

KOICA Guideline for Implementation of Environmental and Social Safeguards

Enacted 8/8/2013 (No. 194 KOICA Guidelines)

Wholly amended including title 12/29/2017 (No. 253 KOICA Guidelines)

Chapter 1. General Provisions

Article 1 (Purpose)

The purpose of this guideline is to provide a guide for implementation of environmental and social safeguards to minimize environmental and social impacts caused by the Official Development Assistance (ODA) of the Korea International Cooperation Agency (KOICA), based on the philosophy stated in Article 3, Section 1 of the Framework Act on International Development Cooperation in connection with the need to contribute to developing countries' attainment of the Sustainable Development Goals (SDGs).

Article 2 (Fundamental Principle)

The guideline complies with global norms and standards, such as the OECD Common Approach, Development Assistance Committee (DAC), Paris Declaration for the effectiveness of development, SDGs, and so on.

Article 3 (Application Scope)

The guideline applies generally to all ODA projects provided by KOICA, with possible exceptions including a project for rehabilitation after a natural disaster or conflict.

Article 4 (Definition)

As used herein, the following terms shall have the meaning set forth below.

1. "Environment" in Environmental and Society refers to all living things and inanimate things on/under/above the ground and ocean, including the ecological system and natural landscapes and all things associated with people's daily lives including as atmosphere, water, soil, waste, noise, vibration, stench, sunshine, etc. "Society" refers to social, economic, and cultural elements associated with the quality of the lives of individuals and the community including public service, population, housing, industry, involuntary relocation, local natives, etc.
2. "Screening and Categorization" is a procedure for simplistic estimation of environmental/social impact based on the information on the content of a proposed project and local characteristics to

judge whether to use it as the basis of detailed environmental/social impact assessment. Projects are classified by seriousness of environmental/social impact.

3. “Environmental and Social Impact Assessment” is a process for detailed analysis of environmental/social impact expected of a project and its alternatives and establishment of countermeasures for avoidance and reduction of and compensation for negative impact, with said assessment classified as a Category “A” project.
 - A “Category *A*”: refers to a project likely to cause serious and undesirable environmental/social impact.
4. “Basic Environmental and Social Survey” refers to a process for checking basic environmental/social impact likely to be caused by relevant projects, using the Environmental and Social Checklist. The said survey falls under a Category “B” project.
 - A “Category *B*”: refers to a project whose likely environmental/social impact is expected to be smaller than a Category *A* project.
5. “Environmental and Social Management Plan” is a plan that includes specific methods for countermeasures and monitoring concerning negative impacts analyzed in the process of the Environmental and Social Impact Assessment, with said plan falling under a Category *A* and *B* project.
6. “Resettlement Plan” is a plan for avoidance and reduction of and compensation for involuntary relocation of local residents due to a project through consultation with local residents.
7. “Indigenous Peoples Plan” is a plan for discussion with local communities concerning avoidance and reduction of and compensation for negative impacts caused to natives.
8. “Environmental and Social Review” is an activity carried out by KOICA to meet KOICA’s safeguard policy requirements throughout a project.
9. “Monitoring” is a survey of the status of execution of the environmental/social management plan and of environmental/social impact.
10. “The department in charge of environmental/social safeguards (hereafter “the department in charge”) is a department responsible for establishment of a relevant plan, development of relevant policies, phased inspection, and provision of consulting for more effective execution of environmental/social safeguards.

Chapter 2. Matters for Compliance and Standards

Article 5 (KOICA’s Tasks)

- ① As regards a project likely to cause a grave environmental/social impact, KOICA shall assist a recipient country in managing environmental/social impact and improve results by observing

KOICA's environmental/social safeguard-related policies.

- ② KOICA shall execute the principles and procedures stipulated in this guideline.
- ③ KOICA shall strive to enhance the management ability of a recipient country and itself for more effective execution of KOICA's environmental/social safeguard-related policies.
- ④ KOICA shall establish environmental/social safeguard-related mid-term execution strategies and plan every five years.

Article 6 (Recipient Country's Tasks)

- ① A recipient country shall consider environmental/social safeguard-related countermeasures adequately in each stage of the following: project exploration, planning, design, execution, and monitoring.
- ② A recipient country shall make a judgment on the graveness of environmental/social impact and come up with countermeasures for it through screening prior to proposing a project.
- ③ In making an initiative for a project, a recipient country shall strive to avoid or minimize environmental/social impact by coming up with diverse ways to mitigate the situation so that it may carry it out economically and technically without problems.
- ④ A recipient country shall provide for a procedure for accepting complaints made by local residents affected by environmental/social impacts resulting from a project.

Article 7 (Operation of Environmental/Social Safeguards)

In working with a recipient country for operation of environmental/social safeguards, KOICA shall observe the following:

1. Consideration of environmental/social safeguards from the initial stage of the project planning
2. Avoidance of all negative impacts including potential impacts; preparing method for reduction of negative impacts where avoidance is not possible; providing for compensation where negative impacts are inevitable
3. Discussion with stakeholders including local residents in each stage of a project; provision of full explanation regarding project

Article 8 (Relevant Laws and Standards)

- ① A project shall comply with the recipient country's environmental/social impacts-related laws/standards, government policies, and higher plans.
- ② A project shall take the following into consideration: international standards, conventions, and treaties.
- ③ In a case where a recipient country's standards differ from international standards, a project shall follow stricter standards.

- ④ A project may follow a recipient country's standards considering the local situation if it will not cause the occurrence of negative environmental/social impact. In such a case, the basis of the relevant decision shall be made clear.

Chapter 3. Organization

Article 9 (Department in Charge)

KOICA shall commit the department in charge to run matters concerning environmental/social safeguards.

