

ANSWERS TO FREQUENTLY ASKED QUESTIONS ABOUT JAPAN INTERNATIONAL
COOPERATION AGENCY (JICA)'S GUIDELINES FOR ENVIRONMENTAL AND SOCIAL
CONSIDERATIONS

20 July 2011

(Revised on 5 February 2016)

- Answers to general questions about the JICA guidelines for environmental and social considerations (“the ESC Guidelines”)

Questions	Answers
Why did JICA decide to create the new Guidelines?	<p>JICA launched the ESC Guidelines to replace two previous guidelines, i.e. the Japan Bank for International Cooperation (JBIC) Guidelines for the Confirmation of Environmental and Social Considerations (2002) and the JICA Guidelines for Environmental and Social Considerations (2004), which had been applied to loan aid and technical cooperation, respectively.</p> <p>Changes to the law concerning the Incorporated Administrative Agency - Japan International Cooperation Agency required JICA to manage three forms of assistance - technical cooperation, loan aid, and grant aid - as Japan’s main official development aid (ODA) implementing body, from October 2008. The ESC Guidelines were intended to consolidate the two separate frameworks mentioned above.</p>
Why does JICA incorporate environmental and social considerations in its operations?	<p>JICA’s development assistance is provided not as a temporary response but as a form of support for sustainable development. The integration of environmental and social considerations into development assistance is essential for ensuring sustainability. Insufficient attention to environmental and social impacts of development projects may impair the basis for development, hampering the development. A careful consideration is required for achieving sustainable development by balancing development with natural environment, livelihoods of project affected people and so forth.</p>
Are the ESC Guidelines consistent with international organizations’ guidelines	<p>The ESC Guidelines are intended to be consistent with safeguard policies/statements published by the World Bank, the Asian Development Bank, and other international organizations, in terms of the flow of procedures for environmental and social considerations;</p>

on environmental considerations?	necessity of consultations with stakeholders; categorization for screening; contents of environmental assessment reports and resettlement action plans, and so forth.
Is coordination needed between the ESC Guidelines and the laws and regulations of project proponents etc.?	The domestic laws and regulations of project proponents etc., concerning, for instance, environmental assessment, take precedence over the ESC Guidelines. However, when their laws and regulations do not sufficiently address environmental and social considerations as the ESC Guidelines do, the ESC Guidelines are applied with the consent of the project proponents etc.
Can project proponents etc., respond to the requirements under the ESC Guidelines?	At present, many project proponents etc., have laws and guidelines concerning environmental assessment in place. In addition, other donors require project proponents etc., to perform environmental assessment. Accordingly, JICA considers that project proponents etc., can respond to the ESC Guidelines. However, JICA assists project proponents etc., to implement appropriate measures for ensuring the inclusion of environmental and social considerations, if necessary.
Is information on environment that JICA requires actually available?	Yes, JICA thinks it can obtain information it needs. Project proponents etc., usually appropriately collect information and conduct surveys on potential environmental impacts of their projects and take measures to address issues identified. If necessary, JICA provides support to project proponents etc., for instance, through its preparatory surveys.
Does not JICA disseminate to the international community its efforts to address the incorporation of environmental and social considerations under the ESC Guidelines?	In order to disseminate the concept of the ESC Guidelines, JICA actively disseminates its approaches to the inclusion of environmental and social considerations at such occasions as international conferences and consultation meetings with project proponents etc.

<p>What activities have been conducted to disseminate the ESC Guidelines widely among all related parties at home and abroad?</p>	<p>The ESC Guidelines are published in Japanese and in English as hardcopy as well as pdf download on the JICA’s website to reach a wider audience. In addition, pursuant to the provisions of JICA and JBIC’s previous guidelines requiring transparency, efforts were made to ensure a transparent process for formulating the ESC Guidelines: The committee, (formed in February 2008), consisting of academics, non-governmental organizations (NGOs), relevant parties from industry and the Japanese government met 33 times in total, and public hearings were held in Nagoya and Osaka. Minutes and distributed materials of the meetings and hearings were disclosed on the website in a timely manner. JICA has also explained the content of the ESC Guidelines to project proponents etc. JICA continues its efforts to improve its internal training framework and work to further disseminate the ESC Guidelines inside and outside of Japan, even after the ESC Guidelines were proclaimed and came into force.</p>
<p>Isn’t there a risk that the implementation of the ESC Guidelines may make JICA unable to make a speedy response as before, requiring more time for project appraisal?</p>	<p>While it is necessary to confirm the incorporation of environmental and social considerations in accordance with sector, nature and content of each project, the progress of a project must not be impeded by delays in JICA’s appraisal procedures. To prompt the procedures while ensuring the inclusion of environmental and social considerations, JICA takes the following measures:</p> <ul style="list-style-type: none"> - Introducing screening procedures to identify projects likely to have significant impacts on the environment. Such projects are subject to more elaborate confirmation of environmental and social considerations. - A screening form including a set of questions for project proponents etc., and sector-specific checklists. - Sharing information and exchanging views with other co-financing institutions and other institutions. - Formulating projects based on the ESC Guidelines by utilizing preparatory surveys conducted through outside experts in specific sectors in accordance with the nature and details of the projects.

<p>What measures are taken in emergency situations?</p>	<p>Even in emergency situations, it is desirable that the procedures described in the ESC Guidelines should be followed in principle. However, in cases, such as restorations following natural disasters or conflicts, where it is highly emergent and there is clearly no time to follow the procedures for environmental and social considerations in accordance with the ESC Guidelines, JICA reports categorization results, reasons why the situations were decided to be as emergencies and procedures to follow to the Advisory Committee for Environmental and Social Considerations at the early stages of such events, while disclosing such information to the public. When deemed necessary, JICA asks the committee for advice. So far, there were several cases deemed “emergency” in Technical Cooperation for Development Planning. In such cases, given the emergency situations, the process to confirm the incorporation of environmental and social considerations, which should have been otherwise conducted, was omitted. Note, however, that JICA confirmed at the implementation stage of the Technical Cooperation for Development Planning that environmental and social considerations had been incorporated, to ensure the implementation in an appropriate manner. Emergency measures may be taken in other schemes than Technical Cooperation for Development Planning in future.</p>
<p>Why is the phrase “when necessary” used in the ESC Guidelines?</p>	<p>A wide variety of projects is subject to the ESC Guidelines. Since the nature of projects and the timing of JICA’s involvement are determined for each project, applying uniform standards to all projects is difficult. Furthermore, dividing standards into various possible cases may make the ESC Guidelines too complicated. Some projects should be flexibly addressed on a case-by-case basis. Accordingly, JICA uses the phrase “where necessary” to make the ESC Guidelines effective and easy to read.</p>
<p>The word “desirable” is used in sections of “Scope of Impacts to Be Assessed”, “Involuntary Resettlement” and “Indigenous Peoples” in Appendix 1. Is this</p>	<p>The expression is used since the ESC Guidelines include what is recommended (“desirable”) as well as what is necessary (“must”).</p>

consistent with the descriptions in Chapters 2 and 3 of the Guidelines?	
What are “FAQs”?	FAQs stand for “frequently-asked questions,” prepared to answer questions and concerns that people may have regarding the ESC Guidelines. FAQs have been provided to help deepen the users’ understanding of the ESG Guidelines.

