

**CORAL REEF REHABILITATION AND MANAGEMENT PROGRAM –  
CORAL TRIANGLE INITIATIVE  
ENVIRONMENTAL AND SOCIAL SAFEGUARD FRAMEWORK  
(COREMAP CTI - ESSF)**

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**Project Preparation Team of COREMAP-CTI  
Indonesian Institute of Science  
Government of Indonesia**

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Restructuring Phase**

## Abbreviation and Acronym

AMDAL	<i>Analisis Mengenai Dampak Lingkungan</i> (Environmental Impact Assessment)
ADB	Asian Development Bank
BNSP	<i>Badan Nasional Sertifikasi Profesi</i> (National Agency for Professional Certification)
BPN	<i>Badan Nasional Pertanahan</i> (National Land Agency)
CCRES	Coral Reef and Related Ecosystems Project
COREMAP CTI	Coral Reef Rehabilitation and Management Program – Coral Triangle Initiative
CRITC	Coral Reef Information and Training Center
DIPA	<i>Daftar Isian Pelaksanaan Anggaran</i> (Budget Implementation List)
EA	Environmental Assessment
EIA	Environmental Impact Assessment
EMF	Environmental Management Framework
EMP	Environmental Management Plan
ESSF	The Environmental and Social Safeguard Framework
GEF	Global Environmental Fund
GOI	the Government of Indonesia
IP	Indigenous Peoples
IPAL	<i>Instalasi Pengolahan Air Limbah</i> (Waste Water Treatment Plant)
IPLT	<i>Instalasi Pengolahan Lumpur Tinja</i> (Sewerage Treatment Plant)
IPPF	Indigenous Peoples Planning Framework
KEPDIRJEN	<i>Keputusan Direktorat Jendral</i> (Directorate General Decree)
KEPMEN	<i>Keputusan Menteri</i> (Ministry Decree)
LARAP	Land Acquisition and Resettlement Action Plan
LARPF	Land Acquisition and Resettlement Policy Framework
LH	<i>Lingkungan Hidup</i> (Environment)
LIPI	<i>Lembaga Ilmu Pengetahuan Indonesia</i> (Indonesian Institute of Science)
LSP	<i>Lembaga Sertifikasi Profesi</i> (Professional Certification Agency)
MarBEST	Regional Training and Research Centre on Marine Biodiversity and Ecosystem Health
MCA	Marine Conservation Area
MCS	Monitoring, Control and Surveillance
MMAF	Ministry of Marine Affairs and Fisheries
MONEV	Monitoring and Evaluation
NGO	Non Governmental Organization
NH	Natural Habitats
OP	Operational Policies
PAP	Project-Affected Persons
PERMEN	<i>Peraturan Menteri</i> (Ministry Regulation)
PERPRES	<i>Peraturan Presiden</i> (Presidential Decree)
PIU	Project Implementing Unit
PMU	Project Management Unit
PP	<i>Peraturan Pemerintah</i> (Government Regulation)
PRA	Participatory Rural Appraisal
RP	Restructuring Paper

SA	Social Assessment
SAP	<i>Suaka Alam Perairan</i> (Marine Nature Reserve)
SPPL	<i>Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup</i> (Statement Letter of Ability in Environmental Management and Monitoring)
TF	Task Force
TNP	<i>Taman Nasional Perairan</i> (Marine National Park)
TWP	<i>Taman Wisata Perairan</i> (Marine Tourism Park)
UKL/UPL	<i>Upaya Pengelolaan Lingkungan/Upaya Pemantauan Lingkungan</i> (Environmental Management Plan)
UU	<i>Undang-undang</i> (Law)
WB	the World Bank

## Executive Summary

### 1. Introduction

The Coral Reef Rehabilitation and Management Program-Coral Triangle Initiative (COREMAP - CTI), sponsored by the Government of Indonesia (i.e. originally Directorate General of Marine, Coastal, Small Island of Ministry of Marine Affairs and Fisheries (DG-MCSI/MMAF) and funded by the World Bank (WB), is a continued program of COREMAP-2 project. The COREMAP-CTI project recently underwent restructuring exercise that includes simplification and streamlining of activities in light of the MMAF exit as Executing Agency. The restructuring will transfer the role of Executing Agency to the Indonesian Institute of Science (LIPI), an entity capable of delivering the project through to closure, in response to MMAF's exit.

The restructured COREMAP-CTI aims in general to strengthen institutional capacity in coastal ecosystems monitoring and research to produce evidence-based resources management information. This restructured project is a scaling back in terms of lowering the potential environmental and social risks of the operation.

To move towards this goal, the new four project components are:

- 1) Institutional Strengthening for Coastal Ecosystems Monitoring;
- 2) Support for Demand-Driven Coastal Ecosystems Research;
- 3) Strengthening Institutional Systems for Coastal Ecosystems Monitoring and Research; and
- 4) Project Management.

The Environmental and Social Safeguard Framework (ESSF) has been prepared to set out procedures required by the COREMAP-CTI to minimize adverse environmental and social impacts that may occur due to implementation of this project and any of its sub-projects.

This ESSF essentially covers all the activities envisioned under the restructuring, including the 11 Western Indonesia sites which are former ADB COREMAP CTI sites at which LIPI has been conducting the same monitoring activities as it has under the WB COREMAP CTI project. LIPI has actually been an existing project implementing entity and it has been familiar with the Bank's project related safeguard policies and requirements.

The restructured COREMAP-CTI is still classified as a Category B project and does not entail any change to WB Operational Policies (OP) triggered:

1. **OP 4.01** Environmental Assessment (EA)
2. **OP 4.04** Natural Habitats (NH)
3. **OP 4.10** Indigenous People (IP)
4. **OP 4.12** Involuntary Resettlement (IR)

### 2. Environmental and Social Safeguard Frameworks

The ESSF is comprised of a series of environmental and social safeguard frameworks that are applicable to all proposed and planning activities/sub-projects of the COREMAP-CTI. This framework consists of two main processes: 1) environment and social screening processes, and 2) preparation of environmental and social safeguard instruments (EMP, LARAP, and IPP) following the guidelines in the Frameworks.

All proposed and planned activities/sub-projects will perform environmental and social screening, which include:

1. Screening against the negative list. LIPI has set out a number of activities that will not be financed by the COREMAP-CTI fund.
2. Screening against the Environmental and Social Safeguards Checklist. This Framework provided detail checklist to guide the implementing units in identifying the proper impacts mitigation action plans to develop.

The screening process is carried out by the Project Implementing Unit (PIU), in this case LIPI.

If the proposed activities pass through the Negative List screening, the second screening process is an environmental and social safeguards checklist. The checklist provides a tool for PMU/PIU to recognize potential risks of planned activities/sub-projects to the environment, presence of Indigenous People and any land acquisition.

***If the answer to any of the questions in the checklist is “Yes”, then the ESSF guidance should be followed along with project/activity application.***

The ESSF guidance includes

1. Environmental Management Framework (EMF),
2. Land Acquisition and Resettlement Policy Framework (LARPF)
3. Indigenous Peoples Planning Framework (IPPF).

### **3. Implementation Arrangement and Grievance Redress Mechanism**

#### **3.1 Implementation Arrangement of the ESSF of the COREMAP-CTI**

The implementation arrangement of the ESSF of the COREMAP-CTI is set up to assure that all key parties understand their responsibility in implementing the ESSF safeguard screening process as well as preparing the relevant instrument for mitigating impacts.

***All activities/sub-projects which may generate environmental and social impacts must follow ESSF guidance. Once the impacts are identified, the relevant action plans should be prepared.***

***Any cost related to provision of the ESSF implementation should be burden to COREMAP-CTI budget.***

The PMU is in charge of evaluation of the safeguard documentation. PMU will have a special safeguard unit that is responsible for the evaluation of the entire safeguard documents of the planned activities/sub-projects, and to make sure that the implemented project has a proper safeguard document.

Moreover, PMU safeguard unit is accountable for monitoring and evaluation, reporting, and documentation of the implementation of the ESSF, as well as problem resolution. Safeguard report will be a part of COREMAP-CTI progress report.

In collaboration with the PMU, the WB safeguard team will review the safeguard documentation. The WB will be doing supervision for the implementation of ESSF of the implemented activities/sub-projects.

#### **3.2 Grievance Redress Mechanism**

Grievance procedures will include reasonable performance standards, e.g., time required to respond to complaints, and will be provided without charge to any affected people or community.

The grievance redress mechanism will make use all existing mechanism available in the PIU. However, when needed the mechanism can be designed in two major modes. The first mode has the complaint's first point of contact being the extension officer, who has the role of finding solution, documenting it, and taking it to the PIU. The PIU should be able to solve the problem before giving/proceed it to the PMU. However, there would be a potential escalation and widen of the grievance problem at PIU in district level due to vested interest. So, it is recommended that in this case the PMU should have a communication specialist who can be a spokesperson and complaint manager of the project.

The second mechanism is to provide a telephone “hotline” number that a person with a complaint to use a “hotline” number to call and report it. This mechanism is characterized by direct involvement of the PMU in every grievance. The PMU will cross-check the grievance with actual and reasonable facts prior to take an action for responding the grievance and making solution.

Also, this mechanism points out that there will be a unit at the PMU who can deal with these complaints and act accordingly and in a timely manner. This grievance unit is responsible for problem resolution, documentation, and recording of all grievance processes starting from

receiving, forwarding, responding, and closing any grievance. This enables PMU to know and track all grievances as well as to make affective solution.

#### **4. Supervision, Monitoring and Evaluation**

Supervision, monitoring and evaluation will be done by various different levels of the COREMAP-CTI organization that are:

1. Project Implementing Unit (PIU)
2. Project Management Office (PMU)
3. The World Bank
4. Independent institutions

**The PIU** is in charge of supervision and monitoring and evaluation of the ESSF of the activity/sub-project carried out by implementers.

**PMU** shall conduct regular supervision and monitoring of implementation of the safeguard performance and periodic reporting on the findings as part of the COREMAP-CTI project progress reports to the WB. The PMU will also carry out a post-implementation evaluation of the safeguard implementation of sub-project about a year after completion of a sub-project, in order to ascertain whether the objectives of the safeguard application are attained.

**The WB** will conduct regular supervision to review the safeguard implementation and to recommend to PMU on the follow-up actions, as necessary

**Independent Institutions** will be selected by PMU to conduct supervising, monitoring, reporting of any implementation of the ESSF including capacity building. Budget for the independent institution is included in the safeguards budget allocated for the ESSF.

#### **5. Capacity Building**

In order to complement the existing capacities and address any gaps in environmental and social safeguards management, it would be necessary to put in place certain amount of capacity to implement and monitor both environmental and social safeguards as defined in the project document.

***COREMAP-CTI will conduct a capacity needs assessment and make arrangements to provide training on ESSF requirements in conducting, managing, and monitoring safeguards to any implementing units involved.***

For effective environmental safeguards management, the PMU will require implementation support in three main areas:

1. dedicated staff and resources;
2. technical assistance;
3. training and awareness

Capacity development for safeguard implementation should include: (i) institutional development strategy and organizational framework to manage the affected area and project activities; (ii) workshops and training programs to build capacity of involved staff, community and other agencies.

The World Bank will monitor and provide guidance in the implementation of the capacity building program. The World Bank will also assist with the capacity building in the implementation of approved safeguard action plans.

#### **6. Documentation and Information Disclosure**

The PMU/PIU shall make good and reliable documentation for the ESSF, as well as to make available for local public access information particularly relating to EMP e.g. mitigation of social or environmental impacts. The ESSF document (both in Indonesian and English) and any action plans (LARAP, EMP and IPP) will be disclosed electronically on the website of the World Bank, and project website. Other than website-based disclosure, the action plans will be disclosed at places accessible to all levels of the community which may be affected.

Stakeholder consultation for the finalization of ESSF document of COREMAP-CTI before restructuring was conducted in Sorong on 2-3 July 2013 and in Makassar on 5-6 July 2013. The consultation process was attended by stakeholders and participants in COREMAP sites. Comments and inputs from the participants have been accommodated in the final ESSF document. The final of this ESSF document was already disclosed in the MMAF's and LIPI's websites in Bahasa Indonesia as well as the English version in the InfoShop of the World Bank in 2013.

The draft updated ESSF document for the restructured COREMAP-CTI will be consulted with stakeholders upon document finalization and the draft document will be disclosed in Bahasa Indonesia in LIPI's websites and English version in the World Bank's websites.

## **7. Budget and Financing**

COREMAP-CTI will provide budget and financing procedure for the provision of the ESSF and related activities such as monitoring, evaluation, supervision, documentation, dissemination, and capacity building.

Cost related to the provision of ESSF will occur in the following forms:

- Preparation of the safeguard instruments (EMP/UKL-UPL, SPPL, LARAP, IPP) at activities/subprojects preparation stage;
- Capacity building of the provision of the safeguard instruments;
- Cost for the implementation and monitoring of safeguard instruments;
- Establishment/appointment of a safeguard unit/persons and grievance unit/person in the PMU;

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### **The ESSF**

The Environmental and Social Safeguard Framework (ESSF) is designed to minimize adverse environmental and social impacts that may occur due to the implementation of COREMAP-CTI. It is anticipated that this program will not cause significant negative social or environmental impacts. However, there is the possibility that some sub-components could unavoidably involve some activities that trigger environmental and social issues highlighted by the World Bank Operational Policies.

The ESSF has been prepared to set out procedures required by the COREMAP-CTI to minimize adverse environmental and social impacts that may occur due to implementation of this project and any of its sub-projects. The ESSF ensures that the implementation of the COREMAP-CTI complies with WB Operational Policies and Indonesian regulations.

The ESSF will provide the guideline to ensure that any proposed/planning activities or sub-projects will have no significant environmental or social impacts from the implementation. If adverse impacts are unavoidable, efforts for minimizing and mitigating the impacts are set up in the framework.

The ESSF also considers the environmental and social impact management framework of the COREMAP-2 and COREMAP-CTI before restructuring. It was found that offering continuous safeguards management training to local stakeholders and project staff is important to ensure safeguards due diligence. This action will be reflected throughout implementation of restructured COREMAP-CTI.

### **COREMAP-CTI Project Description**

The Coral Reef Rehabilitation and Management Program – Coral Triangle Initiative (COREMAP - CTI), sponsored by the Government of Indonesia (i.e. originally Directorate General of Marine, Coastal, Small Island of Ministry of Marine Affairs and Fisheries (DG-MCSI/MMAF) and funded by the World Bank (WB), is a continued program of COREMAP-2 project funded by the WB. The COREMAP-CTI project recently underwent restructuring exercise that includes simplification and streamlining of activities in light of the MMAF exit as Executing Agency. The restructuring will transfer the role of Executing Agency to the Indonesian Institute of Science (LIPI), an entity capable of delivering the project through to closure, in response to MMAF's exit.

The restructuring includes a change to the PDO to reflect the change in scope and nature of the project. The previous COREMAP-CTI PDO is to institutionalize the COREMAP approach of a viable, decentralized and integrated framework for sustainable management of coral reef resources, associated ecosystems and biodiversity for the welfare of the communities in the selected districts of the respective provinces in Indonesia, while the PDO after restructuring is to strengthen institutional capacity in coastal ecosystems monitoring and research to produce evidence-based resources management information. This restructured project is a scaling back in terms of lowering the potential environmental and social risks of the operation.

