3 Monitoring**

1. JICA examines the results of monitoring about significant environmental and social impacts of technical cooperation projects classified as Category A and B by implementing agencies of the recipient governments to ascertain whether adequate actions are taken. When necessary, JICA conducts monitoring directly after JICA consults with the recipient governments;
2. When third parties, etc., point out in concrete terms that environmental and social considerations are not fully undertaken, JICA conveys such comments to the recipient governments and encourages them to take appropriate actions. JICA confirms that implementing bodies cope with the full considerations of comments, analysis of countermeasures, and integration into work plans by a transparent and accountable process; and
3. When implementing bodies do not have sufficient capacity for monitoring, JICA provides cooperation regarding monitoring by means of human resource development including training in certain skills, etc.

### **3.7 Follow-up Activity**

1. Financial aid institutions take charge of reviewing the EIA assisted by the development study scheme, and MOFA takes charge of reviewing the grant aid project. However JICA conducts follow-up activities to confirm the integration of the results of environmental and social considerations studies into the EIA prior to the review process;
2. JICA confirms proper integration of the results and recommendations of environmental and social considerations studies into the EIA, a resettlement action plan, and mitigation measures, etc., and discloses the results of confirmation, on its website and at the JICA library and a concerned overseas office; and
3. When third parties, etc., indicate that unexpected environmental and social impacts appear after the completion of cooperation, JICA comes to an understanding of problems by conducting field surveys and making recommendations to relevant organizations, when necessary.

## **Appendix 1. Requirements of the Recipient Governments**

### **1. Underlying Principles**

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

### **2. Examination of Measures**

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

### **3. Scope of Impacts to Be Assessed**

1. Impacts to be assessed and examined in terms of environmental and social considerations include impacts on human health and safety as well as the natural environment (including environmental impacts on a trans-boundary or global scale) through air, water, soil, waste, accidents, water usage, ecosystems, and biota. Such impacts also include social considerations as follows: migration of people including involuntary resettlement; local economy such as employment and livelihood; land use and utilization of local resources; social institutions such as social infrastructure and local decision-making institutions; existing social infrastructures and services; vulnerable social groups such as the poor and indigenous peoples; distribution of benefits and losses and equality in the development process; gender; children's rights; cultural heritage; local conflict of interests; and infectious diseases such as HIV/AIDS.
2. In addition to the direct and immediate impacts of projects, derivative, secondary and cumulative impacts are also to be examined and assessed to a reasonable extent. It is also desirable that the possibility that an impact can occur at any time during the duration of a project be continuously

considered throughout the life cycle of the project.

#### **4. Compliance with Laws, Standards and Plans**

1. Projects must comply with laws, ordinances and standards relating to environmental and social considerations established by the governments that have jurisdiction over the project site (including both national and local governments). They are also to conform to environmental and social consideration policies and plans of the governments that have jurisdiction over the project site.
2. Projects must, in principle, be undertaken outside protected areas that are specifically designated by laws or ordinances of the governments for conservation of nature or cultural heritage (excluding projects whose primary objectives are to promote protection or restoration of such designated areas). Projects are also not to impose significant adverse impact on designated conservation areas.

#### **5. Social Acceptability**

1. Projects must be adequately coordinated so that they are accepted in a manner that is socially appropriate to the country and locality in which they are planned. For projects with a potentially large environmental impact, sufficient consultations with local stakeholders, such as local residents, must be conducted via the disclosure of information from an early stage where alternatives for project plans may be examined. The outcome of such consultations must be incorporated into the contents of project plans.
2. Appropriate consideration must be given to vulnerable social groups, such as women, children, the elderly, the poor, and ethnic minorities, all members of which are susceptible to environmental and social impacts and may have little access to the decision-making processes within society.

#### **6. Involuntary Resettlement**

1. Involuntary resettlement and loss of means of livelihood are to be avoided where feasible, exploring all viable alternatives. When, after such examination, it is proved unfeasible, effective measures to minimize impact and to compensate for losses must be agreed upon with the people who will be affected.
2. People to be resettled involuntarily and people whose means of livelihood will be hindered or lost must be sufficiently compensated and supported by project proponents, etc., in a timely manner. Project proponents must make efforts to enable people affected by projects to improve their standard of living, income opportunities and production levels, or at least to restore them to pre-project levels. Measures to achieve this may include: providing land and monetary compensation for losses (to cover land and property losses), supporting means for an alternative sustainable livelihood, and providing expenses necessary for relocation and the re-establishment of communities at resettlement sites.
3. Appropriate participation by affected people and their communities must be promoted in the planning, implementation, and monitoring of involuntary resettlement plans and measures against the loss of their means of livelihood.