Article 10 (Environmental Officers-related Organization)

- ① KOICA shall have environmental officers reporting directly to the President for more efficient operation of environmental/social safeguards under Article 6 of its Organization Rules.
- ② Environmental officers shall be appointed by the President among those recommended by the head of the department in charge and be operated in the form of a task force (TF) as required.
 - 1. In operation of a TF, the head of the department in charge shall make important decisions, while environmental officers of the department in charge shall handle general affairs.
- ③ The environmental officer shall be supervised by the President. The President can delegate his authority to the head of the department in charge.
- ④ Environmental officers shall strive to operate KOICA's environmental/social safeguard-related system without a hitch and carry out business for sustainable development of KOICA's projects.
- ⑤ The main duties of the environmental officers are as follows:
 - 1. Review of screening questionnaires for a project requested by a recipient country and reporting to the department in charge
 - 2. Environmental/social impact assessment concerning a Category *A* or *B* project, basic environmental/social survey, and setting up an environmental/social management plan, and reporting to the department in charge
 - 3. Monitoring whether reduction plans are executed for Category *A* or *B* and reporting it to the department in charge
 - 4. Other matters instructed by the President
- ⑥ The department in charge shall draw up a business manual for environmental officers, hold environmental officers' meeting at least once every 6 months, and keep the result in a document.
- ⑦ Environmental officers shall keep the result of the meeting stated in Article 10, Section 6 of this guideline per enclosed Attachment 1.

Article 11 (Environmental/Social Safeguards Review Committee)

- ① KOICA shall organize the Environmental/Social Safeguards Review Committee (“the Committee”) composed of internal and external experts to see whether environmental/social safeguards are performed and environmental/social impact assessment is carried out adequately, and provide necessary consulting.
- ② Based on the recommendation from environmental officers, the President of KOICA will appoint the Committee members (“members”) among those who meet the following requirements and do not have a record associated with corruption or disciplinary action.
 1. One with sufficient knowledge and experience in establishment of environmental strategy related to development cooperation and project management and assessment.
 2. One with sufficient knowledge and experience in environmental/social impact assessment
- ③ A member may be dismissed if he/she is found to neglect duties, lack competence, or engage in corruption.
- ④ A member, his/her spouse, or his lineal descendant/ascendant who is a stakeholder of a relevant project shall be shut out of the relevant activities of the Committee.
- ⑤ In a case where a member is found to be in a difficult position regarding performance of activities concerning a specific duty in a fair manner, environmental officers may ask that he/she be dismissed.
- ⑥ A Committee meeting shall be required for a Category *A* project, and may be conducted as needed for a Category *B* project.
- ⑦ The Committee may provide consultation to KOICA as regards the following:
 1. Matters pertaining to application of environmental/social safeguards at each stage of a project
 2. Evaluation of environmental/social impact assessment and environmental/social management plan
 3. Matters pertaining to enhancement of employees’ competence about environmental/social safeguards
- ⑧ Members shall serve on a part-time basis for not more than 2 (two) years as judged by the President.
- ⑨ The position of the Committee Chairperson shall be assumed by the director in control of the department in charge of environmental/social safeguards. The Committee shall have a secretary to deal with the business in general concerning its operation. The position of the secretary shall be assumed by the environmental officer from the department in charge of environmental/social safeguards.

Chapter 4. Operational Procedure by Country and Individual Phase of Project

Article 12 (Project Formulation and Preliminary Survey Stage)

- ① Where there is a request for a project from a recipient country in the form of a “Project Concept Paper,” KOICA shall have screening questionnaires submitted in the enclosed Attachment 2 filled

in for the project-related environmental/social impact pre-assessment and categorization.

- ② The relevant KOICA overseas office shall remind the recipient country of the need to submit the screening questionnaires. Where the recipient country is unable to submit these, the Project Officer shall draw them up in cooperation with the department in charge.
- ③ The department in charge shall review the project request and screening questionnaires submitted by the recipient country and categorize the project (A, B, C) based on its expected environmental/social impact and inform the Project Officer, using the form in the enclosed Attachment 3.

- Category *A*: refers to a project likely to cause a serious and undesirable environmental/social impact. A project subject to environmental/social impact assessment per the recipient country's environmental/social system is classified as Category *A*.

- Category *B*: refers to a project whose likely environmental/social impact is expected to be smaller than a Category *A* project. Generally, Category *B* refers to a project whose direct environmental/social impact is confined to the site, for which it is not difficult to establish measures for reduction of the impact, and where most of the environmental/social impact can be removed or mitigated to a restorable level with the measures for reduction.

- Category *C*: refers to a project with little or no environmentally or socially negative impacts. Projects falling under Category *C* include education, training, development of texts/programs, transfer of documents or information, meetings, workshops, systems development, technological support, building competence, general administrative support, etc.

- ④ The Project Officer shall perform the following for categorized projects in cooperation with the department in charge.
 - For Category *A* projects - Environmental/social impact assessment per enclosed Attachment 4; draw up environmental/social management plan per enclosed Attachment 5; (draw up Resettlement Plan per enclosed Attachment 6 and Indigenous People Plan per enclosed Attachment 7, if required); draw up environmental/social review opinion per enclosed Attachment 8 and submit to department in charge.
 - Period for performing environmental/social impact assessment shall be decided in consultation with the department in charge.
 - For Category *B* projects - Environmental/Social Checklist per enclosed Attachment 9 at the time of basic survey; drawing up an environmental/social management plan per enclosed Attachment 5, if required; drawing up an environmental/social review opinion per enclosed

Attachment 8 and submit to the department in charge.

- For Category *C* projects - No additional environmental/social considerations are needed in the ensuring procedures. In a case where environmental/social impacts become likely due to a change in the content of a project, the procedure shall be repeated for screening questionnaires and categorization of the project.

- ⑤ The department in charge shall submit its opinion on environmental/social issues on Category *A* and *B* projects to the Project Selection Committee.