This restructuring exercise provides an opportunity to:

- i. Simplify project design to ensure achievement of objectives within the remaining life of the project.
- ii. Improve potential for post-closure sustainability of the project and program results and outcomes.

### **Components and Sub-components of the COREMAP-CTI Program**

To achieve the set-up objectives, the restructured COREMAP-CTI program is designed to have four main components which are:

- 1) Institutional Strengthening for Coastal Ecosystems Monitoring,
- 2) Support for Demand-Driven Coastal Ecosystems Research,
- 3) Strengthening Institutional Systems for Coastal Ecosystems Monitoring and Research, and
- 4) Project Management.

Each of those components comprises of various sub-components that are summarized in the following table.

TABLE 1: COREMAP-CTI PROGRAM COMPONENTS AND SUB-COMPONENTS

No.	Component	Sub-components
1	Institutional Strengthening for Coastal Ecosystems Monitoring	<p>Sub-component 1.1.a: Support for robust coastal ecosystems monitoring:</p> <ul style="list-style-type: none"> <li>a) Conduct comprehensive and scientifically robust coastal ecosystems monitoring surveys in 20 locations: <ul style="list-style-type: none"> <li>• 9 districts in Eastern Indonesia (Pangkep, Selayar, Sikka, Buton Induk, Buton Tengah, Buton Selatan, Wakatobi, Biak, Raja Ampat</li> <li>• 7 marine conservation areas in Eastern Indonesia (Kapoposang, Sawu/Kupang, Aru Tenggara, Banda, Kep Wayag Sayang in Raja Ampat, SAP Raja Ampat, Padaido</li> <li>• 4 locations responding to national priorities, including: Spermonde, Lombok/Sekotong, Kendari and Ternate</li> </ul> </li> <li>b) Develop and launch new Coral Reef Health Index: <ul style="list-style-type: none"> <li>• Developing the new Index: The index will provide a practical approach that will link field data to resources management decision-making and investment.</li> <li>• Building the bridge between monitoring and management: The lack of connection between monitoring data and management decisions is a global problem. LIPI's skill in monitoring and interpreting data will help deliver a coral reef management strategy identification tool developed in collaboration with international research partners (e.g. University of Queensland and the WB GEF CCRES).</li> <li>• Centralized online database: To aid future usage and entering of data by those collecting and using the reef health index, a centralized web-enabled database will be developed by LIPI.</li> <li>• Web-based reporting: For the reef health index to form the basis of a coastal report card. This will be publicly available through an online mapping portal, including InaGeoPortal.</li> </ul> </li> <li>c) Establish National Coastal Ecosystems Monitoring Certification Standard: <ul style="list-style-type: none"> <li>• LIPI will obtain accreditation from the National Agency for Professional Certification (<i>Badan Nasional Sertifikasi Profesi</i>, BNSP), to become the Indonesian Professional Certification Agency for coastal ecosystems monitoring.</li> <li>• Develop a long-term staffing and financing plan for the Professional Certification Agency and the national network. LIPI will develop a national professional competency standard,</li> <li>• Undertake a promotional campaign to launch the national standard.</li> </ul> </li> <li>d) Establish sub-national training and monitoring plan: <ul style="list-style-type: none"> <li>• Establish a national network of 7 assessment centers within existing LIPI partner monitoring institutions (i.e., universities) linked to district and provincial coastal ecosystem monitoring programs under Government's Marine Affairs and Fisheries Agencies.</li> <li>• Train and certify at least 25 assessors and 100 surveyors per year.</li> </ul> </li> </ul> <p>Sub-component 1.1.b: Support for robust coastal ecosystems monitoring:</p>

		<p>Conduct comprehensive and scientifically robust coastal ecosystems monitoring surveys in 11 specific Western Indonesia locations:</p> <ul style="list-style-type: none"> <li>• 8 districts in Western Indonesia (Tapanuli Tengah, Nias Utara, Mentawai, Batam, Bintan, Lingga, Natuna, Sabang)</li> <li>• 3 marine conservation areas in Western Indonesia (Gili Matra, Anambas, Pulau Pieh)</li> </ul> <p>Sub-component 1.2: Strengthen technical capacity for target coastal monitoring end-users:</p> <ul style="list-style-type: none"> <li>• Award 20 International Masters Degree Scholarships for qualified technical staff of sub-national coastal ecosystems monitoring and management units across Indonesia.</li> <li>• Deliver coastal ecosystems monitoring and management training to technical staff of sub-national coastal ecosystems monitoring and management units across Indonesia.</li> </ul>
2	Support for Demand-Driven Coastal Ecosystem Research	<p>Sub-component 2.1: Strengthening institutional systems for demand-driven coastal ecosystems research</p> <p>Strengthen the demand-driven research process, through:</p> <ul style="list-style-type: none"> <li>• Improved engagement with and involvement of end users in defining research priorities and disseminating research outcomes.</li> <li>• Two national symposia per year to enhance cross-sectoral and inter-agency engagement in the coastal ecosystems research prioritization and delivery process.</li> <li>• Demand-driven competitive coastal ecosystems research grants system that awards at least 10 grants per year, LIPI will support implementation of coastal ecosystems research priorities while simultaneously strengthening national research networks and capacity.</li> <li>• LIPI will undertake priority research based on a clear demand-driven basis to produce at least 18 research publications during the life of the project. Indicative studies may include the following themes, among others: climate change, biodiversity, threatened species, marine debris and rights-based fisheries management.</li> </ul> <p>Sub-component 2.2: Strengthen technical capacity for coastal ecosystems research</p> <ul style="list-style-type: none"> <li>• LIPI will strengthen its own human resources skills, knowledge and capacity and that of its research partners via delivery of targeted training (e.g., GIS, data analysis, research and laboratory techniques), for at least 100 researchers per year.</li> <li>• Development of LIPI's role as a regional center of excellence will be achieved by developing national and international training offerings within the MarBEST Center.</li> </ul>
3	Strengthening Institutional Systems for Coastal Ecosystems Monitoring and Research	<p>Sub-component 3.1: Strengthening Institutional Capacity for Coastal Ecosystems Monitoring and Research</p> <p>Investments will upgrade several existing LIPI facilities, as follows:</p> <ul style="list-style-type: none"> <li>• LIPI has several marine and coastal campuses that are in need of upgrading in order for LIPI to become a regional training center of excellence, including:</li> </ul>

		<ul style="list-style-type: none"> <li>• Marine Species Conservation Technical Unit, Bitung, Sulawesi</li> <li>• Marine Species Conservation Technical Unit, Biak, Papua</li> <li>• Marine Species Conservation Technical Unit, Tual, Maluku</li> <li>• Field Research Station, Ternate, North Maluku</li> <li>• Marine Bio-Industry Technical Unit, Mataram, Lombok</li> <li>• Facilities at LIPI's Ancol Headquarters</li> <li>• COREMAP established the Coral Reef Information and Training Centre. These facilities have been operational for more than 10 years and require renovation to support LIPI's objective of becoming a regional training center of excellence. As such, the project will finance small civil works to renovate interior training facilities at LIPI's central Jakarta (Jl. Raden Saleh) site and Pulau Pari field station. These renovations will also support development of the MarBEST Regional Training and Research Center and strengthen LIPI's position within the UNESCO/IOC Western Pacific Regional Network.</li> <li>• The success of the national data repository depends in part on timely and efficient provision of data from regional nodes. <ul style="list-style-type: none"> <li>• LIPI will upgrade and renovate at least 7 regional data nodes within existing institutions (i.e., universities), including through procurement of IT systems.</li> <li>• Concurrently, LIPI will establish a sub-national network of 8 data loggers and automated marine monitoring stations/ buoys that will input to the national data repository.</li> </ul> </li> </ul> <p>Sub-component 3.2: Strengthening Coastal Ecosystems Monitoring and Research Data and Knowledge Networks</p> <ul style="list-style-type: none"> <li>• Augment national holdings of coastal ecosystems data and enhance availability to end users by ensuring outputs from competitive grants and demand-driven studies are incorporated into the national data repository.</li> <li>• Development of a long-term strategy and development plan to meet the growing demand for coastal ecosystems data provision and dissemination that will result from its new mandate from the National Geospatial Agency. LIPI will also commission a review of intellectual property rights and legal requirements associated with data management, and develop data sharing processes, agreements and standards.</li> <li>• Implement a series of public information and awareness campaigns to enhance public knowledge about coastal ecosystems and the outputs of LIPI's monitoring and research programs.</li> <li>• Undertake a "deep dive" study to develop and launch a COREMAP Program legacy campaign to raise awareness of the critical environmental, social and economic importance of coastal ecosystems in Indonesia.</li> </ul>
4.	Project Management	<ul style="list-style-type: none"> <li>• Monitoring and evaluation of project performance.</li> <li>• Compliance monitoring on safeguards and fiduciary management.</li> <li>• Coordination with partners.</li> </ul>

## Program Location

The World Bank restructured COREMAP-CTI project covers former ADB COREMAP-CTI sites in the Western Indonesia and the previous WB COREMAP-CTI sites in Eastern Indonesia as summarized in the following table.

TABLE 2. COREMAP-CTI PROGRAM LOCATIONS

No	District	Province
1	Pangkep, Kepulauan Selayar	South Sulawesi
2	Buton Induk, Buton Tengah, Buton Selatan, Wakatobi	Southeast Sulawesi
3	Sikka	East Nusa Tenggara
4	Biak	Papua
5	Raja Ampat	West Papua
6	Tapanuli Tengah, Nias Utara	North Sumatra
7	Mentawai	West Sumatra
8	Batam, Bintan, Lingga, Natuna	Riau Islands
9	Sabang	Aceh
10	4 locations responding to national priorities: - Spermonde - Lombok/Sekotong - Kendari - Ternate	South Sulawesi West Nusa Tenggara Southeast Sulawesi North Maluku

TABLE3. OTHER LOCATION OF COREMAP-CTI AS MARINE CONSERVATION AREAS (MCAS)

No.	Marine Conservation Areas	Location (Province)
1	Sawu Sea Marine National Park (TNP Laut Sawu)	East Nusa Tenggara
2	Kapoposang Marine Tourism Park (TWP Kapoposang)	South Sulawesi
3	Banda Sea Marine Tourism Park (TWP Laut Banda)	Maluku
4	Wayag Sayang Islands and Marine Nature Reserve of Raja Ampat (SAP Raja Ampat)	Papua
5	Marine Nature Reserve of Southeast Aru (SAP Aru Tenggara)	Maluku
6	Padaido Marine Tourism Park (TWP Padaido)	Biak, Papua
7	Gili Matra	West Nusa Tenggara
8	Anambas	Riau Islands
9	Pulau Pieh	West Sumatra

TABLE 4. OTHER LOCATION OF COREMAP-CTI AS MARINE AND COASTAL CAMPUS

No.	Regional Training Centre of Excellence	Location (Province)
1	Marine Species Conservation Technical Unit - Bitung	North Sulawesi
2	Marine Species Conservation Technical Unit– Biak	Papua
3	Marine Species Conservation Technical Unit – Tual	Maluku
4	Field Research Station – Ternate	North Maluku
5	Marine Bio-Industry Technical Unit – Mataram Lombok	West Nusa Tenggara
6	Facilities at LIPI’s Ancol Headquarters	DKI Jakarta

## Document Structure

This document consists of 7 parts:

**Introduction:** Introduces ESSF, summarizes the COREMAP - CTI description, its justification and its main components.

**Regulatory and Policy Review:** Outlines the major laws, regulations, national standards and technical guidelines, The World Bank Policies and relevant documents that are required to mitigate and manage any and all Environmental and Social adverse impacts generated by the proposed project.

**Implementation Arrangement and Grievance redress mechanism:** Summarizes implementation of the safeguard framework and responsibilities of key parties and outlines grievance process and responsibilities.

**Environmental Assessments and screening process:** Outlines the process of assessing the potential environmental or social negative impacts including screening against the Negative List of Prohibited Activities, Indigenous People and Land Acquisition.

**Environmental Management Framework:** Outlines how an EMF will be used to determine potentially adverse impacts of sub-projects and mitigation measures.

**Social Framework:** Outlines the social management framework which has been developed to address social concerns.

The 5 annexes and 3 appendices consist of the following:

Annex A.	EMP and SPPL Template (after PERMEN LH No. 16/2012)
Annex B.	Land Acquisition and Resettlement Policy Framework (LARPF)
Annex B1.	Outline of Land Acquisition and Resettlement Action Plan (LARAP)
Annex B2.	Example of Statement Letter of Land Donation
Annex C.	Indigenous Peoples Planning Framework (IPPF)
Annex D.	Environmental Codes of Practices (ECOPs)
Annex E.	Physical Cultural Change Find Procedures
Appendix A.	Types of Public Works Requiring EMP (UKL/UPL) (after PERMEN PU No.10/PRT/M/2008)
Appendix B.	Standard Clauses for Environmental Management during Construction
Appendix C.	Standard Monitoring Plans

Regulatory and Policy Review

## **National Legislation, Regulation and Policies relating to Environmental and Social Safeguards**

Environmental Safeguard

National Legislation related with coastal and marine management and conservation which relating with Coremap-CTI are as follows:

### **A. The law – Undang-Undang (UU)**

1. UU No.32/2009, on environmental management and protection confirming that control of impacts is governed by AMDAL (Article 22) and UKL - UPL (Article 34);
2. UU No. 5/1990 on Conservation of Natural Resource.

### **B. Government Regulation – Peraturan Pemerintah (PP)**

1. PP No. 27/2012 on Environmental Permit (*Izin Lingkungan*). This PP regulates that obliged-AMDAL projects shall have the Permit.
2. PP No. 19/1999 on Pollution Control and/or Marine Degradation.
3. PP No. 82/2001 on Management of Water Quality and Pollution Control.

### **C. Ministry Regulation – Peraturan Menteri (Permen)**

1. Minister of Environment Regulation (PERMEN) No. 05/2012, concerning types of business plan and / or activities requiring AMDAL. This regulation is also dealing with screening criteria for any projects that is not stated within the list of obliged-AMDAL projects (Appendix II of the PERMEN LH No. 05/2012);
2. Minister of Environment Regulation (PERMEN) No. 16/2012 concerning Guidelines for Providing Environmental Documents (i.e. AMDAL document, UKL-UPL forms, and SPPL);
3. Minister of Public Works Regulation No.10/PRT/M/2008, determining the types of public works business plans and / or activities requiring environmental management and monitoring plan (UKL-UPL).

### **D. Ministry Decree – Keputusan Menteri (Kepmen)**

1. Minister of Environment Decree (KEPMEN) No. 4/2001 on criteria for coral reef degradation.
2. Minister of Environment Decree (KEPMEN) No. 201/2004 on Standard Criteria and Guide for Determination of Mangrove Degradation.

#### **E. Directorate General Decree - Keputusan Direktorat Jenderal (Kepdirjen)**

KEPDIRJEN Marine, Coastal, and Small Islands NO. 44 /KP3K/2012 on approval of the release of E-KKP3K book regarding evaluation and effectiveness of the management of marine conservation area, coastal area, and small islands.