➤ Answers to questions on the application and review of the ESC Guidelines

Questions	Answers
Given that the ESC Guidelines came into effect from July 2010, are they applied to projects for which applications are made thereafter?	The ESC Guidelines are applied to projects for which applications are made from July 2010 onwards. More specifically, the timing of determining the guidelines that apply to a project is when the Japanese government receives a request from the project proponents etc.
Are the ESC Guidelines applied to projects for which decisions on assistance have already been made?	For projects whose applications have been made before 30 June 2010, the “JBIC Guidelines for Confirmation of Environmental and Social Considerations (April 2002)” apply to loan aid, and the “JICA Guidelines for Environmental and Social Considerations (April 2004)” apply to technical cooperation for development planning. In case of grant aid (excluding those offered via international organizations), the “JICA Guidelines for Environmental and Social Considerations (April 2004)” are referred to. On the other hand, preparatory surveys whose implementation has been agreed with project proponents etc., before June 30th, 2010, follow procedures as required by the previous guidelines, not the ESC Guidelines.
Are not the ESC Guidelines applied to schemes other than the target schemes?	Cooperation projects subject to the ESC Guidelines are: a) loan aid, b) grant aid (excluding those offered via international organizations), c) preliminary survey for grant aid cooperation directly implemented by the Ministry of Foreign Affairs, d) Technical Cooperation for Development Planning, e) technical cooperation projects, and preparatory surveys for all of these projects. The ESC Guidelines are not applied to schemes other than the above, such as Japan Overseas Cooperation Volunteers, Training Programs and the dispatch of individual experts.

<p>Do the ESC Guidelines apply to Preparatory Survey for Public-Private Partnership (PPP) Infrastructure Project and programs for supporting overseas expansion of small and medium-sized enterprises (SMEs)?</p>	<p>The ESC Guidelines apply to Preparatory Survey for PPP Infrastructure Project, programs for supporting overseas expansion of SMEs (SME ODA F/S and SME Verification Survey).</p>
<p>Specifically, when and how will the ESC Guidelines be revised?</p>	<p>As mentioned in 2.10. 2 of the ESC Guidelines, JICA verifies the status of the implementation of the ESC Guidelines, and will reexamine its way of procedures within five years of their enforcement by hearing the opinions of concerned people. Based on the review result, JICA will conduct a comprehensive review of the ESC Guidelines within ten years of the enforcement of the ESC Guidelines. Based on findings, revisions will be made, as needed. JICA will make revisions to the ESC Guidelines after collecting and considering opinions from the Japanese government, governments and NGOs of developing countries, NGOs and companies in Japan, and experts, and by following the process that ensures transparency and accountability.</p>

➤ Answers to questions on the procedures for environmental and social considerations in general

Questions	Answers
<p>The ESC Guidelines mention that “JICA applies a Strategic Environmental Assessment (SEA)”. What activities are specifically conducted in a SEA?</p>	<p>JICA applies a SEA for preparatory surveys involving the formation of sectoral and regional cooperation and upper-stream-level studies, and master plan surveys for the Technical Cooperation for Development Planning. Specifically, a SEA may include: examination on policy and plan of a project at the Initial Environmental Examination (IEE) level, scoping, confirmation of the status of environmental and social situations to be a baseline, estimation and evaluation of impacts, examination of alternative plans including a case where the proposed project is not implemented, mitigation measures, information disclosure and support for consultation with stakeholders.</p>

<p>The terms “environmental guidelines” and “environmental and social considerations” are frequently used. How does JICA define “environmental and social considerations” in the ESC Guidelines?</p>	<p>The term “environmental and social considerations” is defined as “considering environmental impacts including air, water, soil, ecosystem, flora, and fauna, as well as social impacts including involuntary resettlement, respect for the human rights of indigenous people, and so on.”</p>
<p>JICA’s environment-related activities include checking adverse impacts of individual projects on environment and support for projects that contribute to environmental improvement. Do the ESC Guidelines cover such support in their scope?</p>	<p>The ESC Guidelines also refer to projects that contribute to improving environment. The preface of the ESC Guidelines explicitly states that “[...] it is JICA’s policy to provide active support to projects that promote environmental conservation and to projects that contribute to the protection of the global environment, such as attempts to reduce greenhouse gas emissions.” For example, preferential conditions may be applied to projects for areas, such as forestry preservation and forestation, energy conservation and resource saving, the preservation of the natural environment, and the protection of the ozone layer. Thus, proactive support is provided to environment projects.</p>
<p>In the ESC Guidelines, the terms “confirmation of environmental and social considerations” and “environmental review” are used. In what sense are these terms used?</p>	<p>JICA’s methods to ensure the incorporation of environmental and social considerations into loan aid, grant aid and technical cooperation projects are divided into three stages: screening, environmental review and monitoring. That is to say, “environmental review” is included in the process for the “confirmation of environmental and social considerations.”</p>
<p>Is it necessary to examine all elements of “the impacts to be assessed” listed with regard to environmental and social considerations?</p>	<p>The ESC Guidelines list a wide range of impacts to be assessed with regard to environmental and social considerations. However, this does not mean that all the impacts listed under 2.3 “Impacts to be Assessed” of the ESC Guidelines are examined in each project. Elements to be addressed in each project are narrowed down through scoping.</p>

<p>It may be difficult to specify all items to be checked for each project. What measures does JICA take to prevent any of the items from being left out for confirmation?</p>	<p>While JICA makes use of screening forms and environmental checklists to ensure to the greatest extent possible that no omissions occur, it also takes measures to supplement the process. For example, for Category A projects, confirming the procedures for consultation with local stakeholders and information disclosure is useful to avoid missing out what to be checked. Section 3.2.1.4.(1)3 of the ESC Guidelines writes that “JICA also examines the results of information disclosure and local stakeholder consultation,” to ensure appropriate operations.</p>
<p>If a third party provides JICA with information whose authenticity the party cannot demonstrate, in an attempt to thwart a project, how will JICA deal with such information?</p>	<p>JICA welcomes information from third parties. Of information JICA receives, the information that is deemed reliable and of significance will be used as a reference by JICA for the inclusion of environmental and social considerations. However, it is not desirable for JICA to spend considerable time and cost to confirm information of low reliability, such as unknown sources, in terms of the efficient operations required for a public institution. Therefore, third parties are kindly requested to provide factual and accurate information whose authenticity they can demonstrate.</p>
<p>Who will conduct environmental impact assessments (EIAs) and monitoring under the ESC Guidelines?</p>	<p>EIAs and monitoring shall be conducted first by project proponents etc., who are best informed of the project and have ownership of projects.</p> <p>Specifically, in order to ensure the transparency and objectivity of EIAs and monitoring, the ESC Guidelines provide requirements including the following:</p> <ol style="list-style-type: none"> 1) “When assessment procedures already exist in host countries, and projects are subject to such procedures, project proponents etc., must officially finish those procedures and obtain the approval of the government of the host country.” (Appendix 2) 2) “EIA reports are required to be made available to the local residents of the country in which the project is to be implemented. (Appendix 2) 3) “Sufficient consultations with local stakeholders, such as local residents, must be conducted. The outcome of such consultations must be incorporated into the contents of project plans.” (Appendix 1 “Social Acceptability”) 4) “Project proponents etc., should make efforts to make the results of the monitoring process available to local project stakeholders.” (Appendix 1 “Monitoring”)

Does JICA assist project proponents etc., with the preparation of an EIA report?	Project proponents etc., carry out procedures for preparing an EIA report and performing an EIA based on their domestic laws. JICA conducts surveys on environmental and social considerations and supports the preparation of materials required for the EIA as needed.
How does JICA support the preparation of EIA reports?	JICA assists project proponents etc., in preparing EIA reports through preparatory surveys and engineering service loans. Preparatory surveys are led by JICA, and engineering services, which cover survey and/or detailed design, by project proponents etc. Therefore, in the case of preparatory surveys, JICA helps project proponents etc., prepare EIA reports. When utilizing engineering service loans, JICA reviews EIA reports, etc., prepared by project proponents etc., to ensure that environmental and social considerations are incorporated into the projects as required.
What sources does JICA use to collect environmental information regarding projects?	JICA collects environmental information regarding projects through project proponents etc. JICA recognizes the importance of information provided by other sources as well as project proponents etc., in ensuring the inclusion of environmental and social considerations. JICA also has been making efforts to collect information from sources other than project proponents etc., through its own field surveys, etc. and JICA continues such efforts.
The ESC Guidelines state, “[...] a committee of experts may be formed” (Appendix 1, 1. “Underlying Principles”). Does this mean that JICA may form a committee of experts to seek opinions from outside experts?	JICA considers that the procedures as stated in Appendix 1 should be followed as part of the efforts by project proponents etc., to incorporate environmental and social considerations into projects. Accordingly, the formation of a committee of outside experts is stipulated to address impacts expected in projects. Operational Policy (OP) 4.01 of the World Bank also requires the borrower of it, stating that: “For Category A projects that are highly risky or contentious or that involve serious and multidimensional environmental concerns, the borrower should normally also engage an advisory panel of independent, internationally recognized environmental specialists to advise on all aspects of the project relevant to the EA (environmental assessment).”
What is the role of the Advisory Committee for Environmental and Social Considerations?	The Advisory Committee for Environmental and Social Considerations is a committee that gives advice on supporting and confirming the incorporation of environmental and social considerations into cooperation projects. It is a third-party organization consisting of outside experts. For Category A projects and Category B projects if necessary, the committee provides advice