Article 13 (Project Selection Stage)

- ① When reviewing the selection of a new project, KOICA shall include environmental/social safeguard items in the review standards.
- ① When reviewing the selection of a new project, KOICA may withdraw its support plan for a Category *A* and *B* project or arrange to start executing the plan after establishment of a specific environmental/social impact reduction plan.

Article 14 (Project Planning Stage)

As regards a Category *A* or *B* project, KOICA shall discuss an environmental/social impact management plan including measures for reduction of environmental/social impacts with the recipient country and include the results in project documents signed by the two countries including Records of Discussions (R/Ds).

Article 15 (Project Implementation Stage)

- ① KOICA may engage in monitoring to check whether measures related to environmental/social impact are taken or whether there is a change in environmental/social impact during a project.
- ② As regards a Category *A* or *B* project, KOICA shall include how to deal with environmental/social impacts related to the project in a Request for Proposal (RFP) for selection of the Project Implementation Unit (PIU) to clearly define it as a work scope of the PIU.
- ③ KOICA shall include the method for dealing with project-related environmental/social impacts in the evaluation of Technical Proposal and contractors.
- ④ KOICA shall provide support for executing appropriate measures where there is an unexpected environmental/social impact or the reduction plan is not sufficient during a project period.

Article 16 (Project Evaluation Stage)

KOICA shall check to see whether environmental/social issues have been dealt with adequately especially in the case of a Category *A* or *B* project, and have it reflected in the evaluation report regarding the development project.

Chapter 5. Disclosure of Information and Participation

Article 17 (Disclosure of Information)

- ① KOICA, along with a recipient country, shall strive to disclose all relevant information about a development assistance project for transparency in decision making.
- ② Upon completion of screening questionnaires, KOICA shall release the information for the result on its website.
- ③ KOICA may disclose the content of the environmental/social impact assessment document for a Category A project, and when necessary the Resettlement Plan, Indigenous People-related Plan, Environmental/Social Management Plan, and Monitoring Report.
- ④ When KOICA finds it difficult to disclose certain information, it may exclude it from the list of information to be disclosed and shall clarify the reason.

Article 18 (Stakeholders' Participation)

- ① KOICA, along with a recipient country, shall strive to take a positive attitude in discussion regarding environmental/social impacts caused by a development assistance project with stakeholders and encourage them to take part in the planning process.
- ② KOICA, along with a recipient country, shall strive to offer diverse ways of participation of stakeholders in consideration of their culture and customs.
- ③ KOICA, along with a recipient country, shall take positive steps to allow the socially underprivileged to take part in a project.
- ④ KOICA, along with a recipient country, shall allow stakeholders to express their opinions freely.

Article 19 (Civil Complaints)

KOICA, along with a recipient country, shall operate a desk where people may file their complaints regarding damages caused by a development assistance project.

Chapter 6. Building Competencies for Environmental/Social Safeguards

Article 20 (Building Competence of Department in Charge)

The department in charge shall strive to build its competence by monitoring recent international environmental/social trends and attending meetings and workshops related to environmental/social safeguards.

Article 21 (Education related to Environmental/Social Safeguards)

- ① KOICA shall conduct the following education programs for its staff members concerning its ODA projects to help them build competencies related to environmental/social safeguards.
1. Environmental/social safeguard leadership education for decision makers (i.e. directors and officers)
 2. Environmental/social safeguard education for business ability improvement for environmental officers and Project Officers (or department in charge of a project)
 3. Business ability improvement program for Environmental/Social matters for the PMC (Project Management Consultant) and CM (Construction Management)
- ② KOICA shall provide those who participate in education programs with incentives in order to maximize the effectiveness of the programs.

Article 22 (Development of Education Instruments)

KOICA shall produce books, policy data, or PR materials regarding environmental/social safeguards so as to increase awareness and enhance capacity.

Chapter 7. Projects related to Green Climate Fund

Article 23 (Green Climate Fund Projects)

As an institution accredited by the Green Climate Fund (“GCF”), KOICA shall strive to meet the environmental/social safeguards standards set by the GCF in carrying out projects proposed to provide financial support to the GCF.

Article 24 (Production of Business Manual)

KOICA shall produce a manual regarding environmental/social safeguards in carrying out projects proposed for providing financial support to the GCF.

Additional Rules <dated 8/8/2013>

Article 1 <Date of Implementation>

This guideline shall be implemented on the day they are approved by the head director.

Additional Rules <dated 12/29/2017>

Article 1 <Date of Implementation>

This guideline shall be implemented on December 29, 2017.

[Attachment 1 Meeting Minutes]

<p style="text-align: center;">Meeting Minutes</p>

1. Agenda:
2. Date: _____, 20__ (:)
3. Place:
4. Participants:
5. Conclusions:

Date: _____, 2018

Environmental Officer

(Signature)

Screening Questionnaire

<input type="checkbox"/> Project name:	
<input type="checkbox"/> Prepared on:	
<input type="checkbox"/> Prepared by:	
-Department:	
-Position:	
-TEL/FAX:	Email:
_____ (Signature)	

1. Preliminary questions

[1-1] Is this a development consultation project?

Yes No

[1-2] Does this project include facility/infrastructure construction?

Yes No

➤ If your answer to [1-1] is “yes” and your answer to [1-2] is “no,” please do not proceed to No. 2.

2. Project overview

2-1. Location or address of project site

[]

2-2. Basic information related to project including scale (e.g. facility production capacity, etc.)

Drawing/satellite photo (check if attached)

2-3. Major impacts caused by project

① Does the project include construction of a new building, extension of an existing building, or repair of an existing building?

Yes (Land size:) No Unknown

② Will the project cause a change in topography or land use?

Yes (Land size:) No Unknown

③ Will the project include development or use of water resources?

Yes (Amount:) No Unknown

④ Will the project cause occurrence of waste?

Yes (Amount:) No Unknown

⑤ Will the project result in involuntary relocation of local residents?

Yes (Number of people:) No Unknown

⑥ Is the project likely to cause complaints or disputes with local residents?

