Annex 1
Strengthening of Social Forestry (SSF) in Indonesia
Summary

This report was prepared by Arief Yuwono as Short-term Consultant (STC) supporting the Directorate General of Social Forestry and Environmental Partnership (DG-SFEP) and project preparation team, as strategic guidance to enhance the effectiveness of SSF Project. The report was developed using the consultant’s extensive experience and expertise in the social forestry program or sector (SFP), supplemented by focus group discussions, interviews with resource persons from related ministries/agencies and representative from NGO’s, universities, practitioners on the ground in the later months of 2018.

The report reviews planned and on-going activities relevant to Social Forestry, including those supported or implemented by various DGs/ Ministries, development partners and supporting DG-SFEP in the development of a strategy, to draw on lessons learned, to best bring synergy among such programs for advancing the Government’s Social Forestry Agenda. A key area of focus is the policies and institutional mechanism(s) to promote coordination among units within MOEF, with other ministries working closely related programs (e.g. agrarian reform, village development, development of small medium enterprises, Climate Village Program, as well as non-government and international partners critical to achieve SF objectives). The report also highlights analytics and related policy advisory materials, products and events that exist or where greater emphasis is needed.

SFP involves four associated projects, namely: (1) land preparation for social forestry; (2) business development of social forestry; (3) forest land conflict management; and (4) forest land tenure and customary forest management.

Key findings and recommendations include that the government has a strong regulatory mandate to ensure Social Forestry’s successful implementation, for the state to ensure that natural resources management brings prosperity for the people. However at this stage, the goals, indicators and targets of the government’s SFP are ‘forestry specific’ and not phrased as a national, collective, programmatic priority. As RPJMN guides funding and resources allocation for any government priorities, placing SFP as strictly a forestry program currently prevents resources to be allocated to Ministries and Agencies who may have relevant work or engagement which are potentially critical to the success of SFP. Placing SFP strictly as a forestry program is also counter intuitive – as objectives of SFP is aligned with Sustainable Development Goals and Indonesia’s international commitments (outlined in the report’s Annex 2 section). Recognizing that SFP has multiple dimensions requires strong sector-based policies – as SFP is an instrument to promote rural development, better land equity, and sustainable community access to forest resources.
In essence, SFP as a policy is still treated strictly as ‘forestry’ policy despite the far-reaching goals that it is trying to achieve. The current design of SFP has not recognized the importance that communities, and/or village institutions have in SFP’s success. As SFP interventions are based in rural communities, it is important for SFP to also attain synergy with village-level programs from these ministries. To support the implementation of land reform and SFP, MOEF has stipulated a number of regulations, including aimed at providing guidance to SFP implementation and to resolve conflicts within or at the boundaries of forest estate. Other, complementary sectoral policies focus on rural economic development, such as the Ministry of Village, Development of Disadvantaged Areas, and Transmigration’s Village Development Program to empower villages’ human resources and their socio-cultural assets promotes community economic empowerment, and the Ministry of Cooperatives and Small Medium Enterprises’ strengthening of local economic institutions, to increase the capacity of micro-businesses in running and developing their businesses in a sustainable manner. Other Ministries’ policies, programs, and interventions which relate to rural development, land equity, and sustainable natural resources management, critical to SFP’s success are outlined in the report, including Ministry of Home Affairs, the National Disaster Risk Management Agency (BNPB), Ministry of National Development Planning (Bappenas), and Ministry of Finance (MOF).

Analysis in this report suggests numerous issues to be addressed, at the policy and institutional level in terms of coordination, resourcing and leadership. The current coordination mechanism should be evaluated and a concerted effort will be needed for all relevant stakeholders to formulate a deliberate collective plan and organize cross-institutional implementation. Bureaucracy within MOEF and other agencies which may impede SFP’s implementation is presented, with approaches to improving alignment between national and sub-national policies. Gaps and needs highlighted include allocation of appropriate funding and capacity building resources relative to targets and complexity of the program. Understanding community level perceptions, priorities and resources, for example in relation to other village-level programs, is also important for SFP success. Placing community at the centre (social before forestry) is especially critical, and this assessment report provides recommendations related to: local initiatives; natural assets; market access; sustainability; and scaling-up and replication.
## Annex 2
### Selected SSF Project Areas – Key Features

<table>
<thead>
<tr>
<th>1. South Lampung regency, Lampung Province</th>
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<tbody>
<tr>
<td><strong>a. Global biodiversity value</strong></td>
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<tr>
<td>- The majority of South Lampung Regency has flat to wavy (slopes) reliefs. Generally, the community has used the land for the cultivation of food crops and plantations.</td>
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<tr>
<td>- It has the highest mountain, namely Mount Rajabasa (1,280 masl), the largest island, Sebesi Island (4,643 ha) and the longest river, Way Kandis (50 km).</td>
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<td>- In this regency, there are protected forests spread in 3 registers, namely, Register 3 in Way Pisang (505.5 ha) and Mount Rajabasa (5,200 ha), Register 6 in Way Buatan (950 ha) and Register 17 in Batu Serampok (7,230 ha).</td>
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<tr>
<td>- There is nature conservation in South Lampung regency, which is Marine Conservation of Anak Krakatau Island, covering an area of 13,735.10 ha.</td>
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<td>- The regency has an essential role as the National Park buffer zone</td>
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<td>- This region is home to numerous species listed on the IUCN and Indonesian biodiversity. Some of these animals include Sumatran wild cat (<em>Felis bengalincis</em>), Sumatran leopard (<em>Neofelis nebulosa</em>), and Sumatran gibbon (<em>Agile gibbon</em>). In terms of vegetation, this forest also hosts three endangered species, i.e. Sumatran merbau wood (<em>Instia spp</em>) and crystalline resin (<em>Shorea spp</em>).</td>
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<tr>
<td>- The conservation area also acts as a sanctuary for several bird species that usually live in the Krakatau Nature Conservation, as well as a rest area for several types of migratory birds from the northern to the southern hemispheres</td>
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<tr>
<td><strong>b. Local government commitment</strong></td>
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<tr>
<td>- Social Forestry has had a long history in South Lampung regency since 2000. As a result, the local government has consistently supported the initiative, with a great expectation that the Social Forestry Program will provide a better income and protection as well as improve the forest and natural resources within.</td>
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<tr>
<td>- The local capacity can be considered strong and plentiful with the support of the Social Forestry Program.</td>
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<tr>
<td><strong>c. The existence of Pokja PS (Working Group of Social Forestry Acceleration)</strong></td>
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<tr>
<td>- The Working Group of Social Forestry Acceleration or Pokja PS of Lampung Province was established through Lampung Governor Decree (No. G/128/III.18/HK/2016 dated December 28, 2016).</td>
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<tr>
<td>- Pokja PS has indicated its support for Social Forestry Program activities.</td>
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<tr>
<td><strong>d. The existence of Local Partners</strong></td>
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<tr>
<td>- There are two (2) Forest Management Units or KPHs in South Lampung region, which facilitates the implementation of the Social Forestry Program and the activities within, namely KPH Rajabasa-Batu Sarampok-Way Pisang and KPH Gedong Wani</td>
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<tr>
<td>- The KPHs have had an authorized Long-Term Forest Management Plan</td>
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<td><strong>e. Land Types and Social Forestry Schemes</strong></td>
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<tr>
<td>- Lowland production forest type and highland conservation forest</td>
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<tr>
<td>- Status of the proposed location of community forest (HKm), village forest and community planted forest (HTR) for SSF reaching 16,456 hectares which have received a Social Forestry Decree (SK PS)</td>
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<td><strong>f. Opportunities for existing and potential micro and small enterprise development</strong></td>
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<tr>
<td>- Currently, there are numbers of small and medium enterprises operating in the region, including coffee processing, poultry, maize cultivation, <em>sengon</em> wood, teak wood, and tourism</td>
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<td>- South Lampung can be reached through land, sea, and air. The access by land and sea can be reached through Bakauheni Port, while the air transportation is accessible through Radin Inten II Airport in the city of Bandar Lampung. KPH Gedong Wani is only 40 km away from the capital city of Lampung province and less than 5 km from Tanjung Bintang toll gate,</td>
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<tr>
<td>- South Lampung offers numerous tourism places, such as Anak Krakatau Island, Pasir Putih Beach, Tabek Indah, and Way Belerang.</td>
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<td>2. Lima Puluh Kota regency, West Sumatra Province</td>
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<td>--------------------------------------------------</td>
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<tr>
<td><strong>a. global biodiversity value</strong></td>
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<td>- Most of this area is forest where 84.95% of it is a Protection Forest, Sanctuary Forest, and Tourism Forest to be preserved.</td>
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<td>- There are three (3) inactive volcanoes, i.e. Mount Sago (2,261 m), Mount Bungsu (1,253 m) and Mount Sanggul (1,495 m).</td>
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<tr>
<td>- Plantation sub-sector also contributes significantly to the agricultural sector, such as gambier (unicaria gambir), rubber, coffee, and cinnamon.</td>
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<tr>
<td>- The types of fauna found include yellow-throated marten (Martes flavigula Boddaert), deer, moose, long-tailed monkey, agile gibbon, gibbon, sun bear, tiger and tapir</td>
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<tr>
<td>- The types of flora found in Lima Puluh Kota regency include amorphophallus titanus, rafflesia, black orchid, cane orchid, nephentes, Vanda Sumatrina orchid (West Sumatra Natural Conservation Agency, Lima Puluh Kota Regency, 2013). Other plant species include resin, jelutong, keruing, balam, cinnamon, Borneo tallow nut and iron wood</td>
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<tr>
<td><strong>b. Local government commitment</strong></td>
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<tr>
<td>- When the Medium-Term Development Plan (RPJMD) was established, the Government conducted a potential flora and fauna development to increase the flora and fauna diversity in conservation areas. The protection of agreed conservation areas is administered more intensively to create sheltered and green space with a well-preserved ecosystem.</td>
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<tr>
<td>- The Regency government improved the team capacity to manage and facilitate the Community-Based Forest Management. As a result, the local wisdom in managing forest ran well while supporting sustainable forest management.</td>
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<td>- Some policies were made as a road map of Community Based Forest Management (PHBM) achievement target, including the regional medium-long term plan, service center, data and information in the form of Social Forestry Working Group.</td>
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<tr>
<td><strong>c. The existence of Pokja PS (Working Group of Social Forest Acceleration)</strong></td>
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<tr>
<td>- The Working Group of Social Forest Acceleration or Pokja PS of West Sumatra was established by the Governor of West Sumatra, along with all the stakeholders comprising the representatives from universities, the provincial/district/city government in South Sumatra, Non-Government Organizations, and private institutions.</td>
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<tr>
<td><strong>d. The existence of Local Partners</strong></td>
</tr>
<tr>
<td>- There are three (3) Protected Forest Management Units (KPLHs) namely: KPLH Bukit Barisan, KPLH Lima Puluh Kota, and KPLH Agam Raya</td>
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<tr>
<td>- KPLH institutions were established through the Regional Regulation in the form of Technical Implementation Unit (UPT) of Forestry and Plantation Office of Lima Puluh Kota regency</td>
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<tr>
<td><strong>e. Type of Land and Social Forestry Scheme</strong></td>
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<tr>
<td>- The forest area in Lima Puluh Kota regency of ± 176 826 ha (52.71%) which consists of 124.677 hectares of Protected Forest, 20 127 ha of Limited Production Forest, 4,962 ha of Production Forests and 11.376 Ha converted area of forest</td>
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<tr>
<td>- PS area that has been granted a Decree reaches 31.312 hectares, consisting of community forest and nagari (village) forest</td>
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<tr>
<th>g. Potential areas belonging to the Indicative Map Area of Social Forestry (PIAPS)</th>
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<tbody>
<tr>
<td>- The indicative area of the Social Forestry in South Lampung district comprises an area of 51,577.42 hectares of community forest, village forest, and community planted forest (HTR)</td>
</tr>
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</table>

- Micro and small enterprises have already been developed in agriculture, livestock, and trades. There are farmers’ groups that have joined the Association of Farmer Groups or Gapoktan in every village. One of the small businesses in KPH Gedong Tani is layer poultry farming (the primary source of non-tax revenues of KPH, amounting approximately 68 million)
| f. Opportunities for existing and potential micro and small enterprise development | - Lima Puluh Kota regency lies in a strategic location because it is situated on the closest connecting lines of the cities in Riau province, to reach to the city of Pekanbaru, Batam and Tanjung Pinang that have developed rapidly in the trade sector. In this case, the development of cities in Riau province constitutes a market for agricultural commodities produced by this regency.  
- Potential to develop: rattan, pine sap, coffee, powdered brown sugar, electricity and bottled water. Icon commodity of Lima Puluh Kota regency is gambier, contributing 60% of the national gambier products. Gambier is mostly exported to India through local exporters. Gambier plants spread around 40% of the KPH area in Lima Puluh Kota regency.  
- In addition, the potential to develop in the KPLH model of Lima Puluh Kota regency, include clean water provision, carbon storage, germplasm source, nature tourism, utilization of rattan and palm as non-timber forest products (HHBK)  
- There is potential for tourism in forest areas that are promoted, including Harau Valley |

| g. Potential areas belonging to the Indicative Map Area of Social Forestry (PIAPS) | - Indicative social forestry area in Lima Puluh Kota regency reaches 10,648.41 hectares, consisting of community forest and nagari (village) forest  
- Long Term Forest Management Plan of Production Forest Management Unit stated social forestry activities as an effort to improve the welfare of society through empowerment and utilization of timber forest products |

### 3. Tuban, East Java Province

| a. Global biodiversity value | - The total area of Tuban is 183,994.562 ha with coastline reaches up to 65 km.  
- Tuban is known as the City of a Thousand Caves since it is situated in the northern limestone mountains.  
- Some of the caves have stalactites and stalagmites. The famous Cave is Akbar Cave and Putri Asih Cave.  
- Tuban topography consists of lowlands and highlands  
- Tuban has mangrove beaches. |

| b. Local government commitment | - At the Spatial Plans of 2012 - 2032, Tuban administered a regional development with the basis of eco-friendly industry, agriculture, fisheries, and mining with integrated and sustainable protected areas strengthening as the main strategy, as well as planned planting harvesting and forest management  
- There is a conservation area for coastal mangrove forest of approximately 120 ha (Spatial Plan of Province of 2012-2032). |

| c. The existence of Pokja PS (Working Group of Social Forestry Acceleration) | - The Working Group of Social Forestry Acceleration or Pokja PS has been established in East Java by the East Java Governor Decree Number: 188/186/KPTS/013/2018 on the provincial Pokja PS of East Java province, which consists of several elements, including local governments, non-government organizations, universities and the parties associated with the social forestry. |

| d. The existence of Local Partners | - There are three (3) Forest Management Units or KPHs in Tuban, consisting of (http://www.perhutani.co.id):  
  
  a. KPH Jatirogo of approximately 18,763.2 ha, consisting of production forest area of 17,774.8 hectares (94.7%), sanctuary area covering 597.6 ha (3.2%) other use area covering 250.7 ha (1.4%) and a protection forest area covering of 140.1 ha (0.7%).  
  b. KPH Parengan of approximately 17,633.30 ha  
  - KPH Parengan applies the principles of sustainable forest management based on both the mandatory scheme of mandatory Sustainable Forest Management (PHPL) and the voluntary scheme of the Forest Stewardship Council (FSC)  
  - There is a Javan deer breeding in KPH Parengan |
<table>
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<tr>
<th>c. Tuban KPH area reaches approximately 28,602.5 ha, consisting of production forest area of 26,072.2 ha (91.15%), 400.3 ha of protection areas (1.4%), other forest functions of 1,966.4 ha (6.87%) and Alur 163.6 ha (0.57%).</th>
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<tr>
<td>- In addition to the production forest managed by Perum Perhutani (state-owned forest company), the current community’s interest to plant teak on less productive lands is relatively high.</td>
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<td>- There is an illegal white stone mining activity in the KPH area in Tuban (<a href="https://tubankab.go.idm">https://tubankab.go.idm</a>, 2016)</td>
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<tr>
<td>e. Type of Land and Social Forestry Scheme</td>
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<tr>
<td>- The land condition in Tuban is mostly dry land, highly suitable for teak.</td>
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<td>- There is a people’s forest area in the form of the community forest area of approximately 14,274 ha (Regional Spatial Plan of 2012-2032)</td>
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<tr>
<td>- The SF scheme in Tuban is Social Forest Utilization Permit (IPHPS), and Acknowledgment and Protection of Forest Partnership (Kulin KK)</td>
</tr>
<tr>
<td>f. Opportunities for existing and potential micro and small enterprise development</td>
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<tr>
<td>- Tuban is one of teak production centers in Indonesia with a production forest area covering of 44,760.87 hectares, spread almost in all subdistricts.</td>
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<tr>
<td>- Tuban is one of the national food barns in East Java.</td>
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<tr>
<td>- The agricultural commodities which have superior potentials include pendok rice, peanut, Tasik Madu starfruit, lanseh totree fruit, corn, coconut, pepper, palmyra fruit, and sugarcane.</td>
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<tr>
<td>- The export-quality teak wood from Tuban is a potential that needs to be developed, both in the cultivation and in planting processes. The growing business types using teak wood as a raw material in Tuban include furniture, frames, handicrafts, various household utilities, and other building manufacturing. Meanwhile, the business type of teak processing into souvenir items remain undeveloped.</td>
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<tr>
<td>- The commodities or services that have the potential to develop include sengon wood (veneer industry), teak (raw materials for parquet industry), mahogany (supply for wood processing industry), coffee and seasonal crops</td>
</tr>
<tr>
<td>- Tourism potentials in Tuban include Akbar Cave, Bekti Harjo swimming pool, and Nglirip waterfall.</td>
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<tr>
<td>g. Potential area belonging to the Indicative Map Area of Social Forestry (PIAPS)</td>
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<tr>
<td>- Tuban has 32 SP Forest Utilization Permits in the form of Social Forest Utilization Management Permission (IPHPS), and Forestry and Environment Partnership (Kulin KK)</td>
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### 4. Bima, West Nusa Tenggara

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<tr>
<th>a. Global biodiversity value</th>
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<tr>
<td>- Bima has relatively high biodiversity in the form of primary and secondary dry land forest, shrubs, dry land agriculture, open land, and fields.</td>
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<td>- There are fairly large dry lands and plantations, dominated by agricultural commodities and livestock.</td>
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<td>- There are also the potentials for the development of marine pearl oyster, seaweed and fish species that have high economic value.</td>
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<tr>
<td>- In the past, most of Bima region was covered by the superior type of local teak and enriched with teak plants resulting from Perhutani reforestation. In addition, in some locations, there are rosewood stands. Both types have experienced degradation due to illegal logging, then the land was overgrown with bushes.</td>
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<tr>
<td>- Other non-timber products include candlenut, rattan, yellow wood, swallow nest, bamboo, and the superior product of wild honey. The management is still traditional and needs to be processed to increase its added value.</td>
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<tr>
<td>- In Sumbawa island, particularly in the area of Tambora, there is <em>Duabanga moluccana</em> species that can only be found on Mount Tambora and West Sumbawa. In these two locations, <em>Duabanga moluccana</em> can be found in the altitude of 160-1,200 meters above sea level.</td>
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</table>
### b. Local government commitment

- The MoU between Bima Regent and West Nusa Tenggara (NTB) Governor is related to forest management. The agreement’s purpose is to implement the use and benefit of forest through partnership (part of Social Forestry) and cooperation on protection forest and production forest, which encompass functions including community empowerment.
- The coordination between the Government of Bima regency and related parties is quite intensive, subjecting on forest protection and community empowerment. One of which is through Coordination Meeting of Forest Security with several agreements, including the evaluation of the plant commodity development that is against conservation.
- Bima Regent has instructed all Bima village chiefs to prohibit forest destruction continuously and to allocate budget for forest management/reforestation in the Village Budget 2019. This could be the entry point for the development of Social Forestry with village support, especially around the forest.
- Bima Regent has appointed and commissioned the relevant agencies in the form of Regional Organizations, cooperatives, region-owned enterprises, village enterprises, and farmer groups in each district to work and establish cooperation with local KPH on forest management.
- NTB government has included Social Forestry program in the NTB Medium-Term Development Plan of 2018-2023 with a focus on building partnerships with the active support from district government. The target is the empowerment of 50 villages around the forest areas until 2023.
- The level of community group awareness and local NGOs toward issues of forestry is relatively high. This is evident by the number of supports in the form of peaceful orations or letters that are essentially to support forest management efforts, especially forest protection. Publications related to the condition of forest area are fairly high in the media.

### c. The existence of Pokja PS (Working Group of Social Forestry Acceleration)

- The Working Group of Social Forestry Acceleration or Pokja PS has been established in NTB by the Decree of West Nusa Tenggara Governor Number: 522.552 of 2017 on the Establishment of Working Group of Social Forestry Acceleration, West Nusa Tenggara province year 2017-2018, which consist of several elements, including local governments, NGOs, universities and the parties associated with the Social Forestry.
- In addition, the Secretariat of the Working Group has been formed through the Decree of the NTB Province Head of Environment and Forestry Office Number: 1884/113/KPTS/RPM-DisLHK/2017 concerning the Secretariat of the Working Group of Social Forestry Acceleration, West Nusa Tenggara.
- At the moment, the Pokja PS has socialized and technically verified forest farmer groups or KTH which will be the partners of Forestry in some areas in West Nusa Tenggara. In 2018, Pokja PS conducted outreach and facilitation in Dompu in two sub-forest management units or BKPHs, i.e. BKPH Ampang Riwo Soromandi and BKPH Toffo Pajo Madapangga Rompu Waworada.

### d. The existence of Local Partners

- There are 4 forest management units or KPHs in Bima regency, namely KPH Tambora, KPH Ampang Riwo Soromandi, KPH Toffo Pajo Madapangga Rompu Waworada and KPH Maria Donggomassa with several strong points, including:
  - There is already a legal basis for the establishment of institutional KPH through NTB Governor Regulation, and these KPHs have institutions supported by personnel and basic facilities all the way to the field level.
  - All KPHs already have a Long Term Forest Management Plan, Short-Term Forest Management Plan, some site plan design and the development of a partnership plan with the community.
| e. Type of Land and Social Forestry Scheme | - There are Production Forest and Protection Forest areas in Bima and Dompu regency, spreading 393,368.73 hectares and dominated by production forest area (44%), protection forest (34%) and conservation forest (22%). There are 55 river basins and 13 big rivers (Maria Donggomasa).
- There are 182 villages/sub-districts bordering forest areas, 31 municipalities with 255,727 people classified as poor (based on Indonesian integrated Database of Statistics, decile 1 to decile 4) in Bima, Bima city and Dompu City. These villages can potentially be involved in the activities in Social Forestry. The existence of Social Forestry in each village will be a buffer zone for the existing forest area in the inner circle/core zone/protection zone.
- Social forestry schemes which can be developed include Partnership Scheme and Community Forestry, primarily through the development of MPTs plant species. |

| f. Opportunities for existing and potential micro and small enterprise development | - Candlenut commodity development has widely grown in the area of community forest, but is threatened by illegal logging. Institutional and social conditions reinforcement are required in the community to excite them to maintain the remaining candlenut crop. The available raw material is in the form of candlenut stands, yet it needs industrial management to increase its added value.
- Bima has a significant contribution in terms of cattle and buffalos.
- There is potential non-timber forest products currently developed in Bima, namely bamboo. Bamboo with high economic value can be used as raw material for handicrafts.
- Agricultural and plantation sectors in Bima and Dompu regions have the potential development for coffee, candlenut, garlic, and honey.
- Nowadays, Bima region becomes the spotlight in the development of Non-Timber Forest Products (including coffee, candlenut, honey, bamboo, etc.) It can be combined with forestry sector by using Agroforestry in the activities of Social Forestry, in which, the development of non-timber forest product potentials are expected to be increased and utilized, enjoyed better while at the same time protecting the environment from exploitation.
- The commodities or services that have the potential to be developed include sengon wood ( veneer industry), teak (raw materials for parquet industry), mahogany (supply for wood processing industry) and coffee.
- In addition, some coastal areas in Bima and Dompu have the potential of marine products such as seaweed, tuna, lobster, prawns, mud crabs, crabs and other commodities that should be developed.
- Bima has tourism potential with excellent opportunities to develop, including Mount Tambora, Saleh Bay, Moyo Island (Dompu), coastal beach and bays, such as Lakei, Sanggar Bay, and several areas of the Nature Park in the area of Bima and Dompu. |

| g. Potential areas belong to the Indicative Map Area of Social Forestry (PIAPS) | - The Social Forest (SF) indicative area in Bima regency comprises an area of 63,821.82 hectares of community forest, while SF indicative area in Dompu regency reaches 52,811.31 hectares consisting of community forest, community planted forest, and forestry partnership. |
- There are some Specific Areas in KPH Bima area, dedicated as Social Forestry development area of approximately 154,306.90 hectares.
- In 2015 Indicative Map Area of Social Forestry, there were areas in production forest and protection forest in Bima and Dompu region covering 155,852 hectares, where the 12,955 hectares were dedicated for Partnership.
- Potential partnerships in the region can be developed outside the forest area.
- There are various natural tourism potentials that are currently delineated actively by the KPH collaborating with local community groups.
- the Social Forestry Data in NTB until October 2018 indicated an area of 25.970 ha
- Up to 2018, there had been 12,237 ha of forest area that was legalized by the Decree of Credit Number Stipulation. However, only 6,401 hectares got the Community Forest Management Unit Permission (IUPHKm). It means there are more than 5,000 hectares that have not been received Social Forestry permission. This needs to be encouraged in order to immediately make it a part of the Social Forestry area. However, there is a problem where not all the potential Social Forestry groups receive proper guidance from the related parties.
- In PIAPS 2015, there are areas in production forest and protection forest in Bima and Dompu region, covering 155,852 hectares, where 12,955 hectares were dedicated for Partnership.

### 5. Dompu, West Nusa Tenggara

#### a. Global biodiversity value
- Dompu can generally be described where some areas are wavy and hilly with 15-40° slopes; 49.97% of the area has more than 40° slopes and 31.55% is a flat area reaching 18.485 ha.
- Dompu regency is situated in an altitude of 100-500 meters above sea level, spread on all sub-districts.
- In Dompu, there are 19 large rivers with varied water debit, and there are several pieces of small streams and springs that flow throughout the year, as a source of livelihood.
- The surface deposition includes gravel, sand, and clay, spread throughout the District with a total area of 11,602 ha or 5% of the area.
- Volcanic rocks, resulting from new volcanoes, old volcanoes and older volcanoes are spread in Pekat District, Kempo District, and East Dompu District.
- The potential of this area consists of various sectors such as agriculture, animal husbandry, farming, fishing, forestry, and mining.
- The agricultural potential in Dompu consists of two types, namely food crops and horticulture. In terms of crops, Dompu produces two types of rice from field paddy and dry paddy. Meanwhile, other crops include corn as the premium product of this district since it always exceeds the national target.

#### b. Local government commitment
- West Nusa Tenggara (NTB) provincial government participates in helping the development of the potential livestock and agriculture by providing assistance and advice to entrepreneurs. One of which is a grant of Rp 904.95 million for Bumi Sejuta Sapi (BSS) program and the assistance of hybrid maize seeds.
- Various programs are undertaken by the government in collaboration with the police force, private sectors and farmers to increase corn production yield. Even, the Minister of Agriculture, Amran Sulaiman stated that NTB, especially Dompu, Bima and Sumbawa, are the national corn foodsheds.
- Dompu government is committed to supporting KPH development in NTB. One of this commitment realization was in 2013 where the Dompu Government issued the Regional Regulation Number 10 of 2013 concerning on the Establishment of Organization and Working Procedures of Protected Forest Management Unit (KPHL) Toffo Pajo (Unit XVI) as one of the KPHs in Dompu Regency, NTB.
| c. The existence of Pokja PS (Working Group of Social Forestry Acceleration) | - Working Group of Social Forestry Acceleration or Pokja PS was formed in NTB by the Governor Decree of West Nusa Tenggara province Number 522.552 of 2017 on the Establishment of the Working Group of Social Forestry Acceleration, West Nusa Tenggara province of 2017-2018, which consist of several elements, including local governments, NGOs, universities and the parties associated with the Social Forestry.  
- In addition, the Secretariat of Pokja PS was established by the Decree of the NTB Head of Environment and Forestry Office Number 1884/113/KPTS/RPM-DisLHK/2017 of the Secretariat of the Working Group of Social Forestry Acceleration, West Nusa Tenggara.  
- Up to 2018, there had been 12,237 ha forest area that had received Decree of Credit Number Establishment or SK PAK but only 6,401 hectares received Community Forest Management Unit Permission (IUPHKm). This means there are more than 5,000 hectares which have not received Social Forestry permission. It needs to be encouraged to become a part of the area of Social Forestry immediately. One of the problems is that not all prospective Social Forestry groups get proper guidance from the related parties.  
- At the moment, Pokja PS has socialized and technically verified forest farmer group or KTH that will be Forest partner in some areas in the province of West Nusa Tenggara. In 2018, Pokja PS conducted outreach and facilitation in Dompu particularly in BKPH Ampang Riwo Soromandi and BKPH Toffo Pajo Madapangga Rompu Waworada. |
| d. The existence of Local Partners | - Dompu government is committed to supporting KPH development in NTB. One of this commitment realization was in 2013 where the Government of Dompu issued Dompu Regional Regulation Number 10 of 2013 concerning the Establishment of Organization and Working Procedures of Protection Forest Management Unit (KPHL) in Toffo Pajo (Unit XVI) as one of the KPHs in Dompu, NTB.  
- The management area of KPHL Pajo Toffo is geographically located between 117°42'-118°30' L and 05°54'-08°04'SL, which administratively comprises of 3 districts, i.e. Dompu, Pajo, and Hu’u  
- Based on the forestry administration, KPHL Toffo Pajo is divided into 2 forest groups, namely Forest Group Pajo RTK 42, and Forest Group Toffo Rompu RTK 65.  
- There are 2 Sub-Forest Management Unit Institutions or BKPH in Dompu, namely BKPH Tambora with an area of 57,181 ha and BKPH Toffo Pajo Madapangga Rompu Waworada, covering of 96,607 ha |
| e. Type of Land and Social Forestry Scheme | - The character and forest types in Dompu are similar to Bima, sharing a portion of forest areas. By function, the forest characters and types include conservation forest, production (fixed and limited) forest and conservation forest.  
- The forest area, based on forest groups and functions, as written in the Indonesian Statistics per March 5, 2018, include protection forest (51,482.59 ha), limited production forest (33,040.48 ha), permanent production forest (26,119.11 hectares), nature conservation (13,572.32 ha), wildlife sanctuary (3,988.60 ha), natural park (2,146.30 ha), and hunting park (9,543.56 ha).  
- There are many degraded lands in forest area due to human activities such as illegal logging and forest encroachment, including mining activities both by mining companies and public mining.  
- The Data from long-term forest management program (RPHJP) of KPHL Toffo Pajo suggested that PT Sumbawa Eastern Mining utilizes 8,112.93 ha or 32, 52% of Protection Forest Areas and 1,562.72 ha or 6.26% of Limited Production Forest stated in its utilization and usage permission.  
- Social Forestry Scheme: based on the data of 2018 One Map Policy Acceleration (PKSP), the proposed Dompu Social Forestry permission to PKSP include community forest, community planted forest, and Forestry Partnership |
### f. Opportunities for existing and potential micro and small enterprise development

- Similar to Bima, the region potentials of Dompu include many sectors, such as agriculture, animal husbandry, farming, fishing, forestry, and mining.