	<p>on environmental and social considerations, at the stage of preparatory survey, where necessary. At the stages of environmental review and monitoring, the committee is reported on findings to give advice as needed. For Technical Cooperation for Development Planning, the committee gives advice on the inclusion of environmental and social considerations at the stage of full-scale survey.</p>
<p>How will the results of the environmental reviews be used in decision-making and in agreement documents?</p>	<p>The results of the environmental reviews are used in making decisions regarding the conclusion of agreement documents, including the incorporation of the results into agreement documents. As set forth in 2.8.1. of the ESC Guidelines, JICA will make the utmost effort to ensure that the following are incorporated into agreement documents, in accordance with the nature and characteristics of projects:</p> <ol style="list-style-type: none"> 1) Monitoring results; 2) Consultation with stakeholders when a problem arises; and 3) Possibility of suggesting changes to projects (including discontinuation and early amortization).
<p>What are the cases where “JICA concludes that it is impossible to ensure environmental and social considerations”?</p>	<p>Examples of such cases may include:</p> <ul style="list-style-type: none"> - The project is obviously considered irrelevant even after going through comparative examination with alternative plans including “without project” scenario; - The project is expected to have significant adverse impacts when implemented even if mitigation measures are taken; - - Participation of the affected residents or social is very limited and is not expected to increase in future, despite significant adverse impacts predicted; and - Difficulties are expected in avoiding environmental and social impacts of the project and implementing mitigation measures, given social and institutional conditions of the region.

➤ Answers to questions on categorization

Questions	Answers
<p>Isn't it necessary to set out clear standards or give illustrations for categorization?</p>	<p>Since different projects, regardless of project size, have different environmental and social impacts depending on the environment in which actual projects are conducted, JICA considers that it is inappropriate to set out uniform standards of categorization.</p>

<p>With regards to a change in the category designated to a project, if, for example, concerns about a serious environmental impact arises midway through the project and the project classification has been changed to Category A from Category B, is the project required to meet the requirements for Category A under the ESC Guidelines?</p>	<p>When the project classification has been changed to Category A after an environmental review, JICA, in principle, encourages project proponents etc. to meet the Category A requirements of the ESC Guidelines. JICA discloses the summary of the change and a new category to the public. Key documents concerning environmental and social considerations incorporated are disclosed immediately after they are obtained and an environmental review is performed.</p>
<p>What is JICA's policy on the timing of information disclosure regarding categorization results?</p>	<p>JICA discloses project categorization results at the earliest possible time. Specifically, for a project involving a preparatory survey, the result of the categorization is disclosed before a decision on implementation of a preparatory survey is made. For a project without a preparatory survey, the result is disclosed after receiving an official request (3.2.1.2.).</p>
<p>May JICA change the category of projects, based on new information obtained from stakeholders and third parties as well as project proponents etc., after the results of the categorization have been made public? If yes, how will such information be disclosed?</p>	<p>The project category made available to the public before agreement document is signed is a tentative one and is not definitive. Therefore, new information made available to JICA after disclosing screening information may lead to a change in category. When a category change has occurred, JICA intends to promptly change the information on the website, providing the rationale.</p>
<p>What is Category FI?</p>	<p>Category FI applies to loan aid project whose sub-projects to be funded are not specified at the time of the signing of agreement document and for which JICA cannot check the inclusion of environmental and social considerations prior to the signing of agreement document.</p>

<p>Is a project that has already been specified still classified as Category FI, if JICA's funding of projects is provided to a financial intermediary?</p>	<p>Category FI only applies to cases where projects to be financed are unspecified prior to the signing of agreement document. Accordingly, when the project is specified prior to the signing of agreement document, the project to be financed is not classified as Category FI even if JICA's funding of the project is provided to a financial intermediary. In such case, the project will be classified as Category A, B, or C.</p>
<p>What are the review procedures for Category FI?</p>	<p>In order to ensure that environmental and social considerations are incorporated into Category FI sub-projects practically in a same manner as projects in other categories (for which the inclusion of environmental and social considerations is confirmed at the time of the signing of agreement document), Section 3.2.1.4.(4)1 of the ESC Guidelines states that "JICA examines the related financial intermediary or executing agency to see whether appropriate environmental and social considerations as stated in the guidelines are ensured for projects in this category. JICA also examines institutional capacity in order to confirm environmental and social considerations of the financial intermediary or executing agency, and, if necessary, requires that adequate measures be taken to strengthen capacity." Specifically, examples of the measures include:</p> <ol style="list-style-type: none"> 1) Confirming the capacity of the financial intermediary, etc. for ensuring the inclusion of environmental and social considerations and delegating them a task of confirming the inclusion of environmental and social considerations as required in the ESC Guidelines; 2) When the financial intermediary, etc., are deemed not to have sufficient capacity for the task, the financial intermediary, etc., are required to employ consultants to strengthen their capacity for ensuring the inclusion of environmental and social considerations; and 3) Making Category A sub-projects ineligible for sub-loans. <p>Due to difficulties in uniformly determining the most appropriate measure to be taken, JICA has chosen to indicate the basic principles as above. The ESC Guidelines stipulate that JICA discloses the results of environmental reviews on Category FI projects on its website after concluding agreement documents. The ESC Guidelines set forth in 3.2.1.4.(4).3. that "[i]n principle, JICA undertakes environmental reviews and information disclosure</p>

	for the sub-projects prior to their implementation in a same manner as specified for Category A projects, if those sub-projects are likely to be under the cooperation projects.”
When a project receives additional funding after having undergone screening, environmental review, etc., is the project required to go through the same procedures all over again?	Section 3.2.2.6. of the ESC Guidelines writes: “[w]hen projects undergo significant changes, JICA recategorizes them and carries out an environmental review according to Section 3.2.1. JICA discloses an outline of changes and new categories as well as major environmental and social considerations documents promptly after receiving them.”
When a project planned to run over multiple years receives funding annually after having undergone screening, environmental review, etc. for the entire project at the initial stage of the project, will it be subject to the same procedures every year?	JICA does not think it necessary for a project expected to run over multiple years to repeat the procedures, if the entire project has undergone screening, environmental review, etc. at the initial stage of the project, provided that impacts the project has on environment do not differ significantly from those foreseen by the first screening and environment review.