Yes (Reason:) No Unknown

3. Assessment of whether project is subject to recipient country's requirements for environmental impact assessment, etc.

3-1. Does the recipient country have laws or regulations related to environmental/social impact assessment?

Yes No Unknown

3-2. Is the project subject to environmental/social impact assessment or other relevant impact assessment under these laws or regulations?

Yes No Unknown

☛ If your answer to the above question is “yes” and the recipient country separately categorizes laws or regulations to deal with environment and society, please state the relevant category.

[_____]

3-3. If the project is subject to environmental/social impact assessment and environmental/social management plan, please mark where applicable.

Completed Under way Scheduled Not Completed
(date/time: _____)

4. Project location features and project type

4-1. Is the project site located in or adjacent to an area listed below?

Yes No

☛ If your answer to the above question is “yes,” please mark all applicable.

- Virgin forest or tropical forest
- Ecologically important habitat areas (coral reef, mangrove wetland, tidal flats)
- Habitat of rare species protected by domestic laws or international treaties
- Areas with risk of soil erosion on large scale
- Areas with notable desertification tendency
- Government-designated reserve area such as national park
- Archaeologically, historically, or culturally valuable areas
- Living areas of ethnic peoples, indigenous peoples, or nomads who retain a traditional lifestyle
- A densely populated area that poses a risk of large scale involuntary relocation of people
- An area with special social value

4-2. Does the project fall under one of the categories listed below?

Yes No

If your answer to the foregoing question is “yes,” please mark all applicable

- | | |
|---|--|
| <input type="checkbox"/> Hydropower, dams, and reservoirs | <input type="checkbox"/> Urban development |
| <input type="checkbox"/> Roads, railroads, and bridges | <input type="checkbox"/> Airport/port |
| <input type="checkbox"/> Water supply, sewage treatment | <input type="checkbox"/> Solid waste treatment |
| <input type="checkbox"/> Stream and erosion control | <input type="checkbox"/> Power transmission and distribution lines |
| <input type="checkbox"/> Mining development | <input type="checkbox"/> Industrial development |
| <input type="checkbox"/> Tourism | <input type="checkbox"/> Agriculture involving large-scale land clearing or irrigation |
| <input type="checkbox"/> Forestry | <input type="checkbox"/> Fishery |

5. Environmental/social impact

Question	Yes	No	Unknown	Remarks
1. Is the project likely to have an impact on a nearby ecologically important or sensitive area (e.g. wetland, stream, coast, mountain, forest)?				
2. Is the project likely to have an impact on nearby natural scenery or geographic feature?				
3. Is the project close to a culturally or historically valuable area?				
4. Does the project considerably encroach on an area that needs environmental consideration or require the alteration of surface texture or physical properties of the nearby land?				
5. Does the project require a large amount of water or energy during construction or operation?				
6. Will the project require water supply, sewerage, or transportation that current infrastructure facilities cannot provide?				
7. Will the project produce a large amount of waste, particularly of hazardous or toxic nature?				

Question	Yes	No	Unknown	Remarks
8. Will the project produce a large amount of drain water or air pollutants?				
9. Will the project have a serious impact on a nearby important body of water?				
10. Is the project likely to have a serious impact on surface/underground water in terms of amount or quality?				
11. Does the project require lodging facilities or other accommodations for workers during construction or operation?				
12. Does the project require using a large amount of fertilizers or pesticides?				
13. Does the project include introduction of foreign species of wildlife to the area?				
14. Does the project involve any risk of turning the area into a habitat for pests or animals carrying infectious diseases?				
15. Will the project cause harm to people in a nearby densely populated area due to air pollution, noise, vibrations, or stench?				
16. Will the project cause serious soil erosion or degradation due to its location (e.g. steep slope or vulnerable soil area)?				
17. Will the project cause an influx or relocation of a large number of people in the area?				
18. Will the project cause involuntary relocation of a large number of people elsewhere?				

Question	Yes	No	Unknown	Remarks
19. Will the project cause a change in way of life for local residents?				
20. Will the project have a negative impact on cultural heritage objects/sites in the area?				

[Attachment 3 Conclusions of Screening Review]

Conclusions of Screening Review

Category	
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<input type="checkbox"/> Project name: <input type="checkbox"/> Project outline:

1. Environmental hazards

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2. Social hazards

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3. General opinion

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Prepared by:

Confirmed by:

Date/Time:

[Attachment 4 Environmental/Social Impact Assessment Form and Guidelines for Preparation]

A. Guidelines

- An environmental/social impact assessment sheet shall define environmental/social impacts caused by the project, along with seriousness of each impact, based on the status of the area.
- The assessment sheet shall be drawn up objectively based on facts, with the collective use of natural science, environmental science, and applied science.
- As regards matters included in the content of the assessment sheet concerning laws or regulations, a consistent basis or confirmation shall be stated briefly or a copy of the relevant document provided for confirmation of the content should it become necessary in the situation.
- Explanations shall be provided in laymen's terms for any jargon used in the assessment sheet.

B. Contents

The assessment sheet shall state the following:

1) Summary

- Major findings and recommended measures

2) Legal/institutional framework

- Legal/institutional frameworks including the following, to include performance of a project-related environmental/social impact assessment
 - Framework of laws, systems, regulations, and policies related to the project for the recipient country
 - Other environmental/social standards and requirements (including all standards of both the recipient country and the donor country, and all differences in standards)

3) Project outline

- The background, purpose, name, location of project; project implementer; content/period of project; budget, etc., in an easy-to-understand manner

4) Basic status of local environment

- Major information and materials related to the project such as geographical, environmental, and social status
- Results of a site survey including the following to make it possible to note the environmental/social status in the area that will be affected by the project
 - Status of land use in the area
 - Status of areas designated for environmental/social preservation under the law and the local municipal ordinance
 - Matters pertaining to regulation and preservation including local environmental/social standards

- Status of other local development plans and projects
 - Status of endangered and protected wild lives and migratory birds
 - Status of major facilities such as factories, airports, roads, or railroads that may cause environmental impact
 - Status of water intake, water purification stations, cultural heritage objects, natural monuments, historically/culturally valuable structures or sites requiring protection
 - Status of basic environmental facilities such as sewage/excreta/waste treatment facilities
 - Status of local traffic and plan for improvement of local transportation facilities
 - Status of public facilities, education facilities, and hospitals
 - Demographic/environmental/economic status
 - Status of local residents including those forced to leave the area due to the project
 - Status of other matters associated with environmental status of the area
- In basic principle, the primary local environmental/social status survey shall be carried out onsite. Relevant materials such as state-provided environmental/social database or literature may be used where available.