## **7. Indigenous Peoples**

When projects may have adverse impact on indigenous peoples, all of their rights in relation to land and resources must be respected in accordance with the spirit of relevant international declarations and treaties. Efforts must be made to obtain the consent of indigenous peoples after they have been fully informed.

## **8. Monitoring**

1. It is desirable that, after projects begin, project proponents monitor the following: whether any unforeseeable situations occur and whether the performance and the effectiveness of mitigation measures are consistent with the assessment's prediction. It is also desirable that they then take appropriate measures based on the results of 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 project plans include feasible monitoring plans.
3. It is desirable that project proponents make the results of the monitoring process available to project local stakeholders.
4. When third parties point out, in concrete terms, that environmental and social considerations are not being fully undertaken, it is desirable that forums for discussion and examination of countermeasures are established based on sufficient information disclosure and include the stakeholders participation in relevant projects. It is also desirable that an agreement be reached on procedures to be adopted with a view to resolving problems.

## **Appendix 2. Illustrative List of Sensitive Sectors, Characteristics, and Areas**

The projects that are in sensitive sectors, have sensitive characteristics, and/or are in sensitive areas shown in this illustrative list are ones likely to have significant adverse impact on the environment and society. Each individual project is categorized in accordance with the standards for “Category A” indicated in section 2.1 of the guidelines, entitled “Categorization.” Categorization depends on the impact of projects. Consequently, projects likely to have a significant adverse impact on the environment and society are categorized as “Category A” even if they are not included in the sectors, characteristics or areas on this list.

### **1. Illustrative list of large-scale projects in sensitive sectors are in the following sectors:**

- (1) Mining development;
- (2) Industrial development;
- (3) Thermal power (including geothermal power);
- (4) Hydropower, dams and reservoirs;
- (5) River/erosion control;
- (6) Power transmission and distribution lines;
- (7) Roads, railways and bridges;
- (8) Airports;
- (9) Ports and harbors;
- (10) Water supply, sewage and wastewater treatment;
- (11) Waste management and disposal;
- (12) Agriculture involving large-scale land-clearing or irrigation;
- (13) Forestry;
- (14) Fisheries; and
- (15) Tourism.

### **2. Illustrative list of sensitive characteristics are:**

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

### **3. Illustrative list of sensitive areas are 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) and areas being considered for natural parks or protected areas; and
- (2) Areas the national or local governments believe to require careful considerations.

#### **<Natural Environment>**

- Primary forests or natural forests in tropical areas;
- Habitats with important ecological value (coral reefs, mangrove wetlands and tidal flats, etc.);
- Habitats of rare species requiring protection under domestic legislation, international treaties, etc.;

- Areas in danger of large-scale salt accumulation or soil erosion; and Areas with a remarkable tendency towards desertification.

**<Social Environment>**

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

### **Appendix 3. Screening Format**

Name of a Proposed Project:

Project Executing Organization

Name, Post, Organization and Contact Point of a Responsible Officer

Name:

Post:

Organization:

Tel:

Fax:

E-Mail:

Date:

Signature:



2-3 Description of the Project:  
(Scale and/or Basic Information)

[ ]

2-4 Is the project consistent with the higher program/policy?

Yes: Please describe the higher program/policy.

(

)

No

2-5 Did the proponent consider alternatives before this request?

Yes: Please describe outline of the alternatives

(

)

No

2-6 Did the proponent have meetings with related stakeholders before this request?

Yes

No

If yes, please mark the corresponding stakeholders.

Administrative body

Local residents

NGO

Others (

)



Question 6

If the project requires a certificate pertaining to the environment and society other than the EIA, please indicate the title of that certificate.

- Already certified                       Required a certificate but not yet done

Title of the certificate :( \_\_\_\_\_ )

- Not required

Others ( \_\_\_\_\_ )

Question 7

Are any of the following areas located inside or around the project site?

- Yes     No     Not identified

If yes, please mark corresponding items.

- National park, protected area designated by the government (coast line, wetlands, reserved area for ethnic or indigenous people, cultural heritage), and areas being considered for national parks or protected areas
- Virgin forests, tropical forests
- Ecological important habitat areas (coral reef, mangrove wetland, tidal flats)
- Habitat of valuable species protected by domestic laws or international treaties
- Likely salts cumulus or soil erosion areas on a massive scale
- Remarkable desertification trend areas
- Archaeological, historical or cultural valuable areas
- Living areas of ethnic, indigenous people or nomads who have a traditional lifestyle or special socially valuable areas

Question 8

Does the project have adverse impacts on the environment and local communities?