➤ Answers to questions on information disclosure

Questions	Answers
What is JICA’s policy for information disclosure?	The principle is that project proponents etc., disclose information on their own initiative. JICA also discloses information at key project implementation stages as well.
How is information disclosure under the ESC Guidelines related to information disclosure under the “Act on Access to Information Held by Independent Administrative Agencies” (hereinafter referred to as the “Act on Access to	Information disclosure pursuant to the Act on Access to Information is to determine whether or not documents in JICA’s possession should be disclosed in response to a request from the public for disclosure. On the other hand, information disclosure under the ESC Guidelines is JICA’s voluntary and proactive effort to provide important information on screening and environmental review, etc., to the public to increase transparency of its operations and encourage third parties including related agencies and stakeholders to provide information. JICA considers that this will help achieve the purpose

Information”)?	of the Act on Access to Information.
What information is additionally published on the website, following the new disclosure requirements introduced under the ESC Guidelines?	<p>Environmental permit certifications, resettlement action plans, indigenous peoples plans and monitoring results are now subject to information disclosure.</p> <p>Specifically, categorization results are disclosed before the decisions on implementing a preparatory survey is made (and, for projects not involving a preparatory survey, after an official request is accepted). Then, as for Category A projects, the following information is disclosed prior to environmental reviews: a) final reports on preparatory surveys or equivalent documents, b) EIA reports (120 days prior to the conclusion of agreement documents) and environmental permit certifications, and c) resettlement action plans (in the case where large-scale involuntary resettlement is required), and indigenous peoples plans (where measures to ensure that indigenous peoples).</p> <p>In addition, the results of the environmental reviews are disclosed after concluding the agreement document and monitoring results at the stage of monitoring (with the consent of the host country).</p>
The ESC Guidelines require that EIA reports and other documents are made available to the public. Are there any countries that prohibit disclosure of EIA report, etc.?	<p>Although JICA has not looked into the status in all countries, JICA has not come across any country which prohibits the disclosure of EIA report, etc., while some countries are not legally required to disclose EIA report, etc. When projects are implemented in countries where the disclosure of EIA reports is not required, JICA works on project proponents etc., to voluntarily disclose EIA reports, etc.</p>
Could ignoring a legal framework of project proponents etc., and requiring the country to disclose the EIA report, etc., and other documents constitute interference in the domestic affairs of that country?	<p>Disclosure of EIA report, etc., is imperative to achieve sustainable projects while incorporating environmental considerations.</p> <p>Therefore, JICA explains the needs and importance of information disclosing EIA reports, etc., to project proponents etc., to ask for their understanding. However, even though the disclosure of EIA report, etc., is not prohibited, some countries do not disclose them in practice. This is perhaps not merely due to a problem with their EIA framework but due to a different view of “information disclosure”. Therefore, the ESC Guidelines hold the policy of requiring the disclosure of EIA reports, and JICA intends to request project proponents etc., for disclosing EIA report, etc., under the ESG Guidelines.</p>

	In order to help project proponents etc., understand the importance of the disclosure of EIA report and other documents, JICA continues to have opportunities for consultations with them.
How is personal information treated in information disclosure?	Personal information which may unjustly violate rights or benefits of a person or a third party will not be subject to information disclosure. For example, information about personal properties written in a resettlement action plan falls under this category.
Are EIA reports and other documents on Category A projects disclosed in Japan as well?	As for EIA reports and other documents required for Category A projects, JICA notifies on the website as to whether or not JICA has obtained them. In addition, JICA publishes EIA reports and other documents on its website after taking appropriate steps, for example, to exclude commercially confidential information, etc.
Vast majority of affected local residents may have no access to websites. How can they obtain information about projects?	JICA's methods to disclose information are not limited to the use of the website. Appendix 1 of the ESC Guidelines ("Social Acceptability") regards "sufficient consultations with local stakeholders" as one of the principles of environmental and social considerations required of the project. Thus, JICA requests project proponents etc., to disclose information to the affected residents.
The ESC Guidelines writes "[w]hen JICA concludes preparatory surveys, it discloses final reports or equivalent documents on its website [...] prior to the environmental review." What are "equivalent documents"?	This provision indicates that even when a preparatory survey has been completed for the project and the final report has not been disclosed, JICA can perform an environmental review to confirm the inclusion of environmental and social considerations in a project, by disclosing documents which contain all necessary information, including information about environmental and social considerations. Necessary information means the project's content and schedule, examination of the project's relevance, information about environmental and social considerations, etc. Documents which contain the above information may be disclosed in place of the final report on the preparatory survey, prior to an environmental review.
Can't environmental review results be disclosed at an early stage?	Given a possibility that important conditions concerning environmental and social considerations are agreed upon by the parties, JICA considers that the timing of making final decisions based on the results of the environmental reviews are when agreement documents are signed, at which point JICA publicly commits to provide support. From this point of view, JICA discloses the results of the environmental reviews after signing agreement documents.

Will agreement documents be disclosed after they are signed?	JICA actively discloses information on environmental and social considerations in accordance with the ESC Guidelines. However, note that agreement documents on grant aid and loan aid will not be disclosed, due to confidentiality obligations.
Section 1.3.18 of the Guidelines writes, “Grant Agreements (G/A) for grant aid, and others.” What do “others” include?	“Others” include agreement documents on the implementation of technical cooperation projects and Technical Cooperation for Development Planning.

➤ Answers to questions on stakeholder consultation

Questions	Answers
What provisions do the ESC Guidelines have in order to take into account the opinions of the Project Affected People?	In ensuring the inclusion of environmental and social considerations, JICA considers it necessary to take into account the opinions of the people who may be affected by the project, including socially vulnerable groups such as women, children, the elderly, the poor and ethnic minorities. The ESC Guidelines also state in Appendix 1 (Social Acceptability), that: “sufficient consultations with local stakeholders, such as local residents must be conducted [...]”. In addition, JICA considers it important to collect a wide range of information. Section 2.1.6 of the ESC Guidelines state: “JICA encourages project proponents etc. to disclose and present information about environmental and social considerations to local stakeholders”.
Who hosts consultations with stakeholders?	Project proponents etc., host consultations with stakeholders. JICA provides support for hosting consultations, if necessary.
How do the ESC Guidelines define the scope of stakeholders?	The “local stakeholders” are defined in 1.3. of the ESC Guidelines as “affected individuals or groups (including illegal dwellers) and local NGOs”. “Stakeholders” are individuals or groups who have views about cooperation projects, including local stakeholders. . EIA is conducted based on the procedures set out by host countries. As for consultations with stakeholders, the scope of stakeholders will be determined on a case-by-case basis by taking into account the content of individual projects and surrounding circumstances.

<p>Is it necessary to include illegal dwellers in stakeholders?</p>	<p>The residents of a project site, even though they may be living there illegally, are included in local stakeholders, provided that they live or earn a living in the area. However, it is necessary to determine how to treat “professional squatters,” i.e. illegal dwellers whose sole objective is to gain compensation, through consultations with the project proponents.</p>
<p>In planning and conducting consultations with stakeholders, whom does JICA regard as socially vulnerable groups requiring special considerations?</p>	<p>Appendix 1 of the ESC Guidelines (Social Acceptability) writes that “[a]ppropriate consideration must be given to vulnerable social groups, such as women, children, the elderly, the poor, and ethnic minorities [...]”</p> <p>In addition to those mentioned in the ESC Guidelines, socially vulnerable population may include: the youth, those who need resettling, female-headed households, those who do not own land and those who are not compensated for an interest in the land to be compulsory acquired under the country’s laws and regulations. Furthermore, in some countries and regions, some population groups may be considered socially vulnerable due to their status (race, skin color, sex, language, religion, political and other beliefs, assets, birth, etc.) and factors (gender, age, ethnicity, culture, literacy, disease, (mental or physical) disabilities, economically disadvantaged situation and dependence on natural resources unique to the locality, etc., depending on country or region,.</p>
<p>What are the key points to be considered (including considerations for Project Affected People) when planning and conducting consultations with stakeholders</p>	<p>Appendix 1 of the ESC Guidelines (Social Acceptability) writes that “[p]rojects must be adequately coordinated so that they are accepted in a manner that is socially appropriate to the country and locality [...]. [...] sufficient consultations with local stakeholders, such as local residents, must be conducted [...]. The outcome of such consultations must be incorporated into the contents of project plans.”</p> <p>Referring to handbooks, etc., on planning and implementation of consultation with stakeholders prepared by other donors and international organizations, JICA confirms whether or not such considerations have been incorporated into the process.</p> <p>When stakeholder consultation takes place regarding environmental and social considerations and land acquisition/involuntary resettlement in Category A and B projects, at least, the following items should be covered in the report</p> <ul style="list-style-type: none"> ➤ Plans for stakeholder consultations (target group, the number of consultations to be held and rationale of the plans, etc.) date,