5) Designation of items for hazard identification and evaluation

- Identification of social/environmental hazards related to the project and designation of items for environmental/social evaluation in consideration of impacts caused by the project
 - Environmental hazards and impacts
 - Physical threats to natural habitats, biodiversity; protection/preservation, repair, and rehabilitation of ecosystem; global impacts such as climate change
 - Social hazards and impacts
 - Threats to community and individual human rights, threats to national security through disputes between individuals, communities, and countries; crime or violence, gender discrimination, inequality to underprivileged, unequal distribution of development profit and resources favorable only to specific individuals or groups, negative economic/environmental impact caused by relocation of people, threats to the safety and health of the community due to the project, damage to cultural heritage sites, etc.

6) Establishment of alternatives

- Establishment of alternatives to the project plan and selection of appropriate alternative through comparison, with consideration given to respective environmental/social impacts, status of technological matters, and realistic applicability
- Comparison of options shall be done even when the project is not implemented.

7) Forecast and evaluation

- Forecast and analysis of environmental/social impacts likely to be caused by the project based on the status survey
- Impacts-related forecast and analysis to be performed twice, i.e. once before and once after establishment of reduction methods; impacts-related forecast and analysis to be done in consideration of interrelated items

8) Environmental/social impact reduction measures

- Measures to be taken for reduction of forecasted environmental/social impacts on reasonable and specified basis
- At least two alternatives for reduction measures, along with their merits/demerits, and the final selected method and the reason for selection
- Separate specification of environmental/social impacts that pose difficulties in realistic reduction measures

9) Public participation in discussion

- Procedure for disclosure of information and consultation with stakeholders; stakeholder opinions reflected in project design and reduction methods in summary
- Procedure for submittal of opinions from local residents on environmental/social impact, including the following:
 - List of stakeholders
 - Process for consultation with stakeholders such as local residents and their organizations; opinion content and how the opinions have been reflected
 - Minutes of meetings
 - Other content related to procedure for public participation

10) Conclusion

- Simple statement of conclusions reached through forecast, analysis, and evaluation

[Attachment 5 Environmental/Social Impacts Management Plan Form and guidelines for preparation]

A. Summary

- Presentation on how to implement measures for reduction of negative environmental/social impacts found in the assessment and survey

B. Background and content of the project

- Brief statement of background, purpose, and content of the project

C. Hazards identification

- Environmental/social hazards caused by the project and necessary countermeasures

D. How to implement reduction measures

- Brief statement of selected methods for reduction of negative environmental/social impacts caused by the project, along with relevant technical details
- Selected reduction methods to include action plans for monitoring, competence building, stakeholder participation, and implementation

E. Conclusion

- Brief statement of hazards and how to implement measures for their reduction

[Attachment 6 Resettlement Plan Form and guidelines for preparation]

A. Summary

- Brief statement of project main content, results of major surveys, action plan related to project, etc.

B. Project outline

- Statement of project content in general and plan for land expropriation and for involuntary relocation of local residents.

C. Legal/institutional framework

- The recipient country's laws and regulations applied to the project concerning Relocation and Resettlement Plan; relevant procedures; differences from KOICA's policy
- Assets/revenue related to project; relocation expenses; principles and methods applied for compensation, including the following:
 - Scope of the government's right to land expropriation, inherent nature of the government's compensation, value assessment methodology, expenses, payment timing, etc.
 - Applicable legal/administrative procedures
 - Laws related to land ownership, asset value assessment/compensation, the right to use natural resources (including customary/traditional laws)
 - Laws and regulations pertaining to government agencies responsible for relocation of local residents
 - Difference between KOICA's policy and local laws regarding land expropriation and relocation of local residents and how to resolve the difference
 - Legal procedure for efficient relocation

D. Scope of land expropriation and resettlement

- Statement of the scope of land expropriation and resettlement, along with the basis, including the following:
 - The factors and activities related to the project causing relocation of local residents
 - Scope of areas where such factors and activities have an impact
 - Options that can minimize or avoid relocation of local residents
 - How to minimize relocation of local residents during the project

E. Status survey

- Results of environmental/economic survey to be done in the initial stage of preparations for the project; content of the survey of potential relocatees
- Defining and identifying people likely to be affected by the project and their community

- Basis for designating the timing for calculation of compensation amounts and relocatees; content of the relevant survey
- The project's impact on the poor, local residents, ethnic minorities, and underprivileged with consideration for environmental/cultural/economic factors
 - Information on people currently living on the project site
 - Characteristics of relocating households such as production system, labor, family composition, livelihood, etc.
 - Relocatee property loss due to relocation
 - Information on the underprivileged, for whom special support needs to be provided
 - Updated information on relocatee livelihood and living standards
 - Others including the following:
 - Status of public property related to local residents' livelihood
 - Status of social interaction among communities within the project site
 - Public infrastructure/services
 - Relocating community social/cultural characteristics (including official/unofficial organizations that may have an impact on the relocation plan)

F. Loss evaluation and compensation

- Methods of measuring loss amount and relocation expense for relocatees; all support measures for resettlers including compensation.
- Explanation of proposed methods; level of compensation per local law; supplementary methods for compensation

G. Relocation and resettlement methods

- Identification of hazards threatening livelihood of relocatee; presentation of programs designed to help them restore their previous level of income
- Provision of environmental safety net, training program, and special measures for underprivileged
 - 1) Resettlement methods
 - Compensation and such for eligible relocatees
 - Compensation and resettlement methods to correspond to relocatees' cultural preferences and to be confirmed through consultation with relocatees
 - 2) Selection/preparation of place for relocation
 - Selection of place for relocation shall consider the following factors
 - Status of institutional/technical matters for location
 - Measures to prevent speculation and ineligible persons
 - Relocation procedure (time to get a place for living after relocation)

- Legal procedure for land ownership

3) Services related to residence, infrastructure, and environment

- A plan for provision of housing, infrastructure (e.g. water resources / branch roads), public facilities (e.g. schools and hospitals), etc.