#### Social Safeguard

National regulations on social safeguard consist of regulation on land acquisition and on Indigenous Peoples. For COREMAP-CTI, there are a number of regulations that relevant to the land acquisition and to the Indigenous Peoples.

#### **Land acquisition:**

- a. UU No. 2/2012 on Land Acquisition for Development of Public Interests.
- b. Regulation of National Land Agency (*Peraturan Kepala Badan Pertanahan Nasional*) No. 5/2012 on the Implementation Guidelines on the Land Acquisition for Development of Public Interests
- c. Presidential Regulation No. 71/2012 on the Implementation of Land Acquisition for Development of Public Interests

#### **Indigenous People:**

- a. Act No. 41/1999 Law on Forestry
- b. Presidential Decree No. 111/1999 regarding Development of Isolated Traditional Community (KAT);
- c. Social Ministry Decree No. 06/PEGHUK/2002 regarding Implementation Guidelines of Isolated Traditional Community Empowerment;
- d. Social Empowerment Director General Decree No. 020.A/PS/KPTS/2002 regarding Implementation Guidelines of Isolated Traditional Community.

#### **Environmental and Social Safeguard Policies of the World Bank applied to COREMAP-CTI**

The COREMAP-CTI is classified as a Category B project and triggers the following four WB Operational Policies (OP):

1. Environmental Assessment (OP 4.01),
2. Natural Habitats (OP 4.04),
3. Indigenous People (OP 4.10),
4. Involuntary Resettlement (OP 4.12).

Environmental and Social Safeguard Policies of the WB applied to COREMAP-CTI are summarized in Table 5.



TABLE 5: THE WORLD BANK ENVIRONMENTAL AND SOCIAL SAFEGUARD POLICIES

Code	Operational Policy (OP)	Description and Objectives
<b>OP 4.01</b>	<b>Environmental Assessment (EA)</b>	<p><b>Description:</b> The Bank requires environmental assessment (EA) of projects proposed for Bank financing to help ensure that they are environmentally sound and sustainable, and thus to improve decision making. EA takes into account the natural environment (air, water, and land), human health and safety; social aspects (involuntary resettlement, indigenous peoples, and physical cultural resources) and transboundary and global environmental aspects. EA considers natural and social aspects in an integrated way. EA is initiated as early as possible in project processing and is integrated closely with the economic, financial, institutional, social, and technical analyses of a proposed project. EA's should include analysis of alternative designs and sites, or consideration of "no option" requiring public consultation and information disclosure should be done throughout the project cycle.</p> <p><b>Objectives:</b></p> <ul style="list-style-type: none"> <li>• To inform decision makers of the nature of environmental, social risks and opportunities;</li> <li>• To ensure that projects proposed for Bank financing are environmentally and socially sound and sustainable (promote positive impacts, avoid/mitigate negative impacts);</li> <li>• To increase transparency and participation of stakeholders in the decision-making process as one essential element.</li> </ul>
<b>OP 4.04</b>	<b>Natural Habitats (NH)</b>	<p><b>Description:</b> The bank will not support for significant conversion or degradation of critical natural habitats. If it is unavoidable, compensation through additional protected area of equivalent value. This policy implies precautionary approach to natural resource management in interest of sustainable development. If potential for impacts exists, the WB insists the client to implement protection which also includes preparation, appraisal, and supervision that must involve qualified experts. Local participation should include views/roles/needs of local community incl. NGO, involve in planning and implementation, as well as should support local conservation incentives.</p> <p><b>Objectives:</b></p> <ul style="list-style-type: none"> <li>• To protect, maintain, restore natural habitats and their biodiversity;</li> <li>• To ensure sustainability of services and products which natural habitats provide to human society.</li> </ul>

<p><b>OP 4.10</b></p>	<p><b>Indigenous People (IP)</b></p>	<p><b>Description:</b>  Indigenous People (IP) including the terms “indigenous ethnic minorities” describes social groups with a vulnerable, social and cultural identity distinct from the dominant society, and attached to geographically distinct habitats or historical territories, with separate culture than the project areas, and usually different language.  The Bank requires the project involving indigenous peoples to design and implement projects in a way that fosters full respect to Indigenous People’s dignity, human rights, and cultural uniqueness and so that they: (a) receive culturally compatible social and economic benefits; and b) do not suffer adverse effects during the development process. Indigenous Peoples are identified as possessing the following characteristics in varying degrees: a) a close attachment to ancestral territories and to the natural resources in these areas; b) self-identification and identification by others as members of a distinct cultural group; c) an indigenous language, often different from the national language; and d) presence of customary cultural, economic, social or political institutions  Also the Bank requires that a process of free prior and informed consultation with the indigenous peoples’ communities should be conducted during project preparation and project implementation to fully identify their views and receive fully broad community support.</p>
		<p><b>Objectives:</b></p> <ul style="list-style-type: none"> <li>• To foster full respect for human rights, economies, and cultures of IP;</li> <li>• To avoid adverse effects on IP during the project development.</li> </ul>
<p><b>OP 4.12</b></p>	<p><b>Involuntary Resettlement (IR)</b></p>	<p><b>Description:</b>  Bank experience indicates that involuntary resettlement under development projects, if unmitigated, often gives rise to severe economic, social, and environmental risks: production systems are dismantled; people face impoverishment when their productive assets or income sources are lost; people are relocated to environments where their productive skills may be less applicable and the competition for resources greater; community institutions and social networks are weakened; kin groups are dispersed; and cultural identity, traditional authority, and the potential for mutual help are diminished or lost. This policy includes safeguards to address and mitigate these impoverishment risks.</p> <p><b>Objectives:</b></p> <ul style="list-style-type: none"> <li>• To minimize displacement;</li> <li>• To treat resettlement as a development program;</li> <li>• To provide affected people with opportunities for participation;</li> <li>• To assist displaced persons in their efforts to improve their incomes and standard of living, or at least to restore them;</li> <li>• To assist displaced people regardless of legality of tenure;</li> <li>• To pay compensation for affected assets at replacement cost.</li> </ul>

It is important to note that neither OP 4.36 on Forests nor OP 4.11 on Physical Cultural Resource are triggered by the project.

For Forests (OP 4.36), the rationale is that the project will not finance any activities that would involve significant conversion or degradation of critical forest areas or related critical natural habitats as defined under the policy. No net loss of mangroves would occur as a result of project activities.

For Physical Cultural Resources (OP 4.11), the rationale is that there are no known PCRs in any of the project sites which are the same sites as under COREMAP I and II. The project will not finance any activities that will adversely affect archeological, paleontological, historical, religious, or unique natural values as defined under the policy. To address possible chance finds, the project ESSF includes on annex on standard chance finds procedure clauses that will be included in all construction contracts finance by the project.

Environmental and Social Safeguard Frameworks (ESSF)

ESSF is applied to all proposed and planning activities/sub-projects of the COREMAP-CTI. This framework consists of two main processes that are 1) environmental and social screening processes, and 2) preparation of environmental and social safeguard instruments (EMP, LARAP, IPP) following the guidelines in the individual Frameworks. Environmental and social screening process is performed to assess the potential negative impacts (if any) of the COREMAP – CTI program.

### Social and Environment Screening Process

All planned activities will perform environmental and social screenings, which include:

1. Screening against the COREMAP-CTI negative list;
2. Screening against the Environmental and Social Safeguards Checklist

The screening process is carried out by LIPI as the Project Implementing Unit (PIU).

### COREMAP-CTI Negative List

The COREMAP-CTI Negative List is the first screening tool for any planned activities. The COREMAP-CTI will not facilitate and finance the following activities/sub-projects that could potentially have adverse environment and social impacts:

- Any activity requiring acquisition of land in large scale. But, if land is needed for construction of a small scale infrastructure, it will need to be a part of the community contribution and an elected village forum will need to provide written confirmation that affected individuals have not been negatively affected. Land purchase in a small scale is possible.
- Activities that result in significant conversion or degradation of natural habitats including those of terrestrial, coastal and marine ecosystems, or activities where the conservation and/or environmental gains do not clearly outweigh any potential losses and/or necessitate any resettlement.
- Coral mining (dead or alive).
- Large-scale construction expected to lead to significant negative environmental impacts.
- Any activity that is likely to create adverse impacts on ethnic groups or Indigenous Peoples within the village and/or in neighboring villages or unacceptable to ethnic groups living in a village of mixed ethnic composition.
- Activities that will loss or damage to cultural property, including sites having archaeological (prehistoric), paleontological, historical, religious, cultural & unique natural values.

### Environmental and Social Safeguards Checklist

If the proposed activities have been passed through the Negative List screening, the second screening process is an environmental and social safeguards checklist (Table 6). The checklist provides a tool for PIU to recognize potential risks of planned activities/sub-projects to environment, the presence of Indigenous Peoples, any land acquisition to natural resources.

***If the answer to any of the questions in the checklist is “Yes”, then the ESSF guidance should be followed and relevant safeguard instruments (action plans) should be prepared along with project/activity application.***

The ESSF guidance includes:

1. Environmental Management Framework (EMF),
2. Land Acquisition and Resettlement Policy Framework (LARPF),
3. Indigenous Peoples Planning Framework (IPPF).

If proposed sub-component activities are not excluded from the funding after the screening against the negative list, the activities shall identify key safeguard issues and provide mitigation measures set up in the respective safeguard instrument as indicated in the associated environmental and social frameworks.

TABLE 6 : SCREENING CHECKLIST FOR ENVIRONMENTAL AND SOCIAL SAFEGUARD

		Yes	No	ESSF Guidance
<b>A. Environment – Will sub-projects:</b>				
1.	Risk causing the contamination of drinking water?			
2.	Cause poor water drainage and increase the risk of water related diseases such as malaria?			

3.	Harvest or exploit a significant amount of natural resources such as trees, fuel wood or water?			
4.	Be located within or nearby environmentally sensitive areas (e.g. intact natural forests, mangroves, wetlands) or threatened species?			
5.	Create a risk of increased oil degradation or erosion?			
6.	Create a risk/potential of landslides?			
7.	Create a risk of increasing soil salinity?			
8.	Produce or increase the production of solid or liquid wastes (e.g. water, medical, domestic or construction wastes)?			
9.	Affect the quantity or quality of surface waters (e.g. sea, rivers, streams, wetlands) or groundwater (e.g. wells)?			
10.	Result in the production of solid or liquid waste, or result in an increase in waste production, during construction or operation?			
<p><i>If the answer to any of the questions 1-10 is “Yes”, please include an Environmental Management Plan (EMP) or SPPL with the sub-project application.</i></p>				<p><b>Annex A EMP, SPPL.</b></p>
<b>B. Land acquisition– Will the sub-projects:</b>				
11.	Require that land (public or private) be acquired (temporarily or permanently) for its development?			
12.	Most probably acquire land from the community through land donation?			
13.	Acquire land by purchasing from the land owners?			
14.	Use land that is currently occupied or regularly used for productive purposes (e.g. gardening, farming, fishing location, forests)			
15.	Result in the temporary or permanent loss of crops, fruit trees or household infrastructure such as outside toilets and kitchens?			
16.	Result in the loss of income sources and means of livelihood due to land acquisition			
<p><i>If the answer to any of the questions 11-18 is “Yes”, please consult the ESSF and, if needed, prepare a Land Acquisition and Resettlement Action Plan (LARAP) or the statement letter of land donation with the sub-project application.</i></p>				<p><b>Annex B LARPF</b></p>
<b>C. Indigenous Peoples:</b>				
19.	Any there social-cultural groups present in or use the project area who may be considered as “indigenous peoples”/” ethnic minorities”/tribal groups” in the project area			
20.	Members of the indigenous groups in the area who could benefit from the project?			
21.	Do such groups self-identify as being part of a distinct social and cultural group?			
22.	Do such groups have a close attachment to ancestral territories and to the natural resources in the project area?			
23.	Do such groups use indigenous languages that different from the national language or language used by the majority in project area?			
24.	Do such groups have customary cultural, economic, social, or political institutions?			
25.	Has such groups been historically, socially and economically marginalized, disempowered, excluded, and/or discriminated?			
26.	Are such groups represented in any formal decision making bodies in the national or local levels?			

If the answer to any of the questions 19-26 is “Yes”, please consult the ESSF and, if needed, prepare an Indigenous Peoples Plan (IPP) with the activity/sub-project application.	<b>Annex C IPPF</b>
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## Environmental Management Framework (EMF)

The framework consists of a set of monitoring, mitigation and institutional measures to be taken during planning and implementation of the planned activities whether generated projects eliminate adverse environmental and social impacts, or reduce them to acceptable levels. Potential environmental impacts of subprojects financed by Coremap-CTI and the associated mitigation measures are presented in Table 6.

### Environmental Assessment

The EMF consists of environmental assessment instruments required by Environmental Assessment (OP 4.01) policy of World Bank and the Government of Indonesia Law (UU) 32/2009 on Environmental Management and Protection, which will be applicable to any activities/sub-projects proposed by the COREMAP-CTI. The framework provides guidance for preparation, appraisal and implementation of Environmental Management Plan (EMP) and the roles and responsibilities of each parties/institution.

The instruments include:

#### A. Environmental Management Plan (EMP)

Environmental Management Plans (EMP or UKL/UPL PERMEN LH 16/2012) – it is environmental management and monitoring efforts or plans required by any activity/sub-project that is not obliged to Environmental Impact Assessment (EIA or AMDAL). The EMP contains standard mitigation and monitoring plans to cover typical impact from any construction activities, including worker/community health and safety, earthworks and solid and hazardous waste management. The EMP also contains standard EMP monitoring, reporting and review process to streamline processes across the PIU and the subprojects. The EMP should be prepared by competent entities and follow the requirement stated in the Permen LH No. 16/2012. The EMP should consist of a set of information on project initiator identity, proposed activity, potential environmental impacts, proposed management (including mitigation) and monitoring programs, and institutional measures. Detailed explanation of the EMP (UKL/UPL) is available by Environmental Ministry Regulation (PERMEN LH) No. 16/2012 regarding the EMP with respect to the Law (UU) No. 32/2009. **The EMP template can be seen in Annex A.**

**B. Statement Letter of Ability in Environmental Management and Monitoring (SPPL)**  
SPPL or Statement Letter of Ability in Environmental Management and Monitoring is used for activities/sub-projects outside the list of the UKL-UPL. The SPPL is made by any implementing unit (PMU/PIU/other implementing units) following **the SPPL template as provided in the Permen LH 16/2012 (Annex B).**

As the COREMAP-CTI projects are not designed to bring significant and severe impacts to environment, full EIA or AMDAL documents should not be required for any proposed activities/sub-projects. If there are any proposed activities or sub-project requires the AMDAL, then the COREMAP-CTI will not finance. Furthermore, the restructured COREMAP-CTI project only focuses on monitoring and research. It is a simplification of COREMAP-CTI project activities in terms of lowering the potential environmental and social risks of operation and that it does not entail any change to policies triggered nor to the EA classification of Category B.