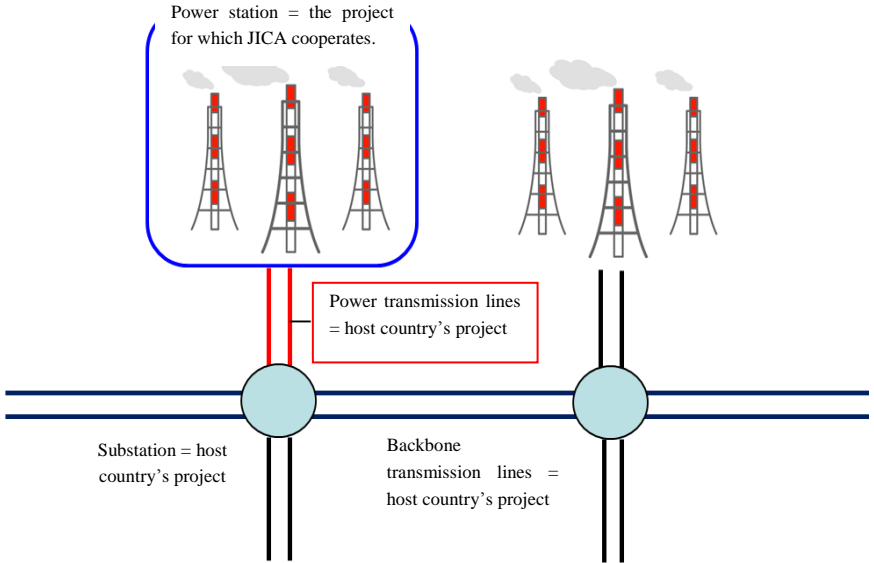
	<p>place and methods (resident meetings, individual interviews), methods to incorporate considerations for socially vulnerable population into the project, notification methods, participants (the number of attendants, their organizations, sex, etc.) topics and themes discussed, comments from participants, responses from the implementing agency, outcomes of incorporating feedback into a plan and/or project, consultation meeting minute, and a plan for further consultation, if any.</p> <p>Stakeholder consultations should ensure that socially vulnerable populations participate in the process to allow them to actively express their opinions and also ensure that the opinions expressed are fairly treated.</p>
<p>What does “meaningful participation” and “responsible for what they say” mentioned in principle 4 mean?</p>	<p>“Meaningful participation” means that there is interactive communication, while stakeholders’ opinions are appropriately reflected in plans.</p> <p>“Responsible for what they say” means responsible remarks.</p>
<p>How is it confirmed that consultation with stakeholders was held appropriately?</p>	<p>Taking the minutes of a meeting is encouraged, when a consultation with stakeholders is held. JICA confirms whether or not the content of the minute has been considered in the project design.</p>
<p>Appendix 2 of the ESC Guidelines stipulates, “[i]n preparing EIA reports, consultations with stakeholders, such as local residents, must take place after sufficient information has been disclosed. Records of such consultations must be prepared.” Will JICA confirm whether the consultations have taken place?</p>	<p>The ESC Guidelines recognizes the importance of dialogues with local residents and other parties to ensure the inclusion of environmental and social considerations.</p> <p>Appendix 2 of the ESC Guidelines regards records of consultation meetings as one of the matters that should be included in an EIA report, and JICA will confirm the incorporation of environmental and social considerations through the records.</p>

➤ Answers to questions on monitoring

Questions	Answers
<p>What is the purpose of monitoring?</p>	<p>The purpose of monitoring is to check how project proponents etc., have been implementing social and environmental considerations in practice. In addition, monitoring contributes to ensuring early detection of initially unforeseen impacts. When some issues are identified as the result of monitoring, JICA promptly notifies project proponents etc., of it to urge them to take appropriate action. The ESC Guidelines stipulate in Appendix 1 (Monitoring) that the “[...] project proponents etc. monitor whether any unforeseeable situations occur [...] They then take appropriate measures based on the results of such monitoring.” It also states that in a case where issues are identified as a result of monitoring, JICA “encourages them [project proponents] to take appropriate action” (3.2.2.3.), to address unforeseen impacts, etc.</p>
<p>Doesn't JICA stipulate in advance what to be monitored and the monitoring period in the ESC Guidelines?</p>	<p>The ESC Guidelines consider that monitoring is imperative in following up on whether the measures planned have been taken, whether the content of the initial plan was sufficient, whether any unexpected external changes have exerted any negative impacts on environment, and so on. JICA confirms the results of the monitoring performed by project proponents etc., for Category A, B and FI projects.</p> <p>JICA does not think it appropriate to specify in advance, across the board, what needs to be monitored and how long for. They are decided after considering various factors specific to each project, including sector, content and characteristics of the project and surrounding circumstances. Key monitoring items may include::</p> <ul style="list-style-type: none"> - Permission and explanations (responses to findings pointed out by authorities) - Anti-pollution measures (air quality, water quality, etc.) - Natural environment (ecosystem, etc.) - Social environment (resettlement, etc.) <p>These items are laid out in advance under “Items Requiring Monitoring” in Appendix 6 of the ESC Guidelines. The frequency of monitoring, elements to be monitored, etc., will be agreed upon with project proponents etc., and JICA performs monitoring in accordance with the agreement.</p>

<p>How long is a project monitored for? Isn't it inefficient to continue monitoring when it is obvious that the project is being operated appropriately?</p>	<p>JICA considers it appropriate to determine the monitoring period for each project, taking into account the nature of the project, the seriousness of potential environmental impacts, uncertainties and other factors.</p> <p>When it is confirmed that the project is operated properly in light of sector, nature and actual conditions of the project, JICA's monitoring will be simplified or brought to an end after a certain period of time, in order to achieve operational efficiency</p>
<p>Are opinions collected directly from residents, for instance, at the mid-term evaluation stage, to increase the effectiveness of the monitoring?</p>	<p>JICA recognizes that residents' participation in monitoring is desirable to ensure early detection of issues and sustainability of project outcomes. Section 3.2.2.1. of the ESC Guidelines state that "[...] JICA confirms with project proponents etc. the results of monitoring [...] in order to confirm that project proponents etc. are undertaking environmental and social considerations [...]" JICA will continue to pay attention to this point to maximize positive impacts. Stakeholders, third parties, etc., are also encouraged to provide information to JICA.</p>
<p>Are field surveys conducted by JICA to gain monitoring results different from other field surveys?</p>	<p>Monitoring results are submitted by project proponents etc. As stipulated in Section 3.2.2.2. of the ESC Guidelines, JICA also conducts its own field survey where necessary. JICA conducted its own field surveys as needed, and continues to do so after the ESC Guidelines were formulated.</p>
<p>Proper monitoring is important. What measures are taken by JICA to strengthen the environmental monitoring system?</p>	<p>JICA has been making efforts to strengthen the monitoring system, recognizing the importance of monitoring to confirm whether planned measures have been put into action, whether the content of the initial plan was sufficient, whether any unexpected external changes have exerted negative impacts on environment, and so on. For example, when deemed necessary, JICA takes measures to assist project proponents etc., in conducting environmental monitoring or in strengthening their monitoring system.</p>
<p>Is there a provision regarding information disclosure at the monitoring stage in the ESC Guidelines?</p>	<p>The ESC Guidelines stipulate in Section 3.2.2.7 that "JICA discloses the results of monitoring conducted by project proponents etc. on its website to the extent that they are made public in project proponents etc." Appendix 1 ("Monitoring") of the ESC Guidelines also writes: "[p]roject proponents etc. should make efforts to make the results of the monitoring process available to local project stakeholders", encouraging project proponents etc., to disclose monitoring information.</p>

➤ Answers to questions on the items of the environmental and social considerations

