

Environmental Checklist: 3. Hydropower Stations, Dams and Reservoirs (1)

Category	Environmental Item	Main Check Items	Yes: Y No: N	Confirmation of Environmental Considerations (Reasons, Mitigation Measures)
1 Permits and Explanation	(1) EIA and Environmental Permits	(a) Have EIA reports been already prepared in official process? (b) Have EIA reports been approved by authorities of the host country's government? (c) Have EIA reports been unconditionally approved? If conditions are imposed on the approval of EIA reports, are the conditions satisfied? (d) In addition to the above approvals, have other required environmental permits been obtained from the appropriate regulatory authorities of the host country's government?	(a) (b) (c) (d)	(a) (b) (c) (d)
	(2) Explanation to the Local Stakeholders	(a) Have contents of the project and the potential impacts been adequately explained to the Local stakeholders based on appropriate procedures, including information disclosure? Is understanding obtained from the Local stakeholders? (b) Have the comment from the stakeholders (such as local residents) been reflected to the project design?	(a) (b)	(a) (b)
	(3) Examination of Alternatives	(a) Have alternative plans of the project been examined with social and environmental considerations?	(a)	(a)
2 Pollution Control	(1) Water Quality	(a) Does the water quality of dam pond/reservoir comply with the country's ambient water quality standards? Is there a possibility that proliferation of phytoplankton and zooplankton will occur? (b) Does the quality of water discharged from the dam pond/reservoir comply with the country's ambient water quality standards? (c) Are adequate measures, such as clearance of woody vegetation from the inundation zone prior to flooding planned to prevent water quality degradation in the dam pond/reservoir? (d) Is there a possibility that reduced the river flow downstream will cause water quality degradation resulting in areas that do not comply with the country's ambient water quality standards? (e) Is the discharge of water from the lower portion of the dam pond/reservoir (the water temperature of the lower portion is generally lower than the water temperature of the upper portion) planned by considering the impacts to downstream areas?	(a) (b) (c) (d) (e)	(a) (b) (c) (d) (e)
	(2) Wastes	(a) Are earth and sand generated by excavation properly treated and disposed of in accordance with the country's regulations?	(a)	(a)

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Category	Environmental Item	Main Check Items	Yes: Y No: N	Confirmation of Environmental Considerations (Reasons, Mitigation Measures)
3 Natural Environment	(1) Protected Areas	(a) Is the project site located in protected areas designated by the country's laws or international treaties and conventions? Is there a possibility that the project will affect the protected areas?	(a)	(a)
	(2) Ecosystem	(a) Does the project site encompass primeval forests, tropical rain forests, ecologically valuable habitats (e.g., coral reefs, mangroves, or tidal flats)? (b) Does the project site encompass the protected habitats of endangered species designated by the country's laws or international treaties and conventions? (c) Is there a possibility that the project will adversely affect downstream aquatic organisms, animals, plants, and ecosystems? Are adequate protection measures taken to reduce the impacts on the ecosystem? (d) Is there a possibility that installation of structures, such as dams will block the movement of the migratory fish species (such as salmon, trout and eel those move between rivers and sea for spawning)? Are adequate measures taken to reduce the impacts on these species?	(a) (b) (c) (d)	(a) (b) (c) (d)
	(3) Hydrology	(a) Is there a possibility that hydrologic changes due to the installation of structures, such as weirs will adversely affect the surface and groundwater flows (especially in "run of the river generation" projects)?	(a)	(a)
	(4) Topography and Geology	(a) Is there a possibility that reductions in sediment loads downstream due to settling of suspended particles in the reservoir will cause impacts, such as scouring of the downstream riverbeds and soil erosion? Is there a possibility that sedimentation of the reservoir will cause loss of the storage capacity, water logging upstream, and formation of sediment deposits at the reservoir entrance? Are the possibilities of the impacts studied, and adequate prevention measures taken? (b) Is there a possibility that the project will cause a large-scale alteration of the topographic features and geologic structures in the surrounding areas (especially in run of the river generation projects and geothermal power generation projects)?	(a) (b)	(a) (b)