TABLE 7: POTENTIAL ENVIRONMENTAL IMPACTS OF LIKELY PROJECTS AND MITIGATION MEASURES

Subproject Typology	Potential Adverse Env Impacts	Proposed Mitigation Measures
<b>Construction/ Refurbishment/ Upgrading of venue to become a regional training center of excellence</b>	Soils - contamination from waste materials, e.g. cement and paints, engine oil, etc.  Soils - erosion and flooding from new construction  Water quality and flow – water contamination due to materials and chemicals	Control and daily cleaning at construction sites, provision of adequate waste disposal services  Appropriate design and siting of building, away from slopes and with adequate drainage

	<p>Water quality and flow - blockage of drains</p> <p>Water quality and flow - contamination from latrines</p> <p>Air quality - dust, noise, odor, and indoor pollution</p> <p>Air quality - air and vector borne diseases due to improper maintenance or neglect of latrines</p> <p>Biodiversity and forests - disturbance of national parks and other protected areas</p> <p>Biodiversity and forests - vegetation loss</p> <p>Social - increased refuse</p> <p>Social - construction accidents</p>	<p>Proper disposal of chemicals and other hazardous materials</p> <p>Regular cleaning of drains</p> <p>Proper siting of facility and latrines in relation to water sources, maintenance of latrines</p> <p>Dust control by water, appropriate design and siting, restrict construction to certain time</p> <p>Insure maintenance plan and schedule for latrines</p> <p>Consider alternative sites</p> <p>Minimize vegetation loss during construction</p> <p>Regular clean-up</p> <p>Provision of basic safety training and equipment, first aid facilities or materials</p>
<b>Monitoring and Research Activities</b>	Marine Biodiversity - disturbance of national parks and other protected areas	SOP for conducting monitoring activities

## Monitoring and Evaluation of the EMP

Environmental monitoring during project implementation provides information about key environmental aspects of the project, particularly the environmental impacts of the project and the effectiveness of mitigation measures.

Specifically, the monitoring section of the EMP provides:

1. A specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions.
2. Roles and Responsibilities of key project staff tasked with primary oversight for monitoring environmental impacts and management.
3. Monitoring and reporting procedures to:
  - i. Ensure early detection of conditions that necessitate specific mitigation measures, and
  - ii. Furnish information on the progress and results of mitigation and any remedial or capacity building steps deemed necessary.

The PMU will carry out monitoring and provide periodical monitoring reports to MMAF and The World Bank. The community or contractor will conduct monitoring and inspection of the site and perimeter on a regular basis and take action when necessary. The standard monitoring plans can be seen in Appendix C.

## Social Safeguard Framework

The Social Safeguard Framework includes:

- a. Land Acquisition and Resettlement Policy Framework (LARPF, Annex B),
- b. Indigenous Peoples Planning Framework (IPPF, Annex C).

## Frameworks for Land Acquisition

If the planned activities/ sub-projects require land acquisition, as well as affect the settlement of local community, the ESSF requires the activities/sub-project to respect a **Land Acquisition and Resettlement Policy Framework (LARPF)**.

The LARPF requires any project involving land acquisition to provide the Land Acquisition and Resettlement Action Plan (LARAP). Based on the scale of impacts, there are 2 (two) types of LARAP, which are 1) **Land Acquisition and Resettlement Action Plan (LARAP)**, which is required when land acquisition affects more than 200 people, takes more than 10% of household productive assets and/or involves physical relocation; and 2) **Abbreviated LARAP**, which is acceptable if fewer than 200 persons are affected but land acquisition is minor, less than 10% of all productive assets of the affected households are taken. The instruments aim to ensure that any such potential impacts are minimized, and that any persons affected by such impacts are provided ample opportunity, through provision of compensation or other forms of assistance, to improve or at least restore their incomes and living standards.

The Component 3 of the project has indicated that no large-scale infrastructure which will lead to the large-scale land acquisition/resettlement will be financed. No LARAP is anticipated in any sub-projects to be financed. The sub-projects will only involve small-scale infrastructures with limited land acquisition, which will acquire through land donation or will only need Abbreviated LARAP.

Experience from projects, such as Pamsimas, PNPM, among others shows a clear track record of instances where land owners donated their land for public facilities (without coercion) and the statement letters are available for review.

## Indigenous Peoples Planning Framework (IPPF)

This Indigenous Peoples Planning Framework (IPPF) is prepared in order to provide some general principles and procedures that will be applied during sub-project preparation and implementation, if IP are to be affected. In the COREMAP-CTI, therefore, the purpose of the framework is for ensuring consultation, giving IP a voice, and an opportunity to benefit from the program. No adverse impacts are anticipated, as it is negative listed in the sub-project screening.

The detail guideline for the IPPF is given in the Annex C.

If, the activities/sub-projects will affect positively or negatively the Indigenous Peoples or ethnic minority, the project implementer should develop Indigenous Peoples Plan (IPP), as directed in the Framework. The IPP should be reviewed and approved by the World Bank prior to implementation.

Since COREMAP-CTI components may support sub-projects across several provinces in the country, they are likely to positively affect IP or ethnic minorities in a number of areas in participating provinces such as West Sumatra, Riau Islands, South Sulawesi, Southeast Sulawesi, East Nusa Tenggara, West Papua and Papua. Distribution of indigenous peoples in the restructured COREMAP-CTI locations (districts) is presented in the Annex C.

## Implementation Arrangement of the ESSF of the COREMAP-CTI

The implementation arrangement of the ESSF of the COREMAP-CTI is set up to ensure that all parties understand their responsibility in implementing the ESSF safeguard screening process and the associated environmental and social frameworks.

**All activities/sub-projects that may generate adverse environmental and social impacts must follow the ESSF guidance. Once the impacts are identified, the relevant action plan should be prepared.**

The ESSF document starts at LIPI as the PIU which prepares an annual list of proposed activity/sub-projects. The PIU screens the proposed activities/sub-projects against the Negative List and Safeguard Checklist.

**If the activities/sub-projects are not listed in the Negative List and all the answers of the Safeguard Checklist are NO, the activity/sub-project can be implemented without any safeguard instrument/action plans.**

If the activities/sub-project involve any environmental and social issues (any YES answer in the list), the PIU should provide relevant action plans, i.e. EMP (UKL/UPL), SPPL, LARAP (Land Acquisition and Resettlement Action Plan), and/or IPP (Indigenous Peoples Plan) as directed herein.

The PMU is in charge of evaluation and review of the project's safeguards work, due diligence and compliance. PMU will have a special safeguard unit responsible for evaluation of safeguard documents of all planned activities/sub-projects, and to make sure that the implemented subproject has a proper safeguard document/action plan.

Moreover, PMU safeguard unit is accountable for monitoring and evaluation (MONEV), reporting, and documentation of the implementation of the project ESSF, as well as problem resolution. Safeguard report will be a part of COREMAP-CTI progress report.

In collaboration with the PMU, the WB safeguard team will review the safeguard documentation during regular supervision missions.

### **Institutional Responsibilities**

The overall responsibility of the ESSF implementation and for the environmental and social safeguard performance of the program is under the PMU and PIU. PMU is the focal point for all matters relating to safeguard issues during the COREMAP-CTI project. The roles and responsibilities of the different agencies that involve in implementing the safeguard are as follows:



TABLE 8 : SUMMARY OF THE RESPONSIBILITIES OF THE KEY PARTIES.

<b>Organization</b>	<b>Responsibilities</b>
<b><i>LPI - Project Management Office (PMU)</i></b>	<ul style="list-style-type: none"> <li>• Screening proposals for safeguards compliance.</li> <li>• Maintain records of all proposals and screening decisions.</li> <li>• Highlights potential safeguard issues and provides recommendations for mitigation if required, based on consultations with the applicants and affected population.</li> <li>• If needed, make site visits during safeguard screening review to those sub-projects that trigger safeguards in order to verify the physical characteristics of the components and sub-components with social and environmental impacts and/or to verify the consultation process with Project-Affected Persons (PAP).</li> <li>• Facilitates agreements between communities/stakeholders and implementers for safeguards mitigation measures, as necessary.</li> <li>• Monitoring and evaluation of sub-projects safeguard documents</li> <li>• Develop, organize and deliver training programs and workshops for the project implementer in all levels on the ESSF implementation.</li> <li>• Report to WB the overall environmental and social safeguard performance of the project (by consolidating all subproject reports) as part of the periodic progress reporting.</li> </ul>
<b>World Bank</b>	<ul style="list-style-type: none"> <li>• Assist the PMU during the preparation of any safeguard instruments/action plans, as necessary.</li> <li>• Review safeguards instruments/action plans (EMP, LARAP, IPP),</li> <li>• Supervise regularly the implementation of any social and environmental mitigation plans.</li> </ul>

<b>Provincial and District Level</b>	
<b><i>LIPI- PIU (Program Implementing Unit)</i></b>	<ul style="list-style-type: none"> <li>• Screen the planned activities/sub-projects against the negative list and environmental and social safeguard checklist.</li> <li>• Review of sub-project proposal and the safeguard checklist and that it is complete and information is accurate.</li> <li>• Ensure no prohibited activities or budget items are included in the sub-project proposal, see the negative checklist.</li> <li>• Identify potential impacts and prepare appropriate mitigation measures and required documents and plans such as the EMP, LARAP and IPP. The proposed plan and/or actions should be made in consultation with the affected population (positive or negative).</li> <li>• Disclose the action plans in the places accessible to the affected people.</li> <li>• Implement the agreed actions as indicated in the action plans and submit progress report periodically. The documents should be kept in the program files for review by WB.</li> <li>• Documenting / Reporting to PMU and WB on a quarterly basis</li> <li>• Ensure that EMP documents or SPPL attached to the contract document as part of the contract requirements</li> <li>• Monitoring and supervision of the implementation of ESSF in the sub-projects.</li> </ul>

### **4.3 Grievance Redress Mechanism**

Grievance procedures will include reasonable performance standards, e.g., time required to respond to complaints, and will be provided without charge to any affected people or community.

The grievance redress mechanism should make use of all existing mechanisms available in the PIU. It is designed in two major modes. The first mode has the complaint's first point of contact being the extension officer of the PIU, who has the role of finding solution, documenting it, and taking it to the PIU office. If the problem cannot be solved, the PIU should be able to solve the problem before giving/proceeding it to the PMU.

However, there would be a potential escalation and widening of the grievance problem at PIU in district level due to vested interest. So, it is recommended that in this case the PMU should have a communication specialist who can be a spokesperson and complaint manager of the project.

The second mechanism is to provide a telephone "hotline" number that a person with a complaint to use a "hotline" number to call and report it. This mechanism is characterized by direct involvement of the PMU in every grievance. The PMU will cross-check the grievance with actual and reasonable facts prior to taking an action for responding to the grievance and making a solution.

Also, this mechanism points out that there will be a unit at the PMU who can deal with these complaints and act accordingly and in a timely manner. This grievance unit is responsible for problem resolution, documentation, and recording of all grievance processes starting from receiving, forwarding, responding, and closing any grievance. This enables PMU to know and track all grievances as well as to make an effective solution.

In any social conflicts and complaints caused by the projects, the PIU will use as much as possible the local practice/customary handling resolution, in particular when dealing with the indigenous communities.

A clear procedure for complaints, including the contact/hotline number for filing complaints will be included in the action plans of each subproject.

## Supervision, Monitoring and Evaluation

Supervision, monitoring and evaluation will be done by various different levels of the COREMAP-CTI organization that are:

- Project Implementing Unit (PIU)
- Project Management Office (PMU)
- The World Bank

**The PIU** is in charge of supervision and monitoring of the ESSF implementation for any of the activity/sub-projects financed.

**The PMU** will monitor implementation of the safeguards work of all subprojects and report on the findings in COREMAP-CTI project progress reports submitted to the WB. The PMU will also carry out a post-implementation evaluation of the safeguard implementation of sub-project one year after completion of a sub-project, in order to ascertain whether the objectives of the safeguard application were attained.

**The WB** will conduct regular supervision to review the safeguard implementation and to recommend to PMU on the follow-up actions, deemed necessary

## Capacity Building

In order to complement the existing capacities and fulfill any gaps in environmental and social safeguards management, it would be necessary to put in place certain amount of capacity to implement and monitor both environmental and social safeguards as defined in the project document.

COREMAP – CTI will conduct capacity needs assessments when necessary and make arrangements to provide training on ESSF requirements and application to project implementing units.

For effective environmental safeguards management, the PMU will require implementation support in three main areas: (i) dedicated safeguard staff and resources, which are: (ii) safeguards management technical assistance; (iii) safeguards training and awareness.

Capacity development for safeguard implementation should include: (i) institutional development strategy and organizational framework to manage the affected area and project activities; (ii) workshops and training programs to build capacity of involved staff, community and other agencies.

The World Bank will monitor and provide guidance in the implementation of the capacity building program. The World Bank will also assist with the capacity building in preparing the safeguard instruments as well as in the implementation of approved safeguard action plans.

## Documentation and Information Disclosure

The PMU and PIU shall retain reliable documentation on the safeguards work for all subprojects and make available project safeguards related information for local public access. The ESSF document (both in Indonesian and English) and any LARAP, EMP and/or IPP will be disclosed electronically on the website of the World Bank, and project website. Other than website-based disclosure, the LARAP, EMP and IPP documents will be disclosed at places accessible to all levels of the community which may be affected and can be understood by all community groups, including the Indigenous Peoples groups who may use different language than the majority in the project areas.

Stakeholder consultation for the finalization of ESSF document of COREMAP-CTI before restructuring was conducted in Sorong on 2-3 July 2013 and in Makassar on 5-6 July 2013. The consultation process was attended by stakeholders and participants in COREMAP sites. Comments and inputs from the participants have been accommodated in the final ESSF document. The final of this ESSF document was already disclosed in the MMAF's and LIPI's websites in Bahasa Indonesia as well as the English version in the InfoShop of the World Bank in 2013.

The draft updated ESSF document for the restructured COREMAP-CTI will be consulted with stakeholders upon document finalization and the draft document will be disclosed in Bahasa Indonesia in LIPI's websites and English version in the World Bank's websites.

