



Preparatory report on the implementation of JICA, Environment and Social Management System (ESMS) and Scheduled Tribe and Forest Dependents Plan Frame Work (STFDPF) for Sustainable Catchment Forest Management (SCATFORM) Project.

**Forest Department- Tripura
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1.0 Introduction

A JICA project focused on social and economic development may involve a risk of causing negative impacts on the environment including air, water, soil, and/or ecosystem as well as on community, society such as involuntary resettlement or infringement of rights of indigenous peoples. In order to achieve sustainable development, thus it is imperative that the project's impacts on the environment and society must be assessed, and costs to avoid, minimize, or compensate for those impacts must be integrated into the project itself. This internalization of the cost that reduces environmental and social impacts into the development cost is the gist of **Environmental and Social Considerations (ESC)**. JICA's Guidelines for Environmental and Social Considerations (ESC Guidelines) are guidelines that set forth JICA's responsibilities and required procedures, together with obligations of partner countries and project proponents, in order to put ESC into practice. The ESC Guidelines (2010) apply to the projects that are proposed on and after July 2010. JICA's partners, including host countries, borrowers, and project proponents (hereinafter referred to as "project proponents etc."), bear the primary responsibility for ESC. JICA's role is to examine the ESC undertaken by the project proponents etc. in their development projects and to provide necessary support to ensure that the appropriate ESC is put into practice and that adverse impacts are avoided or minimized to an acceptable level. The Environment and Social Standard set out the requirements for the project proponents relating to the identification and assessment of environment and social risks and impacts associated with projects supported by JICA through Project Financing. JICA believes that the application of these standards, by focusing on the identification and management of environmental and social risks, will support project proponents in their goal to reduce poverty and increase prosperity in a sustainable manner for the benefit of the environment and the community. The standards will: (a) support project in achieving good practices relating to environmental and social sustainability; (b) assist Borrowers in fulfilling their national and international environmental and social obligations enhance nondiscrimination, transparency, participation, accountability and governance; and enhance the sustainable development outcomes of projects through active stakeholder engagement. At the project level, the objectives of the ESC are to enhancement of development opportunities in an environmentally and socially sustainable manner for all particularly poor and vulnerable, and promoting the sustainable management of natural and living resources.

JICA considers that its development assistance is provided not as a temporary response but as a form of continuous support, and environmental and social considerations are essential to ensure the sustainability of such development. If environmental and social considerations are not given sufficient attention, the basis for the development may be impaired and the development may not be sustainable economically, environmentally and socially. To ensure that the development is

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sustainable, it is necessary to take into consideration a balance between development, the natural environment, the lives and livelihood of the local communities, and other elements. JICA strives to ensure compatibility with the guidelines of the World Bank, the Asian Development Bank, and other international organizations regarding the flow of procedures for environmental and social considerations, consultations with stakeholders, categorization for screening, items for environmental assessment reports and resettlement action plans, and so on. Top priority is given to the application of the laws and regulations of the host country and other related parties, for example its laws on environmental assessment. If the laws and regulations on environmental and social considerations are insufficient compared to JICA Guidelines for Environmental and Social Considerations (hereinafter referred to as the “Environmental Guidelines”), the Environmental Guidelines are applied with the consent of the government of the host country.

1.1 Application of JICA ESC Guidelines

JICA’s partners, including host countries, borrowers and project proponents , bear the primary responsibility for ESC. JICA’s role is to examine the ESC undertaken by the project proponents etc. in their development projects and to provide necessary support to ensure that the appropriate ESC is put into practice and that adverse impacts are avoided or minimized to an acceptable level. Procedures adopted by JICA include the following:

1.1.1 Confirmation of ESC

JICA examines and confirms that the ESC is put into practice by the project proponents etc. at various stages of the project including formulation, review, implementation, and post evaluation. JICA’s procedure consists of three processes: (i) Screening in which projects are classified into different categories based on the magnitude of their potential impacts; (ii) Environmental Review in which JICA examines and evaluates the ESC during the review of a project proposal; (iii) and Monitoring in which JICA follows up on ESC activities for a certain period of time including the post- completion stage.