- Potential vegetation includes 7 classes of land cover, i.e. 1) primary dry forest, 2) secondary dry forest, 3) bushes, 4) agricultural dry land and shrub, 5) agricultural dry land, 6) fields, and 7) waters.

- Potential timber producers: the dominant timbers include *sala, karawi, sambiara, luhu maju, loka, soka, sori, tai’nasi, seraru, kapu’u, luhu, libi, heci, mongo*, and *sala maju*.

- Potential non-timber forest products include rattan, terap sap, ginger, herbs, and honey majorly in protection forest which are now mostly utilized by the community as a source of livelihood of rural communities around the KPHL Toffo Pajo forest.

- Flora and fauna habitat include fauna that can still be found in the area of KPHL Toffo Pajo including deer (*Muntiacus muntjak*), partridge, black monkey, python, and wild boar. Meanwhile, the types of flora found in the area are endangered include diospyros, sapodilla (*Manilkara kauki*), *gelumpang, kesambi* (*Scleheria oleosa*), agarwood (*Gyrinops verstegii*), *suren* (*Toona sureni*), *ipil, bungur* (*Lagerstromia sp*), walikukan (*Schoutenia ovata*), *loa/ketimis*.

- Tourism potential, namely: hot springs, waterfalls, swallow nest, shrines, Japanese invasion cave, and Nagasia sites. Bordering Bima Regency, Dompu belongs to Mount Tambora National Park. The previous status of the area includes nature conservation (23,849.81 ha), wildlife sanctuary (21,674.68 ha), and hunting park (26,130.25 ha). On 11 April 2013, the NTB provincial government proposed to the Minister of Forestry on the amendment of three functions into the Mount Tambora National Park.

### g. Potential areas fall under Indicative Map Area of Social Forestry (PIAPS)

- Until October 2018, the Social Forestry Data in NTB indicated forest area of 25,970 ha
- In 2015 PIAPS, there was PIAPS area in HP and HL in Bima and Dompu area, covering 155.852 ha, where 12.955 ha was dedicated for Partnership.

### 6. West Halmahera, Maluku

#### a. Global biodiversity value

- West Halmahera district consists of hills and mountains, where the width of hilly/mountainous areas reach 61.98% of the land area.
- The spatial usage pattern of West Halmahera is mostly in West Halmahera regency, surrounded by permanent production forest, limited production and convertible production forest.
- West Halmahera district has complete potential coastal and marine resources, including mangrove, mangrove forest, seagrass and coral reefs.
- The types of flora and fauna in West Halmahera include standardwing (*Semioptera wallacii*) and *Miana* plant (*Coleus scutellarioides*).

#### b. Local government commitment

- The Government of West Halmahera, North Maluku, continues to promote the conservation of mangrove forests, including through the rehabilitation of endangered mangrove forests.

#### c. The existence of Pokja PS (Working Group of Social Forestry Acceleration)

- To handle the acceleration of SF implementation in the province, Working Group of Social Forestry Acceleration or Pokja PS was established by the Governor Decree of North Maluku No. 289 of 2017.
- The role and function of the Working Group include:
  a. Socializing Social Forestry to the site level;
  b. PIAPS evaluation
c. Facilitating the request of local communities to gain legal Social Forestry access;
d. Verifying legal access request under the coordination of Social Forestry and Environmental Forestry Hall of Maluku Papua;
e. Human resource and institutional capacity improvement;
f. Facilitating Business Development and Social Forestry Product Marketing;
g. Facilitating Tenure and Customary Land Conflict Resolution (KTHA); and
h. Developing networks and multi-stakeholder forum.

d. The existence of Local Partners
- There are three (3) forest management units or KPHs in West Halmahera Regency, namely:
  a. KPH West Halmahera
     • Institutional forest management unit in the form of Regional Technical Implementation Unit (UPTD) which was inaugurated through the North Maluku Governor Regulation No. 69 of 2016
  b. KPHP Bacan
     • The establishment of KPHP Bacan was based on Minister of Forestry Decree No. SK. 969/Menhut-II/2013 with an area of 140,808 ha, consisting of protection forest (± 62,836 ha), limited production forest (70,212 ha), and production forest (± 7,760 ha)
     • An institutional KPHP in the form of UPTD, was stipulated through Regional Regulation of Halmahera no.11 of 2013.
     • The potentials that can be developed include Nyatoh wood, Meranti wood, bamboo, palm sugar and rattan.
  c. KPFP Mount Sinopa
     • The stipulation of KPHP Model of Mount Sinopa was in accordance with the Decree of the Minister of Forestry Number SK.337/Menhut-II/2010 dated May 25, 2010, consisting of ± 44,577 ha area, consisting of protection forest (± 21,056 ha), Limited Production Forest (± 13,917 ha) and Permanent Production Forest ((± 9,604 ha).
     • KPHP Institution is in the form of UPTD, stipulated through North Maluku Governor Regulation No. 7 of 2011

e. Type of Land and Social Forestry Scheme
- West Halmahera Regency consists of 4 (four) land categories, i.e. flat land, sloping land, rather a steep land and steep land,

f. Opportunities for existing and potential micro and small enterprise development
- Inland fisheries and seaweed have good potential to be developed. Potential fishery sub-sector include fisheries with species of skipjack and tuna, small pelagic and demersal fish. Meanwhile, the types of aquaculture include carp, milkfish and tilapia.
- Agricultural sub-sector is one of the mainstay potentials, including food crops, horticulture, and animal husbandry. The most cultivated food crop commodities are dry rice, maize, cassava, sweet potatoes, peanuts and soybeans. Nevertheless, the most cultivated horticultural crops commodities are vegetables and fruits.
- The most cultivated plantation crops are coconut. Most of the coconut production is processed as copra (raw material for making cooking oil). In addition, cocoa, cloves and nutmeg are common in West Halmahera.
- The potential of mangrove ecosystems in Dodinga Bay provides an overview of the opportunities to develop the area into mangrove ecotourism.
- There are three (3) tourism objects in Jailolo City, West Halmahera, i.e. Bobo Hot Spring, Marimbati beach and mangrove

g. Potential areas as the Indicative Map Area of Social Forestry (PIAPS)
- Until October 2018, the Social Forestry Data in North Maluku had indicated a coverage area of 36,042 ha
**Annex 3**

**Negative List Screening**

<table>
<thead>
<tr>
<th>NEGATIVE LIST</th>
<th>YES</th>
<th>NO</th>
<th>INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Any activity involving significant conversion of natural forests to e.g. agricultural land, plantations, or settlements. This applies to all forests in the scope of the project, specifically that is conducted within the state forests with both the purpose of conservation or production forest; minor infrastructure development required for project implementation (such as roads, irrigation system, or secretariat office). is allowable in natural habitats under condition of effective mitigation measures, but not in critical habitats.¹</td>
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<tr>
<td>Any activity that destroys, damages, disturbs, or relocates physical cultural resources unless evidenced by comprehensive document of a negotiated agreement in line with the ESS 8 and ESMF annexes 10 (FPIC) and 15 (RPF/PF).</td>
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<tr>
<td>Any activity that significantly reduces biodiversity or the integrity of forest ecosystems or damages natural habitats within the forests.²</td>
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<tr>
<td>Any activity³ with potential, significant negative environmental and social impacts which are complex, irreversible, and have never been conducted before, and require complete environmental and social assessment to manage and mitigate the impact as stated in Regulation of Minister of Environment No. 5 of 2012, Ministry of Public Works and Housing Regulation No. 10, 2018, i.e. major infrastructure, new infrastructure within environmental and social</td>
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</table>

¹ The infrastructure development, even minor, should follow the requirements of ESS1 and ESS6 to be assessed prior to being supported. Examples may include access road upgrades, construction of small facilities to support enterprises, such as warehouse or work areas, storage or packing rooms, steps or rest points for eco-tourists.

² Natural habitat mapping and assessment at the project locations, with due considerations to potential cumulative impacts of community livelihood activities, are part of the screening and scoping of environmental and social assessment and mitigation plans taking into account the baseline information in the Social Forestry Assessment document.

³ Sawmilling & timber processing (>6,000 m³), Timber utilization business operation in plantation forests (>5,000 ha), Timber utilization business operation in natural forests (any size), Development of plantation areas on non-state forest land or state forest land planned for forest conversion (seasonal: >2,000 ha, perennial: >3,000 ha), Large-scale NTFP production and processing (no threshold defined), Projects involving earth-moving activities (>500,000 m³ of earth moved), Construction rural roads that require land acquisition (≥5 km length with ≥40 ha land acquisition or land acquisition of > 50 ha), Construction of bridges (≥500 m length), Construction of ecotourism facilities (building size: ≥10,000 m² or land area: ≥5 ha), Construction of processing facilities (building size: ≥10,000 m² or land area: ≥5 ha), Development of (non-theme) recreational parks (>100 ha), Construction of dam/reservoir (≥15 m height), Fish ponds with (semi) advanced technology (≥50 ha)
<table>
<thead>
<tr>
<th>Activity</th>
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<tbody>
<tr>
<td>Sensitive regions, and infrastructure that requires ESIA/Environmental and Social Impact Analysis (AMDAL).</td>
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<tr>
<td>Any activity that requires land to be acquired outside the forest with area greater than 2000m².</td>
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<tr>
<td>Any activity that requires more than 200 people to relocate; for less than 200 people, the process must be evidenced by comprehensive assessment and planning document of a negotiated agreement in line with ESS 5 and ESMF annexes 10 (FPIC) and 15 (PFP).</td>
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<tr>
<td>Any activity that leads to human rights violation.</td>
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<tr>
<td>Any activity that causes negative impacts on women and children, including child labour.</td>
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<tr>
<td>Any activity related to political campaigns and election and/or related to elite capture (where elites utilize and/or employ various public resources for their personal interests), like social forestry groups that rely on one or several elite groups.</td>
<td></td>
</tr>
<tr>
<td>Any activity involving hunting and/or trading of protected species and animals.</td>
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<tr>
<td>Activities that produce or use materials or commodities that directly or indirectly disturbs or has negative impact on human health, such as asbestos, narcotics, tobacco, and other substances as regulated by the Indonesian government.</td>
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</table>

Note that prior to the screening of negative list, the FMU will have to perform ground-truthing check whether the PIAPS is compatible with sustainable land use that properly protects critical natural habitats, their connectivity, and buffer zones. If not, advice should be given to the central government authority to modify the PIAPS.
Annex 4
Screening for Environmental and Social Impacts and Preparation of the Environmental and Social Management Plans (ESMPs)

Steps for screening and developing the ESMPs for each sub-project on a site-by-site basis are outlined in the main ESMF document. After the initial screening process on Negative List, EA and NPMU work on screening and assessing the proposed sub-project activities to assess risk potential and management options. This will determine whether a particular event can be supported, even if a sub-project has passed the negative list. The recommendation also includes prevention steps, capacity development, technical aid, and other efforts to strengthen risk management. The tools below are to be used to assist with further assessment (after the negative list has been used)

1. Sub-Project Information

Sub-project title:

Location (regency, sub-regency, village):

Physical target:

Purpose of infrastructure development:

2. Parameters for Rapid Environmental Assessment (REA)

• Answers to the screening questions can be either “Yes”, “No”, or “N/A”. N/A signifies that a particular impact/issue is not relevant in the context of the sub-project.
• Remarks column: Specify environmentally sensitive of critical areas, indicating if sub-project is only adjacent or within the area.

<table>
<thead>
<tr>
<th>Screening questions</th>
<th>Yes, No, N/A</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1 Sub-Project Location</td>
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<tr>
<td>1. Is the sub-project siting consistent with the protected area zoning?</td>
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<tr>
<td>2. Is the sub-project siting consistent with land use zoning of the area?</td>
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<tr>
<td>3. Is the subproject area adjacent to or within any of the following environmentally sensitive areas or critical areas?</td>
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</tr>
<tr>
<td>a. All areas declared by law as national parks, watershed reserves, wildlife preserves and sanctuaries. (protected area, buffer zone of protected area, special area for protecting biodiversity)</td>
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<tr>
<td>b. Areas set aside as aesthetic potential tourist spots; areas reserved by appropriate authorities for tourism development.</td>
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<tr>
<td>c. Areas which constitute the habitat for endangered or threatened species of indigenous Indonesian Wildlife (flora and fauna).</td>
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<tr>
<td>d. Areas of unique historic, archaeological, or scientific interests; includes national historical landmarks, geological monuments, and paleontological</td>
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</table>
and anthropologica reservations as may be designated or determined by relevant governmental institutions.

e. Areas which are traditionally occupied by customary communities or tribes:
   - Ancestral lands of customary communities
   - All areas that are occupied or claimed as ancestral lands or ancestral domains by *Masyarakat hukum adat* communities or certified as such.

f. Areas frequently visited and/or hard-hit by natural calamities (geologic hazards, floods, typhoons, volcanic activity, etc.):
   - Areas frequently visited or hard hit by earthquakes: all areas subjected to earthquakes of at least intensity VII in the Rossi-Forel scale during the period 1949 until the year of reckoning of areas identified as such by the Indonesian relevant agency such as Meteorology and Geophysics Agency (*Badan Meteorologi dan Geofisika* [BMG])
   - Flood-prone areas: low-lying areas usually adjacent to large active water bodies experiencing regular or seasonal inundation as a result of changes in mean water level of these water bodies.
   - Areas prone to volcanic activities: all areas identified as such by the centre for volcanology and geological hazard mitigation (*Pusat Vulkanologi dan Mitigasi Bencana Geologi*).
   - Areas located along fault lines or within fault zones: This refers to all areas identified as such by the centre for volcanology and geological hazard mitigation.
   - Drought-prone areas: all areas identified as such by the relevant Indonesian agency.

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<tr>
<td><strong>g.</strong></td>
<td>Areas with critical slopes; all lands with slope of 50% or more not classified in this listing as environmentally critical; also cover alienable and disposable forest lands and unclassified forests.</td>
</tr>
<tr>
<td><strong>h.</strong></td>
<td>Areas classified as prime agricultural lands; all irrigated and irrigable areas and other areas.</td>
</tr>
<tr>
<td><strong>i.</strong></td>
<td>Recharge areas of aquifers; sources of water replenishment where rainwater or seepage actually enters the aquifers: Areas under this classification shall be limited to all local or non-national watersheds and geothermal reservations.</td>
</tr>
<tr>
<td><strong>j.</strong></td>
<td>Water bodies characterized by one or any combination of the following conditions:</td>
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<td>- Tapped for domestic purposes;</td>
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<td>- Within the controlled and/or protected areas declared by appropriate authorities;</td>
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<td></td>
<td>- Which support wildlife and fisher activities (wetland, estuarine).</td>
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<tr>
<td><strong>k.</strong></td>
<td>Mangrove areas characterized by one or any combination of the following conditions:</td>
</tr>
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</table>
• with primary pristine and dense young growth;
• adjoining mouth of major river systems;
• near or adjacent to traditional productive fry or fishing grounds;
• which act as natural buffers against shore erosion, strong winds and storm floods;
• on which people are dependent for their livelihood.

I. Areas declared as mangrove swamp forest reserves by the relevant Indonesian entity.

2.2 Potential Environmental Impacts: Will the project likely cause the following impacts:

2.2.1 Physical Environment

2.2.1.1 Land

1. Destabilization of slopes due to earthworks at the construction site?
2. Erosion of river banks due to clearing/excavation operations?
3. Soil erosion before compaction and lining of canals?
4. Leaching of soil nutrients and changes in soil characteristics due to excessive application of irrigation water?
5. Soil salinization due to insufficient drainage?

2.2.1.2 Hydrology

6. Redistribution of river flow or decrease in water flow rate downstream?
7. Reduction of downstream water supply during peak seasons?
8. Soil erosion and siltation leading to decreased stream capacity?
9. Water logging along completed section of the irrigation canal as observed after heavy rains?
10. Obstruction of water flow due to aggregation of garbage at check gates/control gates

2.2.1.3 Water Quality

11. Deterioration of surface water quality due to the following:
    a. Increased sediment run-off from the construction site?
    b. Improper disposal of sanitary and solid wastes from workers’ base camps?
    c. Contamination from oil, grease and fuel spills?
    d. Excessive application of fertilizers and pesticides leading to discharge of agro-chemical contaminated waters from the service area?
    e. Salinization due to over pumping of groundwater, insufficient drainage?
12. Will the project and/or its component infiltrate in community water source?

2.2.1.4 Air Quality
13. Deterioration of air quality due to the following impacts arising from heavy equipment operations and other construction works:

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<tbody>
<tr>
<td>f.</td>
<td>Dust suspension?</td>
</tr>
<tr>
<td>g.</td>
<td>Noxious gas and/or particulate emissions?</td>
</tr>
<tr>
<td>h.</td>
<td>Noise generation?</td>
</tr>
</tbody>
</table>

2.2.1.5 Biological Environment

14. Tree cutting or vegetation clearing?

15. Dislocation, disruption or other disturbance to terrestrial wildlife?

16. Impediments to movements of animals?

17. Loss of precious ecological values (e.g. result of encroachment into forests/swamplands or historical/cultural buildings/areas, disruption of hydrology of natural waterways, regional flooding, and drainage hazards)?

18. Localized damage and/or disturbance to ecologically significant/economically important flora and fauna in forest areas/other critical habitats or agricultural crops

19. Smothering or other adverse effects on aquatic species?

20. Will the project make use of non-native, invasive and/or alien species?

21. Will the project involve harvesting of major and/or minor forest products?

22. Will there be modification of habitats such as change of forest/crop species?

23. Is the project area vulnerable to wild fire?

2.2.1.6 Social Environment

24. Will the activity cause disfiguration of landscape in historical/cultural areas?

25. Will the activity require or cause dislocation or involuntary resettlement of people in the project area or along a right-of-way?

26. Will there be any loss of private land rights/ownership/property of the whether legal or illegal (informal) due to the project?

27. Is there evidence of, or potential for encroachment of informal dwellers or influx of migrants in the project area?

28. Will the project increase in cropping intensity or cropping area?

29. Will there be loss of income from project activities, e.g. crop damage, hunting or access restrictions?

30. Would the project activity exposure community or workers to emergency or hazards of flash floods?

31. Will there be any obstruction of public access through the activity area, delaying people movement and transport of farm products, for example?

32. Will there be a generation of solid waste and sanitary waste in construction areas and/or work sites?
33. Are there any increased health risks from the increase in the population of rodents, insects or other vectors of disease during construction?

34. Could there be an increase in incidence of waterborne or water related diseases?

35. Are there adat communities (formally recognised or not) that are living in, using, or claiming ownership rights in sub-project areas?

36. What gender issues can be anticipated (for e.g. non-participation of women and other marginalized sectors in sub-project planning to implementation)?

3. Key Issues Identified – elaborate with detail on the points checked as ‘yes’ above

1.

2.

3.

4. Sub-Project Categorisation – what kind of impact permitting is likely required?

<table>
<thead>
<tr>
<th>AMDAL &amp; ESMP</th>
<th>UKL-UPL &amp; ESMP</th>
<th>SPPL &amp; ESMP</th>
<th>No EA &amp; ESMP required</th>
</tr>
</thead>
</table>

Guidance Notes once Checklist is completed
- Checklist needs to be signed and dated by PIU.
- For those issues, marked YES, check (i) if the proposed investment is listed in the negative list of sub-project activities which is ineligible for financing and must be dropped and no further action is required related to safeguards, (ii) if item marked YES is not in the list, ensure appropriate mitigation measures are contained in the site-specific ESMP (contained in the Forest Management Plan, AMDAL/UKL-UPL/SPPL) for each item marked YES.

Environmental and Social Management Plan (ESMP) Outline for SSF Project sites/sub-projects

1. Introduction
Provide an overview of the sub-project, environmental and social context and the purpose of this ESMP.

2. Project Description
Describe the sub-project with its key activities, including any land clearing or prepration, construction works required, and the activities associated with the communities in particular. Include all sub-project components that may have an environmental or social impact, including:
- Types of materials required during construction (aggregates, fresh water)
- Source and transportation of materials during construction
- Waste management (solid and liquid waste) during construction and operations
- Hazardous materials management
- Labour requirements and labour management practices
- Land use changes and affected groups to be defined in detail
- Proposed improvements or benefits resulting from the subproject which will accrue to the local community, environment and economy.
Provide an overview of project timeline. 
Include a map of the general area.

3. Environmental and Social Baseline
Describe the project location and land use (agricultural land, residential), closest dwelling(s), water body including near shore and off shore areas used by the PAPs, natural habitats (protected areas, significant or relevant ecosystems, flora and/or fauna in the area.).

Describe the community, formal and community leadership structures, describe any unique aspects of culture and language. Describe the existing social services such as education, health, law and order as well as economic activities (commerce, trading).

Provide information on existing land/marine titles. The social context should also describe occupations and sources of livelihood, gender roles and issues, land tenure and connections to land/natural resources, and the socio-economic conditions, including any commentary on poverty, vulnerability due to gender, ethnicity or culture group, age or disability in the community, resource allocation and access and income distribution, where relevant.

4. Legal and Institutional Context
Provide an overview of the relevant laws, regulations and policies and how this ESMP provides the relevant information in support of an environmental approval.

Provide an overview of how the ESMP meets the requirements of the WB ESF, policies and guidelines.

Provide an overview of the key institutions with jurisdiction over the subproject.

5. Significant Impacts and Mitigation
Provide an overview of the significant environmental and social impacts associated with the subproject and indicate how the project will manage these to incorporate applicable safeguards policy and regulatory requirements. These should be listed with reference to the ESS and links to related instruments (such as Resettlement Plan or Indigenous Peoples Plan), if applicable.

6. Organisation and Management Structure
Identify and define the responsibilities and authority of the various persons and organisations that will be involved in the sub-project. Ensure technical roles are described and responsibility for stakeholder communication, including with adat communities if relevant, and for monitoring and reporting are all specified.

7. Management Measures
List the key environmental and social impacts, per relevant project phase, and indicate recommended management measures and responsibility for ensuring measures are met. An example table is provided below, however as each site will develop its own mitigation plans, including Livelihood Restitution Plans if applicable, the ESMP section on management measures
should be adapted, and address: approach to mitigation, target groups, agreed activities, targets, methods for implementation, timeframe and resources.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Impact/Risk</th>
<th>Mitigation Measure</th>
<th>Responsibility for Mitigation</th>
<th>Comments</th>
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Annex 5
Environmental Health and Safety Code of Practices (ECOP)
World Bank Group General Environmental, Health and Safety and Industry Sector Guidelines

A. World Bank Group General Environmental, Health and Safety and Industry Sector Guidelines

http://ifc.org/ehsguideline

The following guidelines for forestry and agribusiness sectors should be adapted with commensurate/proportional measures based on scale and scope of the SSF activities and investments since these guidelines are meant for IFC investments rather than small-scale or community-based activities (although these may in some cases be equivalent to commercial activities).

WBG Guidelines for Forest Harvesting Operations:


WBG Guidelines for Annual Crop Production:

https://www.ifc.org/wps/wcm/connect/c6f002804c3c4596bb44bfd8bd2c3114/Annual+Crop+Production+EHS+Guidelines_2016+FINAL.pdf?MOD=AJPERES

B. Plantation Developments

The codes of practice for plantation developments aim to increase income of the community and farmers, generate additional employment and help eradicate poverty in the rural areas by promoting the management of productive, profitable and sustainable plantation forests. This environmental protection guideline is prepared to ensure that forest plantations supported by the ERP are designed and managed to achieve the highest level of productivity and financial viability with the least possible negative impacts on local communities and the natural environment.

The most important pre-requisite to a successful plantation project is clear definition of management objectives, including the following:
expected outcomes in terms of levels of productivity, rotation age and final products; the rehabilitation and maintenance of land productivity; soil and watershed protection; habitat conservation and restoration; and community participation and improved livelihoods.

The main objective for project activities under the ERP is to develop and manage productive and profitable forest plantations in a sustainable manner.

Environmental protection measures are incorporated into the following plantation management activities: site selection and landscape level planning and plantation design, site preparation, plantation establishment, tending, pest management, fire prevention and control, harvesting and access tracts improvement and maintenance.

1. Site Selection

Areas for commercial plantation forests must be carefully selected to ensure high productivity and profitability to farmers, and to avoid adverse impacts to the local community and to the natural environment. The forest plantation areas must be consistent with the spatial plan. The criteria for site selection are shown in the table below.

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Forestland classification</td>
<td>Production forestland</td>
</tr>
<tr>
<td>Vegetative cover</td>
<td>1) Only bare lands will be used for plantations.</td>
</tr>
<tr>
<td></td>
<td>2) Forest plantations of low quality.</td>
</tr>
<tr>
<td></td>
<td>3) Avoid projects in HCV forest or areas with important ecosystem services</td>
</tr>
<tr>
<td>Slope</td>
<td>Not more than 25° in slope</td>
</tr>
<tr>
<td>Accessibility</td>
<td>Plantation sites must be within 2 km of existing all-weather roads.</td>
</tr>
<tr>
<td>Soil conditions</td>
<td>Soil type other than laterite or sterile coastal sand, soil depth above 30 cm, pH above 4, and soil composed of less than 40% stones and coarse fragments.</td>
</tr>
<tr>
<td>Existing land use</td>
<td>Not used for food production, grazing of livestock, production of Non-Timber Forest Product so as not to</td>
</tr>
</tbody>
</table>
### Criteria

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
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<tbody>
<tr>
<td></td>
<td>compromise food security and other critical household needs.</td>
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<tr>
<td></td>
<td>Area has no cultural or spiritual significance.</td>
</tr>
<tr>
<td>Land allocation</td>
<td>Land categorized by the spatial plan (national or local/regional) as land specified for other use (APL – Area Penggunaan Lain).</td>
</tr>
</tbody>
</table>

2. **Plantation Planning**

The Landscape Plantation Planning will be used for all forest plantation areas. This is to ensure that stream banks are protected, and access tracts, fire breaks and fire lines are planned to benefit plantation projects. The landscape plantation plan:

1) Defines areas for biodiversity conservation, stream bank protection, access tracts, fire breaks and poor areas that are unsuitable for commercial forest plantations;

2) Guides plantation owners on appropriate plantation models, suitable species, intercropping and other information necessary to prepare simple and practical individual forest plantation management plan.

3) Can be used to obtain forest certification.

The Landscape Plantation Plan must include the following basic considerations and which are properly delineated on a plantation plan map:

1. **Slope and plantation operability:**

   No production plantations shall be allowed on slopes exceeding 25° for reasons of both slope instability and low productivity. Slopes between 20° – 25° should have lower than normal planting densities, 4 x 2 m or 1,100 trees per ha, to limit site disturbance during site preparation, planting, tending and harvesting. Where site is suitable, such areas may be planted to valuable timber species.

2. **Buffer zone protection:**

   Buffer zone protection of reservoirs, entrenched streams, drainage canals where natural vegetation will be retained, no clearing or ground disturbance will be allowed during plantation establishment, and no clear cutting of trees will be allowed. Native vegetation in the buffer zone may be established through Assisted Natural Regeneration (ANR) techniques supplemented by the planting of ecologically important trees and other plants such as those eaten by birds and other wild animals or economically important species like bamboo (for poles), *Canarium album*

The recommended buffer zone protection for rivers that have no embankments, and located at rural areas (outside of cities) will refer to the Ministry of Public Works No. 28/PRT/M/2015 regarding Buffer Zone Protection for Rivers and Lakes, article 6, as follows:

1. Large rivers having watershed area of $> 500 \text{ km}^2$, at least 100 m of buffer zone from the edges of the river along the length of the river;

2. Small rivers having watershed area of $\leq 500 \text{ km}^2$, at least 50 m of buffer zone from the edges of the river along the length of the river.

3) Eroded areas:

Badly eroded areas characterized by deep gullies and land slips in road cuts and plantations will be stabilized using appropriate vegetative and structural soil control measure.

4) In-plantation biodiversity:

Plantations are not forests; they are much more like agricultural systems and have many of the same risks and uncertainties. Plantations can be made more like natural systems by incorporating diversity (of genetic materials, species, age classes and spatial structure at the landscape-level) to improve the ecological stability and resilience that limits the risk of failure and reduces the necessity for artificial inputs to these simplified ecosystems. All plantations over 50 ha should consist of several sub-compartments, the size and number of which will depend on the scale of the plantation, comprising different tree ages (to promote structural diversity), different species of indigenous and exotic trees, different genotypes within species, and residual indigenous natural vegetation types. Wherever practical given the scale of the plantation, design and layout should promote the protection, restoration and conservation of natural communities. This can be accomplished by utilizing wildlife corridors, retention of native tree species, stream protection corridors, sanitation and fire breaks of native vegetation and a mosaic of different age and rotation periods to mimic the landscape patterns of natural forest communities.

5) Access provisions:

Landscape plantation design must show the location of existing roads, access tracks and trails that may be used for transporting seedlings and other plantation inputs, as well as in fire prevention and control. Additional access tracks may need to be constructed for eventual product extraction.

6) Fire breaks:
The Landscape Plantation Design must provide for the location, specifications, construction and maintenance of fire breaks and fire lines. The design must maximize the use of the buffer zones in streams and drainage canals, other native vegetation, as well as roads and access tracks.

7) Poor sites:

Poor sites within the plantation block such as those with very shallow top soil, very stony areas, or areas with over 25 degrees n slopes which are unsuitable for commercial plantation forests should be delineated and earmarked for rehabilitation using assisted natural regeneration and other afforestation techniques that promote the growth of native species. This may be supplemented by planting leguminous species such as Tephrosia candida and other local species.

3. Site Preparation

Site preparation are activities done before planting to improve existing site conditions and enhance survival and promote fast initial growth of planted seedlings. This includes vegetation clearance to reduce competition and fire risks, hole digging to improve soil structure and enhance root growth, and basal fertilization to increase soil fertility.

1) Vegetation clearance

Environmental protection guidelines to be followed are the following:

- Broadcast burning cannot be used as a tool of site clearing and site preparation; vegetation must be cleared by hand or machine.
- Avoid comprehensive vegetation clearance on sloping areas. Clear vegetation in strips or on spots.
- Debris in vegetation clearance should be retained on site as source of nutrients and to provide soil cover and help in reducing soil erosion.
- Mechanical extraction of tree stumps and roots will not be allowed on sloping areas; only on flat terrain.
- Full cultivation will be allowed only on flat or slightly sloping terrain below 15 degrees. Between, 16 to 20 degrees slope, cultivate in alternate strips. No cultivation is allowed beyond 20 degrees.

2) Digging of planting holes

- Planting holes should not be excavated during the period of heavy rainfall.
- Back-fill the hole immediately as soon as possible to keep the loosened soil inside the hole and minimize soil erosion.
o In sloping terrain, dig planting holes along the contour and in fish scale-like pattern.

3) Basal fertilization
   o Apply basal fertilizer on the hole; broadcast application is not allowed.
   o Use a container not bare hands in handling fertilizer.
   o Record the kind, dosage and date of fertilizer application.

4. **Intercropping**

Any intercropping activities on sloping plantation sites should be carried out along the contour. No intercropping will be allowed on slopes over 20 degrees and intercropping of root or tuber crops will not be permitted over 15 degrees.

5. **Tending**

Weeding should be limited to what is absolutely necessary to maintain high survival and fast growth of planted seedlings, employing spot weeding around the base of the seedlings, and slashing of vegetation in other areas, so as to maintain ground cover. Vegetation debris from weeding and slashing should be left on site as mulch.

Conduct singling during the dry season, when trees are about 4-6 months old and stems are still small. Do not conduct singling without the proper tools.

Pruning is required only on plantations that aim to produce saw logs. It is not necessary if the final product is pulpwood. It is also not necessary on species with good natural self-pruning characteristics like Eucalyptus urophylla. It will be applied only on selected trees that will constitute the final crop (saw logs). As in singling, prune only with the proper pruning equipment, never a knife. Make a clean and straight cut at the outer edge of the branch collar. The branch collar must not be injured since this is where the healing process starts. Cut pruning debris into shorter pieces and spread them evenly in the plantation.