Questions	Answers
<p>What are “indivisible projects”?</p>	<p>Referring to the definition by the International Finance Corporation (IFC)’s Performance Standard 1*, JICA defines “indivisible projects” as related projects for which JICA does not cooperate, 1) which involve associated facilities that would not have been constructed or expanded if the project for which JICA cooperates did not exist, and 2) without which, the project for which JICA cooperates would not be viable.</p> <p>For instance, in Figure 1, power transmission lines (in red) may be an indivisible project that is not separable from the project for which JICA cooperates (power station).</p> <p style="text-align: center;">Figure 1. An example of “indivisible project”</p>  <p>The diagram illustrates the concept of an indivisible project. At the top, three power station towers are shown, with a blue bracket around them and the text 'Power station = the project for which JICA cooperates.' Below this, three red vertical lines represent 'Power transmission lines = host country's project'. These lines connect to a horizontal line representing a 'Substation = host country's project' and 'Backbone transmission lines = host country's project', which features two circular nodes representing substations.</p> <p>For “indivisible projects”, JICA checks whether or not project documents on environmental and social considerations (resettlement plan, Environmental Impact Assessment (EIA) reports, etc.,) have been prepared in accordance with the ESC Guidelines, to address environmental and social impacts to the extent that is reasonably predictable. Where necessary, JICA will request project proponents etc., to incorporate environmental and social considerations into the projects to the extent required by the ESC Guidelines.</p> <p>*: Extracted from IFC Performance Standard 1</p>

	<p>8. Where the project involves specifically identified physical elements, aspects, and facilities that are likely to generate impacts, environmental and social risks and impacts will be identified in the context of the project’s area of influence. This area of influence encompasses, as appropriate: [...]</p> <p>Associated facilities, which are facilities that are not funded as part of the project and that would not have been constructed or expanded if the project did not exist and without which the project would not be viable.</p>
<p>What are “derivative and secondary impacts”?</p>	<p>Referring to IFC’s Performance Standard 1*, JICA’s definition of “derivative and secondary impacts” is impacts from unplanned but predictable developments caused by the project, for which JICA cooperates, that may occur later or at a different location. For instance, indirect project impacts on biodiversity or on ecosystem services upon which affected communities’ livelihoods are dependent should be considered derivative and secondary impacts.</p> <p>When these impacts are considered likely to occur, JICA will conduct a survey to examine the possible impacts to the extent reasonable in the projects for which JICA cooperates.</p> <p>*: Extracted from IFC Performance Standard 1</p> <p>8. Where the project involves specifically identified physical elements, aspects, and facilities that are likely to generate impacts, environmental and social risks and impacts will be identified in the context of the project’s area of influence. This area of influence encompasses, as appropriate: [...]</p> <p>(ii) impacts from unplanned but predictable developments caused by the project that may occur later or at a different location; or (iii) indirect project impacts on biodiversity or on ecosystem services upon which Affected Communities’ livelihoods are dependent.</p>
<p>What are “cumulative impacts”?</p>	<p>Referring to IFC’s Performance Standard 1*, JICA defines the “cumulative impacts” as cumulative impacts resulting from the incremental impact, on areas or resources used or directly impacted by the project for which JICA cooperates, from other planned or reasonably defined developments at the time the risks and impacts identification process is conducted (e.g. scoping) .</p>

	<p>For instance, in a road project, JICA has requested a host country to consider incremental impacts of the possible accumulation of houses and commercial facilities along the roads to be developed.</p> <p>When cumulative impacts are considered likely to occur, JICA will conduct a survey to examine the possible impacts to the extent reasonable in the projects for which JICA cooperates.</p> <p>*: Extracted from IFC Performance Standard 1</p> <p>8. Where the project involves specifically identified physical elements, aspects, and facilities that are likely to generate impacts, environmental and social risks and impacts will be identified in the context of the project’s area of influence. This area of influence encompasses, as appropriate:</p> <p>[...]</p> <p>Cumulative impacts that result from the incremental impact, on areas or resources used or directly impacted by the project, from other existing, planned or reasonably defined developments at the time the risks and impacts identification process is conducted.</p>
<p>Why is “without project” scenario included in alternatives?</p>	<p>The objective is to compare the impacts of implementing a project with those of not implementing the project. The inclusion of the “without project” scenario in alternatives enables us to account for the appropriateness of implementing the project more explicitly.</p>
<p>Do the ESC Guidelines require compliance with international standards, in addition to the laws, regulations and standards on social and environmental considerations by the government of the project hosting site (including the central and local governments)?</p>	<p>In confirming the inclusion of environmental and social considerations, JICA confirms that projects do not deviate significantly from the World Bank’s Safeguard Policies, and refers as a benchmark to the standards of international financial organizations, internationally recognized standards, or international standards, treaties, and declarations, etc. and the good practices etc. of developed countries including Japan, when deemed appropriate.</p> <p>However, since different countries and regions have different natural environments and different social/cultural backgrounds, JICA does not necessarily think it appropriate to apply uniform standards to all projects.</p>

<p>What international standards and good practices are used as a reference in the ESC Guidelines?</p>	<p>JICA understands that, at present, there are no international standards covering all items necessary for confirming the inclusion of environmental and social considerations which can be applied throughout the world. Generally, JICA considers referring to the following as international standards: international treaties; standards of international organizations other than the World Bank; and standards and regulations of developed countries such as Japan, the U.S. and European countries (Note).</p> <p>Although numerous standards and good practices are available for reference, specifically, examples of reference materials include:</p> <ol style="list-style-type: none"> 1) Anti-pollution measures <ul style="list-style-type: none"> - Regulation standards in Japan and in the U.S. - The Marpol Convention 2) Natural environment <ul style="list-style-type: none"> - The World Heritage Convention - The Ramsar Convention - The Washington Convention - The Red List of IUCN 3) Social environment <ul style="list-style-type: none"> - The World Heritage Convention - The OECD Development Assistance Committee (DAC) guidelines on resettlement <p>Since it is difficult to make a perfect list of reference materials,, Section 2.6.3 of the ESC Guidelines state broadly that JICA “refers as a benchmark to the standards of international financial organizations; to internationally recognized standards, or international standards, treaties, and declarations, etc.; and to the good practices etc. of developed nations including Japan,[...]”.</p> <p>If new standards are internationally established in future, JICA will refer to them as well.</p> <p>(Note) In environmental reviews, JICA refers to the World Bank’s Social and Environmental Safeguard Policies in principle. Therefore, in the Environmental Guidelines, the Safeguard Policies are not used as a “reference” but are used to confirm that “projects do not deviate significantly from the World Bank’s Safeguard Policies”.</p>
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<p>When the laws, regulations and standards on social and environmental considerations set out by the government of the project hosting site (including the central and local governments) are significantly lax, compared with the international standards, how does JICA respond to it?</p>	<p>Section 2.6.3 of the ESC Guidelines states: “[w]hen JICA recognizes that laws and regulations related to the environmental and social considerations of the project are significantly inferior to the aforementioned standards and good practices, JICA encourages project proponents etc., including local governments, to take more appropriate steps through a series of dialogues, in which JICA clarifies the background of and reasons for the inferior regulations and takes measures to mitigate the adverse impacts when necessary.” As a result of such efforts, “if [...] JICA decides that appropriate environmental and social considerations are not ensured, it will encourage project proponents etc. to undertake appropriate environmental and social considerations.” (Section 2.8.1.1.).</p>
<p>What are the World Bank’s Social and Environmental Safeguard Policies as mentioned in “JICA confirms that projects do not deviate significantly from the World Bank’s Safeguard Policies”?</p>	<p>Operational Policy (OP) 4.10: Annex B of the World Bank’s Social and Environmental Safeguard Policies is posted on the website (http://www.worldbank.org). You can search the policy, using keywords like “Policies and Procedure”, “Safeguard Policies”, and “Indigenous Peoples”.</p> <p>Specifically, the policies include the following.</p> <ul style="list-style-type: none"> - Environmental Assessment (OP 4.01) - Natural Habitats (OP 4.04) - Pest Management (OP 4.09) - Indigenous Peoples (OP 4.10) - Physical Cultural Resources (OP 4.11) - Involuntary Resettlement (OP 4.12) - Forests (OP 4.36) - Safety of Dams (OP 4.37) - Projects on International Waterways (OP 7.50) - Projects in Disputed Areas (OP 7.60)
<p>How are international organizations’ guidelines on involuntary resettlement used, when JICA ensures the inclusion of environmental considerations?</p>	<p>In confirming the inclusion of environmental and social considerations in accordance with the ESC Guidelines, JICA checks whether or not that the project does not substantially deviate from the World Bank’s Social and Environmental Safeguard Policies on resettlement. When deemed appropriate, JICA will refer to standards and good practices set forth by other international financial institutions as a benchmark. JICA considers it is desirable to include items provided in OP 4.12, Annex A of the World Bank’s Social and Environmental Safeguard Policies in a resettlement action</p>