JICA secures the transparency of the Environmental Review by disclosing relevant documents including the EIA report on its website prior to the process. Monitoring for ESC measures is carried out by the project proponents etc. JICA confirms the result of monitoring for a certain period of time that covers the implementation stage and post-completion stage, and discloses the results on JICA’s website. If any issue is identified or anticipated, JICA urges the project proponents etc. to devise appropriate countermeasures and provides necessary support.

2.0 SCATFORM Project & ESMSF and STFDPF

As per MOD, of the SCATFORM, Project, it is assumed that significant adverse environmental and social impacts such as land acquisition, resettlement, which require



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EIA clearance, are not anticipated from the project intervention. It is also agreed that the Project proponent shall establish Environmental and Social Management System for the Project to be implemented and monitored based on Environmental and Social Assessment Framework (ESMSF) of JICA and Scheduled Tribe and Forest Dependents Plan Frame Work (STFDPF). Necessary institutional arrangements will be made at each level by EA for implementation of ESMF/STFDPF in the project. RMU shall work on categorization of project activities through screening in each JFMCs/EDCs. Category B activities shall be reported through monitoring from RMU to PMU/DMU, and then to JICA.

2.1 Screening

Screening is a process in which JICA classifies the project into one of four Environmental Categories based on the magnitude of its impacts inferred from information supplied by the project proponents etc. The categories are: A -(likely to have significant adverse impacts), B- (potential impacts are less adverse than A), C- (minimal or little impact), and FI (JICA provides fund to a financial intermediary of which sub-projects could not be identified prior to JICA’s approval). JICA then follows the ESC procedures set by the ESC Guidelines in accordance with the category of the project, based on EIA report and other relevant documents related to ESC.

Environmental Categories	
A	Project that is likely to have significant impacts on environment and society. For example, a large-scale project in a sector that requires special attention such as energy development and infrastructure development, or a project in a sensitive area such as nature reserve or a living sphere of indigenous people.
B	Project whose impacts on the environment and society are less adverse than the category A
C	Projects that has a minimal or virtually no impact on the environment or society.
FI	Projects which JICA funds the financial intermediary or executing agency that selects it’s sub projects after JICA’s approval of the funding, and therefore JICA can’t assess the ESC of each sub project prior to approval. Such projects are classified as FI if the sub-projects are likely to have a considerable impact on the environment and society.

The new Environmental Guidelines will be applied to SCATFORM project as this is a post July 2010 Project. JICA will review the risk classification assigned to the project on a regular basis, including during implementation, and will change the classification where necessary, to ensure that it continues to be appropriate. Any change to the classification will be disclosed on the JICA and Project website.

As SCATFORM falls under FI category, JICA will review the adequacy of environmental and social requirements relevant to the project, taking into account the type of FI subprojects being undertaken and the level of risk associated with the FI’s portfolio and the capacity of the FI to manage environmental and social risks and impacts. JICA will require EA to put in place and maintain an Environmental and Social

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Management System (ESMS) to identify, assess, manage, and monitor the environmental and social risks and impacts of FI subprojects on an ongoing basis. The ESMS/ STFDPF will commensurate with the nature and magnitude of environmental and social risks and impacts of FI subprojects, the types of financing, and the overall risk aggregated at the portfolio level. JICA will also review the adequacy of the ESMS.

2.2 Impacts Assessment

JICA is committed to ensure that the environmental issues are seriously considered in its projects and programmes. The impacts to be assessed with regard to environmental and social considerations include impacts on the natural environment, air, water, soils, waste, climate change, ecosystems, fauna and flora, including trans-boundary or global scale impacts. These also include social impacts, including migration of population and involuntary resettlement, local economy such as employment and livelihood, health hazard, utilization of land and local resources, social institutions such as social capital and local decision-making institutions, existing social infrastructures and services, vulnerable social groups such as poor and indigenous peoples, equality of benefits and losses and equality in the development process, gender, children’s rights, cultural heritage, local conflicts of interest, infectious diseases such as HIV/AIDS, and working conditions including occupational safety. Items to be addressed in the specific project are narrowed down to the needed ones through the scoping process.