4) Integration with people in relocation destination

- How to minimize impact on the community of relocation destination, including the following:
 - Content of consultation with the community and local government of relocation destination
 - How to settle expenses concerning relocation destination and property provided to relocatees
 - How to settle conflicts, if any, between relocatees and those living in relocation destination
 - How to expand public service provided to relocatees

H. Public participation

- Procedure for participation of relocatees and people in relocation destination in establishment and implementation of the relocation plan; relevant discussion process; content in which their opinions are reflected
- Participation of relocatees and people in relocation destination to be arranged in consideration of the recipient country's systems and traditional ways of life
- Resettlement plan to be disclosed to relocatees and people in relocation destination

I. How to secure expenses and budget

- Relocation-related activity plan; how to calculate and secure compensation funds and expenses related to relocation
- Expenses related to relocation shall be presented in consideration of inflation, increase in population, etc., with a description of the method for securing funds

J. Monitoring

- Method to be described for monitor relocation-related activity such as input/out of such activity and performance indicators
- Monitoring methods to include relocatee participation methods, and necessary impact assessment performed after specified period following completion of the project and relocation
- Results of monitoring related to relocation to be reflected in implementation of the project

K. Conclusion

- Brief statement of content related to relocation such as scope of relocation, relocation/resettlement methods, relevant expenses, how to secure funds

[Attachment 7 Indigenous Peoples Plan Form and guidelines for preparation]

A. Summary

- Brief statement of the project's main content, results of major surveys, the project action plan, etc.

B. Project outline

- Statement of the project's general content and any content having a negative impact on local residents

C. Initial survey

- Review of legal/institutional framework applicable to local residents
- Survey of local residents' environmental/cultural/political characteristics; setting standards based on result of the survey of natural resources and land, etc.
- Evaluation of the project's negative impacts and benefits through consultation with local residents
- Analysis of local residents' vulnerability through comparison between them and those in other areas

D. Information disclosure, consultation, and participation

- Process of local resident participation, consultation with residents, and how to disclose relevant information
- Ways of providing support for local residents
- Disclosure of local residents-related plans

E. Mechanism for improving the situation based on complaints from local residents

F. Compensation methods

- Ways for providing adequate environmental/economic compensation to local residents

G. Reduction measures

- Measures for reduction of negative impacts like relocation or compensation based on consultation with local residents

H. Budget/fund plan

- Establishment of budget and a fund plan needed for matters related to local residents

I. Specific implementation plan

- Establishment of specific implementation plan

J. Monitoring and reports

- Mechanism for monitoring and evaluation of process for executing plans related to local residents

[Attachment 8 Opinion on review of environmental/social impacts]

Opinion on review of environmental/social impacts

Category	
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1. Project outline

<input type="checkbox"/> Project name: <input type="checkbox"/> Project outline:

2. Expert review schedule; list of experts

Schedule	_____, 2018 thru _____2018 (__days in total)
List	

3. Results of consultation with recipient country

- Name of agency:
- Content of consultation:

Consultation date/time	Content of consultation	Remarks

4. Major opinion on review

- Relevance of measures regarding major environmental hazards

- Relevance of measures regarding major social hazards

- Relevance of measures (budget, period, approvals, people's complaints, etc.) taken in the process of promoting project

5. Opinion Summary

Prepared by:

Confirmed by:

Date/time:

[Attachment 9 Environmental/Social Checklist]

Solid Waste Treatment

Environmental/Social Checklist: Solid Waste Treatment			
Expected Potential Environmental Impacts	Status		Remarks
	Y	N	
Surrounding environment			
A1. Encroachment on historical/cultural monuments or areas resulting in their damage or loss			
A2. Encroachment on precious land or aquatic ecological habitats resulting in their damage or loss			
A3. Blocking or degradation of landscape scenic value by facilities			
A4. Risk of subsidence or collapse due to weak ground			
A5. Buffer zone around site to minimize environmental impact			
A6. Impacts associated with infrastructure (electricity, roads, buildings, etc.)			
Direct influence			
B1. Contamination associated with toxic waste			
B2. Health and safety hazards to workers or area residents from toxic gases and hazardous materials at the site			
B3. Public health hazards from diseases transmitted by pests or rats			
B4. Contamination of water resources by leachate from waste			
B5. Contamination of drinking water by leachate			
B6. Impacts associated with transport of waste to a disposal site or treatment facility			
B7. Atmospheric contamination from incineration facilities			
B8. Fire hazards from methane due to accumulated waste, etc.			
B9. Contamination associated with stench from waste			
Indirect influence			
C1. Conflicts among stakeholders from facilities			
C2. Traffic problems resulting from road blocking during construction of facilities			
C3. Involuntary resettlement of residents			

Environmental/Social Checklist: Solid Waste Treatment

Expected Potential Environmental Impacts	Status		Remarks
	Y	N	
C4. Negative impacts on local residents			
C5. Regional separation due to facilities			
C6. Noise, vibration, and dust from construction activities			
C7. Temporary creation of breeding habitats for disease carrying pests			
C8. Others ()			

