Annex 6b

Environmental and Social Management Plan (ESMP)

to the GCF Funding Proposal

Land-based Mitigation and Adaptation through a Jurisdictional Approach in West Kalimantan

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Version 5

Submitted by:

Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

Table of Contents

List of Abbreviations

AE	Accredited Entity
AMA	Accreditation Master Agreement
APL	Areal Pengunaan Lain / non-forest area
BAP	Biodiversity Action Plan
BMUV	Federal Ministry for the Environment, Nature Conservation and Nuclear Safety
BMZ	German Federal Ministry for Economic Cooperation and Development
CO2eq	(referring to GHG emissions)
CSO	Civil Society Organization
E&S	Environmental and Social
ESDD	Environmental and Social Due Diligence
ESGI	ESS, Gender and IPs
ESH	Environment, Health and Safety
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESMS	Environmental and Social Management System
ESS	Environmental and Social Safeguards
EU	European Union
EUR	Euro
FAA	Funded Activity Agreement
FP	Funding Proposal
FPIC	Free, Prior and Informed Consent
FS	Feasibility Study
GA	Gender Analysis
GAP	Gender Action Plan
GBV	Gender-Based Violence
GCF	Green Climate Fund
GHG	Greenhouse Gas
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
GRM	Grievance Redress Mechanism
IFC	International Finance Corporation (World Bank Group)
IPCC	Intergovernmental Panel on Climate Change
IP	Indigenous Peoples
IPP	Indigenous Peoples Plan
IWGIA	International Work (sic) Group for Indigenous Affairs
L-MAJA	Land-based mitigation and adaptation through a Jurisdictional Approach in West Kalimantan

M&E	Monitoring and Evaluation
MoEF	Ministry of Environment and Forestry in Indonesia
MoF	Ministry of Finance in Indonesia
MRV	Monitoring, Reporting and Verification
NDA	National Designated Authority (for the GCF)
NDC	Nationally Determined Contribution (to the Paris Agreement of the UNFCCC)
NGO	Non-governmental organisation
PMU	Project Management Unit
RAP	Resettlement Action Plan
S+G	Safeguards+Gender (Management System of GIZ)
SDG	Sustainable Development Goal
SEAH	Sexual Exploitation, Abuse and Harassment
SEP	Stakeholder Engagement Plan
SI	Solidaridad International
TA	Technical Assistance
TNA	Training Needs Assessment
UNFCCC	United Nations Framework Convention on Climate Change
USD	US Dollar

List of Tables

List of Figures

1. Introduction

This Environmental and Social Management Plan (ESMP) is for the project: Land-based Mitigation and Adaptation through a Jurisdictional Approach in West Kalimantan. The project supports the implementation of the Indonesian social forestry initiative and the REDD+ Strategy by targeting deforestation's and forest degradation's main drivers and underlying causes. It improves forest governance, strengthens Forest Management Units (FMUs), implements and upscales social forestry models, and promotes sustainable agricultural business practices in existing concessions and smallholders through private sector collaborations, including leveraging investment at scale.

This ESMP aims to provide a practical plan to manage the potential unintended negative environmental and social impacts associated with the project's activities, maximise the potential (co-)benefits and to facilitate meaningful and inclusive multi-stakeholder consultations and engagement throughout the project's lifecycle. This considers the circumstances of vulnerable, marginalised individuals and ethnic groups and ecosystems that might be affected by the project's activities. During the project's preparation and implementation, the ESMP aims to assist the government counterparts, in collaboration with the Project Management Units (PMU) and GIZ team, in maintaining and/or improving their environmental and social management systems.

The ESMP ensures that the Safeguards Team in the PMU continuously reviews all proposed project activities and monitors potential undesirable environmental and social impacts, as necessary, during Project implementation. When impacts and potential impacts are identified, and if they cannot be avoided, appropriate mitigation measures will be planned.

Direct feedback from stakeholders was gathered through field consultations conducted for this ESMP. This ESMP is made available online by GIZ and program partners for easy access. This ESMP includes a Grievance Redress Mechanism (GRM) to collect grievances raised about project implementation should they occur.