### Budget and Financing

Cost related to the implementation of ESSF will occur in the following forms:

- Preparation of the safeguard instruments (EMP, SPPL, LARAP, IPP) at activities/subprojects preparation stage;
- Capacity building of safeguard instruments;
- Implementation and monitoring of the safeguard instruments;
- Establishment/appointment of an ESSF unit/persons and grievance unit/persons and support staff in the PMU and PIUs;
- Dissemination of the safeguard instruments;

ANNEX A. EMP (UKL-UPL) Format (in accordance with Environmental Ministry Regulation (Permen LH) No 16/2012) and SPPL Format (in accordance with Environmental Ministry Regulation (Permen LH) No 16/2012)

A. Identitas Pemrakarsa

1.	Nama Pemrakarsa *)	
2.	Alamat Kantor, kode pos, No. Telp dan Fax. email.	

\*) Harus ditulis dengan jelas identitas pemrakarsa, termasuk institusi dan orang yang bertanggung jawab atas rencana kegiatan yang diajukannya. Jika tidak ada nama badan usaha/instansi pemerintah, hanya ditulis nama pemrakarsa (untuk perseorangan)

B. Rencana Usaha dan/atau Kegiatan

1.	Nama Rencana Usaha dan/atau Kegiatan	
2.	Lokasi rencana usaha dan/atau kegiatan dan dilampirkan peta yang sesuai dengan kaidah kartografi dan/atau ilustrasi lokasi dengan skala yang memadai.	
3.	Skala/Besaran rencana usaha dan/atau Kegiatan	<p>Keterangan:</p> <p>Tuliskan ukuran luasan dan atau panjang dan/atau volume dan/atau kapasitas atau besaran lain yang dapat digunakan untuk memberikan gambaran tentang skala kegiatan. Sebagai contoh antara lain:</p> <ol style="list-style-type: none"> <li>1. Bidang Industri: jenis dan kapasitas produksi, jumlah bahan baku dan penolong, jumlah penggunaan energi dan jumlah penggunaan air</li> <li>2. Bidang Pertambangan: luas lahan, cadangan dan kualitas bahan tambang, panjang dan luas lintasan uji seismik dan jumlah bahan peledak</li> <li>3. Bidang Perhubungan: luas, panjang dan volume fasilitas perhubungan yang akan dibangun, kedalaman</li> </ol>

		<p>tambahan dan bobot kapal sandar dan ukuran-ukuran lain yang sesuai dengan bidang perhubungan</p> <p>4. Pertanian: luas rencana usaha dan/atau kegiatan, kapasitas unit pengolahan, jumlah bahan baku dan penolong, jumlah penggunaan energi dan jumlah penggunaan air</p> <p>5. Bidang Pariwisata: luas lahan yang digunakan, luas fasilitas pariwisata yang akan dibangun, jumlah kamar, jumlah mesin laundry, jumlah hole, kapasitas tempat duduk tempat hiburan dan jumlah kursi restoran</p> <p>6. Bidang-bidang lainnya...</p>
--	--	--

4. Garis besar komponen rencana usaha dan/atau kegiatan

Pada bagian ini pemrakarsa menjelaskan:

a. Kesesuaian lokasi rencana kegiatan dengan tata ruang

Bagian ini menjelaskan mengenai Kesesuaian lokasi rencana usaha dan/atau kegiatan dengan rencana tata ruang sesuai ketentuan peraturan perundangan. Informasi kesesuaian lokasi rencana usaha dan/atau kegiatan dengan rencana tata ruang seperti tersebut di atas dapat disajikan dalam bentuk peta tumpang susun (*overlay*) antara peta batas tapak proyek rencana usaha dan/atau kegiatan dengan peta RTRW yang berlaku dan sudah ditetapkan (peta rancangan RTRW tidak dapat dipergunakan).

Berdasarkan hasil analisis spasial tersebut, pemrakarsa selanjutnya menguraikan secara singkat dan menyimpulkan kesesuaian tapak proyek dengan tata ruang apakah seluruh tapak proyek sesuai dengan tata ruang, atau ada sebagian yang tidak sesuai, atau seluruhnya tidak sesuai. Dalam hal masih ada hambatan atau keragu-raguan terkait informasi kesesuaian dengan RTRW, maka pemrakarsa dapat meminta bukti formal/fatwa dari instansi yang bertanggung jawab di bidang penataan ruang seperti BKPTRN atau BKPRD. Bukti-bukti yang mendukung kesesuaian dengan tata ruang wajib dilampirkan.

Jika lokasi rencana usaha/atau kegiatan tersebut tidak sesuai dengan rencana tata ruang, maka formulir UKL-UPL tersebut tidak dapat diproses lebih lanjut sesuai dengan ketentuan pasal 14 ayat (3) PP No. 27 Tahun 2012.

Disamping itu, untuk jenis rencana usaha dan/atau kegiatan tertentu, pemrakarsa harus melakukan analisis spasial kesesuaian lokasi rencana usaha dan/atau kegiatan dengan peta indikatif penundaan izin baru (PIPIB) yang tercantum dalam Inpres Nomor 10 Tahun 2011, atau peraturan revisinya maupun terbitnya ketentuan baru yang mengatur mengenai hal ini.

Berdasarkan hasil analisis spasial tersebut, pemrakarsa dapat menyimpulkan apakah lokasi rencana usaha dan/atau kegiatan

tersebut berada dalam atau di luar kawasan hutan alam primer dan lahan gambut yang tercantum dalam PIPIB. Jika lokasi rencana usaha/atau kegiatan tersebut berada dalam PIPIB, kecuali untuk kegiatan-kegiatan tertentu yang dikecualikan seperti yang tercantum dalam Inpres Nomor 10 Tahun 2011, maka formulir UKL-UPL tersebut tidak dapat diproses lebih lanjut. Kesesuaian terhadap lokasi rencana usaha dan atau kegiatan berdasarkan peta indikatif penundaan izin baru (PIPIB) yang tercantum dalam Inpres Nomor 10 Tahun 2011, berlaku selama 2 (dua) tahun terhitung sejak Instruksi Presiden ini dikeluarkan.

- b. Penjelasan mengenai persetujuan prinsip atas rencana kegiatan  
Bagian ini menguraikan perihal adanya persetujuan prinsip yang menyatakan bahwa jenis usaha kegiatan tersebut secara prinsip dapat dilakukan dari pihak yang berwenang. Bukti formal atas persetujuan prinsip tersebut wajib dilampirkan.
- c. Uraian mengenai komponen rencana kegiatan yang dapat menimbulkan dampak lingkungan  
Dalam bagian ini, pemrakarsa menuliskan komponen-komponen rencana usaha dan/atau kegiatan yang diyakini dapat menimbulkan dampak terhadap lingkungan. Uraian tersebut dapat menggunakan tahap pelaksanaan proyek, yaitu tahap prakonstruksi, konstruksi, operasi dan penutupan/pasca operasi. Tahapan proyek tersebut disesuaikan dengan jenis rencana usaha dan/atau kegiatan.

<p>Contoh: Kegiatan Peternakan</p> <p><u>Tahap Prakonstruksi :</u></p> <ol style="list-style-type: none"> <li>1) Pembebasan lahan (jelaskan secara singkat luasan lahan yang dibebaskan dan status tanah).</li> <li>2) dan lain lain.....</li> </ol> <p><u>Tahap Konstruksi:</u></p> <ol style="list-style-type: none"> <li>1) Pembukaan lahan (jelaskan secara singkat luasan lahan, dan tehnik pembukaan lahan).</li> <li>2) Pembangunan kandang, kantor dan mess karyawan (jelaskan luasan bangunan).</li> <li>3) dan lain-lain.....</li> </ol> <p><u>Tahap Operasi:</u></p> <ol style="list-style-type: none"> <li>1) Pemasukan ternak (tuliskan jumlah ternak yang akan dimasukkan).</li> <li>2) Pemeliharaan ternak (jelaskan tahap-tahap pemeliharaan ternak yang menimbulkan limbah, atau dampak terhadap lingkungan hidup).</li> <li>3) dan lain-lain...</li> </ol> <p>(Catatan: Khusus untuk usaha dan/atau kegiatan yang berskala besar, seperti antara lain: industri kertas, tekstil dan sebagainya, lampirkan pula diagram alir proses yang disertai dengan keterangan keseimbangan bahan dan air (<i>mass balance dan water balance</i>))</p>
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4. Institusi pengelola dan pemantauan lingkungan hidup
- Kolom Institusi Pengelola dan Pemantauan Lingkungan Hidup, yang diisi dengan informasi mengenai berbagai institusi yang terkait dengan pengelolaan lingkungan hidup dan pemantauan lingkungan hidup yang akan:
- melakukan/melaksanakan pengelolaan lingkungan hidup dan pemantauan lingkungan hidup;
  - melakukan pengawasan atas pelaksanaan pengelolaan lingkungan hidup dan pemantauan lingkungan hidup; dan
  - menerima pelaporan secara berkala atas hasil pelaksanaan komitmen pengelolaan lingkungan hidup dan pemantauan lingkungan hidup sesuai dengan lingkup tugas instansi yang bersangkutan, dan peraturan perundang-undangan yang berlaku.

Dalam bagian ini, Pemrakarsa dapat melengkapi dengan peta, sketsa, atau gambar dengan skala yang memadai terkait dengan program pengelolaan dan pemantauan lingkungan. Peta yang disertakan harus memenuhi kaidah-kaidah kartografi.

CONTOH MATRIKS UKL-UPL:

SUMBER DAMPAK	JENIS DAMPAK	BESARAN DAMPAK	UPAYA PENGELOLAAN LINGKUNGAN HIDUP			UPAYA PEMANTAUAN LINGKUNGAN HIDUP			INSTITUSI PENGELOLA DAN PEMANTAUAN LINGKUNGAN HIDUP	KETERANGAN
			BENTUK UPAYA PENGELOLAAN LINGKUNGAN HIDUP	LOKASI PENGELOLAAN LINGKUNGAN HIDUP	PERIODE PENGELOLAAN LINGKUNGAN HIDUP	BENTUK UPAYA PEMANTAUAN LINGKUNGAN HIDUP	LOKASI PEMANTAUAN LINGKUNGAN HIDUP	PERIODE PEMANTAUAN LINGKUNGAN HIDUP		
(Tuliskan kegiatan yang menghasilkan dampak terhadap lingkungan)  Contoh: <u>Kegiatan Peternakan pada tahap operasi</u>  Pemeliharaan ternak menimbulkan limbah berupa: 1. Limbah cair	(Tuliskan dampak yang mungkin terjadi)  Contoh: Terjadinya penurunan kualitas air Sungai XYZ akibat pembuangan limbah cair	(Tuliskan ukuran yang dapat menyatakan besaran dampak)  Contoh: Limbah cair yang dihasilkan adalah 50 liter/hari.	(Tuliskan bentuk/jenis pengelolaan lingkungan hidup yang direncanakan untuk mengelola setiap dampak lingkungan yang ditimbulkan)  Contoh: Limbah cair dikelola dengan: - memasang drainase permanen pengumpul limbah cair di sekeliling kandang - mengolahnya dalam instalasi biodigester sebelum dibuang ke sungai.	(Tuliskan informasi mengenai lokasi dimana pengelolaan lingkungan dimaksud dilakukan)  Contoh: Lokasi pengelolaan limbah cair adalah di sekeliling kandang dan di area biodigester (secara rinci disajikan pada peta pengelolaan lingkungan hidup pada lampiran ....)	(Tuliskan informasi mengenai waktu/periode dilakukannya bentuk upaya pengelolaan lingkungan hidup yang direncanakan)  Contoh: Pengelolaan limbah cair dilakukan secara menerus sepanjang operasi kegiatan	(Tuliskan informasi mengenai cara, metode, dan/atau teknik untuk melakukan pemantauan atas kualitas lingkungan hidup yang menjadi indikator keberhasilan pengelolaan lingkungan hidup)  Contoh: melakukan pemantauan kualitas effluent dari instalasi biogas sesuai dengan baku mutu air limbah peternakan PERMENLH Nomor ... Tahun 20... melakukan pemantauan kualitas air sungai XYZ sesuai dengan PP 82/2001 untuk parameter lumpur yaitu BOD, minyak, lemak	(Tuliskan informasi mengenai lokasi dimana pemantauan lingkungan dimaksud dilakukan)  Contoh: Pemantauan kualitas effluent dilakukan pada saluran outlet dari instalasi biogas (secara rinci disajikan pada peta pemantauan lingkungan hidup pada lampiran ....)	(Tuliskan informasi mengenai waktu/periode dilakukannya bentuk upaya pemantauan lingkungan hidup yang direncanakan)  Contoh: Pemantauan kualitas air sungai dilakukan 3 bulan sekali  Pemantauan kualitas air sungai dilakukan di 3 titik sebelum outlet, di bawah outlet dan setelah outlet (secara rinci pada peta pemantauan lampiran....)	(Tuliskan instansi yang terkait dengan pengelolaan lingkungan hidup dan pemantauan lingkungan hidup)  Contoh: a. Instansi Pelaksana yaitu PT X selaku pemrakarsa b. Instansi Pengawas yaitu BLHD Kabupaten X, Dinas Peternakan Kab X c. Instansi Perencana Laporan yaitu BLHD Kabupaten X, Dinas Peternakan Kab X	(Tuliskan informasi lain yang perlu disampaikan untuk menjelaskan hal-hal yang dianggap perlu)
2. Limbah padat (kotoran)	Terjadinya penurunan kualitas air Sungai XYZ akibat pembuangan limbah padat	Limbah padat yang dihasilkan adalah 1,2 m <sup>3</sup> /minggu.	90% limbah padat akan dimasukkan ke biodigester, 10% lagi akan dijadikan pupuk kandang	Lokasi pengelolaan limbah padat adalah di sekitar kandang (secara rinci disajikan pada peta pengelolaan lingkungan hidup pada lampiran ....)	Pengelolaan limbah padat dilakukan sehati sehal, kandang dibersihkan dan padatan akan dibagi ke digester dan dibuat pupuk					



D. Jumlah dan Jenis Izin IZIN PPLH yang Dibutuhkan

Dalam hal rencana usaha dan/atau kegiatan yang diajukan memerlukan izin PPLH, maka dalam bagian ini, pemrakarsa menuliskan daftar jumlah dan jenis izin perlindungan dan pengelolaan lingkungan hidup yang dibutuhkan berdasarkan upaya pengelolaan lingkungan hidup.

E. Surat Pernyataan

Bagian ini berisi pernyataan/komitmen pemrakarsa untuk melaksanakan UKL-UPL yang ditandatangani di atas kertas bermaterai.

F. Daftar Pustaka

Pada bagian ini utarakan sumber data dan informasi yang digunakan dalam penyusunan UKL-UPL baik yang berupa buku, majalah, makalah, tulisan, maupun laporan hasil-hasil penelitian. Bahan-bahan pustaka tersebut agar ditulis dengan berpedoman pada tata cara penulisan pustaka.

G. Lampiran

Formulir UKL-UPL juga dapat dilampirkan data dan informasi lain yang dianggap perlu atau relevan, antara lain:

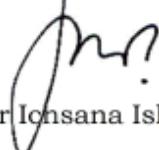
1. bukti formal yang menyatakan bahwa jenis usaha kegiatan tersebut secara prinsip dapat dilakukan;
2. bukti formal bahwa rencana lokasi Usaha dan/atau Kegiatan telah sesuai dengan rencana tata ruang yang berlaku (kesesuaian tata ruang ditunjukkan dengan adanya surat dari Badan Koordinasi Perencanaan Tata Ruang Nasional (BKPTRN), atau instansi lain yang bertanggung jawab di bidang penataan ruang);
3. informasi detail lain mengenai rencana kegiatan (jika dianggap perlu);
4. peta yang sesuai dengan kaidah kartografi dan/atau ilustrasi lokasi dengan skala yang memadai yang menggambarkan lokasi pengelolaan lingkungan hidup dan lokasi pemantauan lingkungan hidup; dan
5. data dan informasi lain yang dianggap perlu.

MENTERI NEGARA LINGKUNGAN HIDUP  
REPUBLIK INDONESIA,

ttd

BALTHASAR KAMBUAYA

Salinan sesuai dengan aslinya  
Kepala Biro Hukum dan Humas,

  
Inar Ionsana Ishak

**SPPL Format (in accordance with Environmental Ministry Regulation (Permen LH)  
No. 16/2012)**

FORMAT  
SURAT PERNYATAAN KESANGGUPAN PENGELOLAAN DAN  
PEMANTAUAN LINGKUNGAN HIDUP (SPPL)

Kami yang bertanda tangan di bawah ini:

Nama : .....  
 Jabatan : .....  
 Alamat : .....  
 Nomor Telp. : .....