- Yes                       No                       Not identified

Reason: ( \_\_\_\_\_ )

Question 9

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

- |  |   |
|--|---|
| <input type="checkbox"/> Air pollution         | <input type="checkbox"/> Involuntary resettlement   |
| <input type="checkbox"/> Water pollution       | <input type="checkbox"/> Local economy such as employment and livelihood etc.                                     |
| <input type="checkbox"/> Soil pollution        | <input type="checkbox"/> Land use and utilization of local resources  |
| <input type="checkbox"/> Waste                 | <input type="checkbox"/> Social institutions such as social infrastructure and local decision-making institutions |
| <input type="checkbox"/> Noise and vibration   | <input type="checkbox"/> Existing social infrastructures and services   |
| <input type="checkbox"/> Ground subsidence     | <input type="checkbox"/> The poor, indigenous of ethnic people  |
| <input type="checkbox"/> Offensive odors       | <input type="checkbox"/> Misdistribution of benefit and damage  |
| <input type="checkbox"/> Geographical features | <input type="checkbox"/> Local conflict of interests  |
| <input type="checkbox"/> Bottom sediment       | <input type="checkbox"/> Gender   |
| <input type="checkbox"/> Biota and ecosystem   | <input type="checkbox"/> Children's rights  |
| <input type="checkbox"/> Water usage           | <input type="checkbox"/> Cultural heritage  |
| <input type="checkbox"/> Accidents             | <input type="checkbox"/> Infectious diseases such as HIV/AIDS etc.  |
| <input type="checkbox"/> Global warming        | <input type="checkbox"/> Others ( )   |

Outline of related impacts:

[ ]

Question 10

Information disclosure and meetings with stakeholders

10-1 If environmental and social considerations are required, does the proponent agree on information disclosure and meetings with stakeholders in accordance with JICA Guidelines for Environmental and Social Considerations?

Yes       No

10-2 If no, please describe reasons below.

[ ]

## **Appendix 4. Environmental Impact Assessment Report for Category A Project regarding Detailed Design (D/D) Study except for Coordinated D/D Study with JBIC**

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

### **1. Executive Summary**

Discussing concisely the significant findings and recommended actions.

### **2. Policy, Legal and Administrative Framework**

Discussing the policy and the legal and administrative framework within which the EIA report is to be carried out.

### **3. Project Description**

Describing the proposed project and its geographic, ecological, social, and temporal context, including any off-site investments that may be required (e.g., pipelines, access roads, power plants, water supply, housing, and raw material and product storage facilities). Indicates the need for any resettlement or social development plan. Normally includes a map showing the project site and the area affected by the project.

### **4. Baseline Data**

Assessing the dimensions of the study area and describing relevant physical, biological, and socioeconomic conditions, including all changes anticipated before the project commences. Additionally, takes into account current and proposed development activities within the project area but not directly connected to the project. Data should be relevant to decisions about the project site, design, operation and mitigation measures; the section indicates the accuracy, reliability and sources of the data.

### **5. Environmental Impacts**

Predicting and assessing the project's likely positive and negative impacts, in the most quantitative terms possible. Identifies mitigation measures and any negative environmental impacts that cannot be mitigated. Explores opportunities for environmental improvement. Identifies and estimates the extent and quality of available data, essential data gaps, and uncertainties associated with predictions; and specifies topics that do not require further attention.

### **6. Analysis of Alternatives**

Systematically comparing feasible alternatives to the proposed project site, technology, design and operation, including the "without project" situation, in terms of their potential environmental impacts; the feasibility of mitigating these impacts; their capital and recurrent costs; their suitability under local conditions; and their institutional, training and monitoring requirements. For each of the alternatives, the analysis quantifies the environmental impacts to the extent possible, and attaches economic values where feasible. States the basis for selecting the particular project design proposed and justifies recommended emission levels and approaches to pollution prevention and abatement.

### **7. Environmental Management Plan (EMP)**

Describing mitigation measures, monitoring and institutional strengthening to be taken during construction and operation to minimize adverse impacts, offset them, or reduce them to acceptable levels.

### **8. Consultation**

Record of consultation meetings, including consultations for obtaining the informed views of the affected people, local Non-governmental Organizations (NGOs) and competent authorities.

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