This Environmental and Social Management Plan is closely connected to the Environmental and Social Impact Assessment (ESIA), Stakeholder Engagement Plan (SEP), the Indigenous People Plan (IPP), and the Feasibility Study (FS). The ESMP will first identify the project standards and safeguards it addresses and then distinguishes between the unintended negative impacts and external risks that the ESMP Actions address. The roles and responsibilities of the Environmental and Social Management Team (Safeguards Team), GIZ, the Government of West Kalimantan, the Project Management Unit (PMU), counterparts, and task-specific consultants required for implementation, as well as the organisational capacity requirements to support the ESMP, are described, and a general ESMP budget is provided.

This ESMP formulates actions, divided into "Systemic Actions" (1 and 2), followed by the "Technical Actions" (3-8) and complemented by the Grievance Redress Mechanism (GRM) (9). Overall, the purpose of Action 1, "Implementation and Monitoring," is to ensure that all tools are in place, thereby ensuring that all stakeholders trained in the context of Action 2, "Capacity Building," can implement "Technical Actions" 3-8 and Action 9. (GRM). Consequently, the description of the Safeguards and Gender (monitoring) system is included in Action 1.

Project Standards and Safeguards – Legal and Institutional Framework

The Environmental and Social Safeguards (ESS) here referred to are UNFCC REDD+ Safeguards that were agreed on at COP16, Cancun Mexico. For the national level, the project safeguards mechanism is referred to Safeguard Information System (SIS-REDD+ Indonesia)

as a web-based platform to monitor safeguards performance across program interventions. For further elaborations on UNFCC REDD+ Safeguards and SIS REDD+ Indonesia reference to the ESIA is made.

2. Village and Community Focus

Several program activities will have a direct impact on villagers and *adat* communities, such as activities under the outputs 1.2, 2.1, 3.2, and activities that have an indirect impact, such as the activities under outputs 1.1 and 3.1. The PMU and implementing partners must prepare the implementation of activities by prioritizing a consultation process with beneficiaries, including carrying out Free, Prior and Informed Consent (FPIC) with target villages/communities. The project also needs to carry out analyses at a landscape scale, so it requires consultation with a wider range of stakeholders. *Adat*/local knowledge and *adat* law and/or village regulation must be recognised and respected, and *adat*/local knowledge always be integrated when implementing activities. The stages of implementing FPIC will be reviewed in section 5.4 of this document.

3. Institutional Implementation Arrangements - Roles and Responsibilities

3.1 Organizational Structures and Arrangements

The organisational structure of the GCF project will consist of the Accredited Entity (AE) and Executing Entities (EE).

3.1.1 Accredited Entity

The accredited entity of the project is the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, a Germany-based public benefit organisation under private law with limited liability, owned by the Federal Republic of Germany. The role of GIZ is as follows:

- oversight responsibility of the project, as defined in the Accreditation Master Agreement (AMA) between GCF and GIZ (AE).
- administer project funds on behalf of the GCF, and
- provide oversight guidance and quality assurance of Badan Pengelola Dana Lingkungan Hidup (BPDLH), and Solidaridad Network Asia (SNAL) as Executing Entities (EEs) receiving GCF funds through its relevant head office units.

GIZ will need to establish legal arrangements as follows:

- The German Federal Ministry for Economic Cooperation and Development (BMZ) will commission GIZ with the implementation of the GCF project (commissioning agreement).

- The GCF will transfer funds based on the Funded Activity Agreement (FAA) to the AE GIZ.

- GIZ Indonesia (as EE) will receive an internal task assignment from the AE for the implementation of the project.

- GIZ (AE) will sign an implementation agreement with the MoEF as the political partner of the project (related to the BMZ commission and signed between GIZ and MoEF).

- GIZ (AE) will sign a grant agreement (i.e., subsidiary agreement), based on GIZ standard operating procedures with BPDLH as Executing Entity.