Thinning, as in pruning, is performed only on plantations where the objective is to produce saw logs. Moreover, thinning is recommended only on good sites where the yield is high enough to warrant additional investments in thinning and pruning. Conduct thinning when canopy begins to close and competition for light begins. After selecting the trees to be retained, cut all others but with care so as not to injure the retained trees.

After removing any usable stems, chop the thinning debris into shorter pieces and spread evenly on the area.

6. **Fire Prevention and Control**
Forest fire prevention and control activities must be an integral part of the operational plan for the plantation area. Such plans should establish a fire control organization, defined roles and responsibilities, and detailed prevention, public education, patrolling, enforcement and fire response programs.

In each plantation area, reduce amount of fuel in the plantation through timely and effective weed control. Cut debris in weeding, pruning and thinning to small pieces, and pile them in between tree rows. Compress the pile low by pressing or stepping on it.

If plantation is adjoining grassland or other fire prone areas, construct fire breaks of at least 10 meters wide along the boundaries, at the onset of the dry season.

7. **Access Tracks**

Access within plantation blocks will be limited to that necessary to transport planting materials to the site and to extract products from primary landings in the plantations to secondary landings at the road. Such tracks should be wide enough for motorcycles and or small tractors. Plantation block plans must show how the site is to be accessed; including details on location, design, construction and maintenance.

All roads and access tracks must be properly located, designed, constructed and maintained. Roads and trails must be constructed according to acceptable engineering standards and shall have regular maintenance. Detailed access guidelines should be prepared early in subproject implementation and may include design considerations such as the following:

1) primary extraction from felling site to the first landing at trackside will be by human labor or draft animals, depending on the size of product (i.e. fuel/pulp wood vs sawlogs);
2) density of secondary extraction tracks shall be the absolute minimum consistent with the practical distances of primary extraction;
3) tracks will be permitted to encroach into stream protection corridors only at points of crossing, which must be in areas of stable, moderate terrain;
4) stream crossings should be rock-stabilized drifts; culverts should be employed only in extreme cases where drifts are not practical;
5) tracks shall have a maximum width of 3 m, a maximum favorable grade of 15 degrees and a maximum adverse grade of 10 degrees;
6) cut and fill slopes must be avoided wherever possible;
7) no yarding of logs or other products will be permitted on the surface of tracks;
8) track rights-of-way will be lightly slashed and vegetation cover will be maintained on the running surface wherever possible;
9) all tracks on side-slopes shall be out-sloped or equipped with water-bars to disperse water onto stable areas down slope; and

10) tracks will be inspected regularly during rainy periods in the first three years after construction and during periods of active use, and immediate maintenance action taken to correct problems of drainage or erosion.

8. **Plantation Harvesting**

Harvesting of trees and other products shall not result in long-term soil degradation or adverse impacts on water quality and watershed hydrology. All logging operations must be strictly supervised and enforced by DARD/DFD. For slopes over 15 degrees, logging coupes shall not exceed 10 ha with at least 60 m between adjacent coupes logged the same year. For slopes less than 15 degrees, logging coupes shall not exceed 20 ha, with at least 30 m between adjacent coupes felled the same year. Ground vegetation shall be preserved as far as possible during logging and the site shall be re-planted in the year following logging.

C. **Small Construction Works**

This ECOP is to be applied for projects involving small works

1. **Objectives**

This ECOP is prepared to manage small environmental impacts involving construction works. The ECOP will be a mandatory part of construction contract or bidding documents so that contractor complies with environmental covenants. The project owner and construction supervisors will be responsible for monitoring of compliance with ECOP and preparing the required reports.

The PMU is responsible for ensuring that the ECOP is effectively implemented. The PMU will assign a qualified staff to be responsible for checking implementation compliance of Contractors, and include the following: (a) monitoring the contractors’ compliance with the environmental plan, (b) taking remedial actions in the event of non-compliance and/or adverse impacts, (c) investigating complaints, evaluating and identifying corrective measures; (d) advising the Contractor on environment improvement, awareness, proactive pollution prevention measures; (e) monitoring the activities of Contractors on replying to complaints; (f) providing guidance and on-the-job training to field engineers on various aspects to avoid/mitigate potential negative impacts to local environment and communities during construction.

The Contractor is responsible for carrying out civil works and informs PMU, local authority and community about construction plan and risks associated with civil works. As such, contractor is responsible for implementing agreed measures to mitigate environmental risks associated with
its civil works. The Contractor is required to obey other national relevant legal regulations and laws.

2. **Contractor’s Responsibilities**

The following table is an example and is not necessarily a full treatment of all requirements for a specific subproject. For example, there might be requirements for developing an environmental impact assessment (AMDAL or UKL-UPL) and/or reason to have contractor deal with sexually transmitted diseases, medical and hazardous waste s (e.g., oil from vehicle repair and similar, fuel spills etc.).

<table>
<thead>
<tr>
<th>Issues/Risks</th>
<th>Mitigation Measure</th>
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</table>
| 1) Dust generation/ Air pollution | The Contractor implement dust control measures to ensure that the generation of dust is minimized and is not perceived as a nuisance by local residents, maintain a safe working environment, such as:  
Water dusty roads and construction sites;  
Covering of material stockpiles;  
Loads covered and secured during transportation to prevent the scattering of soil, sand, materials, or dust;  
Exposed soil and material stockpiles shall be protected against wind erosion. |
| 2) Water pollution          | Portable or constructed toilets must be provided on site for construction workers. Wastewater from toilets as well as kitchens, showers, sinks, etc. shall be discharged into a conservancy tank for removal from the site or discharged into municipal sewerage systems; there should be no direct discharges to any water body.  
Wastewater over permissible values set by Government of Indonesia standards/regulations must be collected in a conservancy tank and removed from site by licensed waste collectors.  
At completion of construction works, water collection tanks and septic tanks shall be covered and effectively sealed off. |
<p>| 3) Drainage and sedimentation | The Contractor shall follow the detailed drainage design included in the construction plans, to ensure drainage system is always maintained cleared of mud and other obstructions. |</p>
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<tr>
<th>Issues/Risks</th>
<th>Mitigation Measure</th>
</tr>
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<tbody>
<tr>
<td>Areas of the site not disturbed by construction activities shall be maintained in their existing conditions.</td>
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<td>At all places of work, the Contractor shall provide litter bins, containers and refuse collection facilities. Solid waste may be temporarily stored on site in a designated area approved by the Construction Supervision Consultant and relevant local authorities prior to collection and disposal. Waste storage containers shall be covered, tip-proof, weatherproof and scavenger proof. No burning, on-site burying or dumping of solid waste shall occur. Recyclable materials such as wooden plates for trench works, steel, scaffolding material, site holding, packaging material, etc. shall be collected and separated on-site from other waste sources for reuse, for use as fill, or for sale. If not removed off site, solid waste or construction debris shall be disposed of only at sites identified and approved by the Construction Supervision Consultant and included in the solid waste plan. Under no circumstances shall the contractor dispose of any material in environmentally sensitive areas, such as in areas of natural habitat or in watercourses.</td>
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<td>4) Solid waste</td>
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<tr>
<td>6) Chemical or hazardous wastes Used oil and grease shall be removed from site and sold to an approved used oil recycling company. Used oil, lubricants, cleaning materials, etc. from the maintenance of vehicles and machinery shall be collected in holding tanks and removed from site by a specialized oil recycling company for disposal at an approved hazardous waste site. Unused or rejected tar or bituminous products shall be returned to the supplier's production plant. Store chemicals in safe manner, such as roofing, fenced and appropriate labeling.</td>
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<td>7) Disruption of vegetative cover Areas to be cleared should be minimized as much as possible.</td>
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<tr>
<td>Issues/Risks</td>
<td>Mitigation Measure</td>
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</table>
| and ecological resources | The Contractor shall remove topsoil from all areas where topsoil will be impacted on by rehabilitation activities, including temporary activities such as storage and stockpiling, etc; the stripped topsoil shall be stockpiled in areas agreed with the Construction Supervision Consultant for later use in re-vegetation and shall be adequately protected.  
The application of chemicals for vegetation clearing is not permitted.  
Prohibit cutting of any tree unless explicitly authorized in the vegetation clearing plan.  
When needed, erect temporary protective fencing to efficiently protect the preserved trees before commencement of any works within the site.  
The Contractor shall ensure that no hunting, trapping shooting, poisoning of fauna takes place. |

| Traffic management | 8) Traffic management Before construction, carry out consultations with local government and community and with traffic police.  
Significant increases in number of vehicle trips must be covered in a construction plan previously approved. Routing, especially of heavy vehicles, needs to take into account sensitive sites such as schools, hospitals, and markets.  
Installation of lighting at night must be done if this is necessary to ensure safe traffic circulation.  
Place signs around the construction areas to facilitate traffic movement, provide directions to various components of the works, and provide safety advice and warning.  
Employing safe traffic control measures, including road/rivers/canal signs and flag persons to warn of dangerous conditions.  
Avoid material transportation for construction during rush hour.  
Signpost shall be installed appropriately in both water-ways and roads where necessary. |
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<tr>
<th>Issues/Risks</th>
<th>Mitigation Measure</th>
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</thead>
<tbody>
<tr>
<td>9) Interruption of utility services</td>
<td>Provide information to affected households on working schedules as well as planned disruptions of water/power at least 2 days in advance. Any damages to existing utility systems of cable shall be reported to authorities and repaired as soon as possible.</td>
</tr>
<tr>
<td>10) Restoration of affected areas</td>
<td>Cleared areas such as disposal areas, site facilities, workers’ camps, stockpiles areas, working platforms and any areas temporarily occupied during construction of the subproject works shall be restored using landscaping, adequate drainage and re-vegetation. Trees shall be planted at exposed land and on slopes to prevent or reduce land collapse and keep stability of slopes. Soil contaminated with chemicals or hazardous substances shall be removed and transported and buried in waste disposal areas.</td>
</tr>
<tr>
<td>11) Worker and public Safety</td>
<td>Training workers on occupational safety regulations and provide sufficient protective clothing for workers in accordance with applicable Government of Indonesia laws and regulations. Install fences, barriers, dangerous warning/prohibition site around the construction area which showing potential danger to public people. The contractor shall provide safety measures as installation of fences, barriers warning signs, lighting system against traffic accidents as well as other risk to people and sensitive areas. If previous assessments indicate there could be unexploded ordnance (UXO), clearance must be</td>
</tr>
<tr>
<td>12) Communication with local communities</td>
<td>The contractor shall coordinate with local authorities (leaders of local communes, leader of villages) for agreed schedules of construction activities at areas nearby sensitive places or at sensitive times (e.g., religious festival days). Copies in Indonesian language of these ECOPs and of other relevant environmental safeguard documents shall be made available to local communities and to workers at the site. Disseminate subproject information to affected parties (for example local authority, enterprises and affected households, etc)</td>
</tr>
<tr>
<td>Issues/Risks</td>
<td>Mitigation Measure</td>
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<td>through community meetings before construction commencement.</td>
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<tr>
<td>Provide a community relations contact from whom interested parties can receive information on site activities, subproject status and subproject implementation results.</td>
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<tr>
<td>Inform local residents about construction and work schedules, interruption of services, traffic detour routes and provisional bus routes, blasting and demolition, as appropriate.</td>
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<tr>
<td>Notification boards shall be erected at all construction sites providing information about the subproject, as well as contact information about the site managers, environmental staff, health and safety staff, telephone numbers and other contact information so that any affected people can have the channel to voice their concerns and suggestions.</td>
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<tr>
<td>13) Chance find procedures</td>
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<tr>
<td>If the Contractor discovers archeological sites, historical sites, remains and objects, including graveyards and/or individual graves during excavation or construction, the Contractor shall:</td>
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<tr>
<td>Stop the construction activities in the area of the chance find;</td>
<td></td>
</tr>
<tr>
<td>Delineate the discovered site or area;</td>
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<tr>
<td>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 or the Department of Culture and Information takes over;</td>
<td></td>
</tr>
<tr>
<td>Notify the Construction Supervision Consultant who in turn will notify responsible local or national authorities in charge of the Cultural Property of Viet Nam (within 24 hours or less);</td>
<td></td>
</tr>
<tr>
<td>Relevant local or national authorities would be 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. The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage; those include the</td>
<td></td>
</tr>
<tr>
<td>Issues/Risks</td>
<td>Mitigation Measure</td>
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<td>----------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
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<tr>
<td>aesthetic, historic, scientific or research, social and economic values;</td>
<td>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;</td>
</tr>
<tr>
<td></td>
<td>If the cultural sites and/or relics are of high value and site preservation is recommended by the professionals and required by the cultural relics authority, the Program Owner will need to make necessary design changes to accommodate the request and preserve the site;</td>
</tr>
<tr>
<td></td>
<td>Decisions concerning the management of the finding shall be communicated in writing by relevant authorities;</td>
</tr>
<tr>
<td></td>
<td>Construction works could resume only after permission is granted from the responsible local authorities concerning safeguard of the heritage.</td>
</tr>
</tbody>
</table>

**D. Agro-Forestry**

1. To participate in providing policy provisions to provide incentive to farmers adopting agro forestry (such as, land control or credit) and mitigate financial risks related to interventions, if possible. Threat of decreased firewood availability may not be an adequate incentive for the farmers to grow trees. Farmers are often as interested in other wood products as they are in non-wood products (such as construction poles, fruits or medicines);

2. To train farmers and field staff utilize field intervention, Training shall also include field visits by farmers and field staff to promising livelihood activities;

3. To build a partnership between the project and farmers. Farmers should have an opportunity during project identification and implementation process to convey their needs and choice in relation to biological and social economic interventions;

4. To develop a mechanism that enables farmers to cover operational costs, maintain control over trees, and receive technical advice. A revolving fund, association coordination or annual gathering can ensure support to project beneficiaries.
E. Home Industry / Small Industry

1. To ensure that the management plan can answer the anticipated use of natural resources and potential environmental impacts. Issues that must be addressed in the management plan should include:
   a. Information on the area, scope and location of activity;
   b. Raw materials (namely, wood, drinking water, and fuel) and required storage facility;
   c. Types and distance of contaminating disposal;
   d. Evaluation of impacts of industrial activities;
   e. Availability of disposal channel;
   f. Placement and disposal of solid waste.

2. Monitor and diminish losses from environmental impact in each process of production.

3. Ensure that the financed activities do not use, produce, store or relate to hazardous substances (toxic, rust or explosive) or substances resulting in “B3” waste (Toxic and Hazardous Substances) (as recorded in the list of Negative Protection regulations).

F. Farming

Animal droppings can maintain the fertility of soil and replace soil nutrition when collected and treated accordingly. On a contrary, uncontrolled droppings can pollute water and endanger human’s or animal’s health. For instance, dropping bacterial organisms can pollute drinking water supplies with nitrate. Animals’ droppings can be managed by:

   Preventing the rainfall from entering, irrigation and surface water nozzle into animals pen and storage facilities;
   Preventing keeping too many animals in a pen;
   Shoveling/removing droppings from the breeding pens;
   Covering droppings with absorbent materials;
   Removing lumps of droppings / animals droppings;

Complaints of odor from a farm can be minimized by:

   For a sensitive environment, choosing a location and design of a farm prudently with adequate distance between supports;
   Taking into consideration the existing direction of the wind, especially during dry season;
Optimizing frequency of cleaning of pens;
Maintaining dust at low level since the odor is absorbed and carried by granules of dust;
Number of animals should not exceed the recommended density;
Ventilation that can maximally shed the odor during cleaning of pens;
Utilizing solid vegetation as support partition to circulate air flow (to disintegrate odor), filter dust and relocate odor from sensitive areas;
Placing halls of pens thoroughly, in relation to the direction of disposal of odor;
Collecting droppings and manure under a weather-resistant cover, before relocating the droppings and manure from the location; and
Utilizing healthily formulated livestock feed.

G. Fishery
1. Conditions of fish cultivation

Characteristics of good fish:

a) Shape: good shape
b) Color: bright and glossy
c) Scale: no sign of loss of scale
d) Movement: active and showing normal movement
e) Reflex: trying to escape when touched
f) Feeling: slick texture

Transportation of fish:

a) Fish can be transported in a plastic or polyethylene container and open container such as drum, aluminum filled with oxygen.

b) Support power of container / beg depends on

- Size and health condition of fry
- Distance and time used
- Water temperature
- Availability of dissolved oxygen
c) Normally 8.000 – 10.000 fry (10 and 5 cm) can be transported in a drum (200 liter) for 12 – 14 hours

d) The following table can help plan the transportation of fry for 5 – 6 hours

<table>
<thead>
<tr>
<th>Size</th>
<th>Type of material of container</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>30 liter capacity</td>
</tr>
<tr>
<td></td>
<td>Total</td>
</tr>
<tr>
<td>Spawn</td>
<td>50000</td>
</tr>
<tr>
<td>1 - 2 cm</td>
<td>3000</td>
</tr>
<tr>
<td>2 - 3 cm</td>
<td>200</td>
</tr>
<tr>
<td>10 - 15 cm</td>
<td>100</td>
</tr>
</tbody>
</table>

Ways to keep fish alive:

a) Check the quality of soil and water of the embankment before releasing the fry

b) Ensure the embankment is free from:

- Grass and predator fish
- Molluscs / barnacle
- Predators such as snakes, frogs, birds, insects, and so on

c) Ensure that fry is placed in different ponds according to age and size groups

d) Ensure the availability of fish natural fodder

e) Use healthily formulated additional fodder

2. Conditions for equipment to catch fish:

a) Type and size of the equipment must follow the regulations of Government of Indonesia (Minister of Marines and Fishery Affairs Regulation No. 71/PERMEN-KP/2016 regarding Fishing Areas and Placement of Fish Catching Devices in Indonesia Fisheries Management Zone)

- Jaring lingkar (surrounding nets);
- Pukat Tarik (seine nets);
- Pukat hela (trawls);
- Penggaruk (dredges);
- Jaring angkat (lift nets);
- Alat yang dijatuhkan (falling gears);
• Jaring insang (gillnets and entangling nets);
• Perangkap (traps);
• Pancing (hooks and lines);
• Alat penjepit dan melukai (grappling and wounding)

b) The equipment shall not cause damages to the environment; and
c) The equipment shall be made from environmental friendly materials

H. Tree saplings / vegetation seeds:
Tree saplings / vegetation seeds should be:
1. In good condition.
2. Healthy (free from diseases, fungus, bacteria, and virus).
3. Buds and roots are well grown.
4. Local original species.
5. Legalized from its known origin or local source (if possible)

Storing of seeds should meet the following:
1. It should use bales / poly-bags for packaging
2. Moss bales/poly-bags need to be kept wet until usage
3. It should be stored in a cool storage with adequate ventilation
4. Cultivation may be immersed in cultivation solution prior to transportation
5. It should protect the seeds from overly hot or cold weather
6. To know the number of trees to be planted, one must know the following:
   • Areas that need to be planted; and
   • Placement of distance of seeds.

I. Community Timber Activities
ERP/Carbon Fund may support commercial harvesting operations only when, on the basis of the applicable social and environmental screening and assessment, it is determined that the areas affected by the harvesting are not critical forests or related critical natural habitats and that are no land use conflicts with local communities or indigenous peoples. Harvesting
operation by local communities under forest community management or under joint forest management arrangements are eligible to project support if: (a) have achieved a standard of forest management developed with meaningful participation of locally affected communities in a manner consistent with the principles outlined below; or (b) adhere to a time-bound action plan to achieve such standard:

1. compliance with relevant Indonesian laws;
2. recognition of and respect for any legally documented or customary land tenure and use rights as well as the rights of indigenous peoples and workers;
3. measures to maintain or enhance sound and effective community relations;
4. conservation of biological diversity and ecological functions;
5. measures to maintain or enhance environmentally sound multiple benefits accruing from the forest;
6. prevention or minimization of the adverse environmental impacts from forest use;
7. effective forest management planning;
8. active monitoring and assessment of relevant forest management areas; and
9. The maintenance of critical forest areas and other critical natural habitats affected by the operation.

ERP/Carbon Fund will not finance industrial scale-harvesting, i.e. carried out by firms (in opposition to local communities and forests operating under joint forest or community management). NEA, NSC and project proponents (CSOs/CBOs) will monitors all such operations with meaningful and documented participation of participating communities. All of the above requirements should be assessed, documented and reflected in the progress implementation reports of participating CSOs/CBOs.

J. Ecotourism

1. Strengthen the conservation effort for, and enhance the natural integrity of the ecotourism areas
2. Respect the sensitivities of local cultures
3. Be efficient in the use of natural resources (water, energy)
4. Ensure waste disposal has minimal environmental and aesthetic impact
5. Develop a recycling program
6. Keep abreast of current environmental issues, particularly of the local area
7. Network with other stakeholders (particularly those in the local area) to keep each other informed of developments and encourage the use of this Code of Practice

8. Endeavour to use distribution networks (e.g. catalogues) and retail outlets to raise environmental awareness by distributing guidelines to consumers

9. Support ecotourism education/training for guides and managers

10. Employ tour guides well versed and respectful of local cultures and environments

11. Give clients appropriate verbal and written education (interpretation) and guidance with respect to the natural and cultural history of the areas visited

12. Use locally produced goods that benefit the local community, but do not by goods made from threatened or endangered species

13. Never intentionally disturb or encourage the disturbance of wildlife or wildlife habitats

14. Keep vehicles to designated roads and tracks

15. Abide by the rules and regulations of natural areas

16. Commit to the principle of best practice

17. Comply with Government of Indonesia Regulation requirements

K. Village Spatial Planning

This is a simple guideline of Environmental and Social Code of Practices (ESCOP) for reference on the inclusion and consideration of good practices in environmental and social management in village planning process.

The village planning development may also generate indirect negative environmental and social impacts and the followings are the examples of potential impacts from the downstream activities of village development planning:

1. Affect local and IP communities;

2. Lead to future land acquisition and resettlement;

3. Require relocation of people that may have substantial social implications;

4. Require the use of natural resources unsustainably (for example: excessive extraction of groundwater, massive sand mining);

5. Lead to the increase of greenhouse gases emissions (for example: poor planning of the energy use or preference to fossil fuel);
6. Lead to increase the vulnerability of these investments to climate-related hazards and other natural hazards (earthquake, tsunami, etc.);

7. Lead to mismanagement of solid wastes and wastewater (for example: the absence of allocation for local landfill and local wastewater treatment);

8. Steer the concerns on sensitive sites within or in the periphery of the village or district (for example: cultural heritage sites);

9. Enable to generate other unidentified environmental and social risks and opportunities.

Specific for land use planning at the village level, the following issues are recommended to be considered and integrated into the planning process:

10. Has the development plan identified land with legacy issues (such as historical legal cases, contaminated soils, etc.) in the planning?

11. Has the development plan identified the need for land acquisition and the need for possible relocation of people and people’s assets in the downstream physical investment through participatory approaches in consultation?

12. Has the development plan identified the presence of indigenous peoples and designed the land use in village or district planning in a way that fosters full respect for Indigenous People’s dignity, human rights and cultural uniqueness?

13. Has the development plan identified the presence of physical cultural resources, designed without removal or alteration of any physical cultural resources and/or restriction of access of certain communities to such sites and included improvement in management and protection of physical cultural resources?

14. Has the development plan identified the areas vulnerable to climate-related hazards and other natural hazards (landslides, earthquake, tsunami)?

15. Has the development plan identified the areas with ecological values (such as forests) and designed the plan to include care and management of such areas?
Annex 6
Guideline Notes for Integrated Pest Management

Integrated Pest Management (IPM) refers to "careful consideration of all existing pest control techniques and subsequent integration of appropriate measures that hinder the development of pest populations and maintain pesticides and other interventions to economically justifiable levels, and reduce or minimize risks to human health and the environment. IPM emphasizes the growth of healthy plants with the least possibility of disruption to the agroecosystem and, encourages the mechanism of natural pest control".

This SSF project recognizes indigenous people and local communities' local wisdom in managing pests and will support communities to mainstream local knowledge into the ESMP. IPM is not a pest control method, but rather a series of assessments, decisions and controls for pest management. The following IPM elements need to be established in the development of the ESMP.

1. **Identifying and monitoring pests** - Not all insects, weeds, and other living organisms need control. Many organisms are harmless, and some are even useful. The IPM program works to monitor pests and identify them accurately, thus, appropriate control decisions can be made together with the action threshold. This monitoring and identification eliminate the possibility of pesticides usage when the pesticides are actually not needed, or the use of the wrong type of pesticide. In addition to pesticides, there may be other substances used including rodenticides, herbicides, and fungicides that should be considered.

2. **Establishing an Action Threshold** - Before carrying out pest control measures, IPM establishes the first action threshold, a point where pest populations or environmental conditions indicate that pest control measures must be carried out. The appearance of a single pest does not always mean that pest control is required. The degree to which pests pose an economic threat is very important to guide pest control decisions in the future.

3. **Prevention** - as the first pest control pathway, IPM programs work to manage plants, grass, or closed spaces to prevent pests from becoming a threat. In agricultural crops, this might mean using cultural methods, such as planting different plants alternately, choosing varieties that are pest resistant, and planting rootstock free of pests. This control method can run very effectively and save costs, and does not result in a risk to the community or the environment;

4. **Control** - After the threshold of monitoring, identification, and the threshold of action show that pest control is required, and prevention methods are no longer effective or available, the IPM program then evaluates appropriate control methods for effectiveness and risk. Effective and less risky pest management is chosen first, including highly targeted chemicals, such as pheromones to disrupt the pests breeding, or mechanical control, such as traps or weeding. If
monitoring, identification, and the threshold of further action show that less risky controls do not work, then additional pest control methods will be used, such as spraying targeted pesticides. Spraying non-specific pesticides is a last resort.

This project will not seek or use chemical pesticides and fertilizers that are classified as groups 1A or 1B by WHO and the Indonesian Government regulations. The SSF project will encourage the use of organic fertilizers for agricultural and agroforestry activities. However, because a small number of eligible pesticides can be purchased and used, the project will conduct screening at the project level and if it can be justified, assess the potential environmental and social impacts associated with their use, storage and disposal. This project will not finance any pesticides without clear guidance and monitoring from a security specialist or without targeted training on the use, storage and disposal or without the proper equipment and installation needed so that the product can be used safely and appropriately. If pesticides are to be used for project activities, the following criteria apply:

1. They must not have a detrimental effect on human health;
2. They must be proven effective in combating target species;
3. They must have minimal effects on non-targeted species and the natural environment. The method, time and frequency of applying pesticides aim to minimize damage to natural enemies. Pesticides used in public health programs must show that the pesticide is safe for residents and pets in the treated area, also for personnel who apply it;
4. Its use must take into account the need to prevent the development of pest resistance.

Relevant specialists at NPMU and/or local agricultural extension workers will provide technical assistance to the target farmer groups if they use pesticides:

1. Provide an assessment of the current relevant pest management practices;
2. Identify specific practices and conditions that can and should be corrected (e.g. calendar-based spraying, too toxic or inappropriate use of pesticides, failure to apply available non-chemical methods, inadequate farmer access to information on IPM, policy bias towards chemical control, lack of institutional capacity to implement IPM and control the pesticides use, etc.);
3. Ensure that workers utilize the correct protective equipment and communities (and potentially consumers of the products) are protected appropriately. Budgets for each specific sub-project pest and chemicals management provisions should be specified for inclusion in each ESMP.
4. Prepare steps and activities that must be taken in the project to improve the situation; provide a monitoring scheme to determine the effectiveness of these steps and make corrections if needed.

A “Chain of Accountability” approach where all stakeholders hold a clear responsibility for their role in pest management has shown to be most effective in pest management. At the sub-project level, the “Chain of Accountability” identifies the roles and responsibilities of the IPM coordinator, operation personnel, vendors/suppliers/pest management professionals, and community, as follows:

1. Sub-project Manager:
   - Adopt and maintain IPM policy
   - Appoints IPM Coordinator who is capable and competent
   - Provides budget for implementing IPM

2. IPM Coordinator:
   - Primary contact for all pest management matters
   - Point of contact between the sub-project and pest management professionals
   - Has authority to request the identification, procurement and application of pest management
   - Responsible for the day-to-day operation of the IPM
   - Determines what IPM practices are required
   - Evaluates and approving pesticides application
   - Maintains and implement the IPM plan
   - Aware of the laws and regulations governing pesticides
   - Disseminate information on IPM

3. Pest professionals:
   - Provide labels and SDS documents
   - Give specific recommendations to correct pest-conducive conditions
   - Facilitate proper posting and notification
   - Promote the appropriate least-hazardous methods to correct pest problems
   - Regular consultations with IPM coordinator

4. Community:
   - Be familiar with the signs and symptoms of pesticide poisoning
   - Express any concerns related to health and safety to the IPM coordinator
   - Receive information on use of pesticides from the sub-project manager

Annex 7

Chance Finds Procedure for Physical Cultural Resources

As physical cultural resources, both tangible and intangible, are irreplaceable and have intrinsic value towards the identity and existence of certain communities, dynamic efforts are required to maintain and develop the existence and function of cultural heritage. Indonesian Law No. 11/2010 concerning Cultural Heritage states that cultural heritage needs to be preserved and protected. The SSF project will not finance activities that adversely affect physical cultural resources, including the elimination or change of physical cultural property (including sites that have archaeological, paleontological, historical, religious, or unique values) and/or restrictions on access of certain communities to the site. However, in situations where project activities accidentally find cultural objects or property during their implementation such as (but not limited to) archaeological or historical locations, cultural remains or relics, burials or tombs during excavation or construction, farmer groups/communities must:

1. Stop the activities in the discovery area;
2. Describe the location or area found to KPH for follow-up;
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 or the District/Provincial Department of Education and Culture, or the local Institute of Archaeology if available to take over;
4. Prohibit the collection of relics by individuals and / or workers;
5. With support from community representatives, immediately notify local authorities;
6. Local authorities must protect and preserve the location before establishing the next program procedure. Every decision must be consulted with the community with information provided previously and carried out without pressure in connection with the management of cultural properties/sites found;
7. An archaeologist's evaluation of the findings may be needed to assess the significance of the findings on criteria relating to cultural heritage, including aesthetics, history, science or research interests, social science and economic value;
8. Decisions that can be jointly accepted must be made with the community and local authorities in connection with the inventions handling. This includes changes in project layout, conservation, maintenance, restoration and rescue (such as when discovering immovable historical ruins valuable culturally or archeologically);
9. The implementation of decisions relating to the management of these findings is submitted in writing to the community representatives and the local government offices related; and

10. Construction can be continued after approval of the community and local authorities responsible for protecting physical cultural objects.
Annex 8
Community Participation Framework

The Community Participation Framework (CPF) was developed to reduce the impact of the SSF project, especially those related to potential conflicts, both vertical conflicts with the government, conflicts with the private sector, and horizontal conflicts between fellow community members, both indigenous people and local communities. Through a participatory approach, related parties, indigenous people and local communities, government agencies, private communities and communities that are not beneficiaries around the project location are encouraged to play an active but appropriate role in the decision-making process in planning and implementing environmental and social safeguard frameworks, both directly and indirectly.

Guidance on the involvement of stakeholders and the community in the planning and implementation of the SSF project is extremely necessary, among others, to ensure that the rights and obligations of the stakeholders are fulfilled in accordance with the Environmental and Social Safeguards Framework, and to ensure that this framework is implemented in a transparent, effective, and accountable manner.