Agriculture/Irrigation

Environmental/Social Checklist: Agriculture/Irrigation			
Expected Potential Environmental Impacts	Status		Remarks
	Y	N	
Surrounding Environment			
A1. Encroachment on historical/cultural monuments or areas resulting in their damage or loss			
A2. Encroachment on precious land or aquatic ecological habitats resulting in their damage or loss			
A3. Blocking or degradation of landscape scenic value by facilities			
A4. Risk of subsidence or collapse due to weak ground			
A5. Buffer zone around site to minimize environmental impact			
A6. Impacts associated with infrastructure (electricity, road, building, etc.)			
Direct Influence			
B1. Exhaustion of water resources due to over-pumping of water			
B2. Ground subsidence by over-pumping of ground water			
B3. Decline in groundwater quality due to over-pumping of ground water			
B4. Change in aquatic ecosystems due to over-pumping of river water			
B5. Reduction of downstream water supply due to over-pumping of river water			
B6. Increase in incidence of water-related diseases due to irrigation facilities			
B7. Contamination due to agricultural chemicals for crop production			
B8. Reduction of biological diversity due to artificial cultivation			
Indirect Influence			
C1. Conflicts among stakeholders regarding facilities			
C2. Traffic problems resulting from road blocking during construction of facilities			
C3. Involuntary resettlement of residents			
C4. Negative impacts on local residents			

Environmental/Social Checklist: Agriculture/Irrigation

Expected Potential Environmental Impacts	Status		Remarks
	Y	N	
C5. Regional separation due to facilities			
C6. Noise, vibration, and dust from construction activities			
C7. Temporary creation of breeding habitats for disease carrying pests			
C8. Others ()			

Roads, Railroads, and Bridges

Environmental/Social Checklist: Roads, Railroads, and Bridges			
Expected Potential Environmental Impacts	Status		Remarks
	Y	N	
Surrounding Environment			
A1. Encroachment on historical/cultural monuments or areas resulting in their damage or loss			
A2. Encroachment on precious land or aquatic ecological habitats resulting in their damage or loss			
A3. Blocking or degradation of landscape scenic value by facilities			
A4. Risk of subsidence or collapse due to weak ground			
A5. Buffer zone around site to minimize environmental impact			
A6. Impacts associated with infrastructure (electricity, road, building, etc.)			
Direct Influence			
B1. Risks caused by weather changes including heavy rain and strong winds			
B2. Risks caused by changes in river crossings and shoreline facilities			
B3. Adaptability of facilities in respect to season changes			
B4. Inconveniences for living due to increase in traffic volume			
B5. Pollution of soil and water from materials (e.g., oil, grease, and fuel spills) caused by vehicles			
B6. Pollution of atmosphere (e.g., fine dust and exhaust) caused by vehicles			
B7. Noise and vibration caused by road traffic			
B8. Exhaustion of underground water by discharge of ground water in tunnel dredging			
Indirect Influence			
C1. Conflicts among stakeholders regarding facilities			
C2. Traffic problems resulting from road blocking during construction of facilities			
C3. Involuntary resettlement of residents			

Environmental/Social Checklist: Roads, Railroads, and Bridges

Expected Potential Environmental Impacts	Status		Remarks
	Y	N	
C4. Negative impacts on local residents			
C5. Regional separation due to facilities			
C6. Noise, vibration, and dust from construction activities			
C7. Temporary creation of breeding habitats for disease carrying pests			
C8. Others ()			

Water Supply

Environmental/Social Checklist: Water Supply			
Expected Potential Environmental Impacts	Status		Remarks
	Y	N	
Surrounding Environment			
A1. Encroachment on historical/cultural monuments or areas resulting in their damage or loss			
A2. Encroachment on precious land or aquatic ecological habitats resulting in their damage or loss			
A3. Blocking or degradation of landscape scenic value by facilities			
A4. Risk of subsidence or collapse due to weak ground			
A5. Buffer zone around site to minimize environmental impact			
A6. Impacts associated with infrastructure (electricity, road, building, etc.)			
Direct Influence			
B1. Exhaustion of water resources due to over-pumping of water			
B2. Ground subsidence by over-pumping of ground water			
B3. Decline in groundwater quality due to over-pumping of ground water			
B4. Change in aquatic ecosystems due to over-pumping of river water			
B5. Reduction of downstream water supply due to over-pumping of river water			
B6. Inadequate management of storage reservoir resulting in deterioration of water quality			
B7. Reduction in capabilities of community facilities due to change in surrounding environment			
B8. Disposal of waste matter from water treatment facilities			
B9. Influence of increase in sewage due to increase in use of drinking water			
Indirect Influence			
C1. Conflicts among stakeholders regarding facilities			
C2. Traffic problems resulting from road blocking during construction of facilities			

Environmental/Social Checklist: Water Supply

Expected Potential Environmental Impacts	Status		Remarks
	Y	N	
C3. Involuntary resettlement of residents			
C4. Negative impacts on local residents			
C5. Regional separation due to facilities			
C6. Noise, vibration, and dust from construction activities			
C7. Temporary creation of breeding habitats for disease carrying pests			
C8. Others ()			

Sewage Treatment

Environmental/Social Checklist: Sewage Treatment			
Expected Potential Environmental Impacts	Status		Remarks
	Y	N	
Surrounding Environment			
A1. Encroachment on historical/cultural monuments or areas resulting in their damage or loss			
A2. Encroachment on precious land or aquatic ecological habitats resulting in their damage or loss			
A3. Blocking or degradation of landscape scenic value by facilities			
A4. Risk of subsidence or collapse due to weak ground			
A5. Buffer zone around site to minimize environmental impact			
A6. Impacts associated with infrastructure (electricity, road, building, etc.)			
Direct Influence			
B1. Pollution due to facilities or capacity unsuitable to local environment			
B2. Aggravation of downstream pollution due to improper downstream discharge of treated sewage			
B3. Contamination of drinking water sources due to inadequate location and discharge			
B4. Improper temperature of discharged water affecting the ecosystem			
B5. Pollution of soil or ground water due to leakage of untreated sewage from septic tanks or sewer pipes			
B6. Contamination due to improper sludge disposal			
B7. Damage caused to neighboring area due to negligent management of drainage facilities			
B8. Risks to public health due to malfunction of treatment facilities			
B9. Harm to neighboring areas due to noise, stench, influx of pests etc.			
Indirect Influence			
C1. Conflicts among stakeholders regarding facilities			
C2. Traffic problems resulting from road blocking during construction of facilities			