	plan.
<p>“Involuntary Resettlement” in Appendix 1 of the ESC Guidelines writes, “[i]t is desirable that the resettlement action plan include elements set out in the World Bank Safeguard Policy, OP 4.12, Annex A.” What does OP 4.12, Annex A specify?</p>	<p>OP 4.12, Annex A is posted at the website (http://www.worldbank.org). You can search the policy, using keywords like “Safeguard Policies”, “Policies and Procedure” and “Involuntary Resettlement”.</p> <p>The following is a list of the key elements of a resettlement action plan as specified in OP 4.12, Annex A:</p> <ul style="list-style-type: none"> – The findings of socioeconomic concerning resettlement; – Definition of displaced persons and criteria for determining their eligibility for compensation and other resettlement assistance; – The methodology to be used in valuing losses and a description of the proposed types and levels of compensation – A description of the packages of compensation and other resettlement measures that will assist displaced persons – Housing, infrastructure, and social services; – Involvement of resettlers and host communities in the resettlement process; – Grievance mechanisms; – Implementation schedule; – Cost estimates and budget plan; and – Outline of monitoring and ex-post evaluation
<p>For a project involving involuntary resettlement, how does JICA confirm the consent of the Project Affected Persons?</p>	<p>As set forth in Annex 2, the ESC Guidelines emphasizes consultations with local residents, etc. to ensure the inclusion of environmental and social considerations. JICA confirms whether the consent of the residents has been obtained through an appropriate process, based on information provided by project proponents etc. Recognizing the importance of information received from project proponents etc., as well as from governments and organizations of host countries, co-financiers and stakeholders, JICA utilizes such information.</p>
<p>What are criteria for “indigenous people”?</p>	<p>JICA will determine whether or not a social group falls under the category of “indigenous people” on a case-by-case basis and based on the World Bank OP 4.10 - Indigenous Peoples - and other related information.</p>
<p>Would you elaborate on “relevant international declarations and treaties” as described in “Indigenous Peoples” in</p>	<p>“Relevant international declarations and treaties” include the following.</p> <ul style="list-style-type: none"> – The United Nations Declaration on the Rights of Indigenous Peoples – The Convention concerning Indigenous and Tribal Peoples in

<p>Appendix 1 of the ESC Guidelines: “[w]hen projects may have adverse impacts on indigenous peoples, all of their rights in relation to land and resources must be respected in accordance with the spirit of relevant international declarations and treaties, including the United Nations Declaration on the Rights of Indigenous Peoples. Efforts must be made to obtain the consent of indigenous peoples in a process of free, prior, and informed consultation.”</p>	<p>Independent Countries (commonly known as International Labour Organization (ILO) Convention 169)</p>
<p>“Indigenous Peoples” in Appendix 1 of the ESC Guidelines writes “[i]t is desirable that the indigenous peoples plan include the elements laid out in the World Bank Safeguard Policy, OP4.10, Annex B.” What does OP4.10, Annex B stipulate?</p>	<p>OP4.10, Annex B is posted at the website: (http://www.worldbank.org). You can search the policy, using keywords like “Policies and Procedure”, “Safeguard Policies” and “Indigenous Peoples”.</p> <p>OP4.10, Annex B stipulates that an indigenous peoples plan shall include the following elements, as needed.</p> <ul style="list-style-type: none"> – A summary of the social assessment; – A summary of the results of the free, prior, and informed consultation with the affected indigenous peoples; – Measures to ensure that the indigenous peoples receive social and economic benefits that are culturally appropriate; – When potential adverse effects on indigenous peoples are identified, an appropriate action plan of measures to avoid, minimize, mitigate, or compensate for these adverse effects. – The cost estimates and financing plan; – Grievance mechanisms; and – Outline of monitoring and ex-post evaluation

<p>How will JICA ensure the incorporation of human rights in its development plans/projects, under the ESC Guidelines?</p>	<p>Section 2.5.2 of the ESC Guidelines states: “JICA respects the principles of internationally established human rights standards such as the International Convention on Human Rights, and gives special attention to the human rights of vulnerable social groups including women, indigenous peoples, persons with disabilities, and minorities when implementing cooperation projects. JICA obtains country reports and information widely about human rights that are issued by related institutions, and seeks to understand local human rights situations by disclosing information about cooperation projects.”</p> <p>JICA confirms the incorporation of human rights considerations, when it can address specific human rights issues at the individual project level and there are clear standards available. Considerations for vulnerable social groups such as women and children are mentioned in Appendix 1. “Environmental and Social Considerations Required for Intended Projects”.</p> <p>It is desirable that for human rights issues that should be addressed at country level are addressed through diplomacy or national policies, for example, in accordance with the Development Cooperation Charter, rather than the ESC Guidelines.</p>
<p>What are the key points to be considered with regard to gender, children’s rights, HIV/AIDS and other infectious diseases?</p>	<p>As the ESC Guidelines are designed to examine environmental and social impacts of individual projects, JICA confirms the inclusion of elements for which considerations at individual project level is thought to be appropriate, such as children’s rights, HIV/AIDS and gender.</p> <p>For instance, in ensuring the inclusion of gender considerations in a project involving resettlement, JICA confirms whether a framework for respecting women’s opinions and views - and not excluding them - is in place. For ensuring children’s rights in a project involving resettlement, for example, JICA confirms whether schools and medical/healthcare facilities for children are adequately prepared at the resettlement site,.</p> <p>With regard to infectious diseases such as HIV/AIDS, for example, when a project involves large civil works and needs to set up a camp for workers, JICA confirms whether the workers have received guidance on infectious diseases.</p> <p>Since the scope of impacts to be examined depends on projects, it is difficult to apply uniform rules and it may be more appropriate to consider the scope for each project.</p>

<p>What are “critical natural habitats” and “critical forests”?</p>	<p>Referring to the definition by the World Bank’s Social and Environmental Safeguard Policies, etc., JICA defines “natural habitats” as land and water areas (including sea area) (1) where the ecosystems' bio-logical communities are formed largely by native plant and animal species, and (2) where human activity has not essentially modified the area's primary ecological functions. Furthermore, all natural habitats have important biological, social, economic, and existence value.</p> <p>Of “natural habitats”, “critical natural habitats” may include the following:</p> <ol style="list-style-type: none"> 1. Areas extremely important in preserving biodiversity and/or maintaining key functions of the ecosystems, including the following: <ol style="list-style-type: none"> (1) Habitats important for the species that are classified into “Critically Endangered (CR), “Endangered (EN)”, “Vulnerable (VU)”, and “Near Threatened (NT)” under the International Union for Conservation of Nature (IUCN) Red List of Threatened Species: (2) Habitats important for endemic species and/or limitedly distributed species: (3) internationally important habitats that support migratory species and/or flock-forming species: (4) critically endangered ecosystems and/or unique ecosystems: and (5) areas related to important evolutionary processes 2. Similar examples other than areas set forth in No.1 above include areas that local communities traditionally think should be protected. <p>“Critical forests” refer to forests identified as “critical natural habitats” as stipulated above and also include “sacred forests” etc., that are traditionally protected by local communities</p> <p>* “Critical natural habitats and critical forests” are mentioned in “Ecosystem and Biota” of Appendix 1 of the ESC Guidelines. Not only impacts on natural environment but also impacts on society are also considered under the ESC Guidelines.</p>
<p>What are “significant conversion” and “significant degradation”?</p>	<p>Based on the definition by the World Bank’s Social and Environmental Safeguard Policies, etc., JICA defines “significant conversion” and “significant degradation” to be caused by the implementation of projects as below.</p> <p>Note that whether or not the project for which JICA cooperates will</p>