The objectives of community participation in this SSF project are as follows:

a. indigenous people and local communities get a full understanding of the potential negative environmental and social impacts;

b. indigenous people and local communities as the beneficiaries can obtain information about the planned SSF project from the start by meeting the requirements of public consultation and FPIC, which are carried out without pressure, as stated in Annex 10;

c. To prevent vertical and horizontal conflicts.

Participation when Developing an Activity Plan

Participation is required when indigenous people and local communities develop an activity plan through Social Forestry Enterprise Groups (KUPS). This is important to ensure that indigenous people and local communities have a strong sense of ownership when moving towards planned activities, after meeting the requirements of public consultation and FPIC, as seen in Annexes 10. A participatory process is also designed in such a way that it can help anticipate potential conflicts in the indigenous people and local communities’ circles and the required mitigation measures.
Project design must ensure that at least 30% of beneficiaries are women. Furthermore, the project must also target vulnerable groups, such as the poor and young people. The participatory process must involve as many women as possible and the representatives of vulnerable groups. Special measures to ensure their access to participate must be identified and carried out (for example, having women facilitators, having separate meetings and meeting times that suit women’s/other groups’ schedules, and adjustment to language and examples, as necessary). During activity planning, the participation process must include the following stages:

1. The Project Implementation Unit (PIU) / Forest Management Units (KPH) must provide preliminary information that clearly describes the scope of the SSF project, the opportunities offered and the benefits that indigenous people and local communities will experience if participating. This information must include explaining the Project negative list of activities that cannot be funded by the SSF project (Annex 3), as well as any more examples or items specific to each site/location, conveyed through a series of meetings with community groups and assistants in the region.

2. The assistants provide preliminary information that clearly describes the scope of the SSF Project, the opportunities offered and the benefits that indigenous people and local communities will get. The information submitted must emphasize the negative list of activities that cannot be funded by the SSF project.

3. Ensure that the information can reach all levels of society, including women, the poor, young people and other vulnerable groups.

4. Develop a decision-making mechanism that is tailored to local norms, habits, and traditions that will create interest for indigenous people and local communities’ members and institutions (such as women’s groups, youth or indigenous organisations) and enable them to propose ideas and plans to be developed in the context of SF, which the project may support. Such mechanisms need to be expanded from usual processes so as to involve more women and representatives from vulnerable groups such as the poor, young people, and others.

5. Facilitate the participatory planning process to ensure that opportunities offered under SSF will be in line with indigenous people and local communities’ aspirations, and to find ways to shape local proposals to be able to be supported in line with project criteria. Support indigenous peoples and local communities in utilising the negative list, and compiling information / assessment needed for the SF permit, business feasibility, and impact planning to prepare ESMPs for the sub-projects proposed. If there are impacts anticipated from the proposed activity, there is a need to consult potentially affected communities/groups in relation to mitigation measures. The evidence from the
consultation and the agreements reached must be properly documented in the ESMP.

6. If the activity is agreed but does not fully meet the requirements of the ESMF, the PIU must hold an extension clinic or provide special support to indigenous people and local communities and the assistants to help adjust the approaches, to enable their participation as much as possible.

**Participation during Implementation**

The projects must be implemented in a participatory manner with the main objective of preventing or managing potential conflicts, both vertically with the government and horizontally among community members, including indigenous people and local communities members who are not beneficiaries, or among indigenous people and local communities members as beneficiaries, including vulnerable groups, where a minimum of 30 percent are women.

Participatory processes, especially those relating to mapping (including the process of recognizing customary land in the context of filing customary forest schemes), are sensitive issues that will surely require special attention. Initiatives to map territories and seek recognition - a process initiated by indigenous people and local communities, and supported by the facilitators/assistants in FMU with project support - can help prevent long and protracted issues from escalating into further conflicts. Participation is directed to all achieve the key stakeholders’ acceptance and support of the proposed sub-projects, including but not limited to:

1. Indigenous people and local communities’ main representatives who joined Social Forestry Enterprise Group (KUPS) at the project location.
2. Other indigenous people and local communities’ key representatives around the project site.
4. Decision makers in the relevant government agencies, especially FMU, regional governments, other agencies, both the hands of the national government and relevant districts, and the provincial forestry service.
5. Private sector whose concession areas or nearby activities are related to indigenous people and local communities as beneficiaries.

Meanwhile, some basic principles support the participatory process for mapping and recognizing community land include:
1. The mapping process must fully adopt participatory mechanisms that are recognized by all parties, for example the Participatory Mapping Guidelines of JKPP (Participatory Mapping Networks);

2. The mapping process, especially indigenous territories, must be integrated into recognition mechanisms that are in accordance with the existing laws and regulations in order to obtain full support from interested parties (this can be ensured by the participation of the SF Working Group (pokja).

3. All policy and related project activity processes related to the recognition of indigenous territories are carried out by involving competent people, which may include local or national experts in indigenous customs and law, trusted community figures (such as religious leaders or local academics), and is overseen by project safeguard specialists.

4. All agreements reached during the participatory process must be documented, attached to the attendee lists, and presented in government and project activity reports.

5. Participatory processes must be guided by a team of facilitators or facilitators who understand the needs and aspirations of indigenous people and local communities beneficiaries, but can objectively accommodate the views and opinions of all parties to prevent and/or manage potential vertical and horizontal conflicts. In practice, this may mean the SF Working Group, supported by specialists as outlined in point 3 above.

In addition to mapping, including mapping and recognition of customary land, a participatory approach is also applied to the necessary preparations related to social forestry permits for local communities and business development/community-based business. This process is primarily aimed at managing horizontal conflict among indigenous people and local communities’ members, increasing the effectiveness/efficiency of activities, and ensuring fair and equitable distribution of benefits for all indigenous people and local communities’ members, including vulnerable groups, of which at least 30 percent are women.

In this participatory process, the main stages are as follows:

1. Submit the initial information about the scope, objectives and opportunities for business development programs/community-based business that will be implemented.

2. Conduct a more in-depth participatory assessment of whether the planned business development activities/community-based business will affect the environment as well as social economics, norms and culture, or will be compatible with IPLC's social capital and aspirations.

3. Develop a mitigation action plan, if negative impacts are anticipated. If required by local
legislation, mitigation measures must be specified in the UKL/UPL document (Environmental Management and Monitoring) or Letter of Commitment of Environmental Management and Monitoring to obtain environmental permits. This permit is a requirement for carrying out activities in the field.

4. Through a participatory approach, the activities which will be carried out within a certain period of time are planned with a clear schedule. In practice this will be synonymous or coherent with the Forest management Plan and Business Development Plans in the SF guidelines.

5. Delegate roles in carrying out activities. Periodically monitor and evaluate the implementation of participatory activities.
Annex 9
Gender Mainstreaming in Social Forestry: Guidelines

Source: Mutmainah Korona (2017)

This summary is written collaboratively by Setapak Sikola Mombine team and Dr. Golar (University of Tadulako) and is organized into five sections as follows: 1) Introduction, 2) Gender in Social Forestry, 3) Gender Integration in Social Forestry Scheme, 4) Principle in Social Forestry, and 5) Monitoring and Evaluation.

Section I, the Introduction section serves as an overall introduction to the guidelines. It provides basic gender construction including the difference between sex and gender. Sex describes the biological or physiological differences between male and female and those are universal and are determined at birth. While gender is a social attribute and opportunities associated with being male and female. Gender has become a concern for the Government of Indonesia since 1984 as shown in the National Policy (Undang – undang No. 7 tahun 1984) and has been transformed into an effort as covered in Instruksi Presiden Nomor 9 Tahun 2000. One of the Indonesian national policies to reduce the rate of deforestation and forest degradation is through Social Forestry scheme under Reformasi Agraria.

In the context of Central Sulawesi, 31% of local communities reside within forested area. And from that percentage, more than 400,000 are women. This group has knowledge on silviculture, Non-Timber Forest Products (traditional medicine), and food supply harvested from the forest. However, their role and access in Social Forestry is less acknowledged and ignored. This mainstreaming guide is useful for POKJA Perhutanan Sosial Provinsi Sulawesi Tengah, Organisasi Perangkat Daerah Provinsi Sulawesi Tengah which is responsible to implement the related programs. This guideline aims at strengthening the implementation of policy related to gender mainstreaming within provincial government, planning and budgeting, monitoring and evaluation under Social Forestry scheme.

Section II, gender is a complicated subject as there are many social aspects (i.e., religion, political choice) and cultural facets (i.e., patriarchy) to consider and thus it varies in times and regions. Gender mainstreaming is a strategic process towards the realization of gender equity and gender equality. Gender equity and gender equality occurs when women participate equally with men as acknowledged under human right and they receive an equal opportunity to express their potentials in any of life sectors. Gender equality is achieved through cultural and policy process in distributing role and responsibility between man and woman, and never use the elaborated differences mentioned in Section I as a ground for discrimination. Gender mainstreaming integrates a set of strategy in development of institution, program and policy, as well as partnership with external parties. Approaches used for gender mainstreaming are technocratic and participatory. The difference between those approaches lies in the involved actors (Milward et al., 2015).

Political implementation of gender mainstreaming in Indonesia such as Instruksi Presiden Nomor 9 Tahun 2000, Manual Pedoman Pelaksanaan Pengarusutamaan Gender dalam Pembangunan National (2002), RIPNAS 2000-2004, and ultimately supporting global SDG’s agenda with no discrimination. Woman is clearly close to nature psychologically and philosophically (Moore, 1998). However, right and access to forest is still dominated by man (e.g., number of POKTAN is less for woman, composition of woman participated in Social Forestry is much less than man, woman has no right to make decision on the adoption of forest management and the related technical activities).
In Section III, the implementation of gender mainstreaming specifically in planning and budgeting is elaborated. There are four tools used in Gender Mainstreaming that is acknowledged by the Government of Indonesia: 1) Gender Analysis Pathway (Instruksi Presiden Nomor 9 Tahun 2000 tentang Pelaksanaan Pengarusutamaaan Gender dalam Pembangunan Nasional), 2) Sex-Disaggregated Data, 3) Integration of Gender Mainstreaming in Budget Plan, and 4) Integration of Gender Mainstreaming in Budgeting. It is fundamental to elaborate three main requirements including gender integration in the proposal development for Social Forestry to guarantee an approval from the Indonesian Ministry of Environment and Forestry. In general, those three main requirements are 1) Formal Group of Community (Koperasi, BUMD, Lembaga Desa, Lembaga Adat), 2) Biophysical, socio-economic description, and demographic, 3) Map for the proposed location in a scale of 1:50.000. While the description on the integration of gender activities varies specifically in respond to the proposed type of Social Forestry scheme (Hutan Adat, Hutan Desa, Hutan Kemasyarakatan, Hutan Tanaman Rakyat, Kemitraan Kehutanan). The list for integration of gender activities is divided into two time frame: 1) Period of proposal and granting of concession (pages 34-37), 2) Implementation period of Social Forestry program (pages 38-40).

Section IV identifies the main principles for implementation of Social Forestry which range from Safeguard, Free and Prior Informed Consent (FPIC), Ecology, and Sustainable Economy. The first two principles are aimed to respect, protect (or guarantee), and fulfill the right of participated communities (FPIC is specifically designated for the indigenous community). Social Forestry should take ecology as a continuous consideration for sustainable development run by multi-stakeholder at multi-regions. Synergy between economy, social, and ecology is fundamental to meet the needs of current generation and to morally fulfill the right of future generations.

The final step of gender mainstreaming is monitoring and evaluation as discussed in Section V. Monitoring is an internal and continuous communication process to compile and analyze data and information in term of its progress, impact, benefit, and problem emerging from the implemented program or policy. Two approaches applied for gender mainstreaming in Social Forestry are through budgeting and impact analysis. Budgeting approach is standardized and follows the financial regulation on each region. The second approach gives opportunity for the communities to assess and discuss the result from gender mainstreaming in several aspects (i.e., revenue, capacity, social relation, strengths and challenges).
Annex 10
Guidelines on Free, Prior and Informed Consent (FPIC)

The GoI is a signatory of the UN Declaration on the Rights of Indigenous Peoples (UNDRIP) where Free, Prior and Informed Consent (FPIC) is required when the Program affects Indigenous Peoples. The SSF Project will undertake meaningful consultations and ensure stakeholder participation for all the Project components. During project screening, communities, village heads, customary leaders, and local authorities are consulted about benefits and potential impacts. A Social Assessment will be conducted within target areas where potential impacts on the communities and their land and other resources are identified.

As part of the SSF Project implementation, the GoI will ensure that the program seeks to ensure Free, Prior and Informed Consent (FPIC) for project activities that may impact on forest dependent peoples, including Indigenous Peoples and/or Masyarakat Adat. FPIC represents a sequential process as a result from free, prior and informed consultations required as part of ESS7 and these consultations shall precede any activities under the Program that may impact these communities.

A series of consultations both in the form of public consultation meetings and informal consultations will be conducted prior to implementation of specific interventions under the SSF Project. These consultations will assess whether there is broad support from the communities or rejection. Decisions to proceed with activity implementation will be made based on these consultation and engagement processes.

In the process, free, prior and informed consultations will be undertaken in a language spoken by, and location convenient for potentially affected Indigenous Peoples. The views of Indigenous Peoples are to be taken into account during implementation of the SSF Project, while respecting their current practices, beliefs and cultural preferences. Provincial Community Empowerment and Village Government Agency (or DPMPD at each of the 6 Project Provinces) is the responsible entity to conduct these consultations with affected Indigenous Peoples communities. The outcome of the consultations will be documented in the periodic reports and submitted to the DDPI, DGCC MoEF, and World Bank for review.

In view of obtaining the FPIC through a series of consultation processes, consistent with the UN Declaration on the Rights of Indigenous Peoples UNDRIP, FPIC is defined as follows:

- Free refers to a process that is self-directed by the community from whom consent is being sought, unencumbered by coercion, expectations or timelines that are externally imposed.

- Prior refers to a period of time in advance of an activity or process when consent should be sought, as well as the period between when consent is sought and when consent is given or withheld.
Informed refers to the type of information that should be provided prior to seeking consent and also as part of the ongoing consent process.

Consent refers to the decision made by indigenous peoples and other local communities reached through their customary decision-making process.

While the objective of consultation processes shall be to reach broad community support, which represents consent between the relevant parties, this does not mean that all FPIC processes will carry veto rights of certain individuals or rights holders in question. At the core of FPIC is the right of the peoples concerned to choose to engage, negotiate and decide to grant or withhold consent, as well as the acknowledgement that under certain circumstances, it must be accepted that the SSF Project will not proceed ahead and/or that engagement must be ceased if the affected peoples decide that they do not want to commence or continue with negotiations or if they decide to withhold their consent to specific Program activities.

Effective Free, Prior, Informed Consultations are built upon two-way processes that should:

a. Involve members of affected communities and their recognized representative bodies and organizations in good faith;

b. Capture the views and concerns of men, women and vulnerable community segments including the elderly, youth, displaced persons, children, people with special needs, etc. about impacts, mitigation mechanisms, and benefits where appropriate. If necessary, separate forums or engagements need to be conducted based on their preferences;

c. Begin early in the process of identification of environmental and social risks and impacts and continue on an ongoing basis as risks and impacts arise;

d. Be based on the prior disclosure and dissemination/socialization of relevant, transparent, objective, meaningful, and easily accessible information that is in a culturally appropriate language(s) and format and is understandable to affected communities. In designing consultation methods and use of media, special attention needs to be paid to include the concerns of Indigenous women, youth, and children and their access to development opportunities and benefits;

e. Focus on inclusive engagement on those directly affected than those not directly affected;

f. Ensure that the consultation processes are free of external manipulation, interference, coercion and/or intimidation. The ways the consultations are designed should create enabling environments for meaningful participation, where applicable. In addition to the language(s) and media used, the timing, venues, participation composition need to be carefully thought through to ensure everyone could express their views without repercussions; and

g. Be documented.
Where there is broad support from Indigenous peoples to participate in the project, relevant implementing agencies, with oversight from safeguards team/PICs at the provincial and district levels should ensure the following are in place:

a. Documented evidence of Free, Prior, Informed Consultations as well as measures taken to avoid and minimize risks and adverse impacts to environment and socio-cultural aspects. This will be in the form of written agreements with authorized community representatives;

b. Action plan and recommendations for Free, Prior, Informed Consultations during project implementation, monitoring, and evaluation; and

c. Any formal agreements reached with affected communities and/or their representative institutions.

To ensure that Free, Prior, Informed Consultations can be ascertained, it is also required to determine whether:

a. The level of engagement in a way that enables informed participation of communities is acceptable; and

b. The level of support and dissent among communities for the project is taken into account into decision making and development of mitigation measures.

The process above is an integral part of the SSF Project implementation and therefore, continues after its completion. During implementation of the SSF Project, an updated social assessment shall also be carried out to monitor the positive and negative impacts of the project and obtain feedback from the project-affected people. Based on the outcome of the social assessment, further measures shall be taken to ensure full benefits and mitigation of the negative impacts envisaged. If necessary, additional activities for institutional strengthening and capacity building of Indigenous Peoples communities living within the project area shall be carried out. If unexpected impacts are significant, the IPP and/or RAP or Plan of Action (PoA) may need to be updated to respond to emerging risks and impacts.
Annex 11

Environmental Permit, Management, and Monitoring Measures (including TORs)

The aim of Environmental Management and Monitoring is to establish a set of policies and guidelines that will assist the National Programme Management Unit (NPMU) in monitoring the environmental and social aspects of all activities in the Strengthening Social Forestry (SSF) Project. The process starts with identifying the impact of each activity at the location and the type of mitigation measures needed. The activities in the Strengthening Social Forestry (SSF) project, especially those related to community-based business development that are likely causing environmental impacts need to be managed; So, it requires an environmental permit by improving the Environmental Management Efforts - Environmental Monitoring Efforts (UKL-UPL) document or issuing the Statement Letter of Ability in Environmental Management and Monitoring (SPPL). It should be noted that the activities in projects that require the Environmental Impact Assessment (AMDAL) will not be funded by this project.

It is expected that most sub-projects do not require special mitigation measures for environmental impacts. However, some sub-projects may require additional mitigation measures, namely by preparing the Environmental Management Efforts - Environmental Monitoring Efforts (UKL-UPL) to obtain an environmental permit.

The Environmental Management Efforts - Environmental Monitoring Efforts (UKL-UPL) contain standard mitigation and monitoring plans to address the typical impacts of construction activities, which cover the workers/communities, occupational health and safety, work related to land, and waste management, including hazardous and toxic waste. The Environmental Management Efforts - Environmental Monitoring Efforts (UKL-UPL) must be prepared by the authorized agency and must meet the requirements stated in the Regulation of the Minister of Environment No. 16/2012. The structure and matrix of the Environmental Management Efforts - Environmental Monitoring Efforts (UKL-UPL) document are provided in the following table.

**Structure and Substance of the Environmental Management Efforts (UKL-UPL)**

Documents

<table>
<thead>
<tr>
<th>Document Structure</th>
<th>Point Elaboration</th>
</tr>
</thead>
<tbody>
<tr>
<td>A Identity of the initiator</td>
<td></td>
</tr>
<tr>
<td>1. Name of the initiator</td>
<td></td>
</tr>
<tr>
<td>2. Office address, postal code, telephone and fax</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
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<td>---</td>
<td>---</td>
</tr>
<tr>
<td><strong>B</strong></td>
<td><strong>Activity plan</strong></td>
</tr>
<tr>
<td><strong>1. Name of the activity</strong></td>
<td></td>
</tr>
<tr>
<td><strong>2. The location of planned activities and attach a cartographic map and/or illustration of the location with an appropriate scale</strong></td>
<td></td>
</tr>
<tr>
<td><strong>3. Scale/extent of planned activities</strong></td>
<td>Determine the size and/or length and/or volume and/or capacity or other measurements that can describe the scale of the activity. Example: Tourism industry: the size of land used and tourism facilities that can be developed; the number of rooms, washing machines, and holes; also seating capacity from entertainment places and restaurants</td>
</tr>
<tr>
<td><strong>4. General description of the activity plan component</strong></td>
<td>In this section, the initiator explains the following: a. The compatibility of the project site with a regional spatial management plan. This section explains the suitability of the project site with the regional spatial management plan as stipulated in the applicable laws and regulations. This information can be presented with an overlay method on the project site boundary map and the original spatial management plan (RT/RW) that has been ratified (the spatial management draft of RT/RW may not be used). Based on the spatial analysis, the initiator briefly explained and provided a summary of the compatibility of the project site with the spatial management plan; the explanation was about whether all project sites are suitable with the spatial management plan, or some of them or even all of them are not suitable. If there are any constraints or</td>
</tr>
</tbody>
</table>
doubts over information about the compatibility with the RT/RW, the initiator can submit an application for evidence/official decree from the competent agency, which is responsible for spatial management planning, such as the National Spatial Management Planning Coordinating Board (BKPTRN) or the Regional Spatial Management Planning Coordinating Board (BKPRD). The evidence that supports compatibility with spatial management plan must be attached.

If the project site is not suitable with the regional spatial management plan, in accordance with Article 14 paragraph (3) Government Regulation No. 27/2012, the Environmental Management Efforts - Environmental Monitoring Efforts (UKL-UPL) document cannot be processed further.

Furthermore, for certain activity plans, the initiator shall conduct spatial analysis of the compatibility of the project site with the Indicative Postponement of New Permit Map (PIPIB) of Forestry attached to Presidential Instruction No. 10/2011, or revised regulations, or issued new regulations on this matter.

Based on the spatial analysis, the initiator can conclude whether the project site is inside or outside the primary forest or peatland included in the Indicative Postponement of New Permit Map (PIPIB). If it is within the Indicative Postponement of New Permit Map (PIPIB) area, except for certain activities that obtain an exception in Presidential Instruction No. 10/2011, the Environmental Management Efforts - Environmental Monitoring Efforts (UKL-UPL) document will not be processed further. The suitability of the project site with the Indicative Postponement of New Permit Map (PIPIB) as
stipulated in Presidential Instruction No. 10/2011 is valid for 2 (two) years from the issuance date of the Presidential Instruction.

b. Explanation of principle approval of the planned activities
This section focuses on the need for principle approval from the authorities which states that the types of activities planned are principally can be implemented. Formal evidence of the principle approval must be attached.

c. Description of the planned activity components that can cause environmental impacts
In this section, the initiator presents the planned activity components that might have an impact on the environment. The descriptions can be prepared according to the project implementation stage, namely pre-construction, construction, operation and completion/post-operation. This stage may be different according to the type of planned activity.

| C | Environmental Impacts and Environmental Management and Monitoring Efforts | This section basically contains a table/matrix that includes the following:
1. Environmental impacts caused by the proposed project. The column on Environmental Impact consists of three sub-columns which provide the following information:
a. source of impact: information about the types of sub-activities that produce impacts at each stage of the activity (pre-construction, construction, operation, and post-operation);
b. type of impact: information about all environmental impacts that may arise from activities at each stage involved; and |
2. Environmental Management
The column on Environmental Management consists of three sub-columns which provide the following information:

a. types of environmental management efforts: information about the types/forms of environmental management efforts proposed for each anticipated environmental impact;
b. location of environmental management efforts: information about the location where the environmental management efforts will be implemented (a narrative can be provided, it states a clearer location description that presented in the environmental management map attached to the Environmental Management Efforts - Environmental Monitoring Efforts (UKL-UPL) document); and

c. the period of environmental management efforts: information about when such planned management efforts will be implemented.

3. Type of environmental monitoring
The column for Environmental Monitoring consists of three sub-columns which contain the following information:

a. types of environmental monitoring: information about methods and/or techniques for monitoring the environmental quality as indicators of the environmental management success (it might include methods of data collection and analysis of environmental quality, etc.);

b. location of environmental monitoring: information about the location where
monitoring activities will be implemented (a narrative can be provided, it states a more detailed explanation of the location that presented in the environmental management map attached to the Environmental Management Efforts - Environmental Monitoring Efforts (UKL-UPL) document); and

c. the period of environmental monitoring efforts: information about when such planned monitoring efforts will be implemented.

d. The cost of environmental management and monitoring measures and the source of fund.

4. Institute of environmental management and monitoring

The column on the Institution of the Environmental Management and Monitoring contains information about the related entities involved in the environmental management and monitoring that will be:

a. manage and monitor the environment;

b. supervise the implementation of environmental management and monitoring activities; and

c. receive periodic reporting on the results of commitment compliance to manage and monitor the environment in accordance with the scope of duties of each institution, and in accordance with applicable laws and regulations.

In this section, the initiator can provide maps, sketches or drawings with an appropriate scale, which are related to environmental management and monitoring programs. The attached map must follow cartographic standards.
<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>D</strong></td>
<td>The number and type of environmental management and monitoring permits (EMM) required</td>
<td>In this section, if the proposed activity plan requires EMM permit, the initiator presents a list of permits (number and types) required for the environmental management and protection.</td>
</tr>
<tr>
<td><strong>E</strong></td>
<td>Statement letter</td>
<td>This section provides the initiator’s statement/commitment to prepare the Environmental Management Efforts - Environmental Monitoring Efforts (UKL-UPL) document, in writing, with the initiator's signature on the official stamp.</td>
</tr>
<tr>
<td><strong>F</strong></td>
<td>Bibliography</td>
<td>This section presents a list of sources of data and information used to prepare the Environmental Management Efforts - Environmental Monitoring Efforts (UKL-UPL) document, including books, journals, articles, papers, and research reports. The list must follow the rules to present a bibliography.</td>
</tr>
<tr>
<td><strong>G</strong></td>
<td>Annex</td>
<td>Other important data and information deemed necessary can also be included in the Environmental Management Efforts - Environmental Monitoring Efforts (UKL-UPL) document, such as the following:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. formal evidence stating that principally this type of activity can be implemented;</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. formal evidence stating that the plan of activity is in accordance with the existing regional spatial management plan (as confirmed in a letter issued by the National Spatial Management Planning Coordinating Board (BKPTRN), or another agency which is responsible for the spatial management);</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. other details about planned activities (if necessary);</td>
</tr>
<tr>
<td></td>
<td></td>
<td>4. cartographic maps and/or illustration of locations with an appropriate scale to describe the location of environmental management and monitoring activities; and</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5. data and other information considered</td>
</tr>
</tbody>
</table>
The activities which do not require the Environmental Management Efforts - Environmental Monitoring Efforts (UKL-UPL) document, but must develop the necessary environmental management and monitoring measures shall issue the Statement Letter of Ability in Environmental Management and Monitoring (SPPL) to obtain an environmental permit. The format of the Statement Letter of Ability in Environmental Management and Monitoring (SPPL) is presented in this Annex.

The template of Impact Recapitulation, the Environmental Management Efforts - Environmental Monitoring Efforts (UKL-UPL)

<table>
<thead>
<tr>
<th>Environmental Impact</th>
<th>Environmental Management Efforts (UKL)</th>
<th>Environmental Monitoring Efforts (UPL)</th>
<th>Environmental Management Efforts (UKL)</th>
<th>Environmental Monitoring Efforts (UPL)</th>
<th>Environmental Management Efforts (UKL)</th>
<th>Environmental Monitoring Efforts (UPL)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Record the measurement that can state the volume of the impact</td>
<td>List the forms/types of environmental management plans to manage each impact</td>
<td>Record the information about the location where environmental management will be implemented</td>
<td>Provide the information about ways, methods, and/or techniques for monitoring environmental quality, which are indicators of the success of environmental management efforts</td>
<td>Record the measurements that can state the volume of the impact</td>
<td>List the forms/types of environmental management plans to manage each impact</td>
<td>Record the information about the time period for planned environmental management efforts</td>
</tr>
</tbody>
</table>

Provide information on ways, methods, and/or techniques for monitoring environmental quality, which are indicators of the success of environmental management efforts.

Record the measurements that can state the volume of the impact.
STATEMENT LETTER OF CAPACITY FOR
ENVIRONMENTAL MANAGEMENT AND MONITORING (SPPL)

We, who undersign:

Name : ………………………………………………………………..
Position : ……………………………………………………………..
Address : ……………………………………………………………..
Phone Number : ……………………………………………………..

As the party that responsible for environmental management:

Company/business name : …………………………………………
Company/business address : ………………………………………
Company/business phone number : ………………………………
Type/nature of the business : ………………………………………
Production capacity : ……………………………………………
Permits that have been held : ………………………………………
Objective : …………………………………………………………
Total Capital : ……………………………………………………..
Company/business name : …………………………………………

We hereby declare our commitment to:

1. Maintain public order and work to foster good relations with the surrounding community.
2. Maintain health, cleanliness, and fineness of the project site.
3. Responsible for environmental damage and/or pollution caused by these activities.
4. Willing to be monitored for environmental impacts arising from these activities by authorized officers.
5. Conserve natural and environmental resources at the project site and around the project site.
6. Take responsibility if we fail to comply with Commitments 1 to 5 above, in accordance with the applicable laws and regulations.
Explanation:

a. Environmental impacts that have occurred:
   1. 
   2. 
   3. 
   4. 
   5. etc.

b. Measures taken to address environmental impacts:
   1. 
   2. 
   3. 
   4. 
   5. etc.

The Statement Letter of Ability in Environmental Management and Monitoring (SPPL) is effective from the issuance date until the completion of the activity, or changes in location, design, process, raw materials and/or supporting materials occur.

Approved by, 
Head of the Environmental Department

Provincial/Regency/Municipal Level

Stated by,

Date, Month, Year

Rp6,000 stamp duty
Signature

Company Stamp

(…………….. NAME ……………..) (…………….. NAME ……………..)
The FIRST PARTY and the SECOND PARTY hereinafter referred to as the PARTIES, agree to enter into a forestry partnership agreement with the following terms and conditions:
Article 1

Background

a. Forest Management Unit (KPH) …………… stipulated based on Minister of Forestry Decree Number SK. …………… Dated …………… concerning Determination of Protected Forest Management Unit (KPHL) Areas - HSS Model - with an area of …………… Ha, the management area consists of ……………

b. Village Community …………… who are members of the Farmer Group …………… from generation to generation has been utilizing the Forest Management Unit (KPH) area …………… The area that has been utilized to date is more than …………… as a livelihood especially for ……………

c. This partnership activity is one of the solutions to the resolution of Forest Management Unit (KPH) area problems …………… with the surrounding community, especially the community of …………… Village …………… District …………… Regency

Article 2

Location of Activity

1. The FIRST PARTY in the KK activities provides an opportunity to utilize the forest in the Forest Management Unit (KPH) working area to the SECOND PARTY to build ……………

2. Location as set forth in Article 2 paragraph 1 above is included in the Village administration area of …………… Village …………… District …………… Regency, to be sought by the SECOND PARTY for the development of plantation forest ……………

3. The land managed jointly with the KK pattern is covering an area of …………… which is further divided into plots of land with the respective area of …………… in accordance with the attachment.

4. The location map and area and other descriptions in Article 2 paragraph 1 above are documents signed by PARTIES, which are an integral part of this Agreement and are an inseparable part of the Memorandum of Understanding for this Cooperation.

Article 3

Plan for Partnership Activities

1. Short term partnership plan is planting ……………

2. Long term partnership plan is ……………

3. Further arrangements as referred to in Article 3 paragraph (1) and (2) are arranged by both PARTIES in the Addendum
Article 4

Activity Object

1. Build a ............... forest through the following activities ............... 

2. The type of commodity partnered in this agreement is ............... 

3. Further arrangements regarding commodity objects as referred to in Article 4 paragraph (1) and (2) are arranged by both PARTIES in the Addendum 

Article 5

Rights and Obligations of the Parties

1. The rights of the FIRST PARTY are as follows:
   a. Carry out forest management activities, forest management business activities, or forest management activities in accordance with the laws and regulations.
   b. Obtain support from the SECOND PARTY in managing forest area in a sustainable manner by maintaining the function of forest area ecosystem.
   c. Obtain benefits of the activities results in accordance with the agreed-upon profit-sharing scheme 

2. The rights of the SECOND PARTY are as follows:
   a. Obtain benefits of the activities results in accordance with the agreed-upon profit-sharing scheme 
   b. Obtain facilitation and assistance in the planning, implementation, and marketing of forest management results from the FIRST PARTY. 
   c. Serve the rights to sell the results of the allotment of ............... as the results of this KK cooperation, both individually and with the FIRST PARTY to get the most favorable prices. 