Environmental/Social Checklist: Sewage Treatment

Expected Potential Environmental Impacts	Status		Remarks
	Y	N	
C3. Involuntary resettlement of residents			
C4. Negative impacts on local residents			
C5. Regional separation due to facilities			
C6. Noise, vibration, and dust from construction activities			
C7. Temporary creation of breeding habitats for disease carrying pests			
C8. Others ()			

General Building Construction

Environmental/Social Checklist: General Building Construction			
Expected Potential Environmental Impacts	Status		Remarks
	Y	N	
Surrounding Environment			
A1. Encroachment on historical/cultural monuments or areas resulting in their damage or loss			
A2. Encroachment on precious land or aquatic ecological habitats resulting in their damage or loss			
A3. Blocking or degradation of landscape scenic value by facilities			
A4. Risk of subsidence or collapse due to weak ground			
A5. Buffer zone around site to minimize environmental impact			
A6. Impacts associated with infrastructure (electricity, road, building, etc.)			
Direct Influence			
B1. Negligent maintenance of toxic substance used in facility			
B2. Water pollution due to improper treatment of emissions from facility			
B3. Adaptability of facilities to seasonal changes			
B4. Inconveniences for living due to increase in traffic volume			
B5. Environmental impact of materials used in construction			
B6. Impact on water resources due to use of facilities such as drinking water and toilets			
B7. Deterioration of water quality due to improper treatment of waste water such as from toilets			
B8. Atmospheric pollution due to power production and heating requirements in facility			
B9. Hazards to public health due to waste or sewage from facilities			
Indirect Influence			
C1. Conflicts among stakeholders regarding facilities			
C2. Traffic problems resulting from road blocking during construction of facilities			

Environmental/Social Checklist: General Building Construction

Expected Potential Environmental Impacts	Status		Remarks
	Y	N	
C3. Involuntary resettlement of residents			
C4. Negative impacts on local residents			
C5. Regional separation due to facilities			
C6. Noise, vibration, and dust from construction activities			
C7. Temporary creation of breeding habitats for disease carrying pests			
C8. Others ()			

Reforestation

Environmental/Social Checklist: Reforestation			
Expected Potential Environmental Impacts	Status		Remarks
	Y	N	
Surrounding Environment			
A1. Encroachment on historical/cultural monuments or areas resulting in their damage or loss			
A2. Encroachment on precious land or aquatic ecological habitats resulting in their damage or loss			
A3. Blocking or degradation of landscape scenic value by facilities			
A4. Risk of subsidence or collapse due to weak ground			
A5. Buffer zone around site to minimize environmental impact			
A6. Impacts associated with infrastructure (electricity, road, building, etc.)			
Direct Influence			
B1. Increase in nearby downstream peak water level or flooding			
B2. Loss of recreational opportunities due to ecological damage			
B3. Reduction in biodiversity due to artificial afforestation			
B4. Loss of soil and nutrients due to forest clearing			
B5. Soil/water pollution due to use of chemical fertilizers or pesticides			
B6. Deformation of water resources (e.g., natural river) due to afforestation			
B7. Displacement of residents or removal of access to forest resources			
Indirect Influence			
C1. Conflicts among stakeholders regarding facilities			
C2. Traffic problems resulting from road blocking during construction of facilities			
C3. Involuntary resettlement of residents			
C4. Negative impacts on local residents			
C5. Regional separation due to facilities			
C6. Noise, vibration, and dust from construction activities			

Environmental/Social Checklist: Reforestation

Expected Potential Environmental Impacts	Status		Remarks
	Y	N	
C7. Temporary creation of breeding habitats for disease carrying pests			
C8. Others ()			

Other

Environmental/Social Checklist: Other			
Expected Potential Environmental Impacts	Status		Remarks
	Y	N	
Surrounding Environment			
A1. Encroachment on historical/cultural monuments or areas resulting in their damage or loss			
A2. Encroachment on precious land or aquatic ecological habitats resulting in their damage or loss			
A3. Blocking or degradation of landscape scenic value by facilities			
A4. Risk of subsidence or collapse due to weak ground			
A5. Buffer zone around site to minimize environmental impact			
A6. Impacts associated with infrastructure (electricity, road, building, etc.)			
Direct Influence			
B1. High resource requirements (water, energy, etc.) during project implementation or operations			
B2. High discharge of waste material (water, soil, etc.) during project operations			
B3. Deformation or damage to water resources due to project			
B4. Possibility of environmental contamination of soil or atmosphere			
B5. Increase in noise or vibrations resulting in the disturbance of residential living conditions			
B6. Risks related to weather changes, including heavy rain, strong winds, drought, etc.			
B7. Public health hazards due to increased vulnerability to spread of diseases			
Indirect Influence			
C1. Conflicts among stakeholders regarding facilities			
C2. Traffic problems resulting from road blocking during construction of facilities			
C3. Involuntary resettlement of residents			
C4. Negative impacts on local residents			

Environmental/Social Checklist: Other

Expected Potential Environmental Impacts	Status		Remarks
	Y	N	
C5. Regional separation due to facilities			
C6. Noise, vibration, and dust from construction activities			
C7. Temporary creation of breeding habitats for disease carrying pests			
C8. Others ()			