Selaku penanggung jawab atas pengelolaan lingkungan dari:

Nama perusahaan/Usaha : .....  
 Alamat perusahaan/usaha : .....  
 Nomor telp. Perusahaan : .....  
 Jenis Usaha/sifat usaha : .....  
 Kapasitas Produksi : .....

dengan dampak lingkungan yang terjadi berupa:

- 1.
- 2.
- 3.
- 4.
5. dst.

merencanakan untuk melakukan pengelolaan dan pemantauan dampak lingkungan melalui:

- 1.
- 2.
- 3.
- 4.
5. dst.

Pada prinsipnya bersedia untuk dengan sungguh-sungguh untuk melaksanakan seluruh pengelolaan dan pemantauan dampak lingkungan sebagaimana tersebut di atas, dan bersedia untuk diawasi oleh instansi yang berwenang.

Tanggal, Bulan, Tahun  
Yang menyatakan,

Materai dan tandatangan

(.....NAMA.....)

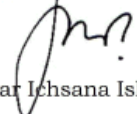
Nomor bukti penerimaan oleh instansi LH	
Tanggal:	
Penerima:	

MENTERI NEGARA LINGKUNGAN HIDUP  
REPUBLIK INDONESIA,

ttd

BALHASAR KAMBUAYA

Salinan sesuai dengan aslinya  
Kepala Biro Hukum dan Humas,

  
Inat Ichsana Ishak

## ANNEX B. Land Acquisition and Resettlement Policy Framework (LARPF)

### 1. Introduction

This document constitutes the policy framework for land acquisition and compensation/assistance for Project Affected Persons (PAP) for COREMAP-CTI. COREMAP-CTI has agreed to apply World Bank environmental and social safeguard policies in the design and implementation of this program, including OP 4.12, “Involuntary Resettlement.” Because this program identifies activities/sub-projects during the implementation phase, it is impossible to determine the involvement of land acquisition that will probably needs resettlement plan during project preparation.

This framework establishes principles and procedures to be followed if activities undertaken during the COREMAP-CTI implementation causes land acquisition (including land donation). In such instances, the framework requires that a Land Acquisition and Resettlement Action Plan (LARAP) is prepared for sub-projects causing land acquisitions. The purpose of these action plans are to ensure that any potential impacts are minimized, and that any Persons affected by such impacts are provided ample opportunity, through provision of compensation or other forms of assistance, to improve or at least restore their incomes and living standards.

### 2. Policy Objectives and Key Definitions

Every reasonable effort will be made to avoid or minimize the need for land acquisition, and to minimize all adverse impacts. If land acquisition and associated adverse impacts cannot be avoided, the principle objective of the LARPF is to ensure that all Persons subjected to adverse impacts (“Project Affected Persons” as defined below) are compensated at replacement cost (as defined below) for lost land and other assets or lost to productive assets and otherwise provided with any rehabilitation measures or other forms of assistance necessary to provide them with sufficient opportunity to improve, or at least restore, their incomes and living standards.

Key definitions are as follows:

1. **Project Affected Persons (PAP)** refers to all of the people who, on account of the project related activities, would have their (i) standard of living adversely affected; or (ii) right, title, interest in any house, land (including premises, agricultural and grazing land) or any other fixed or movable asset acquired or possessed temporarily or permanently; (iii) access to productive assets adversely affected, temporarily or permanently; or (iv) business, occupation, work or place of residence or habitat adversely affected; and “Project Affected person” means any of the Project Affected Persons.
2. **Land acquisition** is the process whereby a person involuntary loses ownership, use of, or access to, land as a result of the project. Land acquisition can lead to a range of associated impacts, including loss of residence or other fixed assets (fences, wells, tombs, or other structures or improvements that are attached to the land).
3. **Rehabilitation** is the process by which Project Affected Persons are provided sufficient opportunity to restore productivity, incomes and living standards. Compensation for assets often is not sufficient to achieve full rehabilitation.

4. **Replacement cost** is the method of valuation of assets which determines the amount of compensation sufficient to replace lost assets, including any necessary transaction costs. Replacement cost shall normally be assessed by independent appraisal team/institutions, properly constituted in accordance with Indonesian Law and applying the appropriate rules for valuation. Where domestic law does not meet the standard of compensation at full replacement cost, compensation under domestic law is supplemented by additional as to meet the replacement cost standard.

### 3. Key Principles

- Wherever possible, sub-project designs should be conceived as development opportunities, so that PAP may benefit from the services and facilities created for, or by, sub-project activities.
- All PAP are entitled to compensation for lost assets or loss of access to productive asset, or to alternative but equivalent forms of assistance in lieu of compensation; to ensure that they will not be worse-off due to the sub-project implementation. Compensation rates as established in a LARAP refer to amounts to be paid in full to the individual or collective owner of the lost asset, without depreciation or deduction for taxes, fees or any other purpose.
- Value of assets to be compensated will be assessed by independent appraisal team/institution as required in national regulation (UU No. 2/2012 on Land Acquisition for Development of Public Interest). Valuation methods need to reflect use of replacement cost.
- When cultivated land is acquired, effort should be made to provide land-for land replacement. Replacement house plots, sites for relocating businesses, or replacement agricultural land should be of equivalent use value to the land that was lost.
- PAP should be consulted during the process of LARAP preparation, so that their preferences are solicited and considered. The action plans are publicly disclosed in a manner accessible to PAP.
- Methods by which PAP can pursue grievances will be established, and information about grievance procedures will be provided to PAP.

### 4. Preparing Land Acquisition and Resettlement Action Plan (LARAP)

#### *Land Acquisition*

Under sub-component 3.1, the project will finance the costs for developing infrastructure and preparing detailed design for infrastructure construction, which is very likely to involve land acquisition. The potential investment in infrastructure include construction/rehabilitation/refurbishment of venue to become a regional training centre of excellence.

The PIU will screen and pre-identify the scale of impact of the land acquisition, based on estimated number of affected people and size of land to be taken. Based on the OP, there are two main resettlement planning instruments for project impacts, namely Land Acquisition and Resettlement Action Plan (LARAP) and Abbreviated LARAP.

- **Land Acquisition and Resettlement Action Plan (LARAP)** is required when land acquisition affects more than 200 people, takes more than 10% of household productive assets and/or involves physical relocation.
- **Abbreviated LARAP** is acceptable if fewer than 200 persons are affected but land acquisition is minor, less than 10% of all productive assets of the affected households are taken.

The project has indicated and negative listed that no large-scale infrastructure which will lead to the large-scale land acquisition/resettlement will be financed. No LARAP is anticipated in any sub-projects to be financed. The sub-projects will only involve small-scale infrastructures with limited land acquisition, which will only need Abbreviated LARAP or will acquire through land donation. For this project purpose, the term LARAP will be used instead Abbreviated LARAP. (See Annex B.1 for Outline of Abbreviated LARAP and Annex B.2 for sample of Statement Letter of Land Donation).

All action plans must be reviewed and approved by PMU prior to activities/sub-projects final approval and must be disclosed locally in a manner accessible to PAP, and kept on file by PMU.

Each LARAP should be reviewed and approved by the World Bank before being implemented.

## 5. Public Consultation and Disclosure

The PMU/PIU shall disclose information about the project and land acquisition process to the PAPs and the village leader explaining the proposal, potential impacts and legal rights of the PAP under this framework.

PAP should be provided with opportunities to participate in planning and implementation of any activities that will affect them adversely or positively. All PAPs are to be informed regarding potential impacts and proposed mitigation measures, including compensation/assistance schemes.

The PMU/PIU will ensure that women will be involved in any consultation process. In case of under-representation or where needed, separate meetings with marginalized households, including women shall be organized so that their specific concerns can be discussed. Consultations will be undertaken at venues and times that are suitable for women and will not disadvantage them. Where it is inconvenient for women to attend the meeting, these women will be consulted by visiting their homes.

The documents of action plans should be available in Bahasa Indonesia, taking into account literacy levels, and will be disclosed at places accessible to the PAP, in particular to ensure that the PAP understands their entitlements. The document will also be disclosed at the project website at COREMAP-CTI as well as at the World Bank.

## 6. Eligibility and Entitlement Policy

All PAPs are eligible for compensation and/or other forms of assistance, as relevant to the nature of impacts affecting them

Specifically, PAP will be entitled to the following types of compensation and rehabilitation measures:

- PAP losing agricultural land:
  - The preferred mechanism for compensation of lost agricultural land will be through provision of replacement land of equal productive capacity and satisfactory to the PAP. If satisfactory replacement land cannot be identified, compensation at replacement cost may be provided.
  - PAP will be compensated for the loss of standing crops at market prices, for economic trees at net present value, and for other fixed assets (ancillary structures, wells, fences, irrigation improvements) at replacement cost.
  - Compensation will be paid for temporary use of land, at a rate tied to duration of use, and the land or other assets will be restored to prior use conditions at no cost to the owner or user.
- PAP losing residential land and structures
  - Loss of residential land and structures will be compensated either *in-kind* (through replacement of house site and garden area of equivalent size, satisfactory to the PAP) or *in-cash* compensation at replacement cost.
  - If after partial land acquisition the remaining residential land is not sufficient to rebuild or restore a house or other structures of equivalent size or value, then at the request of the PAP the entire residential land and structure will be acquired at replacement cost.
  - Compensation will be paid at replacement cost for fixed assets.
  - Tenants, who have leased a house for residential purposes will be provided with a cash grant of three month's rental fee at the prevailing market rate in the area and will be assisted in identifying alternative accommodation.
- Project Affected Persons losing business
  - Provision of alternative business site of equal size and accessibility to customers, satisfactory to the projectaffected business operator;
  - Cash compensation for lost business structures; and
  - Transitional support for loss of income (including employee wages) during the transition period;
  - Transitional support for loss of income
- Infrastructure and access to services

Infrastructure will be restored or replaced at no cost to the communities affected

No deduction for taxes and transaction administrative cost for compulsory land acquisition. For negotiated land acquisition where there is a willing seller and a willing buyer, no administrative cost will be deducted and tax obligations will be covered by the negotiated transaction.

## **7. Voluntary Land Donation**

It is very likely that the sub-projects will involve voluntary land donation, in which the PAPs are voluntarily contributing their small portion of land for the projects. Land contribution is acceptable only if there are *informed consent* and *power of choice*.

Informed consent means that the people involved are fully knowledgeable about the project and its implications and consequences and freely agree to participate in the project.

Power of choice means that the people involved have the option to agree or disagree with the land acquisition.

Because determining informed consent can be difficult, the following criteria are suggested as guidelines:

- The infrastructure must not be site specific.
- The impact must be minor, that is, involve no more than 10 percent of the area of any holding and require no physical relocation.
- The land required to meet technical project criteria must be identified by the affected community, not by line agencies or project authorities (nonetheless, technical authorities can help ensure that the land is appropriate for project purposes and that the project will produce no health or environmental safety hazard).
- The land in question must be free of squatters, encroachers, or other claim or encumbrances.
- Verification (for example, notarized or witnessed statements) of the voluntary nature of land donations must be obtained from each person donating land. (*See Annex B.2 for sample of Letter of Land Donation*).
- If community services are to be provided under the project, land title must be vested in the community, or appropriate guarantees of public access to services must be given by the private title holder.
- Grievance mechanism must be available.

## **8. Implementation Arrangements**

The LARAP should describe the organizational arrangements, to ensure that implementation procedures are clear, that responsibility is clearly designated for provision of all forms of assistance, and that adequate coordination among all agencies involved in action plans implementation is assured.

The action plans must include a detailed implementation schedule, linking the project construction timetable to land acquisition-related activities. The implementation timetable should establish that *in-cash* or *in-kind* compensation should be completed before the sub-project implementation.

The PIU will handle the daily activities of the Project. The PIU has overall responsibility to oversee adherence to this LARPF as well as action plans preparation and implementation. The PIU will ensure that entitlements and measures in the action plans for LARAP are consistent with LARPF and that suitable budgetary provisions are made for timely implementation of the action plans.

For subprojects involving acquisition of customary land, the PIU will ensure that (i) any land disputes are resolved and a written on use of the land is signed with customary landowners and

included in the LARAP; (ii) compensation or lease rates are agreed with landowners before work begins on the site.

## **9. Costs and Budget**

The action plans will include detailed cost for compensation (in cash and in kind) and establish sources for all funds required, and will ensure that fund flow is compatible with the timetable for payment of compensation and provision of all other assistance.

All costs covered under this LARPF shall be borne by the COREMAP-CTI project or by the GoI. Funds flow will follow the procedures established under the overall project funds flow.

## **10. Grievance Procedure**

Grievance procedures are established for the PAPs to bring their complaints to PMU/PIU, which include reasonable performance standards, e.g., time required to respond to complaints, and should be provided without charge to PAP. The procedure should follow the grievance redress mechanism of this ESSF. The name and contact detail of the designated unit/persons for handling complaints shall be displayed at each disclosure site.

However, should there be the project related mechanisms fail to resolve complaints, the action plans should also state other ways available. The local practice for conflict resolution should be considered for seeking resolution.

## **11. Monitoring of Implementation of the Action Plans**

PIU will ensure that the action plans implementation will be externally monitored by a qualified entity. The action plans should establish the scope and frequency of monitoring and reporting activities. External monitoring reports will be prepared for simultaneous submission to the PMU and the World Bank.

Periodic report should track items such as:

- i) disclosure of information and consultation with PAP;
- ii) status of land acquisition;
- iii) payments for assets compensation and loss of income;
- iv) income restoration activities, including the alternative income generation;
- v) public information dissemination and consultations process;
- vi) the benefits of the project;
- vii) number and type of grievances received, how they are being addressed and when they have closed out



## ANNEX B.1. Outline of Land Acquisition and Resettlement Action Plan (LARAP)

The scope and level of detail of the action plan vary with the magnitude and complexity of land acquisition. The plan covers the elements below as relevant.

- A description of the project, identification of how the Project has given rise to land acquisition;
- Identification of potential project impacts;
- Asset and livelihood census survey of 100% of PAPs and a valuation of their assets and respective income sources;
- The institutional framework and organizational responsibilities;
- Eligibility and the entitlement matrix;
- Methodologies for valuation of losses and compensation for losses;
- PAP participation, consultation and disclosure;
- Grievance mechanism procedures;
- Implementation schedule and budget; and,
- Monitoring and evaluation activities.

ANNEX B.2(Example of Statement Letter of Land Donation)

**Statement Letter of Land Donation**

I, the undersigned this:

Name :  
Occupation :  
Address :

declare that I voluntarily donate my land or assets affected for the project / sub-project ... ..  
..... (Write the name of project / sub-projects to be constructed)

Location of land :  
Size of land :  
Current land use :  
Status of ownership :  
with reasons :  
Map/sketch of donated land with borders :

.....  
.....  
.....

This statement was made in good faith without any coercion.

Place, date of the agreement

Knowing,  
Landowner Signature

Signature of COREMAP - CTI

Name: .....

Name:.....

Acknowledgement by Head of Village

Name : .....