Type of Impact	Description
Environmental Impact	On the natural environment air, water, soils, waste, accidents, water usage, climate change, ecosystems, fauna and flora and trans-boundary/global scale impacts.
Social Impact	On community/people’s lands, resettlement, economies, livelihoods, health hazards, employment, social institutions, vulnerable groups, gender, indigenous peoples, children, health, cultural heritage, utilization of land and local resources, existing social infrastructures and services, equality of benefits and losses, local conflicts, working conditions, and etc.

In addition to the direct and immediate impacts of projects, the derivative, secondary, and cumulative impacts will also be assessed with regard to environmental and social considerations, so far as it is rational. The life cycle impact of a project period is also considered. Various kinds of relevant information are needed in order to assess impacts on the environment and local communities. There are, however, uncertainties in predicting such impacts caused by the incomplete understanding of impact mechanisms and the limited information available. Therefore, if the scale of uncertainty is considered to be large, EA provide environmental and social considerations that include preventive measures as much as possible.

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2.3 Consultation

JICA recognizes the importance of early and continuing engagement and meaningful consultation with stakeholders during formulation, implementation and post implementation. JICA will require the EA to engage with stakeholders, including communities, groups, or individuals affected by proposed sub-projects, components and with other interested parties, through information disclosure, consultation, and informed participation in a manner proportionate to the risks to and impacts on affected communities as per ESMF/STFDPF. Free, Prior and Informed Consultation (FPIC) shall be conducted with local stakeholders and their consent shall be obtained during the process of microplanning in project area. EA shall report to JICA on the status and progress of stakeholder meetings including implementation of FPIC in an annual report as per attachment 12 of MOD. JICA will monitor, as part of its due diligence, the implementation of consultation and stakeholder engagement by the Project.

2.3.1 Stakeholder engagement

The EA will ensure the FI subproject to conduct stakeholder engagement in a manner proportionate to the risks and impacts of the FI subproject, and which reflects the type of FI subprojects it will finance. The relevant provisions of ESMS/STFDPF will be included in the FI's environmental and social procedures. In certain circumstances, depending on the risks and impacts of the project and the type of FI subprojects it will finance. The FI will put in place procedures for external communications on environmental and social matters proportionate to the risks and impacts of the FI subprojects, and the risk profile of the FI's portfolio. The FI will respond to public enquiries and concerns in a timely manner.

2.3.2 Information disclosure

JICA will require the EA to provide sufficient information about the potential risks and impacts of the project based on the consultations with its stakeholders. Such information will be disclosed in a timely manner, in an accessible place, and in a form and language understandable to project-affected parties and other interested parties as set out in ESMS, so they can provide meaningful input into project design and mitigation measures.

2.4 Biodiversity and Sustainable Management of Living Natural Resources

JICA recognizes the importance of maintaining core ecological functions of habitats, including forests, and the biodiversity they support. All habitats support complexities of living organisms and vary in terms of species diversity, abundance and importance.



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This ECS guidelines also addresses sustainable management of primary production and sustainable harvest and wise use of living natural resources. Where natural habitats have the potential to be adversely affected by the project activities, the EA will not implement any project related activities unless there are technically and financially feasible alternatives in place. The project activities are not anticipated to lead to a net reduction in the population of any critically endangered, endangered, RET, or restricted species. Appropriate mitigation measures are adopted to achieve no net loss and, where feasible, preferably a net gain of biodiversity over long term due to project intervention. ECS recognizes the need to consider the livelihood of project-affected people, including Indigenous Peoples, whose access to, or use of, bio- diversity or living natural resources may be affected by the project. The potential, positive role of project- affected people, including Indigenous Peoples, in biodiversity conservation and sustainable management of living natural resources also needs to be considered.

2.5 Monitoring and implementation of ESMS

JICA will monitor the environmental and social performance of the project in accordance with the requirements of the legal agreement, including the ESMS, and will review any revision of the ESMS including changes resulting from in the design of a project or project circumstances. The extent and mode of JICA monitoring with respect to environmental and social performance will be proportionate to the potential environmental and social risks and impacts of the project. JICA will monitor project activities on an ongoing basis as required.