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Category	Environmental Item	Main Check Items	Yes: Y No: N	Confirmation of Environmental Considerations (Reasons, Mitigation Measures)
4 Social Environment	(1) Resettlement	<p>(a) Is involuntary resettlement caused by project implementation? If involuntary resettlement is caused, are efforts made to minimize the impacts caused by the resettlement?</p> <p>(b) Is adequate explanation on compensation and resettlement assistance given to affected people prior to resettlement?</p> <p>(c) Is the resettlement plan, including compensation with full replacement costs, restoration of livelihoods and living standards developed based on socioeconomic studies on resettlement?</p> <p>(d) Are the compensations going to be paid prior to the resettlement?</p> <p>(e) Are the compensation policies prepared in document?</p> <p>(f) Does the resettlement plan pay particular attention to vulnerable groups or people, including women, children, the elderly, people below the poverty line, ethnic minorities, and indigenous peoples?</p> <p>(g) Are agreements with the affected people obtained prior to resettlement?</p> <p>(h) Is the organizational framework established to properly implement resettlement? Are the capacity and budget secured to implement the plan?</p> <p>(i) Are any plans developed to monitor the impacts of resettlement?</p> <p>(j) Is the grievance redress mechanism established?</p>	<p>(a)</p> <p>(b)</p> <p>(c)</p> <p>(d)</p> <p>(e)</p> <p>(f)</p> <p>(g)</p> <p>(h)</p> <p>(i)</p> <p>(j)</p>	<p>(a)</p> <p>(b)</p> <p>(c)</p> <p>(d)</p> <p>(e)</p> <p>(f)</p> <p>(g)</p> <p>(h)</p> <p>(i)</p> <p>(j)</p>
	(2) Living and Livelihood	<p>(a) Is there any possibility that the project will adversely affect the living conditions of inhabitants? Are adequate measures considered to reduce the impacts, if necessary?</p> <p>(b) Is there any possibility that the project causes the change of land uses in the neighboring areas to affect adversely livelihood of local people?</p> <p>(c) Is there any possibility that the project facilities adversely affect the traffic systems?</p> <p>(d) Is there any possibility that diseases, including infectious diseases, such as HIV, will be brought due to the immigration of workers associated with the project? Are adequate considerations given to public health, if necessary?</p> <p>(e) Is the minimum flow required for maintaining downstream water uses secured?</p> <p>(f) Is there any possibility that reductions in water flow downstream or seawater intrusion will have impacts on downstream water and land uses?</p> <p>(g) Is there any possibility that water-borne or water-related diseases (e.g., schistosomiasis, malaria, filariasis) will be introduced?</p> <p>(h) Is there any possibility that fishery rights, water usage rights, and common usage rights, etc. would be restricted?</p>	<p>(a)</p> <p>(b)</p> <p>(c)</p> <p>(d)</p> <p>(e)</p> <p>(f)</p> <p>(g)</p> <p>(h)</p>	<p>(a)</p> <p>(b)</p> <p>(c)</p> <p>(d)</p> <p>(e)</p> <p>(f)</p> <p>(g)</p> <p>(h)</p>

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Category	Environmental Item	Main Check Items	Yes: Y No: N	Confirmation of Environmental Considerations (Reasons, Mitigation Measures)
4 Social Environment	(3) Heritage	(a) Is there a possibility that the project will damage the local archeological, historical, cultural, and religious heritage? Are adequate measures considered to protect these sites in accordance with the country's laws?	(a)	(a)
	(4) Landscape	(a) Is there a possibility that the project will adversely affect the local landscape? Are necessary measures taken?	(a)	(a)
	(5) Ethnic Minorities and Indigenous Peoples	(a) Are considerations given to reduce impacts on the culture and lifestyle of ethnic minorities and indigenous peoples? (b) Are all of the rights of ethnic minorities and indigenous peoples in relation to land and resources to be respected?	(a) (b)	(a) (b)
	(6) Working Conditions	(a) Is the project proponent not violating any laws and ordinances associated with the working conditions of the country which the project proponent should observe in the project? (b) Are tangible safety considerations in place for individuals involved in the project, such as the installation of safety equipment which prevents industrial accidents, and management of hazardous materials? (c) Are intangible measures being planned and implemented for individuals involved in the project, such as the establishment of a safety and health program, and safety training (including traffic safety and public health) for workers etc.? (d) Are appropriate measures taken to ensure that security guards involved in the project not to violate safety of other individuals involved, or local residents?	(a) (b) (c) (d)	(a) (b) (c) (d)
5 Others	(1) Impacts during Construction	(a) Are adequate measures considered to reduce impacts during construction (e.g., noise, vibrations, turbid water, dust, exhaust gases, and wastes)? (b) If construction activities adversely affect the natural environment (ecosystem), are adequate measures considered to reduce the impacts? (c) If construction activities adversely affect the social environment, are adequate measures considered to reduce the impacts?	(a) (b) (c)	(a) (b) (c)
	(2) Accident Prevention Measures	(a) Is a warning system established to alert the inhabitants to water discharge from the dam?	(a)	(a)

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Category	Environmental Item	Main Check Items	Yes: Y No: N	Confirmation of Environmental Considerations (Reasons, Mitigation Measures)
5 Others	(3) Monitoring	(a) Does the proponent develop and implement monitoring program for the environmental items that are considered to have potential impacts? (b) What are the items, methods and frequencies of the monitoring program? (c) Does the proponent establish an adequate monitoring framework (organization, personnel, equipment, and adequate budget to sustain the monitoring framework)? (d) Are any regulatory requirements pertaining to the monitoring report system identified, such as the format and frequency of reports from the proponent to the regulatory authorities?	(a) (b) (c) (d)	(a) (b) (c) (d)
6 Note	Reference to Checklist of Other Sectors	(a) Where necessary, pertinent items described in the Forestry Projects checklist should also be checked (e.g., projects in the mountains including large areas of deforestation). (b) In the case of dams and reservoirs, such as irrigation, water supply, and industrial water purposes, where necessary, pertinent items described in the Agriculture and Water Supply checklists should also be checked. (c) Where necessary, pertinent items described in the Power Transmission and Distribution Lines checklist should also be checked (e.g., projects including installation of electric transmission lines and/or electric distribution facilities).	(a) (b) (c)	(a) (b) (c)
	Note on Using Environmental Checklist	(a) If necessary, the impacts to transboundary or global issues should be confirmed (e.g., the project includes factors that may cause problems, such as transboundary waste treatment, acid rain, destruction of the ozone layer, or global warming).	(a)	(a)

- 1) Regarding the term "Country's Standards" mentioned in the above table, in the event that environmental standards in the country where the project is located diverge significantly from international standards, appropriate environmental considerations are requested to be made. In cases where local environmental regulations are yet to be established in some areas, considerations should be made based on comparisons with appropriate standards of other countries (including Japan's experience).
- 2) Environmental checklist provides general environmental items to be checked. It may be necessary to add or delete an item taking into account the characteristics of the project and the particular circumstances of the country and locality in which it is located.