	<p>“involve significant conversion or significant degradation” of critical natural habitats and critical forests needs to be decided rationally by considering the content of the project and regional characteristics of the project site, etc.</p> <ul style="list-style-type: none"> ▪Significant conversion Elimination or severe reduction of the integrity of a critical natural habitat or critical forests ▪Significant degradation Substantial reduction of a critical natural habitat’s or critical forest’s ability to maintain viable populations of its native species or substantial reduction of key ecosystem functions.
<p>What considerations should be taken into account to ensure that “projects must not involve significant conversion or significant degradation of critical natural habitats and critical forests”?</p>	<p>“Ecosystem and Biota” in Appendix 1 of the ESC Guidelines stipulates that “[p]rojects must not involve significant conversion or significant degradation of critical natural habitats and critical forests.” After confirming that no feasible alternatives are available in areas other than “critical natural habitats”, JICA, referring to IFC’s standards, considers that it is important to fulfill all conditions listed below during project formation and implementation,</p> <ol style="list-style-type: none"> (1) Projects shall not exert significant adverse impacts on biodiversity values existing in “critical natural habitats” and key functions of the ecosystems:*1 (2) Over a reasonable period of time* 2, projects shall not cause net reduction in endangered species population * 3 listed below: Of “Threatened” species listed on the IUCN Red List of Threatened Species, species classified into “Critically Endangered (CR)”, and“Endangered (EN)”, or those that fall under such classifications in accordance with the host country’s rules and regulations: and (3) Long-term and effective mitigation measures and monitoring shall be put in place be performed with regard to Nos. (1) and (2) above. <p>*1 IFC’s standards note: “Biodiversity values and their supporting ecological processes will be determined on an ecologically relevant scale.”</p> <p>*2 Based on experts’ advices, etc., the period shall be determined for each project.</p>

	<p>*3 1 IFC’s standards note: “Net reduction is a singular or cumulative loss of individuals that impacts on the species’ ability to persist at the global and/or regional/national scales for many generations or over a long period of time. The scale (i.e., global and/or regional/national) of the potential net reduction is determined based on the species’ listing on either the (global) IUCN Red List and/or on regional/national lists. For species listed on both the (global) IUCN Red List and the national/regional lists, the net reduction will be based on the national/regional population.”</p>
<p>What are “protected areas that are specifically designated by laws or ordinances for the conservation of nature or cultural heritage”?</p>	<p>“Protected areas that are specifically designated by laws or ordinances for the conservation of nature or cultural heritage” are the area designated as such by the country and/or local governments by laws and/or ordinances to protect nature and cultural heritage. Based on the definitions of the World Bank’s Social and Environmental Safeguard Policies, etc. examples of such areas may include those listed below.</p> <p>Note that whether or not the area where a project for which JICA cooperates is implemented may fall under the areas designated for the conservation of nature or cultural heritage needs to be rationally decided by referring to the IUCN protected area management categories, etc., and considering regional characteristics.</p> <p><Protected areas that are specifically designated by laws or ordinances for the conservation of nature></p> <ol style="list-style-type: none"> 1. Areas designated by the country and/or local governments by laws or ordinances primarily for the conservation of nature: 2. Areas whose conservation is of international importance. <p>Examples include: areas listed on the World Heritage List of the United Nations Educational, Scientific and Cultural Organization (UNESCO) Convention Concerning the Protection of the World Cultural and Natural Heritage, UNESCO Biosphere Reserves and Wetlands of International Importance</p> <p><Protected areas that are specifically designated by laws or ordinances for the conservation of cultural heritage></p> <ol style="list-style-type: none"> 1. areas designated by the country and/or local governemnts by laws or ordinances primarily for the conservation of cultural heritage: 2. Areas whose conservation is of international importance. <p>Examples include areas listed on the World Heritage List of the UNESCO Convention Concerning the Protection of the World</p>

	<p>Cultural and Natural Heritage.</p> <p>Reference: IUCN’s definition of a protected area: A protected area is a clearly defined geographical space, recognised, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values.”</p>
<p>The ESC Guidelines write that “[p]rojects must, in principle, be undertaken outside of protected areas that are specifically designated by laws or ordinances for the conservation of nature or cultural heritage [...]”. Would you elaborate on exceptional cases?</p>	<p>“Compliance with Laws, Standards, and Plans” of Appendix 1 of the ESC Guidelines states that “[p]rojects must, in principle, be undertaken outside of protected areas that are specifically designated by laws or ordinances for the conservation of nature or cultural heritage (excluding projects whose primary objectives are to promote the protection or restoration of such areas). Projects are also not to impose significant adverse impacts on designated conservation areas.” Referring to IFC’s Performance Standards, etc., JICA requires project formation and implementation in such areas to fulfill all conditions mentioned below,</p> <p>(1) no feasible alternative plans shall be available in areas other than the area designated as such by the country and/or local governments by laws and/or ordinances to protect nature and cultural heritage (“the Designated Area”):</p> <p>(2) development in the Designated Area shall be legally acceptable by the host country’s domestic laws:</p> <p>(3) Project proponents etc., shall comply with the laws, ordinance concerning the Designated Area and management plan of the protected zones:</p> <p>(4) Project proponents etc., shall form a consensus about project implementation with stakeholders including organizations responsible for managing the Designated Area, local communities through consultations: and</p> <p>(5) Project proponents etc., shall perform additional programmes, where necessary, to ensure that the Designated Area is effectively managed for its conservation.*1</p> <p>*1 IFC’s Performance Standards note the following: “Implementing additional programs may not be necessary for projects that do not create a new footprint.”</p>

<p>How does JICA evaluate impacts of a proposed project on climate change at the project level?</p>	<p>At this point in time, JICA finds it difficult to evaluate impacts of each project on climate change.</p> <p>On the other hand, JICA has been conducting projects that assist project proponents etc., to promote climate change mitigation and adaptation measures. For instance, for projects regarded by JICA as mitigation support, JICA refers to the methodologies of JICA Climate Finance Impact Tool (FIT) (Mitigation), etc., to estimate greenhouse gas (GHG) emissions and GHG reductions from the projects.</p> <p>If sector- and project-specific GHG reduction goals are set in future, JICA will consider evaluating impacts of a project on climate change at the project level.</p>
<p>In scoping to identify environmental and social concerns, what baseline scenario is used to evaluate mitigation effects of the project?</p>	<p>As a principle, the baseline is the GHG emissions that would have occurred without the project. For instance, where the host country has been steadily replacing old technologies and facilities with new ones, resulting in a reduction of GHG emission basic unit (i.e. the amount of GHGs per unit of production), such trend is incorporated into the baseline scenario. In addition, depending on project characteristics, JICA may take different approaches to assess mitigation effects of the project.</p>
<p>The World Bank and Asian Development Bank (ADB) are taking initiatives to achieve more climate resilient infrastructure as demonstrated by “Climate Proofing (resilience to climate change and variability. Shouldn’t JICA also examine how to ensure resilience to climate change, taking into account the worsening impacts of climate change on typhoons and flooding?</p>	<p>JICA understands that “Climate Proofing” efforts have not been uniformly defined as of now. Furthermore, no methodologies have been established to assess climate change risk and examine countermeasures for some sectors. JICA thinks that ensuring resilience to climate change in all of its projects is an issue that JICA needs to address in future. For projects designed to ensure resilience to climate change, JICA examines resilience to climate change to a certain extent, factoring in technological risks and using JICA Climate-FIT (Adaptation), etc. Furthermore, the examination of technological aspects includes that of non-building structure as well as that of building structure.</p>

END