- GIZ (AE) will sign a grant agreement (i.e., subsidiary agreement), based on GIZ standard operating procedures with Solidaridad as Executing Entity which will include own funds as co-financing contribution to the funded activity.

These subsidiary agreements establish the legal basis on which GIZ makes the GCF Proceeds available to Solidaridad Network to implement project activities and BPDLH to set up, manage and operate grant disbursements to various beneficiaries, in accordance with the AMA and FAA.

On the other hand, KfW and as co-financing partner of the project, providing funds to the Indonesian Ministry of Environment and Forestry (MoEF), will sign a cooperation agreement with GIZ (AE).

3.1.2 Executing Entities (EEs)

3.1.2.1 Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH (GIZ Indonesia)

The GIZ with its management structure in Indonesia will operate as an Executing Entity (EE). In order to avoid misperception with GIZ based in Germany as Accredited Entity (AE), both functions of accreditation and implementation are strictly separated. GIZ Indonesia will lead, and provide overall management of, the Technical Assistance (TA) to the project at national and subnational levels. It will be responsible for:

- Liaising with government institutions and other EEs for overall coordination and alignment of objectives, managing TA activities and ensuring full compliance with the expected project results and that adequate monitoring and evaluation procedures are implemented.

- Ensuring compliance with the Social and Environmental Safeguards, the Environmental and Social Management Plan (ESMP), the Gender Action Plan (GAP) and the Indigenous Peoples Plan (IPP).

- Providing TA to all project partners including MoEF and its line agencies in West Kalimantan to mainstream gender aspects and to improve coordination between their operational units and collaboration with other sectors.

- GIZ Indonesia will also provide technical assistance to BPDLH to ensure that financial management adheres to GIZ standards as well as to improve their capacities to sustainably manage and promote the TERRA Fund under the project.

GIZ Indonesia will also technically engage and coordinate closely with MoEF to provide inputs to the steering committee and serve as the executive coordination within the Project Management Unit jointly with Dinas LHK under the Government of West Kalimantan.

In their role GIZ Indonesia will keep the Steering Committee and the Project Management Unit informed in a timely manner about the main decisions or recommendations made by the GCF in the framework of the project implementation.

3.1.2.2 Badan Pengelola Dana Lingkungan Hidup (BPDLH) – Indonesian Environment Fund (IEF)

The Indonesia Environment Fund or IEF (*in Bahasa, Badan Pengelola Dana Lingkungan Hidup* or BPDLH) is a public service agency (a BLU in Indonesia), a non-echelon unit accountable to the Ministry of Finance (MoF) which was established in October 2019 via MoF Decree No. 779/2019.

As a public service agency, the BPDLH is mandated to provide services to the public instead of prioritising profit-seeking and conducting their activities following the principles of efficiency and productivity. This is specifically set out in Presidential Regulation No. 23/2005 - Financial Management of Public Service Agencies.

BPDLH will act as a key Executing Entity to provide financing to all relevant stakeholders of the project and its functions:

- Coordinate with the project implementation partners (provincial government institutions, NGO/CSOs, and village communities to guarantee the integral fulfilment of the expected results of the project.

- Participating in both the Steering Committee of the project at national level and the Project Management Unit (PMU).

As an Executing Entity, BPDLH will act as the main financing vehicle for channelling and distributing the GCF funds to the beneficiaries (i.e. provincial government institutions such as *Dinas LHK, Dinas Perkebunan, Dinas Pertanian*, Forest Management Units (FMUs), NGOs/CSOs, and village communities through grants either directly, or through implementing agencies).

In addition, BPDLH will manage the dedicated grant mechanism for Indigenous Peoples (IPs) which will follow standard operational procedures of the Terra Fund. The mechanism will follow a Call for Proposal approach.

With respect to the dedicated grant mechanisms for IPs BPDLH will:

- Ensure that all activities promoted and developed under the dedicated grant mechanism for IPs are in accordance with the strategic guidance of the Project Steering Committee.

- Ensure submission of information to the Project Steering Committee in case any modifications or updates are required at the operational or strategic level of the dedicated grant mechanism for IPs.