Signature of heirs and witnesses :

- 1. Name : ..... signature :
- 2. Name : ..... signature :
- 3. Name : ..... signature :

## ANNEXC. Indigenous Peoples Planning Framework (IPPF)

### 1. Introduction

Since COREMAP-CTI components may support activities/sub-projects across several provinces in the country, they are likely to affect IP or ethnic minority in a number of sub-project areas in participating provinces such as South Sulawesi, Southeast Sulawesi, East Nusa Tenggara, West Papua and Papua.

This IPPF is prepared in order to provide some general principles and procedures that will be applied during sub-project preparation and implementation, if IP are to be affected. In the COREMAP-CTI, therefore, the purpose of the framework is for ensuring consultation, giving IP a voice, and an opportunity to benefit from the program.

### Objective

The primary objectives of the IPPF are to ensure that:

- such groups are afforded meaningful opportunities to participate in planning that affects them;
- opportunities to provide such groups with culturally appropriate benefits are considered;
- any project impacts that adversely affect them are avoided, to the extent possible. If unavoidable, mitigation measures should be developed.
- This is in line with the national objective in empowering indigenous communities (*Masyarakat Adat* – MA and *Komunitas Adat Terpencil* - KAT), in which to grant of authority and belief to MA and/or KAT to self-determine their own destiny and various development activity programs available within their location and their necessity through protection, reinforcement, development, consultancy and advocating to improve their social prosperity level.

### 2. Definition

The national legislation, Presidential Decree No. 111/1999 sets the criteria as follows: a) in form of small, closed and homogenous community; b) social infrastructure supported by familial relationship; c) in general geographically remote and relatively difficult to reach; d) in general live with sub-system economy; e) its Government of Indonesia equipment and technology is simple; f) dependency to local environment and natural resources are relatively high; g) limited access of social, economic, and political service.

The terms “indigenous people”, “indigenous ethnic minorities” and “tribal groups”, describe social groups with a social and cultural identity distinct from the dominant society that makes them vulnerable to being disadvantaged in the development process. For the purposes here, “indigenous people” is the term that will be used to refer to these groups.

Indigenous peoples are commonly among the poorest segments of a population. According to the Bank policy, the term “Indigenous Peoples” is used in generic sense to refer to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees: a) a close attachment to ancestral territories and to the natural resources in these areas; b) self-identification and identification by others as members of a distinct cultural group; c) an indigenous language, often different from the national language; and d) presence of customary cultural, economic, social or political institutions.

For the purpose of this Framework, the definition of IP will try to follow both the criteria of the Bank and the Indonesian legislations.

### 3. Screening for indigenous people among the affected populations

Initial screening of the potential presence of IP in the sub-projects area will be conducted by using combination criteria of Bank and national legislation identification. All sub-project areas which have IP communities and are candidates for COREMAP-CTI support will be visited (at the time of first consultation with communities) by a project implementing unit and relevant local authorities, including personnel with appropriate social science training or experience. Prior to the visit, respective project implementing unit will send notice to the communities informing their leaders that they will be visited for consultation. The notice will request that the communities invite to the meeting representatives of farmers, women associations and village leaders for discussion on the sub-project. During the visit, the community leaders and other participants will be consulted and present their views with regards to the sub-project.

At this visit, personnel with social science training or experience will undertake a further screening for IP population with the help of local leaders, local authorities, and NGO as necessary. The screening will check for the following: (a) names of IP groups in the affected village; (b) total number of IP in the affected villages; (c) percentage of IP in affected villages; (d) Number and percentage of indigenous households within a described zone of influence of the proposed sub-project.

If the results show that there are IP communities in the zone of influence of the proposed sub-project, a social assessment will be planned for those areas.

Preliminary screening of the IP presence was done referring to the World Bank’s IP mapping (2010) which provide data on the IP distribution in Indonesia using the World Bank characteristic of IP combined with the criteria of Ministry of Social Affairs. The screening result for the participating districts is presented in the table below. For a number of districts, data are not available. The result of this screening is still to be confirmed and verified with other sources, including to be consulted with local community leaders in the field.

COREMAP phase-2 has defined Bajo communities as indigenous peoples (ethnic minority is a better term for them, as in most areas, they are actually not the indigenous groups, but the immigrant) in Kabupaten Buton and Wakatobi. Lessons learned from the COREMAP-2, there is no significant adverse impacts to the groups, other than they were less involved in the local institutions. In Kabupaten Sikka and Biak, the IP groups are presence in the highland area. In Kabupaten Raja Ampat, they reside in coastal area. Further screening will be conducted during the preparation of each activity under COREMAP – CTI to see the IP group presence and particularly their vulnerability.

TABLE 9. LIST OF IP VILLAGES IN THE PROJECT LOCATION

No.	District (Province)	Sub-district	Village	Name of IP
	<b>EASTERN PART</b>			

1.	<b>Pangkep (South Sulawesi)</b>	No data		
2.	<b>Selayar (South Sulawesi)</b>	No data		
3.	<b>Sikka (East Nusa Tenggara)</b>	Paga	<i>Ranggarasi</i>	Lio (highland)
		Mego	<i>Wolodhesa</i>	No name (highland)
			<i>Liakutu</i>	No name (highland)
			<i>Parabubu</i>	Lio Mego (inland)
		Lela	<i>Sikka</i>	No name (highland)
			<i>Wukur</i>	No name (highland)
		Bola	<i>Hale</i>	No name (highland)
			<i>Egon Gahar</i>	No name (highland)
		Talibura	<i>Natarmage</i>	No name (highland)
			<i>Pruda</i>	No name (highland)
			<i>Werang</i>	No name (highland)
			<i>Talibura</i>	No name (highland)
			<i>Darat Gunung</i>	No name (highland)
			<i>Hikong</i>	No name (highland)
		Waigete	<i>Watudiran</i>	No name (highland)
			<i>Runut</i>	No name (highland)
		Maumere	<i>Samparong</i>	No name (highland)
4	<b>Buton (Southeast Sulawesi)</b>	Lasalimu	<i>Bonelalo</i>	No name (coastal)
		South Lasalimu	<i>Metanauwe</i>	No name (coastal)
			<i>Kumbewaha</i>	
			<i>Umalaoge</i>	Malaoge (inland)
			<i>Lasalimu</i>	No name (coastal)
		Pasar Wajo	<i>Holimombo</i>	No name (coastal)
			<i>Wakaokili</i>	Kaliwuliwu (inland)
		Kapontori	<i>Todanga</i>	Buton (inland)
		Lakudo	<i>Lolibu</i>	Malimpano (inland)
		Telaga Raya	<i>Kokoe</i>	No name (coastal)
5.	<b>Wakatobi (Southeast Sulawesi)</b>	Binongko	<i>Waloindi</i>	No name (coastal)
			<i>Wali</i>	No name (coastal)
		Tomia	<i>Lamanggau</i>	No name (coastal)
6.	<b>Raja Ampat (West Papua)</b>	Misool	<i>Waigama</i>	Biak (coastal)
		Samate	<i>Samate</i>	Biak (coastal)
			<i>Yesawai</i>	Biak (coastal)
		Waigeo Barat	<i>Gag</i>	Biak (coastal)
		Waigeo Utara	<i>Andey</i>	Biak (coastal)
7.	<b>Biak (Papua)</b>	Biak Utara	<i>Wonabraid</i>	Biak (highland)
	<b>WESTERN PART</b>			
8.	<b>Tapanuli Tengah (North Sumatera)</b>	Sorkam Barat	<i>Aek Nadua</i>	Batak (coastal)
		Andam Dewi	<i>Sogar</i>	Batak (inland)
		Manduamas	<i>Saragih</i>	

9.	<b>Nias Utara (North Sumatera)</b>	No data		
10.	<b>Mentawai (West Sumatera)</b>	Siberut Selatan	<i>Pasakiat Teleleu,</i>	Mentawai (coastal)
			<i>Madobak Ugai</i>	Mentawai (coastal)
			<i>Katurai</i>	Mentawai (coastal)
			<i>Muara Siberut</i>	Mentawai (coastal)
			<i>Milepret</i>	Mentawai (coastal)
			<i>Muntei (Siberut Ulu)</i>	Mentawai (coastal)
			<i>Silaguma</i>	Mentawai (coastal)
			<i>Sarareket Ulu</i>	Mentawai (coastal)
			<i>Sagalubek Tailau</i>	Mentawai (coastal)
			<i>Saibi Samukop</i>	Mentawai (coastal)
		Siberut Utara	<i>Simatallu Sipokak</i>	Mentawai (coastal)
			<i>Cimpungan</i>	Mentawai (coastal)
			<i>Sirilogui</i>	Mentawai (coastal)
			<i>Muara Sikabalu</i>	Mentawai (coastal)
			<i>Mongan Poula</i>	Mentawai (coastal)
			<i>Bojakan</i>	Mentawai (coastal)
			<i>Simaligi Tengah</i>	Mentawai (coastal)
			<i>Malancan</i>	Mentawai (coastal)
			<i>Singapokna</i>	Mentawai (coastal)
11.	<b>Batam (Kep. Riau)</b>	No IP		
12.	<b>Bintan (Kep. Riau)</b>	Teluk Sebung	<i>Berakit</i>	Laut (coastal)
		Bintan Timur	<i>Sungai Enam</i>	Laut (coastal)
		Tambelan	<i>Pulau Pinang</i>	No name (coastal)
			<i>Pulau Mentebung</i>	No name (coastal)
13.	<b>Lingga (Kep. Riau)</b>	Singkep Barat	<i>Sungai Buluh</i>	Laut (coastal)
		Lingga	<i>Penuba</i>	Laut (coastal)
			<i>Mentuda</i>	No name (coastal)
		Lingga Utara	<i>Limbung</i>	No name (coastal)
		Senayang	<i>Mamut</i>	Laut (coastal)
			<i>Senayang</i>	No name (coastal)
			<i>Pasir Panjang</i>	No name (coastal)
			<i>Pulau Medang</i>	No name (coastal)
14.	<b>Natuna (Kep. Riau)</b>	No data		
15.	<b>Sabang (DI Aceh)</b>	No data		

Source: EGIMap – WB IP Mapping (2010)

#### 4. Social Assessment and Consultation

During the preparation of the sub-project proposal and/or sub-project approval, a social assessment process will be undertaken to define the Information dissemination to all members of the IP community will be conducted specifically targeting appropriate message routes in accordance with prevailing customs and traditions, including using the commonly used IP language in every meeting, minutes, brochures, etc.

## **5. Indigenous People Plan**

Free, prior and informed consultations will be conducted through a series of meetings, including separate group meetings: indigenous village leaders; indigenous men; and indigenous women, especially those who live in the zone of influence of the proposed work under sub-project. Discussions will focus on sub-project impacts, positive and negative; and recommendations for design of sub-projects. If the SA indicates that the proposed sub-project will cause adverse impact or that the IP community rejects the proposal, the sub-project will not be approved (and therefore no further action is needed). If the IP supports the sub-project implementation an IPP will be developed to ensure that the IP will receive culturally appropriate opportunities to benefit from the sub-project activities.

The IPP is prepared in a flexible and pragmatic manner, and its level of detail varies depending on the specific project and the nature of effects to be addressed. It will include the following elements, as needed:

- a. A summary of Social Assessment (SA);
- b. A summary of results of the free, prior, and informed consultation that was carried out during sub-project preparation;
- c. A framework for ensuring free, prior, and informed consultation with the affected indigenous communities during project implementation.
- d. An action plan of measures to ensure that the Indigenous Peoples receive social and economic benefits culturally appropriate;
- e. The cost estimates and financing plan for the IPP;
- f. Accessible grievance mechanism, which takes into account the availability of customary mechanism;
- g. Monitoring, evaluation and reporting mechanism

The IPP of each sub-project should be reviewed and approved by the Bank before sub-project implementation begins.

The IPP should be disclosed publicly so that accessible to the affected indigenous community.

Upon agreed by the Bank, for the sub-projects that work at the existing systems with community-decision making process, a stand-alone IPP may not be required. The process to ensure that the IP are included as beneficiaries and participate in any activities will be incorporated in the sub-project design.

## **6. Principles if a sub-project affects indigenous peoples**

There are a number of measures to be applied when the IP are presence in the sub-project area and are part of the beneficiaries, in relation to the development of indigenous peoples plan.

- COREMAP-CTI will ensure that free, prior and informed consultations are undertaken, in a language spoken by, and location convenient for, potentially affected IP. The views of IP are to be taken into account during preparation and implementation of any sub-project,

while respecting their current practices, beliefs and cultural preferences. The outcome of the consultations will be documented into the sub-project documents.

- If the IP conclude that the sub-project will be beneficial to them, and that any minor adverse impacts, if any, can be mitigated, a plan to assist them will be developed based on consultation with the IP and local representatives. The community should also be consulted to ensure that their rights and culture are respected. The assistance may also include institutional strengthening and capacity building of indigenous villages and community groups working with the sub-project.
- Where indigenous people are identified that represent a sufficiently large interest, efforts will be made to ensure that the group is represented and that regular and formal communication is established with the group.
- Where the indigenous people speak a language different from Bahasa Indonesia, relevant brochures and documents will be translated in the appropriate language. Provision has been made in the project budget to allow for additional translations of relevant project documents.

These steps will be aimed at ensuring that indigenous peoples participate fully in the project, are aware of their rights and responsibilities, and are able to voice their needs during the social/economic preliminary survey/exercise and in the formulation of the sub-projects and operational policies. In addition, they will be encouraged to submit sub-project proposals that cater to their group's needs, if necessary.

## **7. Reporting, Monitoring and Documentation**

Besides specific attention to IP issues in supervision and monitoring, COREMAP-CTI will include these matters in their progress reporting. The World Bank supervision missions will periodically pay special attention to ensure that the sub-projects affecting IP afford benefits to them and no adverse impacts on them.

## **8. Implementation Arrangement**

PIU will be responsible for training the respective project implementing unit or local authorities to undertake the work of consultation, screening, social assessment, analyses and preparing IPPs and addressing any grievances.

PIU of individual sub-projects and local authorities are responsible for implementing IPP (arrange adequate staff and budget).



## ANNEX D. Environmental Codes of Practices (ECOPs)

This Annex describes environmental codes of practices that are based on good environmental management practices. The Coremap-CTI activities or sub-projects should use of these practices to minimize the negative environmental impacts. These good practices are provided as examples, but measures are not limited to the ones described here, some measures will be locally specific and can be adapted using the best locally available technology.