3. The obligations of the FIRST PARTY are as follows:
   a. Empower the SECOND PARTY based on the Activity Plan listed in the Forestry Partnership Cooperation Agreement. 
   b. Providing facilitation and technical direction to the SECOND PARTY in implementing management activities. 
   c. Providing facilitation and assistance and in planning, managing, and marketing forest products in order to encourage the optimization and development of business activities. 
   d. Provide a warning to the SECOND PARTY if there are indications of irregularities. 
   e. Provide legal protection to the SECOND PARTY due to cooperation in the management of forest areas. 
   f. Monitor and evaluate at least once every 6 (six) months and it can be increased if needed. 

4. The obligations of the SECOND PARTY are as follows:
a. Provide and bear the full provision of facilities and infrastructure as well as the funds needed to carry out all operational activities of the KK in the cooperation area, including the cost of land preparation, planting, maintenance of TBM\(^4\) and TM\(^5\) periods, tapping and logging of stands at the end of the cycle.

b. Together with the FIRST PARTY, maintain and protect the area of partnership from the interference of unauthorized parties.

c. Participate in maintaining and implementing forest protection and security.

d. Do not trade the KK land that is being managed, because the status of the land is the Forest Zone with the function of the State Production Forest.

e. Always coordinate with FIRST PARTY officers regarding the implementation of this KK cooperation.

f. Pay the Non-Tax State Revenues of the forestry partnership activities

Article 6

Financing and Profit Sharing

1. The amount of funding for the activities under the partnership, especially those implemented by the FIRST PARTY, will be borne by the Regional Development Budget (APBD)/National Development Budget (APBN) and self-help and other sources of funds that are appropriate.

2. The charge of fee for activities that require costs and are carried out by the SECOND PARTY and/or the FIRST PARTY and/or other parties is determined between the partners.

3. The FIRST PARTY and the SECOND PARTY agree that the distribution of benefits from the partnership activities after deducting other operational and administrative costs is agreed as follows: 100% for the SECOND PARTY. If in the future, there is a regulation governing levies related to the distribution of benefits adjustments will be made accordingly.

Article 7

Time period

The period of forestry partnership cooperation is valid for a period of 10 (ten) years starting from the date of the agreement and an evaluation is made every year for the extension of the following year.

\(^4\) crops that cannot be harvested, not the time for harvest yet

\(^5\) crops that can be harvested, time for harvest
Article 8

Dispute resolution

If there is a dispute in the implementation of this forestry partnership, the parties agree to resolve it by deliberation and consensus.

Article 9

Breach Sanction

The sanctions of the obligation breach committed by PARTIES as referred to in Article 5 are in the form of:

1. The first written warning.
2. The second written warning is given after 30 (thirty) days since the first written warning was given if it is ignored.
3. Termination of the Memorandum of Understanding of the Cooperation after 30 (thirty) days since the second written warning was given, if it is ignored.

Article 10

Closing

This cooperation agreement is made in 2 (two) original copies and sufficiently stamped, each of which has the same contents and has the same legal force after being signed by legitimate representatives of the PARTIES. If there are changes to the rules regarding the regulation of forestry partnership patterns, then this agreement will be compiled or re-arranged in accordance with the applicable rules.

In witness whereof, this cooperation agreement was made truthfully to be complied and implemented as it should be.

Made in: ...................................................
On (Date): ...................................................

<table>
<thead>
<tr>
<th>SECOND PARTY</th>
<th>FIRST PARTY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Head of Farmer Group</td>
<td>Head of Forest Management Unit (KPH)</td>
</tr>
<tr>
<td>...............</td>
<td>...............</td>
</tr>
<tr>
<td>(............................... )</td>
<td>(............................... )</td>
</tr>
<tr>
<td>Witnesses</td>
<td></td>
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<tr>
<td>-----------</td>
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<td>1.</td>
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<td>2.</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Acknowledged by,</th>
</tr>
</thead>
<tbody>
<tr>
<td>Head of the Village</td>
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<tr>
<td></td>
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<tr>
<td>(..........................)</td>
</tr>
<tr>
<td>Head of Provincial Forestry Department</td>
</tr>
<tr>
<td>(..........................)</td>
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</tbody>
</table>
Annex 13

MOEF Mechanism for Tenurial Conflict Settlement

As people may know, since 2015, the Ministry of Environment and Forestry Affairs (KLHK) established the Directorate of Tenurial and Indigenous Forest Conflict Management, which is a part of General Director of Social Forestry and Environment Partnership as a manifestation of the presence of public service in settlement a tenurial conflict. In addition, the issuance or Regulation of Ministry of Environment and Forestry Affairs No. P84/MenLHK-Setjen/2015 on Tenurial Conflict Resolution in Forestry area, along with its derivative regulations, namely Regulation of General Director of Social Forestry and Environment Partnership No. 4/PSKL/SET/PSKL.1/4/2016 on Guidelines of Mediation of Forest Area Tenurial Conflict, Regulation of General Director of Social Forestry and Environment Partnership No.6/2016 on Guidelines of Assessment of Forest Area Tenurial Conflict.

The detailed mechanism based on the policies are:

- **Step 1 Registration**

  **Registration**

  To be able to report a case (claim/objection) related to tenurial conflict, every entity (individual or group) shall have an account of complaint for every case he/she reports. One account is only valid for one case. Steps of creating an account of complaint on the Tenurial Conflict Database System are as follows:

  a. An individual or a group creates an account by filling data on COMPLAIN FORM available on db-pktha.menlhk.go.id.

  b. The data filling of USER IDENTITY is used for the profile data of reporter (user) comprising Name, Telephone, Email address and correspondence address and reporter's identity.

  c. Data filling of COMPLAINT is used for conveying information especially related to tenurial conflict. Data filling of COMPLAINT consists of information data and data related to the occurrence of conflict.

  d. Data completion of COMPLAINT for conflict information consists of giving information in the form of Theme (of conflict), conflicting Parties, and the background of conflict. On the data filling of conflict information, Reporter can write in detail information on the incident of conflict correctly and completely. The information filling is open and unlimited.

  e. Data filling of COMPLAINT related to the location of conflict incident consists of filling in the forms of Province and district/city where the conflict occurred, location where the conflict occurred, function of area and size of area related
to tenurial conflict.

f. After the data filling is completed, Reporter can register his/her case by clicking REPORT.

g. Reporter will get a notification in the form of an electronic mail which states that the conflict report has been received in the Tenurial Conflict Database System.

**Screening**

Every complaint information received in Tenurial Conflict Database System will be selected by Administrator side from Directorate of Tenurial and Indigenous Forest Conflict Management (Independent Tim of Tenurial Conflict Management). This team is tasked to analyze the initial data as a process of identifying cases and classify them based on information provided in order to determine the case typology and to formulate the complaint claim.

- **Step 2 Initial Sorting**

  The Admin Team of Tenurial Conflict Database System (the Independent Tim of Tenurial Conflict Management) will verify the data completion in accordance with the case report received. In this step, the Admin team will check every attached document in the time of case report. If necessary, the Team will contact Reporter in relation to the needs of data completion.

- **Step 3 Conflict Mapping**

  **Team Preparation**

  If the data completion is fulfilled, Assessor Team from the Directorate of Tenurial and Indigenous Forest Conflict Management will conduct a field check on the information provided in the time of reporting as a part of investigation process. The Team will work in accordance with the guidelines of conflict checking in line with the provisions of law and regulations.

  **Field Results**

  The Team of Directorate of Tenurial and Indigenous Forest Conflict Management (the Independent Team of Tenurial Case Settlement) will conduct a comprehensive analysis on the problem roots in accordance with the findings on the field and conduct an initial analysis on the verified data.

- **Step 4 Follow Up**
The Team of Directorate of Tenurial and Indigenous Forest Conflict Management (the Independent Team of Tenurial Case Settlement) will conduct a follow up in accordance with the findings on the field and conduct an initial analysis on the verified data. The Team will conduct a private analysis on the technical and juridical aspects with a period adjusted to the problem complexity.

- **Phase 5 Results and Recommendation**

Recommendation is given after the The Team of Directorate of Tenurial and Indigenous Forest Conflict Management (the Independent Team of Tenurial Case Settlement) finished the process of a comprehensive problem analysis. The Team will convey the recommendation resulted to the General Director. In this step, the Reporter will get notification from the Tenurial Conflict Database System in relation to the conflict case he/she reported.

**Mechanism for Tenurial Conflict Settlement**

Annex 14
Grievance Redress Mechanism Forms (Sample)

COMPLAINT FORM

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registration Number</td>
<td>:</td>
</tr>
<tr>
<td>Date of Complaint</td>
<td>:</td>
</tr>
<tr>
<td>Reporter’s Name</td>
<td>:</td>
</tr>
<tr>
<td>Reporter’s Name</td>
<td>:</td>
</tr>
<tr>
<td>Cellular Phone Number</td>
<td>:</td>
</tr>
<tr>
<td>Email</td>
<td>:</td>
</tr>
<tr>
<td>Identity Number</td>
<td>:</td>
</tr>
<tr>
<td>Request for Confidentiality</td>
<td>Yes</td>
</tr>
</tbody>
</table>

Complaint Description:

[Blank space for description]
| Annex: |  |
Receipt of Reporting

This receipt is made in ……………………… on ……………………… Date ……………… by and between:

1. …………………………… report recipient, domiciled in …………………, as regards this matter, act for and in name of …………………………… hereinafter referred to as the Second Party.

2. …………………………… Holder of Residential Identity Card (KTP) No. ………………… / Notarial Deed No. …………… domiciled in ………………………. hereinafter referred to as the First Party.

That in order to report complaint of registration number ……………………………, the First Party hereby submitted to the Second Party and the Second Party received from the First Party, the following documents:

1. …………………………………………………..
2. ……………………………………………………
3. …………………………………………………..
4. and so on.

Thus this Receipt was made based on the factual condition for a proper use.

First Party

(……………………………..)

Second Party

(……………………………….)
### SSF PROJECT COMPLAINT DATABASE – Indicative Format

<table>
<thead>
<tr>
<th>Registration Number</th>
<th>Brief Complaint Description</th>
<th>Date of Complaint Receipt</th>
<th>The Development of Complaint Settlement</th>
</tr>
</thead>
</table>
| 1/02-2019/KPH X     | What kind of complaint is it? Who delivered the complaint? What is her/his expectation? What are the supporting documents? | February 18, 2019         | • ........
|                     |                                                                                             |                           | • ........
|                     |                                                                                             |                           | • ........


INITIAL VERIFICATION GUIDELINES

An initial verification is conducted to determine whether the reporter party is considered eligible to propose a reporting or not. The initial verification is conducted by:

1. Verifying the reporter's identity
2. Asking the completeness of necessary information (basic information to complete the Complaint Form)

The case can be followed up in a phase of advanced verification if:

1. The reporter clearly comes from society, community or a group of people or Institution.
2. The reporter is the party who has an interest based on the entity of legal object from the reporter who can be proved by the applicable permit document.
3. Clear identity, address, and phone number that can be contacted
4. Basic information (object under conflict, width under conflict, the year when conflict began and efforts made) really complete the complaint form.

For complaints made anonymously, the Project receives and logs them in a separate section of the Complaint Database. Provided that the details of the complaint are suitably clear, the responsible officer is to inform the PMU team leader/manager of the anonymous complaint, who will determine the necessary steps to investigate and respond.

For cases that require field verification, including investigating a location, interviewing parties, and so forth, the head of the relevant FMU will be: 1) informed and 2) involved as needed, for example in allocating personnel or resources, or being directly involved in meetings to support resolution of the case. The Working Group (Pokja) as a multi-stakeholder entity at the Provincial and Regency levels may also be requested to assist if required.

The target response time for complaints received is 10 days (2 work weeks) and for resolution/sign off in the complaints database, is 20 days (4 weeks/1 month).
RESULTS OF VERIFICATION AND VALIDATION
COMPLAINT SETTLEMENT

In related to the received complaints:
Day/Date : ..................................................................................
No. of Registration : ..................................................................................
Reporter : .....................................................
Place and Date of Birth : ..................................................................................
Address : ..................................................................................
No. of Identity : ..................................................................................

So, the result of verification or initial validation stated that the complaint was
ACCEPTED/REJECTED with the following reasons:
...............................................................................................................................
...............................................................................................................................
...............................................................................................................................
...............................................................................................................................
...............................................................................................................................

In relation to the above mentioned, the complaint will be handled with the applicable
mechanism/recommended to follow up the complaint to the authorities/other parties

Date, Month, Year

KPH .....................
Project Implementing Unit of Strengthening Social Forestry (SSF)
RECOMMENDATION
COMPLAIN SETTLEMENT

In related to the received complaints:

Day/Date : .................................................................
Registration Number : ..............................................
Reporter : ..............................................................
Place and Date of Birth : .............................................
Address : ..............................................................
Identity Number : ....................................................

And had been handled with: (chronological explanation of the settlement)
............................................................................................................
.............................................................................................................
.............................................................................................................
.............................................................................................................
.............................................................................................................
.............................................................................................................

So, the following recommendations are resulted:
.............................................................................................................
.............................................................................................................
.............................................................................................................
.............................................................................................................
.............................................................................................................
.............................................................................................................

Date, Month, Year

KPH .................
Project Implementing Unit SSF
STATEMENT OF ACCEPTING/NOT RESULTS OF COMPLAINT SETTLEMENT

In relation to the results of complaint settlement:

Registration Number : ..........................................................................................
Reporter : .........................................................................................................
Place and Date of Birth : ..................................................................................
Address : .........................................................................................................
Identity Number : ............................................................................................

that was submitted by Project Implementing Unit SSF to the Reporter. We hereby, as the reporters, state that we ACCEPT/DO NOT ACCEPT the result of reporting settlement (and will make a judicial appeal according to the applicable settlement mechanism).

Date, Month, Year

(...........................................)
Annex 15
Land Acquisition and Resettlement Policy Framework / Process Framework (LARPF/PF)

Introduction

A Land Acquisition and Resettlement Policy Framework/Process Framework (LARPF/PF) has been prepared as a combined documented, to be used as guideline to plan, execute, monitor, and evaluate the activities in SSF Project related to impacts on use and access to land in the social forest areas.

This framework is prepared as a precautionary measure and includes principles and procedures to adopt if any activity requires land acquisition, physical resettlement, economic displacement or restrictions to access natural resources that have been habitually used to support community livelihoods or other social-cultural functions.

The determination of PIAPS involves review of various maps and forest/land uses but does not specifically screen for settlements within the potential social forestry areas. PIAPS are not allowed by regulation to overlap with conservation areas or national parks. The current (pre-project) government verification process associated with social forestry permits do not explicitly require data on residents and users of proposed areas.

Environmental and social screening built into this project includes a Negative List that precludes sub-projects with a requirement for resettlement and access restriction, but notes that potential exists for small scale land acquisition to be carried out outside the social forest area, and for small scale displacement of people and livelihood activities within areas that may be demarcated and proposed for social forestry permits.

Specifically for any physical resettlement of people affected by the project activities under Component 2, as well as any economic displacement that may occur as a result of project activities, the LARPF/PF sets out processes to ensure that adequate information is gathered, consultations are undertaken, impacts and understood and mitigation is agreed, monitored and evaluated, to meet the requirements of national laws as well as World Bank ESS 5. Eligibility criteria for affected persons will also be developed to clarify who will be eligible for assistance in accordance with World Bank ESS5.

Participatory mapping and demarcation of the proposed social forestry permit areas is guided by regulation and will be strengthened through the SSF project, whereby FMU, community forestry facilitators, Social Forestry Working Group members and communities are provided technical assistance to implement the regulations, trained and guided (including with resources in the ESMF and its annexes, in particular Annex 8 – Community Participation Framework and guidance
to participatory mapping, to carry out inclusive processes, avoid and mitigate both grievances and conflicts in a standard manner with attention to local context, including with the presence of indigenous peoples who may have particular characteristics and needs. This project respects indigenous people’s rights and indigenous community interests; their rights and accesses will be formally reinforced and increased through this project’s activities in Components 1 and 2.

**How to Use this LARPF/PF**

During sub-project preparation, the screening and planning steps and tools (see ESMF Annexes 3 and 4) will enable identification of these potential impacts.

In the context of SSF project, the scope of lands to be used by permitted social forestry groups is clear, defined by regulation and verified in the process of social forestry permit proposals. Land acquisition within the forest area is not a legal possibility; any potential changes or transfers of land status within the social forestry area are managed by technical committee processes, and the IPPF serves as a reference for teams preparing sub-projects.

If any proposed sub-project activity requires land acquisition outside the forest area (for example, to develop a raw material processing industry), and is permitted after use of the Negative List (ESMF Annex 3), it is expected that it will nevertheless remain unfeasible as an SSF project activity due to the fund limitations. In the event that there is a co-funding opportunity, or if for example a social forestry enterprise group (KUPS) has access to other credit, village funds or similar, and land acquisition becomes feasible, then this LARPF/PF is to be used to ensure complaint processes for consultation and mitigation of impacts on affected parties.

**Example scenarios** of potential SFF sub-project activities requiring land acquisition, resettlement or access restrictions are when a Social Forestry Enterprise Group (KUPS):

- develops a processing facility for some forest commodities on village or private land outside the forest area;
- replants and/or expands plantation of a crop/species in an area that is being used by community members for other purposes (residence/farming, hunting/fishing, medicinal plants, grazing etc) and which will no longer be able to continue;
- develops a micro-hydropower project in a waterway that becomes an obstruction for traditional fishing activities.

For such cases (proposed sub-projects) where land acquisition, resettlement or access restrictions are predicted, the framework requires an Action Plan for Land Acquisition and Resettlement (LARAP or RAP) to be developed and documented with a formal agreement of affected persons (see example in ESMF Annex 15), and accompanying data, mitigations and indicators for monitoring. An outline of the required Action Plan is provided below; the Plan is
to be incorporated as an annex of the site’s ESMP which is reviewed for approval by the World Bank.

Policy Basis

The policy bases, both national policy and World Bank policy, which are used to require the development of Action Plans within the site ESMPs are as follows:

- Law No. 5 of 1960 on Basic Regulation of Agrarian Principles
- Law No. 2 of 2012 on Land Acquisition for the Development devoted to the Public Interest
- Law No. 6 of 2014 on Village
- Presidential Regulation No. 65 of 2006 on Amendment to Presidential Regulation No. 36 of 2005 on Land Acquisition for the Development devoted to the Public Interest
- Regulation of Head of National Land Agency of the Republic of Indonesia No. 3 of 2007 on Implementing Provisions of Presidential Regulation No. 36 of 2005 concerning Land Acquisition for the Development devoted to the Public Interest as amended by Presidential Regulation No. 65 of 2006 on Amendment to Presidential Regulation No. 36 of 2005.
- Joint Regulation of Minister of the Interior, Minister of Home Affairs, Minister of Forestry, Minister of Public Work, and Head of National Land Agency on Procedure of Land Tenure Settlement within the Forest Area
- Environmental and Social Standard 5 (ESS5) on Land Acquisition, Restrictions on Land Use and Involuntary Resettlement.

Principles

a. The main principles in accordance with Law No. 2 of 2012, namely humanity, justice, benefit, transparency, agreement, participation, welfare, sustainability, and harmony.

b. Action Plan for Land Acquisition and Resettlement must become a development opportunity in which the affected people can take the benefit from the services and facilities provided by the activities in this SSF Project.

c. All affected people are entitled to receive compensation on the lost assets, or another alternative aid similar to compensation; the affected people who do not have right legally on the lost assets are not immediately having no right to receive compensation or another kind of alternative;

d. Compensation can be given in the forms of: (i) cash money, (ii) land barter or exchange, (iii) resettlement, (iv) Share Ownership; (v) Other forms agreed by both parties.

e. The amount of compensation as decided in the Action Plan for Land Acquisition and Resettlement must be given fully to the individual owner of collective owner based on the lost assets, without depreciation or reduction due to tax, cost, or other purposes;

f. The value of asset to be compensated will be assessed by an independent assessor team or institution in accordance with the national policy (Presidential Regulation No. 36 of 2005 on Land Acquisition for the Development devoted to the Public Interest as amended by Presidential Regulation No. 65 of 2006). Principally, the appointment of people as independent assessors must be agreed by the affected people and the assessment method used should also be appropriate.

g. On the and that will be used for agricultural plants, a replacement land must be provided; but in the context of the land right in the forest area, in the acquisition, there is no obligation to give land replacement.

h. Residence replacement, relocation for business, or agricultural land replacement must be similar in value to the lost land;
i. Transition period in the residence relocation shall be minimized. Compensation for assets shall be paid prior to the impact time, so a new residence can be built, the fixed asset can be removed or replaced, and a necessary mitigation action can be conducted before the actual move.

j. The affected people receive support (either in the form of direct aid or in the form of allowance) to pay the relocation cost or for a temporary living until they can continue their productive activities;

k. The affected people shall be consulted during the process of the arrangement of Action Plan for Land Acquisition and Resettlement, therefore, their objection on the regulation of resettlement can be taken into account: Action Plan for Land Acquisition and Resettlement must be conveyed to the public through an accessible way, especially by the affected people;

l. The level of social welfare and access to resources will be maintained, even, increased after the resettlement.

m. Responsibility shall be defined clearly in order to comply with all costs related to land acquisition and resettlement, and to ensure that the available fund is sufficient and on time.

n. A clear institutional management shall be established in order to ensure an effective and on-time implementation of all steps of resettlement and rehabilitation;

o. Arrangement before an effective monitoring will be conducted during the implementation of all resettlement steps.

p. Method to handle the affected people’s complaints are set, and information on the procedure of complaint is sent to them.

Preparing the Action Plan for Land Acquisition and Resettlement (LARAP or RAP)

As an instrument, an Action Plan for Land Acquisition and Resettlement will be made which describes:

- Activity requiring the land, resettlement or access restriction, and efforts to avoid or minimize this activity’s impact;
- Assets and subsistence source as well as their values based on a census of the affected people;
- Process of consultation with the affected people on the acceptable alternative;
- Agreement made with affected people, on mitigations including any compensation including any aid for resettlement;
- Arrangement for implementation, including for handling of type of compensation and complaint;
- Arrangement for monitoring and implementation;
- Schedule and budget.

Action Plan for Land Acquisition and Resettlement (LARAP or RAP) shall be reviewed and approved by National Program Management Unit (NPMU) and reviewed by World Bank prior to the final approval. Action Plan for Land Acquisition and Resettlement shall be communicated to the affected people using easy language and means, so it becomes accessible to them. Implementation of the Action Plan for Land Acquisition and Resettlement shall be monitored its effectiveness and revised if necessary. All processes shall be well documented by the National Program Management Unit (NPMU).
The following section focusses on the gap analysis between ESS5 on Land Acquisition, Restrictions on Land Use and Involuntary Resettlement and Indonesian Land Acquisition and Resettlement related regulations.

<table>
<thead>
<tr>
<th><strong>ESS 5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement.</strong></th>
<th><strong>Applicable laws and regulations in Indonesia have covered main topics of the ESS5 however, some gaps are identified in terms of detail explanations and arrangements of the issues.</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Sustainable development program</strong></td>
<td>Different modes of compensation other than cash, particularly relocation and land-for-land, are not sufficiently elaborated, particularly on aspects related to livelihoods restoration measures. The LARAP will be required to provide sufficient resources for development of resettlement sites, where necessary; together with provision of relocation assistance and for planning and implementation of income rehabilitation measures for those affected by loss of incomes and livelihood.</td>
</tr>
<tr>
<td><strong>Direct and indirect impacts</strong></td>
<td>Adverse social and economic impacts due to restrictions of access and land use are not explicitly covered under the Law 2/2012. ESMF will cover provisions of addressing impacts due to restrictions on land use and access to natural resources. Indirect impacts due to land acquisition will be covered by Environment and Social Management Plan for the program.</td>
</tr>
<tr>
<td><strong>Associated facilities and legacy issues</strong></td>
<td>Not covered. Legacy issues and associated facilities need to be assessed and due diligence carried out as necessary.</td>
</tr>
<tr>
<td><strong>Replacement costs</strong></td>
<td>No gaps. Independent appraisal team determines compensation for loss of physical and non-physical assets and premium/solatium. ESMF for the program and LARAP for respective project/subproject will provide entitlement matrix for the PAPs.</td>
</tr>
<tr>
<td><strong>Livelihoods Restoration</strong></td>
<td>The Law 2/2012 and its implementing regulations do not elaborate the option and implementation of assistance and livelihood restoration. Livelihood restoration incorporated into project design. Project authorities will be required to provide sufficient resources for planning and implementation of livelihood restoration measures.</td>
</tr>
<tr>
<td><strong>Assistance to Physically Displaced</strong></td>
<td>Assistance to displaced households due to land acquisition are not covered by Law 2/2012 and its implementation regulations (Perpres 71/2012). ESMF for the program to include details on the type of resettlement assistance to displaced households.</td>
</tr>
<tr>
<td><strong>Compensation for loss of income sources or means of livelihood</strong></td>
<td>Legal provisions are deficient to recognize entitlements for loss of incomes and means of livelihood due to land acquisition. ESMF to provide entitlements for loss of incomes and livelihood.</td>
</tr>
<tr>
<td><strong>Support for affected persons who have no recognizable legal right or claim to the land they are occupying</strong></td>
<td>Perpres 62/2018 does require to provide compensation and assistance for those who do not own the land but have occupied or utilized the land with a set of criteria ESMF will specify the eligibility criteria and entitlement for each category of project-affected persons (PAPs), including people occupying land informally.</td>
</tr>
<tr>
<td><strong>Land for land</strong></td>
<td>Law 2/2012 and Implementation Regulations (Perpres 71/2012) do not provide details on the procedures for replacement land. Further, The project is not expected to cause livelihoods impacts and economic displacement resulting from land acquisition</td>
</tr>
<tr>
<td>Compensation options</td>
<td>Provision of replacement land is not sufficiently elaborated.</td>
</tr>
<tr>
<td>----------------------</td>
<td>---------------------------------------------------------------</td>
</tr>
<tr>
<td>Eligibility for Indigenous Peoples</td>
<td>Law 2/2012 does not specify any groups including Indigenous Peoples (IPs). The Implementation Regulations (Perpres 71/2012) do not specify any requirement of conducting social assessment and consultation with IP communities and free, prior and informed consent (FPIC).</td>
</tr>
<tr>
<td>Forced eviction</td>
<td>Not explicitly covered. Ownership rights to land and its associated properties will be relinquished upon compensation payments or court decisions.</td>
</tr>
<tr>
<td>Host community</td>
<td>Host communities are not explicitly covered in the Law 2/2012 and its Implementation Regulations (Perpres 71/2012).</td>
</tr>
<tr>
<td>Resettlement Planning Instruments</td>
<td>The scope of Land Acquisition Plan does not clearly include identification of vulnerable groups, public consultation and participation, and monitoring and evaluation requirements. Further, the Plan does not include relocation assistance and livelihood restoration, where necessary. The Land Acquisition Plan does not fully cover elements and details of those in the LARAP. Timing of the preparation of the Land Acquisition Plan with results of inventory of affected land plots should be advanced to the planning stage.</td>
</tr>
<tr>
<td>Costing</td>
<td>Although Law 2/2012 requires land acquisition plans to include estimated costs for land acquisition and/or resettlement, it does not include the costs for providing assistance and livelihood restorations.</td>
</tr>
<tr>
<td>Disclosure and engagement</td>
<td>Law 2/2012 and implementation regulations require dissemination of information on affected land and other assets, and applicable compensation amounts to affected</td>
</tr>
</tbody>
</table>
households. Public announcement of inventory results is required at the ward/village government offices, sub-district offices and at the place where land acquisition is conducted. However, such disclosure is often available at specific venues which may not be accessible to the wider audience.

<table>
<thead>
<tr>
<th>Grievance Mechanism</th>
<th>Provisions of the Law No. 2/2012 and implementation regulations (Perpres 71/2012) have elaborate and time-bound procedures for filing complaints by affected households and process to address complaints and grievances. It is however, does not explicitly require due documentation of of grievances.</th>
<th>The project’s FGRM require robust documentation and communication of grievances related to project activities.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monitoring and Evaluation</td>
<td>The Law 2/2012 does not provide for external monitoring of resettlement implementation and post-implementation evaluation to assess whether the objectives of the resettlement plan have been achieved. Further it is deficient in providing details on objectives of evaluation.</td>
<td>As per-the ESCP, an independent monitor will be mobilized to provide third-party assessments of the implementation of the LARAP.</td>
</tr>
</tbody>
</table>

**Voluntary Land Donation**

In the future project implementation, it is possible that voluntary land donation happens in which the affected people donated some part of their land voluntarily for this project (for areas outside the forest estate that are to be utilized by Social Forestry Enterprise Groups (KUPS). Contribution in the form of land will be received if there is an “informed consent” and “power of choice”. “Informed consent” means that people who are fully involved understand fully the project and implications as well as consequences and agree to participate in the project. “The power of choice” means that people involved have an option of agree or disagree with the land acquisition.

Because determining both choices is not easy, the following criteria are suggested as guidelines:

- Infrastructure shall not be in the form of requiring special location;
- The impact shall not be significant, in other words, it involves no more than 10 percent of area and requires no physical relocation;
- Land required for fulfilling the criteria of technical project shall be identified by the affected people, not by the institution or project authorities. Technically, the project authorities only ensure that the land is suitable for the use and will not cause health or environmental problems;
- Land shall be free from many problems such as squatter, or claim or confiscation, etc.
- Verification (such as with a statement legalized by the notary or inviting witnesses) of the voluntary land donation shall be obtained from everybody who donates land.
- If the public service should be provided in this project, a public access guarantee to the service is provided by the holder of the right;
- Establishing mechanism of complaint and its settlement

**Voluntary land donation provisions as per ESS5:**
Land rights or claims to land or resources relinquished by individuals or communities without full payment of compensation; in some circumstances, it may be proposed that part or all of the land to be used by the project is donated on a voluntary basis without payment of full compensation. Subject to prior Bank approval, this may be acceptable providing the Borrower demonstrates that: (a) the potential donor or donors have been appropriately informed and consulted about the project and the choices available to them; (b) potential donors are aware that refusal is an option, and have confirmed in writing their willingness to proceed with the donation; (c) the amount of land being donated is minor and will not reduce the donor’s remaining land area below that required to maintain the donor’s livelihood at current levels; (d) no household relocation is involved; (e) the donor is expected to benefit directly from the project; and (f) for community or collective land, donation can only occur with the consent of individuals using or occupying the land. The Borrower will maintain a transparent record of all consultations and agreements reached.

To avoid conflict in future, voluntarily land submission shall be written in the form of agreement as detailed in the following example:

Example of Voluntary Land Acquisition Agreement

I, the undersigned:

Name: ....................................................................................................................
No. Residential Identity Card (KTP): ......................................................................
Occupation: ............................................................................................................
Address: ..................................................................................................................

As the land owner based on the legal land deed Number ........ Dated ........ or other legal written evidences ........ (Please mention), hereby stated my willingness to allow the use of land or other assets, if any, to the Village Government/Indigenous Institution/Farmer Group ..................... (please mention) to be used for the development of ..................... for the sake of people’s interest, for period of time ......, based on necessary extension.