The JICA mission and TFD agreed that in case Sub-projects are categorized as “B”, those Sub-projects shall be monitored following the Environmental and Social Compliance Monitoring Form to be submitted by RMU as per Attachment 16. Although the results of monitoring are not required to submit constantly to JICA, PMU shall keep monitoring and maintaining records and be in readiness to submit the same as and when JICA requests. Additionally, for such Sub-projects categorized as “B”, the Environmental and/or Social assessment/s as well as preparation of mitigation plans against identified impacts (such as Environmental Management Plan and Environmental Monitoring Plan) shall be made according to ESAF and STFDPF.

EA shall annually submit JICA the results of environmental and social monitoring report as a part of Project Status Report by filling in the outline of Annual Environmental and Social Performance Report as per Attachment 12 until the completion of the Project. As described in the Attachment 15, in case of Category B Sub-projects, the detail descriptions of project activities (Location, Scope of the Activities, Specific Reasons for inclusion in Category B, and Executor/Contractor) shall be explained respectively.



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2.6 Disclosure of Monitoring Results

In order to maintain accountability and transparency, JICA actively discloses information on ESC. EA is primarily responsible for the disclosure of information relating to ESC of the project, but JICA also supports this process by disclosing key information periodically as per ESC Guidelines. For example, under the new ESC Guidelines (2010), JICA has been disclosing the EIA reports of all category A projects on its website. JICA also disclosed Resettlement Action Plans of the projects that involved large scale involuntary resettlements. It is also agreed by the EA to disclose the monitoring results to local project stakeholders.

2.7 Grievance mechanism and accountability

JICA will require the EA to establish a grievance mechanism, process, or procedure to receive and facilitate resolution of concerns and grievances of project-affected people/parties arising in connection with the project, in particular about the environmental and social issues. The grievance mechanism will be proportionate to the risks and impacts of the project. Project-affected people may submit complaints regarding a JICA financed project to the project grievance mechanism, RMU, SDMU, DMU level grievance mechanism. The GRM to ensure that complaints received are promptly reviewed and redressed in order to address project-related concerns.

2.8 Indigenous people - Scheduled Tribes and Forest Dependents Plan Framework (STFDPF).

As social groups with identities that are often distinct from dominant groups in their national societies are Indigenous Peoples who are frequently among the most marginalized and vulnerable segments of the population. As a result, their economic, social, and legal status often limits their capacity to defend their interests in and rights to lands, territories, and other productive resources, and/or restricts their ability to participate in and benefit from development. The OP 4.10 on the Indigenous Peoples Plan Frame (IPPF) of the World Bank recognizes that the identities and cultures of Indigenous Peoples are inextricably linked to the lands on which they live and the natural resources on which they depend. These distinct circumstances expose Indigenous Peoples to different types of risks and levels of impacts from development projects, including loss of identity, culture, and customary livelihoods, as well as exposure to disease.

At the same time, JICA recognizes that Indigenous Peoples play a vital role in sustainable development and that their rights are increasingly being addressed under both domestic and international law e.g. Forest (Recognition of Rights) Act 2006, contributes to poverty reduction and sustainable development of the ST,SC,OBC and forest dwellers and dependents, by ensuring that projects supported by the JICA

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enhance opportunities for Indigenous Peoples, traditional local communities to participate in, and benefit from, the development process in ways that do not threaten their unique cultural identities and well-being.

The population of Tripura is quite diverse. Ranging from the aboriginal Tripuri tribes to 19 notified Scheduled Tribes and 34 Scheduled Castes. The indigenous peoples as per the World Bank's definition and forest dweller and other forest dependent as per the Forest (Recognition of Rights) Act 2006, are included in the Project. The SCATFORM Project will be mainly implemented in the forest areas through community institutions which are run by the forest dependent communities. This includes both tribal, non-tribal and other who reside within and forest fringe areas. Since the targets of IPPF for the Project are not only "Indigenous Peoples" but also "Forest Dwellers/ Dependents", therefore, the term "Scheduled Tribes and Forest Dependents Planning Framework (STFDPF)" will be adopted instead of the "Indigenous Peoples Plan Framework (IPPF)". In case there are scheduled tribes and forest dependents who may have adverse impacts of the Projects to be the target of STFDPF, "Scheduled Tribes and Forest Dependents Plan (STFDP)" will be applicable for such stakeholders.