- a. Environmental Duties of Contractor
  - Compliance with all relevant legislative requirements in Indonesia
  - Implement the EMP for the duration of the construction period
  - Undertake monitoring of the effectiveness of the implementation of the EMP and keep records
  - Report the monitoring records to PMU/PMU
  - Employ and train suitably qualified staff to take responsibility for the EMP
  - Comply with the “chance find procedures” for physical cultural resources
- b. General Condition
  - Use only legal timber for construction
  - No chainsaws should be used
  - Do not use any materials that contain asbestos
  - Not buy or use any explosives, especially not for fishing
  - Do not buy any pesticides for the project
  - Do not take coral rocks (alive or dead) from the sea
  - Do not realign any river
- c. Site Screening
  - Consider potential water pollution
  - Avoid building roads in erodible soils
  - Build roads or structure away from river banks
  - Protect wetlands from infrastructure construction
  - Prevent pollution in or near marine habitat
  - Protect special wildlife habitat from infrastructure construction
  - Respect protected areas
- d. Construction Site Management
  - Keep construction sites free of hazard
  - Reduce and control noise
  - Make effort to control dust during construction
- e. Water Supply
  - Always practice good watershed management
  - Protect and manage forested watershed
  - Do not allow outsiders clear large forest area in hilly and mountain watershed
  - Protect primary forest in watershed
  - Protect water sources from pollution and contamination
  - Share a scarce water source between different users

- Locate dug well a safe distance from septic tank
  - Use household level water treatment where needed
  - Always provide good drainage at public and yard taps
- f. Sanitation
- Build a complete septic tank system and make sure all parts of the system are working properly
  - Use septic tanks for wastewater treatment disposal of effluent properly pump out septic sludge periodically
  - Treat septic tank effluent before final disposal
  - Keep toilets clean
- g. Solid Waste Management
- Collect garbage. Do not litter.
  - Separate waste at source for recycling
- h. Erosion and Sediment Management
- Disturb as little ground area as possible and stabilize that area as quickly as possible.
  - Direct storm water around the work site using temporary drains.
  - Install sediment control structures where needed to slow or redirect runoff and trap sediment until vegetation is established.
  - Sediment control structures include sediment catchment basins, straw bales, brush fences, and fabric silt fences; and
  - In areas where construction activities have been completed and where no further disturbance would take place, re-vegetation should commence as soon as possible.
- i. Worker Health and Safety
- The community/contractor must comply with all Indonesia regulation for worker exposure
  - All staff/worker will be provided with suitable personal equipment for minimize the accidents.

## ANNEX E. Physical Cultural Chance Find Procedures

### 1. Definitions

Physical cultural resources are the sites, areas, objects, or artifacts that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural, religious or spiritual significance to a commune, religious group, ethnic group and / or the wider public or nation. They include movable or immovable objects, sites, structures, groups of structures, and natural features and landscapes, for example: Sacred landmarks, Sacred burial sites or human remains, Pilgrimage sites or routes, Fossils, Rock drawings, Ancient structures, Places of worship.

### 2. Chance Find Procedures

If any person discovers a physical cultural resource, such as (but not limited to) archeological sites, historical sites, remains and objects, or a cemetery and/or individual graves during excavation or construction, the Contractor shall:

1. Stop the construction activities in the area of the chance find;
2. Delineate the discovered site or area;
3. Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a night guard shall be arranged until the responsible local authorities take over;
4. Notify the local authorities immediately (within 24 hours or less);
5. Responsible local authorities are in charge of protecting and preserving the site before deciding on subsequent appropriate procedures. This would require a preliminary evaluation of the findings to be performed by archeologists. The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage; those include the aesthetic, historic, scientific or research, social and economic values;
6. Decisions on how to handle the finding shall be taken by the responsible authorities. This could include changes in the layout (such as when finding an irremovable remain of cultural or archeological importance) conservation, preservation, restoration and salvage;
7. Implementation for the authority decision concerning the management of the finding shall be communicated in writing by relevant local authorities; and
8. Construction works could resume only after permission is granted from the responsible local authorities concerning safeguard of the physical cultural resource.

**Appendix A. Types of Public Works Requiring EMP (UKL/UPL) (in accordance with PERMEN PU No.: 10/PRT/M/2008)**

The attachment of the PERMEN PU No.: 10/PRT/M/2008 on the types of public works business plans and / or activities requiring environmental management and monitoring plan (UKL-UPL). This attachment has been modified, which might relate to COREMAP-CTI (in *Bahasa Indonesia*).

NO	JENIS KEGIATAN	SKALA/BESARAN	PERTIMBANGAN ILMIAH	ALASAN KHUSUS
I.	JALAN DAN JEMBATAN			
7.	Pembangunan jalan/peningkatan jalan dengan kegiatan pengadaan tanah			
	a. Di kota metropolitan/besar - Panjang, atau - Pengadaan tanah	1 km s/d < 5 km 2 ha s/d < 5 ha	Perubahan bentuk lahan, serta pengaruhnya terhadap lingkungan fisik, kimia, biologi, sosekbud masyarakat	Timbulnya gangguan lalu lintas, kemacetan lalu lintas, kebisingan, emisi gas buang, berkurangnya keanekaragaman hayati, serta gangguan estetika lingkungan
	b. Di kota metropolitan/besar - Panjang, atau - Pengadaan tanah	3 km s/d < 10 km 5 ha s/d < 10 ha		
	c. Di kota metropolitan/besar - Panjang, atau - Pengadaan tanah	10 km s/d < 30 km 10 ha s/d < 30 ha		
III	KECIPTAKARYAAN			
13.	b. Pembangunan bangunan gedung di atas tanah/bawah tanah			
	1. Fungsi usaha,	5.000 m <sup>2</sup> s/d 10.000 m <sup>2</sup>	Perubahan pada sifat-sifat fisik	Berpotensi mengganggu

	meliputi bangunan gedung perkantoran, wisata dan rekreasi, terminal dan bangunan gedung tempat penyimpanan		dan/atau hayati lingkungan Perubahan komponen lingkungan Menimbulkan kerusakan atau gangguan terhadap kawasan lindung Mengubah atau memodifikasi areal yang mempunyai nilai tinggi serta mengakibatkan/meimbulkan konflik atau kontroversi dengan masyarakat dan/atau pemerintah Penurunan daya tampung lingkungan sebagai akibat dari pemanfaatan intensitas lahan yang melampaui daya dukung lahan itu sendiri yang mengakibatkan perubahan terhadap kondisi social, ekonomi, dan budaya masyarakat	fungsi prasarana dan sarana yang berada di bawahnya dan/atau di sekitarnya
	1. Fungsi keagamaan, meliputi bangunan masjid termasuk mushola, bangunan gereja termasuk kapel, bangunan pura, bangunan vihara, dan bangunan kelenteng			Berpotensi mengganggu fungsi prasarana dan sarana yang berada di bawahnya dan/atau di sekitarnya
	2. Fungsi social dan budaya, meliputi bangunan gedung pelayanan pendidikan, pelayanan kesehatan, kebudayaan, labolatorium, dan bangunan gedung pelayanan umum			Berpotensi mengganggu fungsi prasarana dan sarana yang berada di bawahnya dan/atau di sekitarnya
	3. Fungsi khusus, seperti reactor nuklir,	Semua bangunan yang tidak dipersyaratkan untuk Amdal maka wajib		Berpotensi mengganggu fungsi prasarana dan sarana yang berada di

	instalasi pertahanan dan keamanan dan bangunan sejenis yang ditetapkan oleh menteri	dilengkapi UKL dan UPL		bawahnya dan/atau di sekitarnya Kegiatan bangunan gedung fungsi khusus menimbulkan dampak penting terhadap masyarakat dan lingkungannya Bangunan gedung fungsi khusus mempunyai tingkat kerahasiaan tinggi tingkat nasional seringkali mempunyai system pertahanan dan keamanan tertentu yang dapat berpengaruh terhadap ekosistem Mempunyai resiko bahaya tinggi apabila terjadi kegagalan/kecelakaan
	a. Pembangunan bangunan gedung di bawah dan/atau di atas air			
	1. Fungsi usaha, meliputi bangunan gedung perkantoran, perdagangan, perindustrian, perhotelan, wisata dan rekreasi, terminal dan	5.000 m <sup>2</sup> s/d 10.000 m <sup>2</sup>	Perubahan pada sifat-sifat fisik dan/atau hayati lingkungan Perubahan komponen lingkungan Menimbulkan kerusakan atau gangguan terhadap kawasan lindung	Kegiatan berpotensi mengganggu keseimbangan lingkungan, fungsi lindung kawasan, dan dapat menimbulkan pencemaran Pembangunan dapat

	bangunan gedung tempat penyimpanan		Mengubah atau memodifikasi areal yang mempunyai nilai tinggi srta mengakibatkan/meimbulkan konflik atau kontroversi dengan masyarakat dan/atau pemerintah	menimbulkan perubahan arus air yang dapat merusak lingkungan
	2. Fungsi keagamaan, meliputi bangunan masjid termasuk mushola, bangunan gereja termasuk kapel, bangunan pura, bangunan vihara, dan bangunan kelenteng		Penurunan daya tampung lingkungan sebagai akibat dari pemanfaatan intensitas lahan yang melampaui daya dukung lahan itu sendiri yang mengakibatkan	Pembangunan dapat menimbulkan perubahan arus air yang dapat merusak lingkungan
	3. Fungsi social dan budaya, meliputi bangunan gedung pelayanan pendidikan, pelayanan kesehatan, kebudayaan, labolatorium, dan bangunan gedung pelayanan umum		perubahan terhadap kondisi social, ekonomi, dan budaya masyarakat	Pembangunan dapat menimbulkan perubahan arus air yang dapat merusak lingkungan
	4. Fungsi khusus, seperti reactor nuklir, instalasi pertahanan dn kemanan dan bangunan sejenis yang	Semua bangunan yang tidak dipersyaratkan untuk Amdal maka wajib dilengkapi UKL dan UPL		Kegiatan berpotensi mengganggu keseimbangan lingkungan, fungsi lindung kawasan, dan dapat menimbulkan pencemaran

	ditetapkan oleh menteri			Pembangunan dapat menimbulkan perubahan arus air yang dapat merusak lingkungan Kegiatan bangunan gedung fungsi khusus menimbulkan dampak penting terhadap masyarakat dan lingkungannya Bangunan gedung fungsi khusus mempunyai tingkat kerahasiaan tinggi tingkat nasional seringkali mempunyai system pertahanan dan keamanan tertentu yang dapat berpengaruh terhadap ekosistem Mempunyai resiko bahaya tinggi apabila terjadi kegagalan/kecelakaan
15.	Peningkatan kualitas Pemukiman			
	Kegiatan ini dapat berupa: <ul style="list-style-type: none"> <li>• Penanganan kawasan kumuh di perkotaan</li> </ul>	Luas kawasan $\geq$ 10 ha	Adanya perubahan tata air lingkungan, dan penurunan daya dukung lingkungan, serta peningkatan eksploitasi air tanah	Timbulnya gangguan lalu lintas, banjir local, serta timbulnya penumpukan



	<p>dengan pendekatan pemenuhan kebutuhan dasar (basic need) pelayanan infrastruktur, tanpa pemindahan penduduk;</p> <ul style="list-style-type: none"> <li>• Pembangunan kawasan tertinggal, terpencil, kawasan perbatasan, dan pulau-pulau kecil;</li> <li>• Pengembangan kawasan pedesaan untuk meningkatkan ekonomi local (penanganan kawasan agropolitan, kawasan terpilih pusat pertumbuhan desa KTP2D, desa pusat pertumbuhan DPP)</li> </ul>			<p>sampah dan limbah. Terganggunya pelayanan infrastruktur umum, misalnya tertutupnya saluran drainase, penyempitan jalan umum, penurunan muka air tanah.</p>
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Catatan:

- Kota Metropolitan : Jumlah penduduk > 1.000.000 jiwa
- Kota Besar : Jumlah penduduk 500.000 - 1.000.000 jiwa
- Kota Sedang : Jumlah penduduk 200.000 - 500.000 jiwa
- Kota Kecil : Jumlah penduduk 20.000 - 200.000 jiwa

## Appendix B. Standard Clauses for Environmental Management during Construction

Construction contracts under COREMAP - CTI will be required to include the following clauses aimed at minimizing the adverse impacts of construction, and to provide regular reporting.

### **F.1. GENERAL**

#### F.1.1. Description

- a) This Section covers the provision of environmental counter measures and actions that are needed to perform any civil works required under the Contract. In most cases the clauses have been extracted from other Sections of these Specifications and are included here to ensure awareness and compliance.
- b) The Contractor shall take all reasonable steps to protect the environment (both on and off the Site, including base camp and other installations under the control of the Contractor) and to limit damage and disturbance to people and property resulting from pollution, noise and other results of his operations. The Contractor should also ensure that transportation and quarrying activities are undertaken in an environmentally acceptable manner.
- c) As a means of minimizing environmental disturbance to all nearby communities all construction and transportation activities must be confined to the hours of operation as defined unless otherwise approved by the Engineer.
- d) In order to assist in ensuring the effective implementation of all the Environmental Safeguards referred to in this section the Engineer shall complete on a monthly basis the Environmental Management and Monitoring Plan identifying the adverse environmental activities or environmental omission, details of those activities and omissions, and activities carried out to rectify or remedy that omission.

### **F.2. ENVIRONMENTAL MANAGEMENT**

#### F.2.1. Impacts on Water Resources

- a) The Contractor shall ensure that polluting effluent from all of the Contractor's activities shall not exceed the values stated in the prescribed applicable Laws (Refer specifically to Government Regulation (*Peraturan Pemerintah*) No.82 Year 2001 regarding Water Quality Management and Water Pollution Control).
- b) The contractor shall make every effort to ensure no construction materials and liquids, waste materials and liquids, and any other materials and liquids are not allowed to enter any irrigation or other channel.
- c) Natural streams or channels within or adjacent to the works of this Contract shall not be disturbed without the approval of the Engineer.

Appendix C. Standard Monitoring Plans.

Environmental or Social Impact	Parameters	Place	Method	Schedule	Cost	Responsible	Time
Dust	Mg/cm <sup>2</sup>	Construction site	Visual inspection	Daily	Included in construction contract	Community/construction contractors	Beginning until end construction
Noise	dBA	All the location of the complaint	Measurements to be made by following the Indonesian regulations for noise monitoring.	Within 2 weeks following a complaint	Included in construction contract	Community/construction contractors	Beginning until end construction
Non-toxic solid wastes (metal, packing and used equipment, etc.)	Community or contractors skills and capacity	Prior to access of construction sites	Visual inspection	Prior to granting access to construction sites	Included in construction contract	Community/construction contractors	Beginning until end construction

Oil spill or leaks from construction equipment	Vehicles inspected for leaks	On-site	Visual inspection	Weekly and following a complaint	Included in construction contract	Community/construction contractors	Beginning until end construction
Soil erosion	Evidence of soil erosion	Substation site	Visual inspection	Daily, during rainy days	Included in construction contract	Community/construction contractors	Beginning until end construction
Soil contamination	Evidence of soil contamination	Underneath transformers and/or at location of construction	Visual inspection	Once, prior to construction starting	Minor. Included in construction contract	Community/construction contractors	Beginning until end construction
	Contaminant concentrations	Underneath transformers and/or at location of construction visual inspection	Soil sampling, to be carried out to international standards by a suitably qualified environmental consultant.	If visual inspection identifies potential contamination, soil sampling should be undertaken to confirm the nature of contamination prior to construction starting, and	Moderate. Included in construction contract	Community/construction contractors	Beginning until end construction

				following any clean up.			
Site restoration and landscaping	Vegetation has established and there are no exposed areas	Construction site	Once at the end of construction period	Minor. Included in construction contract	Included in construction contract	Community/construction contractors	Beginning until end construction
Water quality for water supply and aquaculture	Physics, anorganic and organic, and microbiological	Construction site	Measurements to be made by following the Indonesian regulations for water quality monitoring.	Prior to construction, Monthly and following a complaint	Included in construction contract	Community/construction contractors	Beginning until end construction