Name of activities: ..................................................................................................
Land location: ..........................................................................................................
Land size: ................................................................................................................
The Remaining land size: .....................................................................................
Other asset value: ..................................................................................................
The recent use of land: ..........................................................................................
Ownership status: .................................................................................................

(Please provide the limitations of properties and status of land ownership as well as a clear map, location, and orientation, whenever necessary, completing them with GPS coordinate)
In witness whereof, this statement is made without any for and for appropriate use.

Place, Date

Owner, Recipient,

On behalf of Village Government/Customary Institution

Signature of land owner over the official duty stamp of IDR 6000

(......Name......) (......Name......)

Signature of the Head of Sub-district as the Land Deed Official (PPAT)

(......Name....)

Signature of heirs:
Name 1 – Signature
Name 2 – Signature
Name 3 – Signature
etc.
Signature of witnesses:

Name 1 (village government/indigenous institution) – Signature

Name 2 (community figure/tribal council) – Signature

Name 3 (nearby neighbor) – Signature etc.
Annex 16
Indigenous People Planning Framework (IPPF)

Introduction

It is inevitable that there will be indigenous peoples involved in the SFF project locations. As such, this project will not only impact on the indigenous people but must also ensure their involvement in the cycle. Aligned with the World Bank ESS 7 and its guidance notes, this Indigenous Peoples Planning Framework (IPPF) is prepared to guide the SFF approach to involving and maximizing benefits for customary communities. The scope of this IPPF includes:

- The types of SSF subprojects likely to be proposed for financing under the project which may impact IP, in particular related to land access restrictions related to changed forest management arrangements, commercialization of natural resources on land owned or used by IP, tenure disputes, and access to project information and opportunities to participate.
- The potential positive and adverse impacts of such programs or subprojects on customary people/IP.
- A framework for ensuring the meaningful consultation tailored to customary people/IP and in the specified circumstances, a framework for ensuring their Free, Prior and Informed Consent (FPIC) during project implementation when activities and impacts affect the territories, natural resources or cultural heritage traditionally owned or utilized and relied upon by IPs.
- A plan for carrying out the social assessment for such programs or subprojects, which will include:
  - Site specific institutional arrangements, including capacity building where necessary, for screening project-supported activities, evaluating their effects on customary people/IP, preparing IP Plans and addressing any grievances.
  - Site specific monitoring and reporting arrangements.

For the IPPF as presented here, institutional arrangements and monitoring and reporting are as for the overall ESMF.

Before going further, it is necessary to understand first the terms of native inhabitant (Penduduk asli) and indigenous people (masyarakat adat). Native Inhabitant is defined according to the four following criteria consistent with ESS 7:

1. Self-identification as a member of a different original cultural group and the recognition of the identity is done by other;
2. A collective bond to a different habitat geographically or by ancestor area in this project area and
with the natural resources in this habitat and area;

3. Indigenous cultural, economic, social or political institutions separated from people or mainstream culture; and/or

4. Different language or dialect, often from the official language or state language or area language where they live.

From the above explanation, Indigenous People can be described as follows:

1. Native Inhabitants or communities that occupy an area in the location affected by the project impact and those who are nomads or seasonally migrate within a relatively short distance, including those who have a periodical or seasonal bond to the ancestral area;

2. Native Inhabitants or communities that occupy an area in the location affected by the project but have a bond to the land through a traditional ownership and/or indigenous use, including seasonal use or cycle. It may include Native Inhabitants/Indigenous People in the urban environment that have a bond to the land affected by the project impact.

3. The Native Inhabitants or communities that have lost the collective bond to the land and the area in the affected project area happen during the lifespan of the relevant group member, as the results of forced dissolution, conflict, resettlement program by the government forcefully, seizure from their land, natural disasters, or merger to urban area but remaining to have/maintain their bond to the land affected by the project impact;

4. Native Inhabitant group that live in the mixed residences, so the affected native inhabitants only formed one part from the community which is defined widely; or

5. Native Inhabitant or communities with a collective bond to an ancestral area, including located in urban areas.

Additionally, we know commonly that historically, Indigenous People have been relocated, against their will by the national jurisprudence. Indigenous People are very susceptible if their land and resources are transformed, cut down or degraded significantly as their language, culture, religion, belief, spiritual, and institution are also threatened. They will be more susceptible to the negative impacts related to the implementation of a project than the non-indigenous people. This susceptibility can include the losses of identity, culture, and resource-based subsistence, including the susceptibility to being exposed to poverty and diseases. Thus, it is important to give special attention to the Indigenous People’s treatment and involvement in all project cycles. Whilst the GOI regulations are in place to enable recognition of indigenous peoples, the processes are not always straightforward or accessible for groups, and have pros and cons in the recognition they afford. Irrespective of this, the SSF project applies WB definition of indigenous peoples and the applicable measures to engage and safeguard their interests, regardless of their recognition by formal local government regulation. In the SSF project areas selected, there are as yet no formally recognized groups.
Brief Project Description and Types of SSF subprojects likely to be proposed for financing under the project.

The SSF Project objective is to improve access to forest land use rights and community management in selected priority areas allocated for social forestry. The objective would be achieved by providing technical assistance to communities, the GOI, and non-government and community organizations serving as facilitators of social forestry, formalizing land use rights, and supporting activities to restore priority degraded forest lands and improve livelihoods, while generating valuable knowledge and lessons to contribute to the SFP.

The GEF-supported SSF project targets a location of 300,000 ha scattered across various regions in Indonesia. The project will be implemented within forest estate areas that have been through a regulated screening process to determine their eligibility as social forestry areas, in areas under known Forest Management Unit (FMU or KPH) jurisdictional responsibility. After going through a discussion and consultation process based on GoI considerations for accelerating achievement of social forestry policy objective and targets, as well as on criteria to meet GEF biodiversity requirements and WB safeguard policy guidance, it was decided that the SSF project will be implemented in South Lampung District, Lampung Province; Lima Pulu Kota District, West Sumatera Province; Bima District and City, West Nusa Tenggara Province; Dompu District, West Nusa Tenggara Province; and West Halmahera District, North Maluku Province.

The project beneficiaries in the proposed locations consist of direct beneficiaries and indirect beneficiaries. Total indirect beneficiaries are estimated at 60,000 people, while direct beneficiaries are estimated at around 133,688 people.

The Social Forestry Program provides an opportunity for the GOI to engage communities and smallholder farmers in its agrarian reform program and in biodiversity conservation efforts. By providing use rights to severely degraded forest land to communities, the Program helps reduce the drivers of biodiversity loss by: (i) supporting sustainable community-based forest management to increase forest cover, which in turn provides biodiversity dispersal or corridor benefits; and (ii) promoting forest-based micro and small enterprise development to improve livelihoods of forest dependent communities, thereby reducing conversion pressure on intact forest habitats. Examples of micro and small enterprise development support for social forestry enterprise groups with permits in forest areas include: plantation and processing of timber and NTFP, micro-hydropower, eco-tourism, including necessary extension and technical assistance for market analysis, quality control, packaging etc, as relevant and on a site-by-site basis.

Potential positive and adverse impacts

Elaboration of potential impacts can be found in the Social Forestry Assessment and ESMF; a

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6 Regulation P12/PSKL/SET/PSL.0/11/2016 regarding Guideline for Verification of Permit Applications for Social Forestry Businesses (IUPHKm).
A summary of key impacts is presented below. Note that while those noted against ESS7 related to indigenous peoples specifically, these groups may also be affected by the other impacts noted for each ESS.

| ESS2 | • Increased awareness about labor and working conditions |
| ESS3 | • Reduced risk of erosion/landslides and increased awareness of pollution prevention  
      • Increased incentives for forest protection, reduced encroachment, and land use conversion |
| ESS4 | • Increased awareness about community health and safety  
      • Reduced dependency on inorganic fertilizer and pesticide use |
| ESS5 | • Increased legal certainty leading to improved forest protection |
| ESS6 | • Slightly positive effects for biodiversity if the Indicative Map of Social Forestry Area (PIAPS) is compatible with sustainable land use that properly protects critical natural habitats, their connectivity, and buffer zones. |
| ESS7 | • Improvement of socio-economic circumstances and livelihoods of adat communities  
      • Increased security of land/forest use rights |
| ESS8 | • Increased visibility and funds for maintenance of cultural heritage sites |
| ESS10 | • Strengthened community organizations, farmer management units and social forestry working group (pokja)  
    • Improved socio-economic circumstances and livelihoods |

**Potential Negative Impacts**

| ESS1 | • Unfair sharing of benefits may occur |
| ESS2 | • Poor OHS practices may lead to injuries |
| ESS3 | • Increased soil and water degradation if environmental issues are not adequately considered in (agro-)forestry production  
    • Roads, buildings and other infrastructure may increase soil erosion |
| ESS4 | • Risk of noise disturbance, water pollution, and exposure to fertilizer, pesticides or waste during construction and operation |
| ESS5 | • If not adequately planned, access restrictions may damage livelihoods  
    • Permanent and/or temporary losses of small areas of land |
| ESS6 | • Environmental degradation if activities are not properly planned  
    • Forest management activities on land with natural vegetation |
Potential Impacts on Indigenous Peoples

The proposed project locations are home to numerous recognised Adat communities and other ethnic groups. The groups that may be formally recognized as adat peoples or not officially recognized but still meet World Bank description of indigenous and are therefore approached and included in the project safeguard processes. Because of their potentially disadvantaged position, Adat communities may have limited capacities to access project information and participate in project activities. They may also have limited capacities to establish social forestry enterprises, for example NTFP processing and/or ecotourism facilities. This may be due to procedural, legal or administrative obstacles, as well as to other factors related to literacy, confidence or discrimination, which may lead to them not fully benefitting from the Project.

The boundary demarcation process as part of the development of FMPs may also ignore the claims and rights of Adat communities, or exacerbate conflict, if not properly handled. Risk of exclusion, rights denial and related distress, tension and impoverishment are possible. At the same time, however, the Project’s targeted support to forestry and agro-forestry based activities of Adat communities is expected to strengthen their tenure security and lead to an improvement of their socio-economic circumstances and livelihoods.

Although there is a possibility of exclusion, elite capture and missed opportunities for indigenous peoples to benefit from the Project, the extensive institutional development support and capacity building efforts in the project design are intended to improve consultation processes and help in setting up community-based decision-making structures and the joint development of annual work plans, budget plans and business plans for SF permit holders, including indigenous peoples. This is expected to increase the overall capacities of Adat communities.

Through project involvement, including training and sensitization of other actors (such as SFWG), the recognition of indigenous peoples is expected to also increase the probability of them attaining formal recognition of land ownership or forest use (permits), if they choose to seek it. Through Component 1 policy strengthening activities, the Project may also seek to
influence MOEF approach to the groups that are not formally recognized, including those outside the project locations.

**Initial Identification of Indigenous People**

ESS 7 requires a targeted assessment of impacts on indigenous peoples, before project activities that will affect them are implemented, along with evidence of robust consultation and planning to minimize negative impact, maximize benefits and ensure meaningful participation. Based on the definition conveyed previously, in this project planning, an initial identification of Indigenous People in the locations (indicative) of project has been conducted as part of the ESMF preparation process. This identification was conducted through literary study, so entails many limitations. Therefore, in future, when the SFF project sites have been determined and project activities are to be implemented, a further effort by is needed by National Program Management Unit (NPMU) and Forest Management Unit (FMU) to identify the indigenous people in every location, and to undertake the steps outlined in this IPPF. The initial identification of indigenous people in the SFF projects locations is set out below.

**The Initial Identification of Indigenous People in the Location of SSF Project (Indicative)**

<table>
<thead>
<tr>
<th>Location (Indicative)</th>
<th>Indigenous People</th>
</tr>
</thead>
</table>
| South Lampung District, Lampung Province | a. Pepaduan Tribe  
Most of members of this tribe live in plateau and remote area in South Lampung Area. This tribe adhere to patrilineal system and tend more egalitarian and democratic, so the social strata are not the main things in the daily implementation. This tribe have many sub-tribes, namely Abung Siwo Mego, Mego Pak Tulangbawang, Pubian Telu Suku, Way Kanan Buway Lima, Sungkay Bunga Mayang.  
The name “Pepadun” is derived from a set of custom used in the procession of Cakak Pepadun. “Pepadun” is a wooden seat or throne, which is a symbol of particular social status in the family. The procession of giving customary title (“Juluk Adok”) is held on this throne. In the ceremony, members of society who want to increase their status must pay some money (“Dau”) and slaughter some buffaloes. The procession of Cakak Pepadun is held in “Rumah Sessat or Sessat House” and led by a tribal leader whose has a higher position.  
b. Saibatin Tribe  
Saibatin Tribe occupy the coastal area of Lampung spreading from east, south, to west. The distribution area of Saibatin Tribe covers East Lampung, South Lampung, Bandar Lampung, Pesawaran, Tanggamus, and West Lampung. Different from Pepadun, Saibatin still hold the customary tradition tightly, especially in the matter of social strata. Therefore, the aristocratic characteristics is still valid in this tribe’s descents and the title is only able to be inherited based on bloodline.  
The use of customary equipment is still valid up to now. One of them is Siger, that is a bride crown which has seven concavities. This crown become the symbol of Lampung Province and made as a big monument on the gateway of Lampung Province. |
<table>
<thead>
<tr>
<th><strong>Location</strong></th>
<th><strong>Description</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Saibatin Tribe</td>
<td>have many sub-tribes that spread along east, south, and west coastal area of Sumatra island, even up to Banten. One of sub-tribe members that widely occupy South Lampung is Peminggir (in which this sub-tribe is still divided into several tribe groups and Marga Lima (Five Clans of Way Handak).</td>
</tr>
<tr>
<td>Lima Puluh Koto District, West Sumatra Province</td>
<td>Majority of the population in the location is Minang Tribe. Recently, there are 79 karapatan adat nigari (customary institutions) which spread across 13 sub-districts in all over the district. Karapatan Adat Nagari is an institution of tribal council in many nagari in Minangkabau domain in the government system of nagari in West Sumatra Province. Karapatan Adat Nagari is a representative of legal community unit that has territorial borders that have authority to manage the interest of every tribe and community in a Kanagarian, based on the origin and customary tradition recognized and respected in the government system in West Sumatra Province.</td>
</tr>
<tr>
<td>Bima Regency and Dompu Regency, West Nusa Tenggara Province</td>
<td>The native tribe is Bima Tribe or Dou Mbojo that consist of two sub-tribes namely Dou Mbojo and Dou Donggo. People of Dou Mbojo occupy the coastal area and have a mixed race with Bugis Tribe. Meanwhile, people of Dou Donggo occupy the west part area of gulf and the valley area and also the mountain range. Donggo Tribe is considered to be the first person who occupied Bima area. This tribe still have a kinship with Sasak Tribe in Lombok. A belief which is still adhered by this tribe is Pare NO Bongi. It is an original belief that upholds ancestors’ spirit with Batara Gangga as the god that has the great power as the ruler. Besides, one of its native tribes is Dompu Tribe. Most of them are spread in 4 sub-districts, they are Hu’u, Dompu, Kempo, and Kilo sub-districts. Both of the tribes use a language namely Nggahi Mbojo, but they have a different accent in the language use. In addition to the native tribes, there are also strangers coming from Donggo Tribe and Sasak Tribe that are the native inhabitants of Sumbawa.</td>
</tr>
</tbody>
</table>
| West Halmahera Regency, North Maluku Province | • Sahu Tribe  
  Sahu tribe is one of tribes that the people are still active in holding their customary ritual. This tribe occupy two administrative area in this district, namely Sahu Barat tribe sub-district and Sahu Timur tribe sub-district. Although this tribe occupy two different area, they always uphold a similar customary unity. It can bee seen from the existence of Sasa’du (customary house of Sahu tribe), located in every village in the both sub-districts. Both the tribes always hold a customary feast namely Orum Sasadu. This tribe’s spirit is mutual cooperation created by the ancestors which is inherited until this day. Usually, in the family environment, there is a cooperation relation as responsibility. It can be seen from cooperation in preparing wedding ceremony of family member, burial ceremony, customary tradition in division of property, and Sasadu culture.  
• Ternate Tribe  
  Majority of this tribe reside in Ternate Island. However, many of them spread across the surrounding area in North Maluku area. Their mother tongue language is Ternate Language, which is still used in the daily conversation. They reside along the coastal area of the island. Their main livings are fishermen, farmer, and miner. According to the 2010 census, 97% of this tribe adhere to Islam.  
• Wayoli Tribe |
Wayoli people live in West Halmahera. They occupy twelve villages and have Wayoli language. The social and customary relations among villages are well maintained. The village’s customary party often involves other Wayolios villages. This tribe also exists in South Halmahera area. Nevertheless, they use similar language in communicating one another. Their subsistence is farming.

- Loloda Tribe
  In the history, Loloda is one of tribes that established an Islamic Kingdom in North Malaku area, exactly in Halmahera. This kingdom played an important role in spice trade in the past. This kingdom ended in the early 20th century or in 1908. The meaning of Loloda is moving.

- Gamkonora Tribe
  The meaning Gamkonora is mountain or hamlet, which is located exactly in the middle of the island (Halmahera). This tribe’s language is considered as the mother language of some languages in Halmahera, including the language of Wayoli tribe. Majority of the tribe people live at foot of Mount Gamkonora. There is a concern about Gamkonora and Wayoli languages will be extinct.

Source: Social Forestry Assessment of SSF Project

Planning and Mitigation Approach to Impacts on Indigenous People in SSF Project

The SSF Project plan for carrying out IP-specific social assessment, consultation and planning for its sites or sub-projects is outlined below.

1. Identification of Indigenous People

   To elaborate on the initial identification provided in this IPPF, each a targeted assessment will be conducted for each site to identify the indigenous people and then to prioritize them to be the main stakeholders, so, the project executor can understand their concern and interest. This includes the relevant cultural and other institutions to be informed and involved in the project implementation. The ESMF and WB ESS7 and its annexes provide guidance on the content of the assessment, which is to be commensurate with the scale and nature of activities and impacts associated with each sub-project. Some elements to be included are:

   - Customary or Local Knowledge

     The indigenous and local knowledge is tightly fitted with the context where the knowledge developed. To understand it, a long observation process is needed, observation on daily activities, such as agricultural and forestry practices, and management of other natural resources, which are inherited from generation to generation. Integration of customary knowledge in the project implementation is the key to ensure that the final result of the project can be accepted by all people and especially by the indigenous people and the sustainability can be assured.
Key steps in the acknowledgement and use of customary knowledge includes:

1. Identification of many kinds of knowledge, especially the one related to the use of land (either for productive or religious/belief uses) and their limitations;
2. Identification of customary tradition rules related to the land and the natural resources as well as their use; and
3. Ensuring that the population and the indigenous people’s knowledge is an integral part of the project implementation process.

By understanding the customary knowledge, when a project activity risks being contrary or counter to that wisdom, adjustments should be made, so that disputes and conflict can be avoided.

For example, the indigenous people in Mamas area (although not in the Project area) reject all kinds of marker stakes that signify the border of an area because they are contrary to other customary rules. Lack of knowledge on such matters can trigger a conflict in future. Another example from the Project area, people in Lima Puluh Kota district still uphold custom and custom law that has been implemented from generation to generation since their ancestors’ era. Minangkabau people who adhered the matrilineal system in their social order and structure place female as the key figure. Positioning females in key roles in consultation and decision-making activities related to Project implementation would be a positive and appropriate response. Nevertheless, it is noteworthy to remember that there is a patriarchal Islamic law operating in Lima Puluh Kota District (Project area). This apparent clash between traditional and currently prevailing local systems should be considered carefully, to avoid project implementation problems in future.

- **History of Conflict related to Indigenous People**

   It is important to learn history related to conflict regarding the indigenous people in the locations of the Strengthening Social Forestry (SSF) project. Information on what kind of conflict, the parties in the conflict, what kind of conflict resolution has been attempted or completed, and to what stage, as well as any impacts of the conflicts, are very important information, so that the project executor can be careful in the project implementation process. The initial information related to the conflict in each Project location refers to Social Forestry Assessment of SSF Project.

   Conflict prevention and resolution skills are to be included as part of the training under the Project capacity building plan, linked to the ESMF, and should be linked to IP issues in the project areas, to ensure awareness of the need for tailored approaches that are sensitive to IP characteristics, preferences and needs.

2. **Consultation with Indigenous People**, including FPIC for impacts on territories, natural resources and cultural heritage
IP organizations have been consulted during the ESMF and IPPF development, at selected sites and at the national level. After being identified, the FMU and PIUs will conduct a series of consultation processes with the identified indigenous people and their representatives or related experts that can support the meaningful participation of IP groups at the local level for each project site/location during inception stage, and throughout Project implementation. Consultation approaches including principles and methods follow the guidance in the project ESMF, as well as its Annex 17 (SEP), Annex 10 (FPIC) and Annex 12 (example of Community Agreement). The importance of documented agreements about project activities including their mitigations, based on the Free, Prior, and Informed Consent (also known as FPIC or padiatapa) is emphasized in this process. For detailed information on the FPIC Guideline, please refer to ESMF Annex 10. FPIC requirements apply when there are indigenous peoples’ territories, resources for livelihoods or cultural heritage potentially impacted by the project activities.

Briefly, the agreement on the initial information for the indigenous people who are potentially affected is a simple consultation process with the following terms:

a. The consultation process shall be free of violence, intimidation, manipulation, and force by any outsider groups.

b. The indigenous people who are potentially affected by the impact shall be given sufficient time to consider all information and make decision for agreement prior to the project implementation.

c. The indigenous people who are potentially affected by the impact shall be informed first with the information which is:
   ✓ Presented in a language (local language) or in an easy way to be understood by all community members;
   ✓ From many sources, both independent or government sources; and
   ✓ Equipped with sufficient prior notice in order to ensure significant review and consultation through a method selected by the people.

The consent itself requires that the project initiator facilitates the indigenous people who are potentially affected by the impact to say “Yes” or “No” on the project at every step, by using the process of decision making according to their choice. It is important to remember that sometimes because of social marginalization and lower literacy levels among the indigenous People, written material may be not the best method to communicate a lot of information related to the project with them. Furthermore, many native languages have no written form. It is also important to approve the communication method that will be utilized with the people as soon as possible. Local experts should be consulted for information or support, and can be identified through universities in each Province where the project will be implemented, as well as others to be located, for example in the Church or government positions (ask at Social Department, Bappeda (Local Development Planning
Board) and local branches of AMAN (indigenous peoples’ network organization) or other similar NGOs.

Full implementation of FPIC is not always free of challenges because it needs a long time and also a participative process on an ongoing basis. To assist in this regard, informal “consultation” processes with the indigenous people are also necessary, even though there is no guarantee that an “agreement” will be reached. Documentation of all processes is required, and frequent review of methods and of the issues arising, will be necessary. ESMF Annex 12 provides an example of agreement between the FMU and Social Forestry Permit Holder (KUPS) which may be all or partly indigenous peoples in its membership, which should reflect the terms agreed through FPIC with each affected group.

4. Plan for Involving Indigenous People in the Project Cycle – IPP development

An Indigenous Peoples Plan (IPP) is to be prepared for each site where indigenous peoples are involved in or impacted by project activities. This plan includes detailed identification of groups at each site, documentation of how the indigenous People are involved since the planning (refer to ESMF annexes 8 on Community Participation, 10 on FPIC, 17 on Stakeholder Engagement including grievance handling), assessment of impacts, results of consultations to agree mitigation plans which may include allocation of roles, benefit sharing etc.

The IPP activity commitments are to be consistent with the site or sub-project ESMP, and include information on resources and responsibilities for implementation, monitoring and evaluation. The plans are also to include information on enhancing the indigenous people’s capacity to participate in and benefit from SFF project activities. To mitigate the key impacts likely affecting indigenous peoples, namely changed access to natural resources or cultural heritage sites, the following is required:

- Impacts and alternative options are to be discussed and negotiated transparently with FMU and specialist consultants when needed, for example engaging specialist facilitators to ensure that the FMU engages with the correct IP representatives and that consultation methods are culturally appropriate;
- Full documentation to show process and agreements reached, aligned with FPIC requirements (refer to Annex 16 of ESMF for example template);
- Key in the mitigation of access impacts is for affected IP to have the opportunity to participate fully in the SF group (KUPS), thereby receiving formalized user rights, technical assistance for natural resource management planning, and for the development of sustainable enterprise/livelihoods from the affected area.
- Alternative or assured access to cultural heritage sites affecting indigenous peoples are to be agreed and documented; and
• In the event of physical works associated with enterprise development for a social forestry area, the applicable Chance Finds Procedure (ESMF Annex 7) will be followed. This includes proactive communication with IP groups and involvement of local authorities where agreed.

5. Synergy with Other Projects

The characteristics of Strengthening Social Forestry (SSF) Project which arose as the needs from the bottom up (not from the top down) actually requires this project to establish a plan for involving the indigenous people which may be different from other projects. Social forestry is an initiative from the society, arising from local proposals for permits from the community with some certain requirements, so that they get access to increase welfare. Therefore, the indigenous people become the subject (not the object) of this project in the whole cycle. The IPPF is prepared to support project implementation planning, to ensure that indigenous peoples’ interests are represented, participation is maximized, and benefits are available and optimized as intended by the World Bank’s ESS 7.

It is nevertheless important to consider other projects such as Forest Investment Program (FIP) and Dedicated Grant Mechanism (DGM) that specifically target indigenous people, so when the project is implemented, it can build synergy either in terms of resources or approaches. Especially for the DGM project where the locations will continue to be developed for next four years, there is possibility of overlapping locations and targets. Social Forestry projects implemented by MoEF through other sub-directorates should also be continuously referred to for information, sharing and strengthening of approaches.

Institutional Arrangements for IPPF Implementation

1.1

The institutional arrangements for the IPPF implementation are consistent with those for the Project’s Environmental and Social Management Framework (ESMF). As per the agreement between the Government and the World Bank and according to the prevailing legislation, the funding to be used to execute this project is a decentralization fund. Therefore, according to the existing institutional roles and functions, Directorate General of Social Forestry and Environmental Partnership (PSKL) is the Executing Agency.

The institutional elements of the project organization are:

1. National Steering Committee (NSC) is led by the Directorate General of Social Forestry and Environmental Partnership (PSKL). The NSC members are the echelon 2 officials in charge of the Forests and Social Forestry i.e. Ministry of Environment and Forestry (MoEF), National Development Planning Agency (Bappenas), Ministry of Home Affairs (MoHA), Ministry of Village, Development of Disadvantaged Regions and Transmigration (MoV), Coordinating Ministry for Economic Affairs (CMEA), Ministry of Agriculture (MoA), Ministry of Finance (MoF), Ministry of State Owned Enterprises (MoSOE), Ministry of Cooperatives (MoC), Micro, Small and Medium Enterprises (MSME), Ministry of Trade (MoT), Creative Economy Agency (BEKRAF), Ministry of
Agrarian Affairs and Spatial Planning (MoAASP), Ministry of Tourism, 2 (two) members of Social Forestry Acceleration Team (locally TP2PS)

2. Project Management Unit (PMU) or Executing Agency (EA) led by the Director of Social Forestry Area Preparation (PKPS) as the Proxy Budget User (KPA) of the SSF Project;

3. Project Implementation Unit (PIU) at the Management Unit/Forest Management Unit (KPH) as the Commitment Making Officer (PPK) of SSF Project

4. Project Management Office (PMO) is the professional administrative consultant

5. Provincial Forestry Agency as mandated in Law No. 23 concerning Decentralization.

6. Working Group of Social Forestry Acceleration

7. Project Management Consultant to SSF Project (PMC) is a professional institution commissioned by the PMU (or the World Bank) to provide services or technical assistance for PMU and PIU. PMC consists of several consultants in their corresponding expertise (Team Coordinator; Policies and Institutional Specialist; Capacity Building Specialist; Business Development Specialist; Safeguard Specialist; Monitoring Specialist; Communication Specialist; Evaluation and Outreach; Procurement Specialist; and Financial Specialist).

The Project Implementation Unit (PIU), in this case the Forest Management Unit (FMU) established in the project working area, serves as the site-level executor. In relation to safeguarding, they have to consider negative list as a list of activities that cannot be supported by SSF project. Environmental and social management framework at site level must be implemented with supervision from the PIU safeguard specialists. Planning process must be completely participatory and consulted with the beneficiaries, i.e. targeted Forest Farmers Group (KTH)/Social Forestry Business Unit (KUPS) and with their approval. PIU needs to generate environmental management and monitoring plans (ESMP) acceptable to the Bank and obtain the necessary permits before commencing the project (see Figure 4). Mitigation and monitoring actions must be made in writing.

PMU is responsible for ensuring that the IPPF is implemented, including the development of the IPPs for sites and specific sub-projects. PMU takes the role of disseminating information regarding screening, use of the negative list of activities that cannot be funded by the SSF Project to on-site implementers and all relevant parties, and preparation of the ESMPs, including with appropriate consultation of stakeholders including indigenous peoples, meeting FPIC requirements. PMU also puts emphasis on the importance of stronger environmental and social management by ensuring adequate staffing and budget allocations. PMU will also conduct capacity building related to environmental and social management to all relevant parties, as set out in the Project Implementation Manual (PIM) and its capacity building plan. PMU supervises the PIU in the implementation of all commitments in this IPPF and reports aggregate impact of the project to all relevant parties.

**Responsibility of Each Party in Environmental and Social Management**

<table>
<thead>
<tr>
<th>Phases</th>
<th>EA/PMU</th>
<th>PIU</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activities Planning</td>
<td>Dissemination of information to PIU and all relevant parties regarding safeguard, its policies, and the negative list of SSF project. Capacity building related to ESMF</td>
<td>Identification of social and environmental issues and the mitigation as well as making Environmental and Social Management Plans and related instruments (RAP or IPP if required).</td>
</tr>
<tr>
<td>Implementation</td>
<td></td>
<td>Documentation of consultation with stakeholders including specific processes for indigenous peoples. Committed to implement ESMF, including preparing relevant plans based on ESMF annexes (Indigenous Peoples Plan, etc.)</td>
</tr>
<tr>
<td>----------------</td>
<td>---------------------------------------------------------------</td>
<td></td>
</tr>
</tbody>
</table>
| Implementation | Disclose relevant information to the public  
Monitor the implementation of Environmental and Social Management Plan at the site level  
Redress grievance at the national level | Implement, monitor, and report Environmental and Social Management Plan and IPPs.  
Documentation of consultation with stakeholders including specific processes for indigenous peoples.  
Redress grievance at site level |
| Post-implementation | Monitor, evaluate, and report aggregate impact of the project | Monitor project impact at site level, including how GRM is implemented and implementation of ESMF, Framework/Process Framework, Indigenous Peoples Planning Framework, Stakeholders Engagement Plan, etc. |
Annex 17
Stakeholder Engagement Plan (SEP)

INTRODUCTION

This document presents an overarching Stakeholder Engagement Plan for the Indonesia Strengthening of Social Forestry Project, prepared by the Ministry of Environment and Forestry with the World Bank, for support by the Global Environment Fund. It is a living document, to be updated and developed further during project implementation. This Stakeholder Engagement Plan (SEP) responds to World Bank requirements under ESS10 of engaging effectively with individuals, groups, communities and other stakeholders who might be directly or indirectly affected by activities to be taken up as part of the Indonesia Strengthening of Social Forestry Project (SSF Project) throughout the project cycle. However, the engagement activities commenced prior to the SEP development, namely since the preparation phase. Engagement shall continue through to final project evaluation stage, as detailed in the Community Participation Framework, Annex 8 of the Environmental and Social Management Framework (ESMF).