2.9 Institutional arrangements for implementation of the ESMSF

Overall coordination and support for ESMSF/STFDPF shall be provided through the PMU as the executing agency. Within the executing agency, the PD at PMU will hold central responsibility for ensuring implementation of the ESMSF in the Project, and information related ESMSF will be centrally managed by the PD. The Project Director will be the "Environmental and Social Safeguard Director". Under the supervision of PD, APD will be designated as "Environmental and Social Safeguard Manager". Further, at the DMU, SDMU and RMU level officers will be designated as "Environmental and social safeguard chiefs" to monitor the implementation of ESMSF/STFDF and to provide hands-on assistance to members of JFMCs/EDCs/SHGs who will be the Environmental and Social Safeguard Focal persons.

2.10 Sensitization and Capacity development on ESMSF & STFDF

The Environmental and Social Consideration Framework enables the project to better manage environmental and social risks of projects and to improve development outcomes. The framework sets a vision for sustainable development, which sets out the Project's aspirations regarding environmental and social sustainability. It promotes inclusion i.e. equality and nondiscrimination by improving the access of all people, including the poor and disadvantaged, to the benefits of the project. It also embraces action to remove barriers against those who are often excluded from the development process, such as women, children, persons with disabilities, youth and minorities, and to ensure that the voice of all can be heard. Therefore, within the parameters of a

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project, the framework helps to avoid or mitigate adverse impacts to people and the environment; Conserve or rehabilitate biodiversity and natural habitats, and promote the efficient and equitable use of natural resources and ecosystem services; Ensure that there is no prejudice or discrimination toward project-affected individuals or communities and give particular consideration to indigenous people, local communities, minority groups, and those disadvantaged or vulnerable, especially where adverse impacts may arise or development benefits are to be shared; Address project-level impacts on climate change and consider the impacts of climate change on the selection, siting, planning, design and implementation and decommissioning of projects; and Maximize stakeholder engagement through enhanced consultation, participation and accountability.

To meet the above objective, it is imperative for the EA to ensure that the ESMS and STFDP guidelines are adhered to and implemented as per mandate of the Project. To achieve this personnel at each level of the Project, including the support staff and stakeholders need to be sensitized along with capacity development on ESMS and STFDP. The objective of the training on ESMS shall be to improve understanding of environmental and social safeguards and on various steps and processes like; assessments, screening, consultation, disclosures, grievance redressal, monitoring and reporting procedures. It is also essential to sensitize the community level organizations particularly the JFMCs and EDCs on the relevant aspects of the ESMS and STFDP.

3.0 Priority actions to be taken by PMU for initiation of implementation of the ESC

JICA has categorized the SCATFORM Project in FI category. It is also agreed that the target JFMC would be treated as Sub-Project and the RMU will be carrying out the screening of the selected project activities. RMU will also do the screening and carry out required consultation for selection of the project activities under the sub-project. The result of the sub-project categorization shall be evaluated and approved by DMU. The categorization shall be PMU and submitted to JICA. So, for initiation of the process following priority actions need to be initiated by PMU.

1. Setting up of the ESMS cell at PMU, with PD as the Environmental and Social Safeguard Director. APD will be designated as “Environmental and Social Safeguard Manager”. Notification/Office Order with their responsibilities to this effect need to be issued.
2. Further, at the DMU, SDMU and RMU level officers will be designated as “Environmental and Social Safeguard Chiefs”. Notification/Office Order of these officers with their responsibilities to this effect need to be issued.
3. Schedule for sensitization and orientation training at PMU, DMU, SDMU and RMU level.
4. The target JFMC are the “Sub Project” and the RMUs will conduct the crucial screening and selection of project activities under the sub project based on the outcome the categorization of the “Sub Project” will be made. So, the



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sensitization and capacity development of the RMU including the community organisers and livelihood coordinator on ESMS/STFDPF is a priority.

5. Approval of the screening format –Appendix-4
6. Setting up of the Grievance redressal cell at RMU, DMU and SPMU.
7. Preparation and updating of ESMSF/STFDPF guidelines for the Project.