Stakeholders here are not only the government officials, and not only members of society or non-government organization. Stakeholder(s) is defined as “... a person or a group of people who is/are affected by a project, and those who have possibility to own an interest in a project and/or a capability to influence the result, either positively or negatively. Stakeholders can include community or individual affected by the local impact and their formal and informal representatives, national or local government authorities, politicians, religious leaders, organizations and civil society groups with special interest, academic communities, or other businesses.” (IFC, 2017)

Therefore, it is important to identify the stakeholders and then conduct an analysis of stakeholders, influence level, and power relations. With a structured stakeholder engagement plan, there can be a two-way interaction between the project implementation parties and the identified stakeholder groups that indirectly affect and/or are being affected by the project. The stakeholders shall be given an opportunity to convey their opinions through many ways and ensure that this information is considered while making decision in the project implementation.

This Stakeholder Engagement Plan (SEP) responds to World Bank requirements under ESS10, and applies for stakeholder engagement in the Indonesia Strengthening of Social Forestry Project (SSF Project) throughout the project cycle. However, the engagement activities commenced prior to the SEP development, namely since the preparation phase. Engagement shall continue through to final project evaluation stage, as detailed in the Community Participation Framework, Annex
PROJECT DESCRIPTION

The SSF Project objective is to improve access to forest land use rights and community management in selected priority areas allocated for social forestry. The objective would be achieved by providing technical assistance to communities, the GOI, and non-government and community organizations serving as facilitators of social forestry, formalizing land use rights, and supporting activities to restore priority degraded forest lands and improve livelihoods, while generating valuable knowledge and lessons to contribute to the SFP.

The GEF-supported SSF project targets a location of 300,000 ha scattered across various regions in Indonesia. The project will be implemented within forest estate areas that have been through a regulated screening process to determine their eligibility as social forestry areas, in areas under known Forest Management Unit (FMU or KPH) jurisdictional responsibility. After going through a discussion and consultation process based on GoI considerations for accelerating achievement of social forestry policy objective and targets, as well as on criteria to meet GEF biodiversity requirements and WB safeguard policy guidance, it was decided that the SSF project will be implemented in South Lampung District, Lampung Province; Lima Puluh Kota District, West Sumatera Province; Bima District and City, West Nusa Tenggara Province; Dompu District, West Nusa Tenggara Province; and West Halmahera District, North Maluku Province.

The project beneficiaries in the proposed locations consist of direct beneficiaries and indirect beneficiaries. Total indirect beneficiaries are estimated at 60,000 people, while direct beneficiaries are estimated at around 133,688 people.

The Social Forestry Program provides an opportunity for the GOI to engage communities and smallholder farmers in its agrarian reform program and in biodiversity conservation efforts. By providing use rights to severely degraded forest land to communities, the Program helps reduce the drivers of biodiversity loss by: (i) supporting sustainable community-based forest management to increase forest cover, which in turn provides biodiversity dispersal or corridor benefits; and (ii) promoting forest-based micro and small enterprise development to improve livelihoods of forest dependent communities, thereby reducing conversion pressure on intact forest habitats. Examples of micro and small enterprise development support for social forestry enterprise groups with permits in forest areas include: plantation and processing of timber and NTFP, micro-hydropower, eco-tourism, including necessary extension and technical assistance for market analysis, quality control, packaging etc, as relevant and on a site-by-site basis.

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7 Regulation P12/PSKL/SET/PSL.0/11/2016 regarding Guideline for Verification of Permit Applications for Social Forestry Businesses (IUPHKm).
To achieve the project objectives, project components are established and consistent with Indonesia's Sustainable Landscape Program and One Map Policy. The project components consist of the following:

**Component 1. Policy and Institutional Strengthening to Support Social Forestry**

This component aims to create an enabling environment for the success of the development and strengthening of social forestry in Indonesia, and to create opportunities for increasing the scale of activities in the future. There are 3 (three) sub-components under Component 1.

**Sub-component 1.1 Policies and Regulations**

This sub-component aims to support the MoEF Social Forestry Program in developing and harmonizing relevant policies, regulations and procedures which accelerate and facilitate the implementation of the Social Forestry Program. Its main activities include:

(i) Supporting village and district development planning process and relevant policies and guidelines;
(ii) Strengthening the policy framework for sustainable funding (e.g. fiscal decentralization, microfinance); and
(iii) Strengthening policy framework for community-based enterprises.

**Sub-component 1.2 Institutional Strengthening**

This sub-component aims to develop institutional capacities at various levels of government that are appropriate for promoting Social Forestry Program activities consistent with the proposed project objectives. This will enable sustainable management of forest resources by users while providing income-generating opportunities. Its main activities include:

(i) Additional support for the operationalization of the Social Forestry Task Force;
(ii) Additional support for grievance redress and conflict resolution mechanisms;
(iii) Supporting the formation of village institutions, farmer groups, and customary institutions;
(iv) Strengthening the institutional framework to accelerate the issuance of land use rights for village institutions, farmer groups and customary institutions; and
(v) Strengthening existing technical support (e.g. community facilitators) for forest-dependent communities; as well as knowledge management and technical assistance.

**Sub-component 1.3 Knowledge Management and Technical Assistance**
This sub-component is expected to generate learning from social forestry in Indonesia and draw lessons from other countries' experience to contribute to the achievement of project objectives and for the Social Forestry Program. The sub-component is also expected to assess and address capacity requirements at the government and community levels for the implementation of an effective Social Forestry Program, including by supporting the creation of social forestry networks and strengthening community-based micro and small enterprises. Its main activities are supporting knowledge management and technical assistance.

Component 2: Social Forestry development and strengthening

This component aims to support the implementation of an effective and efficient Social Forestry Program. Targets will be achieved through the following three sub-components:

Sub-component 2.1 Management Plan

This sub-component functions to facilitate and provide the community with technical assistance in formulating a sustainable forest management plan. Its main activities include:

(i) Supporting the mechanism for transferring land use rights to the community;
(ii) Mapping and installing boundary stake and land zoning for various uses;
(iii) Developing village forest management plan and management of farmer groups; and
(iv) Implementation of the above-developed management plan.

Sub-component 2.2 Development and Implementation of Community Investment

The proposed project will support the development and/or strengthening of small and micro enterprises in the community in accordance with the management plan described above. The main activity in this sub-component is to develop and run a number of priority investments according to the management plan.

Sub-component 2.3 Development of Community-based Small-Micro Enterprises

This sub-component will promote community access to business financing schemes. The main activity is the development of community-based micro-enterprises. The proposed sub-component will support community/farmer groups in implementing the management plan developed above; develop and encourage investment in economic activities as priority livelihoods according to the management plan prepared with project support in sub-component 2.1 through community grants.
Component 3: Project Management and Monitoring and Evaluation

This component aims to ensure effective and efficient implementation of project activities to achieve project objectives. Its main activities cover the following:

(i) Project management (e.g. fiduciary management, safeguards, etc.); and
(ii) Monitoring and Evaluation.

STAKEHOLDER IDENTIFICATION AND ENGAGEMENT APPROACH

The level of stakeholder engagement is informed-- by—

- Types of information and consultation needed for stakeholders to understand and response to project risks, impacts and opportunities;

- Whether certain activities require special consent or permissions, FPIC (free, prior informed consent) for example;

- Whether vulnerable and marginal groups are identified who require special assistance: particular types of information and opportunities to participate;

The key components in the stakeholder engagement approach can be categorized into 8 (eight) steps outlined and addressed in this plan.

Identification and Analysis of Stakeholders

It is a process to identify and prioritize the main Project stakeholders including understanding their attention, focus and interests. Stakeholders may be categorized as: affected parties, other interested parties, disadvantaged / vulnerable groups in the project area.

In the design process, SSF project team identified the main stakeholders in general and analyzed them (as presented on the ESMF). The list of stakeholders identified in the process of SSF project preparation is presented as an Annex 1 to this SEP.

This identification process will be developed in every project location, to form a stakeholder register or database for each site. Identification of the stakeholders will be conducted through an interview technique with informants in either national level, district level, or village level. Informants consist of people engaged in the issues of social forestry, such as those who work in the government institutions (national level, provincial level, and district level), people who join a working group of social forestry acceleration both in the national level and local level, or people engaged in a village.
With the help of the ESMF Specialist, every Forest Management Unit (KPH) will collaborate with the farmer/community groups to develop the necessary data collection and analysis of local stakeholders in each location.

In identifying the stakeholders, the following aspects should be taken into account:

- **Process Ownership**: because the success of SSF project implementation on the field depends on an active support and engagement from the stakeholders. The process ownership is important because the stakeholders can see and feel that all social forestry contribute to the poverty reduction and to the biodiversity conservation in every area. Thus, in long term, this ownership will positively influence their engagement and the strategy of the project sustainability can be assured.

- **Reducing Complexity in the Project Implementation**: one of main objectives to have clear and identified stakeholders are to minimize complexity in the process of SSF project implementation. Social stratification and social group diversity of the stakeholders in terms of gender, economy, social strata, ethnicity, caste, power, age, religion/spiritual, etc. of course will influence their interests one another. Inclusiveness ensures that those who were historically continuously harmed, marginalized, and “invisible” will become the opposite ones. Their voice shall be involved for the sake of a fair process. It is important for a long term in order to contribute to the sustainable development goals (SDGs) in every project location.

An overview of stakeholders identified for this Project is provided below, and the actual details of those identified is presented in the Table as Annex 1 of this SEP. As noted in the SEP introduction, this document is a living or growing document that will be updated over time.

- **Indigenous Peoples and Local Communities (IPLCs)**

  IPLCs are stakeholders who are highly dependent on forest resources. To IPLCs, forests are not only a provider of agricultural land but also a hunting ground and place to find staple needs such as water, timber, firewood, medicinal plants and various types of food. In fact, in some communities, forests also serve cultural and religious functions. Within the IPLCs as a category, various interest groups can be found, among others:

  - **Forest farmers**: a community group that uses forest land to grow crops. In the past, farmers used the forest land to grow crops in a variety of ways, but nowadays many forest lands are used for the cultivation of commercial crops e.g. oil palm, coffee, rubber, etc.
  - **Harvesters**, collectors or pickers of non-timber forest products such as honey, rattan, jelutung, and so on.
  - **Community groups** that use water and water energy.
  - **Women’s’ groups** (the project will ensure a minimum women’s’ participation of 30%).
• **Other vulnerable groups.**

These people may form or be part of the groups formed as the Social Forestry Business Group (DFBG or ‘KUPS’) to run businesses in the field of social forestry. The Project ESMF and IPPF (Indigenous Peoples Planning Framework) provides more detail on the IP identified at each project location. Strategies to engage each of these groups will vary depending on local characteristics, needs and preferences, but options are set out in the engagement techniques table in this SEP.

• **Village Government**

A village is the lowest level of government administration in the Republic of Indonesia. Based on Law No. 6 of 2014, the village has the authority to regulate and manage government affairs, interests of the local community based on community initiatives, and origin rights or customary rights. A village, in this instance, a village government under Law No. 6 of 2016, has the task to carry out village development, and village community development and empowerment. One of the main challenges in village community development and empowerment are the increased disparity in agrarian resources control and environmental degradation in the countryside. Social Forestry is one of the answers to the problems occurring in the village. Therefore, the Village Government is one of the key actors involved in the Social Forestry Program.

With the granted authority in managing Village Funds by mandate of the Village Law, the Village Government is expected to contribute to institutional strengthening and Social Forestry funding, including incorporating forestry management activities into the Village Medium-Term Development Plan. Likewise, the Village Government can encourage village-owned enterprises to become partners in marketing the village products.

• **Regional Government**

The Forestry Ministerial Regulation No. 83 of 2016 concerning Social Forestry states that the Central Government and Regional Government (Provincial and the District) have the task of facilitating the holders of Social Forestry permit. The facilitation includes assistance in the application phase, institutional strengthening, capacity building including business management, cooperative establishment, working area boundary setting, preparation of a village forest management plan, a business and annual work plan, design of forestry partnership activities, financing, post-harvest, business development, processing technology, business training, market access, and even promotion through various events. In addition, the Provincial Government can concretely contribute to initiating Regional Regulations on Recognition of Indigenous Peoples, or at District Government level, through the District Head Decree on Recognition of Indigenous Peoples.

These contributions are in line with the role of the District Government stipulated in Law No. 23 of 2014 concerning Regional Government. It states that in the field of community and village empowerment, the District/City Government is authorized to establish village governance (*penataan desa*); facilitation for collaboration between villages in the same district; and coaching and supervision for village government administration. The same thing is also stipulated in the Village Law, that the District/City Government is obliged to provide guidance and supervision over the implementation of the village governance. This includes facilitating, fostering, and supervising the village governance;
and making efforts to accelerate rural area or village development through financial support, coaching, and technical assistance.

In the context of implementing village governance, Social Forestry is clearly a part of village development which aims to improve the welfare and wellbeing of rural communities and reduce poverty through meeting basic needs, building village facilities and infrastructure, developing local economic potentials, and utilizing the natural and environmental resources in a sustainable manner.

- **Central Government**

  The Central Government, in this case, the MoEF has a significant role in social forestry by issuing licenses and legalization, document and on-site verifications, and so on. Despite the challenges, MoEF had played its part and without its active role, the social forestry process would be stagnant.

- **Forest Management Unit (FMU)**

  Forest Management Unit (FMU) is a site-level institution with the aim of ensuring certainty and realization of economically, socially, ecologically sustainable forest management. As the site-level institution, FMU is the executor of operational and/or technical activities supporting the local agencies in the field of forest management within the designated FMU working area. FMU has functions including implementing forest management activities in its working area, starting from planning, organizing, implementing as well as monitoring and controlling; investment development, cooperation, and partnerships in forest management; implementation of counselling and community empowerment in the field of forestry.

  The roles of FMU in Social Forestry are vital and must constantly be improved. The roles include identifying site-level forest land tenure, community groups that will be actors in the Social Forestry program, land to be allocated for Social Forestry, and facilitating community institutional strengthening.

- **Working Group on Social Forestry (SF-WG)**

  Similar to FMU, the Working Group on Social Forestry was established to help accelerate social forestry in various regions in Indonesia. This Working Group consists of elements from the Regional Government, Non-Governmental Organizations (NGOs), Universities and parties related to social forestry.

  The Working Group on Social Forestry has the duty to disseminate, facilitate and assist the target community up to the site-level, to perform sustainable forest management and utilization as well as business development, and to assist the government in verifying requests for access.

  In addition, the Working Group on Social Forestry also functions as a forum for collaborative learning about social forestry by developing field schools and assisting the government in monitoring and evaluating the implementation of the social forestry program.

- **Financial Institutions**
One of the issues in agricultural business and social forestry is the unavailability of financial capital. To manage this issue, the government should have been more serious in encouraging financial institutions (banks) to support farmers holding Social Forestry licenses by taking into account the ethical principles of Social Forestry as the financing requirements. The government must give the awareness to encourage funding schemes that benefit and empower the license holders. Any capital loan and investment practices which are potentially detrimental to the license holders should be avoided.

• **NGOs and Universities (Facilitators)**

NGOs and universities have been playing an important role in encouraging Social Forestry implementation. Besides advocating Social Forestry policies, NGOs are also actively working in the field. Perhaps more than 90% of the existing Social Forestry working area is the result of NGOs' coaching. In Social Forestry, NGOs' roles include coaching and strengthening of community institutions, identifying and mapping of Social Forestry locations, mentoring social forestry management, and so forth. The involvement of NGOs in Social Forestry has also been institutionalized in the Working Group on Social Forestry Acceleration.

• **Private Sector**

The private sector can serve as off-taker, making it easier for the industry in procuring raw materials. The private sector is expected to absorb the output or products generated by the Social Forestry, such as timber and non timber forest products (fruits and nuts, vegetables, fish and game, medicinal plants, resins, essences and a range of barks and fibres such as bamboo, rattans, etc.). It means the private sector has a big role in accelerating Social Forestry.

**Stakeholder Analysis**

In relation to vulnerable groups especially, it is important to understand project impacts and whether they may disproportionately fall on disadvantaged or vulnerable individuals or groups, who often do not have a voice to express their concerns or understand the impacts of a project.

Through the ESMF development, as well as project design process, FGDs were held with indigenous people and local communities to scope out the potential impacts and necessary mitigations. Further work to identify and engage vulnerable stakeholders on a site by site basis is required during Project implementation. For Indigenous stakeholders who may be impacted, the IPPF and subsequent IPPs will document their identities, issues and any special needs and agreements reached, prior to any project activities taking place on the ground, aligned with requirements for Free Prior and Informed Consent (FPIC). More information about the FPIC Guideline is presented in ESMF Annex 10, and the Public Consultation Administration Guideline is discussed in ESMF Annex 11.

Stakeholder analysis for this Project considered the vulnerable groups in particular and shows that IPLCs have the highest vested interest, but the lowest power. Meanwhile, stakeholders with the highest power are the Central and Provincial Governments, but their interest is not too high. In fact, the Provincial
Government has always shown low interest in the Social Forestry program. More information on stakeholder analysis by level of power and interest in Social Forestry can be seen in Figure 3. The purpose of this analysis and knowledge is to carefully create a strategy to engage all parties so that in the future they can achieve the main objectives of the social forestry program. As part of this SEP, defining stakeholders’ identities and interests at the project site level will be an important next step, to properly define engagement plans in each location.
INFORMATION DISCLOSURE

It is essential to communicate the objectives and results expected from this SSF project to the primary stakeholders in the initial stages of the project. So far, the FGD process and public consultations involve stakeholders during the PDD drafting for the SSF Project, as set out by group, topic and timeframe in the ESMF.

In future project implementation, PMU must make proper and reliable documentation, also provide access to public information both related to the SSF project implementation and ESMF implementation. The ESMF document (both in Indonesian and English) must be uploaded on the website of World Bank, Ministry of Environment and Forestry, and the SSF Project. In addition to website-based information disclosure, ESMP document is supposed to be displayed in places that are accessible for all society who might be affected.

A free information package about the SSF Project must be ready in the first month of the project to support communication and outreach strategy, and its implementation. This process will continue throughout the entire project implementation cycle. By strict supervision of the ESMF Specialist, the NPMU is expected to prepare all the materials needed to ensure effective stakeholder engagement.

CONSULTATION WITH STAKEHOLDERS

Conducting a series of inclusive consultation processes with participatory approaches will ensure that all stakeholders are informed of key aspects of project design and implementation. There are many methods for consultation and a record of important engagements should be kept by each PIU, as outlined below. Records for FPIC purposes and community level agreements should be consistent with examples provided in the ESMF annexes.

Principles to guide effective and meaningful consultation processes are also suggested below as the basis of interactions with the relevant stakeholders. The principles are followed by a table describing some engagement techniques to be used during SSF Project implementation, depending on the group, objective and context.

- **Commitment**, commitment is intended when there is any needs to understand, involve, and identify the community recognized and followed up in the initial process;
- **Integrity**, integrity occurs when engagement is conducted through growing the sense of respect and trust one another.
- **Respect**, Respect arises when the stakeholders’ and the surrounding people's rights, trust, culture, values, and interests are recognized;
- **Transparency**, it is shown when people's concerns are responded on time, openly, and effectively;
- **Inclusiveness**, it is attained when a wide participation is promoted and supported by a proper participation opportunity; and

- **Trust**, it is attained through an open and meaningful dialog which respects and upholds belief, values, and opinions in the community.
**Engagement Techniques for SSF Stakeholders**

<table>
<thead>
<tr>
<th>Involvement Techniques</th>
<th>Application and Approach</th>
<th>Stakeholder</th>
<th>Time frame</th>
</tr>
</thead>
<tbody>
<tr>
<td>Information Board (Fact Sheets)</td>
<td>Create an information board containing fact sheets related to Stakeholder Engagement in the Strengthening Social Forestry (SSF) project either in the Forest Management Unit (FMU), in the Province Level Office, or in every secretariats of farmer group/Social Forestry Business Groups (KUPS)</td>
<td>FMU, Village Government, SF Group (KUPS), IPLC / public</td>
<td>Project Implementation Phase (commencing in Year 1 and ongoing)</td>
</tr>
<tr>
<td>Regular correspondence (via phone/WA/text message/email/others)</td>
<td>Build a communication platform such as WAG (WhatsApp Group) Personal communication via either phone, text message, WA, email, or other communication devices.</td>
<td>FMU, SF Group (KUPS), SF -WG</td>
<td>Project Implementation Phase (commencing in Year 1 and ongoing)</td>
</tr>
<tr>
<td>Participative Public Consultation</td>
<td>Provide relevant information related to Strengthening Social Forestry (SSF) to public from the village, district up to national level Facilitation for building trust among the stakeholders. Design and facilitate a consultation process in a participative manner according to Guidelines of Organizing a Public Consultation Give an opportunity to the stakeholder group to give their views and opinions. Distribute non-technical project information to each community and other communities. Facilitate a meeting of village level by using poster, film, pamphlet, or other project information documents. Record the discussion, comments/questions or responses conveyed</td>
<td>FMU, Village Government, SF Group (KUPS), IPLC / public</td>
<td>Project Planning Phase, for design and ESMF development</td>
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<tr>
<td>Formal meeting</td>
<td>Present information of SSF project to the stakeholders equally. Build trust and mutual respect among the stakeholders. Give an opportunity to the stakeholder group to give their views and opinions. Build an impersonal relation to all stakeholders in all levels. Distribute technical documents to the relevant groups. Facilitate a meeting by utilizing an attractive instrument. Record the discussion, comments/questions or responses</td>
<td>Regional government, FMU, Village Government, SF Group (KUPS), IPLC / public</td>
<td>Project Implementation Phase</td>
</tr>
<tr>
<td>Method</td>
<td>Process Description</td>
<td>Stakeholders</td>
<td>Phases</td>
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<tr>
<td>Workshop</td>
<td>Present information of SSF project to the stakeholders. Facilitation for building</td>
<td>• Regional government</td>
<td>Project Implementation Phase, Project</td>
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<tr>
<td></td>
<td>trust among the stakeholders. Avoid a long and boring “lecture” session. Give an</td>
<td>• FMU</td>
<td>Completion Phase</td>
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<tr>
<td></td>
<td>opportunity to the stakeholder group to give their views and opinions. Use the</td>
<td>• Village Government</td>
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<tr>
<td></td>
<td>participative method (including interactive game) to facilitate a group discussion,</td>
<td>• SF Group (KUPS)</td>
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<tr>
<td></td>
<td>to share opinions on many problems, to analyze information, and to develop a</td>
<td>• IPLC</td>
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<td></td>
<td>recommendation and strategy. Record the discussion, comments/questions or responses</td>
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<tr>
<td>Focus Group Discussion</td>
<td>Facilitate a smaller group consisting of 8 – 15 people to give their views and</td>
<td>• FMU</td>
<td>Project Planning Phase, Project Implementation Phase, Project Completion Phase</td>
</tr>
<tr>
<td>(FGD)</td>
<td>opinions on targeted thing. Design and facilitate a process in a participative</td>
<td>• Village Government</td>
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<tr>
<td></td>
<td>manner. Facilitation for building trust among the stakeholders. Use key questions</td>
<td>• SF Group (KUPS)</td>
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<tr>
<td></td>
<td>as guidelines for facilitating FGD. Record the discussion, comments/questions or</td>
<td>• IPLC</td>
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<td></td>
<td>responses conveyed</td>
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<tr>
<td>Interview (one by one)</td>
<td>Collect views and opinions. Facilitate the stakeholders to talk freely but</td>
<td>All / any stakeholder type</td>
<td>Project Planning Phase, Project Implementation Phase, Project Completion Phase</td>
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<tr>
<td></td>
<td>confidentially about controversial and sensitive problems. Build a personal</td>
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<td></td>
<td>relation to the stakeholders. Build trust through an attractive conversation.</td>
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</tr>
<tr>
<td>Field Survey</td>
<td>Collect opinions and views from each stakeholder. Collect the primary data or the</td>
<td>All / any stakeholder type</td>
<td>Project Implementation Phase</td>
</tr>
<tr>
<td></td>
<td>secondary data. Record the data. Develop a basic database to monitor the impact.</td>
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</tbody>
</table>
COMPLAINT MANAGEMENT AND GRIEVANCE HANDLING

Establishing an accessible and responsive mechanism to deal with problems and complaints is a vital part of this SEP, aligned with the Project ESMF which also includes a Grievance Redress Mechanism (GRM). More information is presented in the ESMF Report and Annex 16 and Annex 17. A suggested complaints record form is also provided as Annex 2 of this SEP.

In dealing with complicated problems and personal challenge potential, and institutional challenges, a mutual strategy about the best way to solve the situation should be consented. Negotiations will take place and depend on the level of agreed engagement required for all stakeholders involved. Specifically, negotiations related to the issue of establishing and affirming village boundaries mentioned are often the major problems in social forestry process, presented in ESMF Annex 13.

STAKEHOLDER INVOLVEMENT IN PROJECT MONITORING

Involving affected stakeholders throughout the project cycle, especially in the monitoring and evaluation process will increase the level of trust and ownership, which has the potential to produce better environmental, social and economic outcomes. The PIU will determine which local stakeholders are to be invited to support monitoring activities, to provide representation and also strategic benefit to the stakeholders, who will provide input but also gain insight as to the broader program issues and lessons on social forestry program implementation.

MANAGEMENT, DOCUMENTATION AND REPORTING TO STAKEHOLDERS

PMU and PIU are to develop a mechanism for managing the stakeholder involvement process, including by documenting the engagement process, recording any commitments, tracking and progress reporting, particularly regarding achievements, and challenges to the main stakeholders and in general, at each level of engagement. This process of high-quality involvement also requires high-quality management approach, and quality interaction in interpersonal relationships. Establishing an excellent interpersonal relationship is the key. Since the critical point of engagement is building relationships, it means that involvement is a daily process engaging each individual in the project to collectively make efforts to create excellent and sincere relationships with all stakeholders at all levels, so that we can achieve interpersonal understanding, mutual trust and respect.

After the involvement in the project monitoring process, the results must be published to a broader audience to guarantee accountability and transparency. PMU and World Bank specialists will be available to support the PIU with guidance in these functions.
INSTITUTIONAL ARRANGEMENTS AND FINANCING FOR THE IMPLEMENTATION OF THE SEP

The institutional arrangement for the SEP will follow the project’s overall implementation arrangements to ensure that stakeholder engagement is fully mainstreamed into the project implementation. The institutional arrangements for the SEP implementation are therefore also consistent with those for the Project’s Environmental and Social Management Framework (ESMF). As per the agreement between the Government and the World Bank and according to the prevailing legislation, the funding to be used to execute this project is a decentralization fund. Therefore, according to the existing institutional roles and functions, Directorate General of Social Forestry and Environmental Partnership (PSKL) is the Executing Agency.

The institutional elements of the project organization are:

8. National Steering Committee (NSC) is led by the Directorate General of Social Forestry and Environmental Partnership (PSKL). The NSC members are the echelon 2 officials in charge of the Forests and Social Forestry i.e. Ministry of Environment and Forestry (MoEF), National Development Planning Agency (Bappenas), Ministry of Home Affairs (MoHA), Ministry of Village, Development of Disadvantaged Regions and Transmigration (MoV), Coordinating Ministry for Economic Affairs (CMEA), Ministry of Agriculture (MoA), Ministry of Finance (MoF), Ministry of State Owned Enterprises (MoSOE), Ministry of Cooperatives (MoC), Micro, Small and Medium Enterprises (MSME), Ministry of Trade (MoT), Creative Economy Agency (BEKRAF), Ministry of Agrarian Affairs and Spatial Planning (MoAASP), Ministry of Tourism, 2 (two) members of Social Forestry Acceleration Team (locally TP2PS)

9. Project Management Unit (PMU) or Executing Agency (EA) led by the Director of Social Forestry Area Preparation (PKPS) as the Proxy Budget User (KPA) of the SSF Project;

10. Project Implementation Unit (PIU) at the Management Unit/Forest Management Unit (KPH) as the Commitment Making Officer (PPK) of SSF Project

11. Project Management Office (PMO) is the professional administrative consultant

12. Provincial Forestry Agency as mandated in Law No. 23 concerning Decentralization.

13. Working Group of Social Forestry Acceleration

14. Project Management Consultant to SSF Project (PMC) is a professional institution commissioned by the PMU (or the World Bank) to provide services or technical assistance for PMU and PIU. PMC consists of several consultants in their corresponding expertise (Team Coordinator; Policies and Institutional Specialist; Capacity Building Specialist; Business Development Specialist; Safeguard Specialist; Monitoring Specialist; Communication Specialist; Evaluation and Outreach; Procurement Specialist; and Financial Specialist).

The Project Implementation Unit (PIU), in this case the Forest Management Unit (FMU) established in the project working area, serves as the site-level executor. In relation to safeguarding, they have to consider negative list as a list of activities that cannot be supported by SSF project. Environmental and social management framework at site level must be implemented with supervision from the PIU safeguard specialists. This includes ensuring the
SEP is followed, with stakeholders identified, analyzed, engaged, monitored and grievances handled appropriately.

PMU is responsible for ensuring that the SEP is budgeted for and implemented, including the development of the IPPs for sites and specific sub-projects. PMU takes the role of disseminating information regarding screening, use of the negative list of activities that cannot be funded by the SSF Project to on-site implementers and all relevant parties, and preparation of the ESMPs, including with appropriate consultation of stakeholders including indigenous peoples, meeting FPIC requirements. PMU also puts emphasis on the importance of stronger environmental and social management by ensuring adequate staffing and budget allocations. PMU will plan and finance the conduct of capacity building activities related to the SEP as part of its ESMF capacity building, and will allocate funds for the necessary stakeholder engagement activities with all relevant parties, as set out in the Project Implementation Manual (PIM) and its capacity building plan. PMU supervises the PIU in the implementation of all commitments in this IPPF and reports aggregate impact of the project to all relevant parties.

### Responsibility of Each Party for SEP

<table>
<thead>
<tr>
<th>Phases</th>
<th>EA/PMU</th>
<th>PIU</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activities Planning</td>
<td>Dissemination of information to PIU and all relevant parties regarding safeguard, its policies, and the negative list of SSF project. Capacity building related to IPPF (as part of ESMF)</td>
<td>Identification of social and environmental issues and the mitigation as well as making Environmental and Social Management Plans and related instruments (RAP or IPP if required). Documentation of consultation with stakeholders including specific processes for indigenous peoples. Committed to implement ESMF, including preparing relevant plans based on ESMF annexes (Indigenous Peoples Plan, etc.)</td>
</tr>
<tr>
<td>Implementation</td>
<td>Disclose relevant information to the public</td>
<td>Implement, monitor, and report Environmental and Social Management Plan and IPPs. Documentation of consultation with stakeholders including specific processes for indigenous peoples. Redress grievance at site level</td>
</tr>
<tr>
<td>Post-implementation</td>
<td>Monitor, evaluate, and report aggregate impact of the project</td>
<td>Monitor project impact at site level, including how GRM is implemented and implementation of ESMF, Framework/Process Framework, Indigenous Peoples Planning Framework, Stakeholders Engagement Plan, etc.</td>
</tr>
</tbody>
</table>
### List of Indicative Stakeholders

Based on PDD SSF Document Preparation Process

<table>
<thead>
<tr>
<th>No</th>
<th>Name</th>
<th>M/F</th>
<th>Position</th>
<th>Institution/ Organisation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Laksmi Dhewanthi</td>
<td>F</td>
<td>Assistant of Minister/ GEF Focal Point</td>
<td>KLHK</td>
</tr>
<tr>
<td>2</td>
<td>Bambang Supriyanto</td>
<td>M</td>
<td>Director General</td>
<td>DG of PSKL</td>
</tr>
<tr>
<td>3</td>
<td>Erna Rosdiana</td>
<td>F</td>
<td>Director of PKPS</td>
<td>DG of PSKL</td>
</tr>
<tr>
<td>4</td>
<td>Hargyono</td>
<td>M</td>
<td>Director of KPHL</td>
<td>DG of PDASHL</td>
</tr>
<tr>
<td>5</td>
<td>Syafda Roswandi</td>
<td>M</td>
<td>Head of Sub-directorate of Pattern and</td>
<td>DG of PSKL</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>Mapping, Direktorat PKPS</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Lusi Arduputri</td>
<td>F</td>
<td>Head of Sub-directorate of PHD, PKPS</td>
<td>DG of PSKL</td>
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<td></td>
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<td></td>
<td>Directorate</td>
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<tr>
<td>7</td>
<td>A. Rahman</td>
<td>M</td>
<td>Head of Sub-directorate of PHTR, PKPS</td>
<td>DG of PSKL</td>
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<td>Directorate</td>
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<tr>
<td>8</td>
<td>Maidward</td>
<td>M</td>
<td>Head of KPHP Sub-directorate</td>
<td>DG of PHPL</td>
</tr>
<tr>
<td>9</td>
<td>NaniJunaidi</td>
<td>F</td>
<td>Head of PHD Sub-directorate, PKPS</td>
<td>DG of PSKL</td>
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</tr>
<tr>
<td>122</td>
<td>Yani Septiani</td>
<td>F</td>
<td></td>
<td>KFW</td>
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<tr>
<td>123</td>
<td>Happy Tarumadevyanto</td>
<td>M</td>
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<td>F3</td>
</tr>
<tr>
<td>124</td>
<td>Bambang Mardi Priyono</td>
<td>M</td>
<td></td>
<td>PT Hatfield Indonesia</td>
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<tr>
<td>125</td>
<td>Margaretha</td>
<td>F</td>
<td></td>
<td>The Asia Foundation</td>
</tr>
<tr>
<td>126</td>
<td>Feri Irawan</td>
<td>M</td>
<td></td>
<td>KEHATI</td>
</tr>
<tr>
<td>127</td>
<td>Rio Rovihandono</td>
<td>M</td>
<td></td>
<td>MFP4-KEHATI</td>
</tr>
<tr>
<td>128</td>
<td>Nurka Cahyaningsih</td>
<td>F</td>
<td></td>
<td>Lestari-USAID</td>
</tr>
<tr>
<td>129</td>
<td>Sofyan Arifin</td>
<td>M</td>
<td></td>
<td>LTKL</td>
</tr>
<tr>
<td>130</td>
<td>Dr. Didik Subarjito</td>
<td>M</td>
<td>Professor</td>
<td>Fahutan IPB</td>
</tr>
<tr>
<td>131</td>
<td>Rinekso Soekmadi</td>
<td>M</td>
<td>Dean</td>
<td>Fahutan IPB</td>
</tr>
</tbody>
</table>

Source: Attendance List of FGD on November 8, 2018; FGD on January 7-8, 2019; and Public Consultation, February 18, 2019
## Sub-Anne 2. Complaints Record Form

**COMPLAINTS / QUESTIONS RECORD FORM (Form A)**

**Instructions:** This form must be completed by staff who receive questions or complaints and are stored in the project file. Please attach relevant supporting documentation/letters.

<table>
<thead>
<tr>
<th>Date of Complaint:</th>
<th>Name of Staff:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Complaints Received by (please tick √ the appropriate box):**

- [ ] National  
- [ ] City  
- [ ] Municipality  
- [ ] Village

**Complaint made via (please tick √ the appropriate box):**

- [ ] In person  
- [ ] Phone  
- [ ] E-mail  
- [ ] SMS  
- [ ] Website

- [ ] Complaint Box / Other advice  
- [ ] Community Meeting  
- [ ] General Consultation

- [ ] Others______________

**Name of Complainant:** (information is optional and confidential)

<table>
<thead>
<tr>
<th>Gender:</th>
<th>Male</th>
<th>Female</th>
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<td>[ ]</td>
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</tbody>
</table>

**Address or contact information of complainant:** (information is optional and confidential)

**Location of complaints/problems occurred [please write]**

<table>
<thead>
<tr>
<th>National:</th>
<th>City:</th>
<th>Province:</th>
<th>Village:</th>
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</tbody>
</table>

**A Brief Explanation of Complaints or Questions:** (please write as detail as possible)

<table>
<thead>
<tr>
<th>Category 1</th>
<th>Social Issues</th>
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</thead>
<tbody>
<tr>
<td>Category 2</td>
<td>Environmental Issues</td>
</tr>
<tr>
<td>Category 3</td>
<td>Complaints related to violations of policies, guidelines, and procedures</td>
</tr>
<tr>
<td>Category 4</td>
<td>Complaints related to breach of contract</td>
</tr>
<tr>
<td>Category 5</td>
<td>Complaints regarding misuse of funds/lack of transparency, or other financial management problems</td>
</tr>
<tr>
<td>Category 6</td>
<td>Complaints related to abuse of power/intervention by the project or government</td>
</tr>
<tr>
<td>Category 7</td>
<td>Complaints regarding staff performance</td>
</tr>
<tr>
<td>Category 8</td>
<td>Force majeure report</td>
</tr>
<tr>
<td>Category 9</td>
<td>Complaints about Project intervention</td>
</tr>
<tr>
<td>Category 10</td>
<td>Others</td>
</tr>
<tr>
<td>-------------</td>
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</tr>
</tbody>
</table>

Handle and follow up required by:

Progress in resolving complaints (e.g. answered, resolved):
Annex 18
Environmental Management Procedures for Construction and WBG General EHS and Infrastructure Sector Guidelines

Limited to some activities requiring construction, indeed by noticing the Negative List Screening stated in Annex 3, it is necessary to understand the Environmental Management Procedures for Construction to avoid unwanted negative impacts. Therefore, the following points must be included in assessing bidding document and contract related to construction under the Strengthening Social Forestry Project in Indonesia. These specifications will be a contractual obligation for a contractor and can be determined by the Directorate of Civil Aviation Security Regulation as the National Project Management Unit (NPMU).

The contractor performing construction during SSF Project period is in charge of environmental issues, such as:

1. Complying with all relevant environmental regulations in Indonesia;
2. Monitoring the project effectiveness and carrying out a good record;
3. Reporting the record of monitoring results to NPMU;
4. Recruiting and training qualified staff to be responsible for the project;
5. Complying with Physical Resource Protection and Opportunity Procedures;
6. Terminating construction activities when receiving instructions from NPMU, and proposing and/or applying either corrective or alternative methods for construction, if necessary to minimize the environmental impacts.

The contractor is prohibited from:

1. Causing interference with anything architectural or historical value;
2. Littering or disposing of construction waste or debris carelessly;
3. Causing potential pollutant spills, such as petroleum;
4. Burning of waste and/or vegetation.

Related to Dust
Water must be used as often as possible to wet the dusty area, especially during windy weather.

Related to Sound/Noise
Construction activities are scheduled only in the afternoon (8 am to 6 pm). All work that is forced to be carried out after that hour must be informed and approved by the surrounding community, at least one week before.

Related to waste management
Determining and enforcing daily site cleaning procedures, including maintenance of adequate storage, recycling and disposal facilities for waste, solid waste, land and construction debris.

All solid waste that cannot be recycled must be removed to an approved/licensed landfill by an authorized/license officer.

Waste in the form of oil and other hazardous waste (including contaminated soil and oil spills) must be kept closed and separated from other wastes. This waste must be removed to an approved/licensed landfill by an authorized/license officer.

After the work is completed, all debris generated from the construction work must be removed from the location.

**Workers’ Health and Safety**

The contractor must comply with all Indonesian regulations and Standard Operating Procedure (SOP) related to labor

All staffs will wear appropriate personal protective equipment (such as proper headgear and clothing).

Refer to: [http://ific.org/ehsguideline](http://ific.org/ehsguideline)
Annex 19
Public Consultation Record - Summary

A public meeting on the Draft of Project Design Document (PDD) on Strengthening Social Forestry (SSF) Partnership Project in Indonesia was held in Jakarta on February 18, 2019 at the Menara Peninsula Hotel’s large meeting room. The objective was to present the project design and the project’s Environmental and Social Management Framework (ESMF) to stakeholders for information and input. The stakeholders were invited from all categories, including government, non-government and civil society organisations, academia and media. The meeting was chaired by the MOEF Director General for Social Forestry and Partnership (Bambang Supriyatno) and presentations were made by the MOEF’s consultant technical team (Diah Yulinar, Hery Santoso, R. Yando Zakaria, Widya Wicaksana, Eri Indrawan, Paramita Iswari, Wahyudinata Halim, and Nurul Ariska). The public meeting lasted from 9am until 4pm, allowing for substantive input and discussions of a high quality, providing meaningful input and recommendations to the Government on the implementation of the social forestry policy generally, and on ways the SSF project can best support this agenda.

A summary of key contributors and their input is provided below. GEF Operational Focal Point Direction, Laksmi Dewanti provided guidance that as one of the GEF projects that receives funding through the GEF-6 cycle framework, it must refer to the principles and policies of INTEGRATED THINKING GEF-6; she outlined these approaches and strategies for reference. A full list of participants and record of the meeting, including agenda, presentation materials and recorded feedback is documented separately by the Project team for reference.

A panel of experts were invited to comment, with key points summarised briefly as:

| Retno Maryani (Litbang KLHK) | • Suggests a SESA prior to ESMF and need for research approach during implementation, the activities need to be documented and become important inputs for each location and at the national level  
• Action research contains theoretical requirements and empirical experience from a particular location  
• Suggests indicators of successful project:  
  a. Sustainable Forest Management (cover, biodiversity, micro climate, spring water)  
  b. People’s Welfare (IKM)  
  c. Project Funding  
  d. Sanitation and education  
• Infrastructure that is not addressed will hinder the project intervention  
• Relations among Forest Services are a challenge in the project |
|-----------------------------|-------------------------------------------------------------------------------------------------|
| Rahmat Hidayat (CSO)        | • The One Map policy is mentioned in the PDD background, but does not appear in the activity (how to ensure the consultation process related to the Map and ensure the information and data used (central and regional) are the same)  
• Ensuring that the One Map policy is built at the site level (PIAPS, Village Map, Customary Forest Map, Permit Map, Direction from the Regent/Governor) to overcome boundary conflicts and become guidelines and learning |
The need for 3 types of maps (participatory maps, overlays and 3-dimensional maps) as a planning tool
Need to better address conflict issues in the project capacity building approach

- Social Forestry is a national program in 2020-2025
- SF has included 3 aspects (economic, social and environmental)
- Local governments need to be encouraged to use forest areas (production)
- SF is a program for all sectors

<table>
<thead>
<tr>
<th>Rahayu (BAPPENAS)</th>
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Other consultation participants inputs were provided and responded, with some key points summarized as:

<table>
<thead>
<tr>
<th>Zarwadi (West Sumatra Forestry Service)</th>
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<tr>
<th>Saiful Bahri (Lampung Forestry Service)</th>
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<th>Niken (Litbang KLHK)</th>
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<tr>
<th>Supardi (Ministry of Finance, DG PKP)</th>
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<tr>
<th>Vence (Ministry of Villages, Underdeveloped Regions and Transmigration)</th>
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<tr>
<td>Name</td>
<td>Comments</td>
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</tbody>
</table>
| Winarno (Ministry of Finance) | • How to strengthen community participation (planning, implementation and supervision), there is a need to explore the potentials in each project location by involving the community (FGD)  
• Whether the budget from Central Government is sufficient for SF. Village funds can be used for community empowerment  
• The complaints mechanism can be carried out in stages (village, provincial, and central meetings)  
• Development of economic activities in forest areas can be done through BUMDes |
| Reni (RECOCTF)             | • Involvement of the youth and CSOs in the project and SF (safeguard) scheme is unclear  
• The SF Working Group in each province only assists in the pre-permit process but not in the post-permit stage. The SF Working Group should accompany community groups starting from proposing permits to obtaining permits |
| Masyuda (Directorate General KPHL, KLHK) | • Real activities that KPH needs to do to address the identified problems; The project can strengthen KPH at the project site |
| Panca Sihite (Indonesian Forest Enterprises, Tuban) | • From 35 LMDH partners, there are only 5 which have Kulin KK, 10 LMDH is still in submission process (2018). The acceleration process from Kulin KK  
• The projects need to focus on business development and market access |
| Saifulloh (KPH NTB)        | • The issue of village boundaries within the region will be an obstacle in the SF project  
• Division of roles in the project and institutional governance are important |
| Hudi (KPH West Halmahera)  | • The project must pay attention to boundaries (there are often over claims from community groups)  
• The project is expected to improve community welfare through the potentials of each region |
| Gladi Hardiyanto (Partnership) | • Problem identification for policy is only at the Ministerial Decree level. There is a need to strengthen policies at the provincial level too.  
• The project could also encourage policies for peat lands |
Annex 20
General Guideline for High Conservation Value

The identification and determination of High Conservation Value (HCVs) areas aims at understanding the existence, condition, status, and policy management in each administrative district governments. Hence the policy on area utilization in the landscape management in each district is based on the values of the determining elements of environmental preservation. Elements include structure and function of the biodiversity conservation value in a landscape.

Related with above, the strengthening social forestry project should be oriented on the attempt to prevent or reduce declining rate of biodiversity conservation, by not causing interference to the sustainability which support the success of local community efforts and also to potential supporting values of successful value-added development, shapes, and usage patterns of sustainable biodiversity.

HCV Area Identification Phase

HCV identification processes include six (6) stages: (1) desk study, (2) preparation of field verification, (3) field verification, (4) analysis, evaluation, and delineation, (5) public consultation, and (6) socialization and the determination of management typology. In summary, the work flow process of defining and managing the valued areas is presented in the figure below

Stage 1: Desk study (data and information study)

This stage is the early identification, aims at determining the status of the region and the potential biodiversity, the data or information obtained from BAPPEDA, the related planning offices including BAPEDALDA, NGOs, universities, LIPI and other related parties. Outcomes of desk study stage are the draft of delineation areas of valued biodiversity conservation area. Activities at this stage include the following activities:

1) Interpreting satellite imagery map;

2) Overlying the maps; interpretation of satellite imagery, zoning, land-use agreement, agro ecological zones, biodiversity hotspots, topography, climate, and other related maps;

3) Analysis of historical land cover and space usage;

4) Analysis of the stability of the region;

5) Data collecting from public in relation to biodiversity at ecosystems, species and genetic level.

If there is no indication of valued areas for biodiversity conservation in the jurisdiction of a district government, the identification will be stopped at this stage. Meanwhile if there is any indication of the valued region for biodiversity conservation in the work area, then the identification continues to the later stage. The results of this study become the first step. Furthermore, the results of this initial study are used as a reference by departments/agencies to prepare field verification.
Stage 2: Preparation of verification/field studies

This is the stage where in-depth studies were conducted based on the data or information from various sources, including data or reports from departments/agencies. Outcome of this stage is knowledge of the conditions of ecosystems, species and genetic resources in areas suspected to have valued biodiversity conservation. Then field verification methods are compiled as described in Table 4 and the preparation of tally sheet/data collection form.

Stage 3: Field Verification

Field verification activity is performed by agencies in accordance with the scope of their work and the methods and tally sheet/form that has been designed on stage 2 activities.

Stage 4: Analysis, evaluation, and delineation

This stage aims at delineating valued areas for biodiversity in the basis of data or information from field verification results collected from the departments/agencies.

Stage 5: Public Consultation

Aiming to get input from the public in order to clarify and enrich the areas that have significant value for biodiversity conservation. The public consultation also aims at socializing the findings and delineation of the valued areas for biodiversity conservation hence the stakeholders in the associated areas will be actively involved so that the protection and conservation of biodiversity can be maintained in the long term. In addition, to optimize decision-making which based on data and information and to ensure the interests of the parties involved are accommodated. Public consultation is carried out by inviting interested parties where valued areas for biodiversity conservation located. These stakeholders include local governments, private sector, academia and the public and non-governmental organizations.

Stage 6: Determination of Delineation

At this stage the results of the delineation process for valued areas for biodiversity conservation are being socialized to public, especially to stakeholders whose areas are included in the delineation, so that the delineation can be determined and agreed upon by all related parties.

Stage 7: Determination of Valuable Areas

HCV areas that have been identified and disseminated to all stakeholders may need to be appointed by the district government based on law. The agreement on determining valued areas is used as input for the preparation and/or evaluation of provincial or district spatial planning. It is necessary to provide a legal basis for HCVs and provide direction for stakeholder management where HCVs are located. Thus, HCVs as protected areas and/or cultivated area has strong position in the context of biodiversity conservation and the preservation of supporting values on the success of sustainable development in the region. Determination of HCVs is an enabling policy for the realization of regional biodiversity objectives in long-term.
### Table of Initial identification of the valued areas for biodiversity conservation

<table>
<thead>
<tr>
<th>No.</th>
<th>Activity</th>
<th>Purpose</th>
<th>Output</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Identification of valued areas Status and Potential Biological diversity</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A.1</td>
<td>Area status</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>Study of landscape and seascape</td>
<td>Analysis of land cover</td>
<td>Information on land cover conditions</td>
<td>• The land cover map (Bappeda, the DFS);</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• Agro-ecological zone map MOA;</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>• Biodiversity hotspots map (Birdlife, CI, NC, WWF).</td>
</tr>
<tr>
<td></td>
<td>Spatial Analysis</td>
<td></td>
<td>Land use information</td>
<td>Land use maps (Bappeda, the DFS, Ministry of Environment and Forestry)</td>
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</tr>
<tr>
<td>1.2</td>
<td>Study of the history of the area and biodiversity</td>
<td>Analysis of the condition and status of the area (past and present)</td>
<td>Data or information on changing conditions and management of the area</td>
<td>• Land use data according to time series</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• Public information</td>
</tr>
<tr>
<td></td>
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<td></td>
<td>• Research report</td>
</tr>
<tr>
<td>1.3</td>
<td>Study of the stability status of the area</td>
<td>Analysis of the legality of the area (de jure and de facto)</td>
<td>Data and information about the legal status of the area</td>
<td>Legislation (laws, government regulations, policies, etc.)</td>
</tr>
<tr>
<td>A.2</td>
<td>Biodiversity Potential</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>2.1</td>
<td>Study of potential species</td>
<td>Analysis of the condition and status of the species (past and present)</td>
<td>Data or information on changing conditions management of the species</td>
<td>• Agro-ecological zones (MOA)</td>
</tr>
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<td></td>
<td>• Public information</td>
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<td></td>
<td>• Research report</td>
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<tr>
<td>No.</td>
<td>Activity</td>
<td>Purpose</td>
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</tr>
<tr>
<td>2.2</td>
<td>Study of potential Genetic resources</td>
<td>Analysis of conditions and status of Genetic resource (past and present)</td>
<td>Data or information on changing conditions management of Genetic resource</td>
<td>• Agro-ecological zones (MOA)</td>
</tr>
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<td>• Public information</td>
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<td>• Research report</td>
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<td>• Field verification</td>
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<td></td>
<td>• Check-list (Under Important Ecosystem Criteria).</td>
</tr>
<tr>
<td></td>
<td>B Identification of Biodiversity condition in</td>
<td>Areas Identified as Valued Areas for Biodiversity Conservation</td>
<td></td>
<td>• HEC criteria</td>
</tr>
<tr>
<td></td>
<td>Areas Identified as Valued Areas for</td>
<td></td>
<td></td>
<td>• Important Ecosystem Criteria.</td>
</tr>
<tr>
<td></td>
<td>Biodiversity Conservation</td>
<td></td>
<td></td>
<td>• Important Species Criteria.</td>
</tr>
<tr>
<td>B.1</td>
<td>Ecosystem</td>
<td>Knowing the type of ecosystem in the study area which has: • uniqueness or distinctiveness; and/or • high species diversity; and/or • Primary ecosystem which is the representation of the ecosystem that has been degraded.</td>
<td>Data and information on ecosystem: • uniqueness or distinctiveness; and/or • high species diversity; and/or Primary ecosystem which is the representation of the ecosystem that has been degraded.</td>
<td>• Field verification</td>
</tr>
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<td></td>
<td></td>
<td>• Check-list (Under Important Ecosystem Criteria).</td>
</tr>
<tr>
<td>B.2</td>
<td>Species (Wild)</td>
<td>Knowing plant and wildlife species in the study area which have: • uniqueness or distinctiveness; and/or • extinction threat; and/or • specific habitat needs either partly or fully</td>
<td>Data and information on the species: • uniqueness or distinctiveness; and/or • extinction threat; and/or • specific habitat needs either partly or fully</td>
<td>• Field verification</td>
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<td>• Check-list (Under Important Species Criteria).</td>
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<tr>
<td>No.</td>
<td>Activity</td>
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<td></td>
<td>Genetic Resources</td>
<td>Knowing the varieties of plants, clumps of animals/livestock, and fish strains in the study area that have: • uniqueness or distinctiveness of genetic resources; and/or • advantages in terms of resistance to pests and diseases, and/or • advantages in terms of resistance to abiotic stresses (extreme weather, soil acidity, etc.), and/or • advantages in terms of productivity; and/or • advantages in terms of beauty and nature relative to other species analyzed; and/or • high utilization potential in the future; and/or • socio-cultural and/or economy values for local communities and on wider levels; and/or • high threat of extinction rate</td>
<td>Data and information on the varieties of plants, clumps of animals/livestock, and fish strains • uniqueness or distinctiveness of genetic resources; and/or • advantages in terms of resistance to pests and diseases, and/or • advantages in terms of resistance to abiotic stresses (extreme weather, soil acidity, etc.), and/or • advantages in terms of productivity; and/or • advantages in terms of beauty and nature relative to other species analyzed; and/or • high utilization potential in the future; and/or • socio-cultural and/or economy values for local communities and on wider levels; and/or • high threat of extinction rate</td>
<td>• Field verification • Check-list (Under Important SDG Criteria).</td>
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</tbody>
</table>
Simple tool to identify whether an area has significance value for biodiversity conservation or not, use the following questions:

**Table for Identification tool for HCVs**

<table>
<thead>
<tr>
<th>No</th>
<th>Question</th>
<th>Answer</th>
<th>Remarks</th>
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<tbody>
<tr>
<td>1</td>
<td>Is the area a conservation area?</td>
<td>Yes</td>
<td>All conservation areas are critically important for the preservation of Biodiversity, if not, proceed to question number 2.</td>
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<tr>
<td></td>
<td></td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Does the area have a unique ecosystem?</td>
<td>Yes</td>
<td>If yes, then the area has important value for Biodiversity Conservation, if not, proceed to question number 3.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Does the region have a particular typical species?</td>
<td>Yes</td>
<td>If yes, then the area has important value for Biodiversity Conservation, if not, proceed to question number 4.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Does the region have the typical SDG?</td>
<td>Yes</td>
<td>If yes, then the area has an important value for the Conservation of Biodiversity, if not, then the region has no significant value for Biodiversity Conservation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>No</td>
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Annex 21

Environmental, Social and Safety Incident Reporting Tool

Introduction

The environmental, social and safety incident reporting tool is prepared to guide the PMU/PIU and the World Bank on how to respond to incidents in terms of internal reporting; where contractors, PMU/PIU and World Bank’s staff can seek additional support; the roles of PMU/PIU and the World Bank in relation to on the ground remedies. This procedure was developed in alignment with the World Bank’s Safeguards Incident Reporting Toolkit (SIRT), which is an internal guideline for the World Bank’s staff in the event of incidents that occur as the result of the World Bank investments.

An incident is defined as an accident, incident or negative event resulting from failure to comply with the Project’s ESS requirements, or conditions that occur as the result of unexpected or unforeseen risks or impacts during project implementation. Examples of such incidents include: fatalities, serious accidents and injuries, social impacts from labor influx, sexual exploitation and abuse (SEA) or other forms of gender-based violence (GBV), major environmental contamination, child labor, loss of biodiversity or critical habitat, loss of physical cultural resources and loss of access to community resources. The procedure is concerned with accidents involving communities, construction workers, supervision consultants, suppliers, as well as PMU/PIU staff.

Management and Reporting Process

The overarching incident management and reporting process comprises six steps (see
Figure 1. Details on activities for each step as well as the roles of the respective parties are provided in Table 26.1.

The incident response tool may not apply beyond initial reporting and review when the project is completed, and the constructed and/or rehabilitated assets are transferred to the legal owner and/or local governments. Any subsequent incidents after the transfer will not be considered as a project related incident. These incidents are clearly outside the control of the project and while they can be documented, are not considered as a project related incident.
Figure 26.1: Overarching Incident Management and Reporting Process

1. Initial Communication
2. Classification: How serious?
5. Response: Remedial actions? Preventive measures?
6. Follow up: Is response complete? Was it effective? Lessons learnt?
<table>
<thead>
<tr>
<th>Incident Reporting Stage</th>
<th>Activities</th>
<th>Role of Relevant Parties</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Incident occurs: Initial Communication</td>
<td>PMU/PIU/FMU to provide relevant information to WB</td>
<td>Inform the Bank, inform appropriate authorities in compliance with local regulations, secure the safety of workers and public, and provide immediate care</td>
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<td>Ensure TTL is aware, advise C-PMU and/or government counterparts if not aware, and launch the SIRT process</td>
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<tr>
<td>2. Classify incident</td>
<td>Incident classification within 24 hours of receipt of the information; if it cannot be fully classified due to missing information, preliminary classification should be provided and confirmed as details become available</td>
<td>Promptly provide information about the incident to the Bank</td>
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<td></td>
<td>TTL with support of E&amp;S specialists classifies incident(s) to determine severity</td>
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<tr>
<td>3. Notification</td>
<td>Communication process internally within the PMU/PIU/FMU and relevant officers at the FMU and the Bank according to level of severity of the incident</td>
<td>PMU/PIU/FMU prepares incident report (within 24 hours) and circulates internally within MPWH and notifies the World Bank (through the Task Team Leader and Environmental and Social Specialists as per-Classification and Notification Guide.)</td>
</tr>
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<td></td>
<td></td>
<td>Depending on the level of severity of the incident, take necessary actions to address the incident and inform the World Bank’s Senior Management if the incident is classified as Serious or Severe.</td>
</tr>
<tr>
<td>4. Investigation</td>
<td>Field investigation to understand facts on the ground</td>
<td>Provide information requested by the Bank and facilitate incident site visit</td>
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<td></td>
<td>Join the field investigation and provide expertise required to conduct proper field investigations</td>
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<td></td>
<td>Undertake root cause analysis (RCA) with the Bank to understand and document the root cause(s) of the incident. RCA should be completed as soon as possible, ideally within 10 days</td>
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<td></td>
<td></td>
<td>Support the PMU to carry out RCA. An RCA or equivalent analysis will be required for all serious and severe incidents</td>
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<tr>
<td></td>
<td></td>
<td>PMU/PIU/FMU Manager communicates to the Minister and/or DG as relevant</td>
</tr>
<tr>
<td></td>
<td></td>
<td>CD communicates to relevant Minister and/or DG (MPWH) orally and/or in writing to discuss findings of the RCA</td>
</tr>
<tr>
<td>5. Respond</td>
<td>Develop Incident Corrective Action Plan (ICAP)</td>
<td>Agree on ICAP with Bank, including own actions, responsibilities and timelines for implementation, and PMU/PIU/FMU monitoring program</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Work with the PMU/PIU to design and agree an appropriate ICAP</td>
</tr>
<tr>
<td>6. Follow-up</td>
<td>ICAP implementation</td>
<td>Implement ICAP and ensure that contractors and sub-contractors follow and implement key action items in the ICAP</td>
</tr>
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<td></td>
<td></td>
<td>Monitor ICAP implementation and provide on-going technical support if necessary</td>
</tr>
<tr>
<td>Conduct internal documentation and provide sections in the E&amp;S performance report on the implementation of the ICAP</td>
<td>TTL reflects incident in Implementation Status Report (or interim ISR); ISR section relating to incident is reviewed by Country Lawyer</td>
<td></td>
</tr>
<tr>
<td>For Serious and Severe cases, conduct a third-party (independent) monitoring and supervision of the ICAP</td>
<td>Monitor ICAP implementation and provide on-going technical support if necessary</td>
<td></td>
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</table>
Sub-appendix 26.1: Incident Classification and Communication

Three levels of classification include indicative, serious and severe. Each of these classifications is briefly described as follows:

**Indicative** - A relatively minor and small-scale incident or non-compliance that is limited in its immediate effects but may be indicative of wider-scale issues within a project that could lead to serious or severe incidents. These may be escalated to serious or severe incidents, when, for example, there is recurrence of the incident within a six-month period, increasing severity of impact of the incident, or inability or unwillingness of the contractors to rectify the condition within the agreed timeframe.

**Serious** - An incident that is causing or will cause significant harm to the environment, workers, communities, or natural or cultural resources, is complex and/or costly to reverse and may result in some level of lasting damage or injury. This may include repeated non-compliance, injuries to workers that require off-site medical attention and result in lost time, improper treatment of vulnerable groups, inadequate consultation, consistent lack of OHS plans in a civil works environment, and medium-scale deforestation. These types of incidents require an urgent response.

**Severe** - An incident or repeated pattern of non-compliance of sufficient seriousness that it may, in addition to the actual or potential harm caused, pose a corporate risk to the Bank. A severe incident is complex and expensive to remedy, and likely irreversible. A fatality is automatically classified as severe, as are large-scale deforestation, major contamination, forced or child labor, human rights abuses of community members by security forces or other project workers, including GBV, violent community protests against a project, kidnapping, and trafficking in endangered species.

If documented circumstances and relevant discussions between the PMU/PIU, contractors, supervision engineer and within the Bank team confirm that the incident is **Indicative**, **Serious**, or **Severe**, then a one to two-page Incident Report (IR) (see sub-appendix 26.2) should be prepared and issued by the PMU Manager/Director, which shall be then forwarded to the WB Task Team (through Task Team Leader) within 24 hours of receipt of the information, with the support of the Project’s E&S specialist(s), for internal communication.
Figure 26.1: Classification and Communication of E&S Incident

Incident

Information from any source

Safeguards non-compliance

PMU with support from FMU Safeguards officer

Indicative

PMU Manager, WB Task Team

GoI: PMU/PIU/FMU Managers
World Bank: Country Manager, Environmental and Social Safeguards Advisor (ESSA), Program Leader, Country Lawyer, LEGEN, E&S Practice Managers, Directors

Serious

GoI: PMU/PIU/FMU Managers, Ministry of Environment and Forestry, Ministry of Manpower
World Bank: Country Manager, Environmental and Social Safeguards Advisor (ESSA), Program Leader, Country Lawyer, LEGEN, E&S Practice Managers, Directors, Senior Management

Severe
**Sub-appendix 26.2: Template for Incident Report**

Following classification as either Indicative, Serious or Severe, the PMU/PIU Manager is responsible for issuing an Incident Report for distribution according to the classification and notification guide (see **Figure 26.2**). The incident report should be 1 – 2 pages and include, at a minimum, the following information:

a. Country, name of project, name of PMU/PIU Manager and Environmental and Social Specialists in the PMU.
b. Preliminary classification of the incident
c. What was the incident? What actually happened? To what or to whom?
d. Where and when did the incident occur?
e. How did we find out about it and when?
f. Are the basic facts of the incident clear and uncontested, or are there conflicting versions?
g. What are those versions?
h. What were the conditions or circumstances under which the incident occurred (if known at this stage)?
i. Is the incident still ongoing or is it contained?
j. Is loss of life or severe harm involved?
k. What measures have been or are being implemented?
l. Has anyone in the PMU or other government agencies been informed? If so, how specifically? What has response to date been?