- Develop the terms of reference for the calls for proposals jointly with GIZ EE.

Under the supervision of GIZ AE, BPDLH will ensure that all GCF and GIZ fiduciary and safeguard standards are followed, complying with the ESMP, IPP, GAP and the stipulations of the Grant Agreement, always within the legal framework of the project (AMA, FAA).

BPDLH Safeguards

In 2022, BPDLH issued *Executive Director Regulation No. 3/2022 - Procedures for Implementing Environmental and Social Safeguards*. Following this, BPDLH established an Environmental and Social Management System (ESMS) based on *Executive Director Regulation No. 4/* which sets out 12 (IFC Performance Standards, GIZ Safeguards and GCF Safeguards Policy compatible) Safeguard Principles, as follows:

1. Compliance with regulations and accountabilities;
2. Labour and working conditions;
3. Resources efficiency and commitment to protecting environmental quality;
4. Community health and safety;
5. Resettlement plan and restriction on land use;
6. Biodiversity conservation and sustainable management of living natural resources;
7. The protection and participation/engagement of indigenous peoples;
8. The protection of cultural heritage;
9. The environmental and social commitment of financial intermediaries;
10. Stakeholder engagement and information disclosure;
11. Emission risks or potential carbon leakage; and
12. Community social quality, gender equality, and empowerment of vulnerable groups.

The Regulation also specifies an Environmental and Social Management System (ESMS) where appropriate members of management are assigned functional roles, as below:

- Executive Director as Director of Environment and Social Affairs;
- Director of Legal and Risk Management as Environmental and Social Manager;
- Head of Risk Management Division as Environmental and Social Officer; and
- Head of Monitoring, Evaluation and Development Division as Environmental and Social Auditor.

As such, the management of any environmental and social risks is part of the responsibilities of the Risk Management Division, which employs Environmental and Social Safeguards Specialists.

Based on the Regulation, BPDLH established an ESMS Manual, which is a comprehensive document which sets out the following, amongst others:

- Environmental and Social Protection Charter;
- Code of Ethics and Code of Conduct;
- Guidelines on the application of the 12 Safeguard Principles;
- Risk and impact protection framework; and
- Operational procedures.

In general, environmental and social risks are assessed at the sub-project proposal stage based on the nature of the project activities and the capacity of the sub-project (i.e. grant) applicant/ proponent. For each sub-project, a Commitment of Environmental and Social Plan (CESP) is signed together with the grant agreement. Adherence to the ESCP is monitored regularly by the Risk Management Division through the quarterly project reports and on-site visits (based on the project's risk rating). Where necessary, BPDLH also supports implementing agencies in their safeguards management.

In addition to the above, BPDLH's Operational Handbook includes a section dedicated to the management of environment and social risks (safeguards). Lastly, employees, consultants, beneficiaries, and borrowers are provided training on BPDLH's safeguarding policies, including gender equality, sexual exploitation, abuse, and harassment (SEAH) management.

Sub-Project Risk Management

The project will support the channelling of a grants through a dedicated mechanism via the BPDLH (Sub.-Act. 1.3.1.1) of the Funding Proposal). The dedicated IP on-granting mechanism will follow standard operational procedures of the TERRA Fund funding window already in place within BPDLH with the support of the Ford Foundation. The grants will be provided to indigenous peoples and local communities, aiming to provide them with funding to secure tenure rights, strengthen their capacity to participate in decision-making processes related to sustainable and climate-smart natural resource management, and promote sustainable forest management practices including the documentation, promotion and valorisation of traditional knowledge on sustainable forest management and biodiversity conservation. It is designed to be flexible and responsive to indigenous communities' needs and will focus, amongst others, on hutan adat, complementing the project's objectives to ensure long term sustainable resource management.

Eligible entities include indigenous-led domestic civil society organizations (CSOs), research centers. business organizations such as associations, chambers, cooperatives, SMEs, with

priority given to most vulnerable groups and women-led households as target group of the proposed interventions. Initial eligible criteria include for example supporting the indigenous peoples of West Kalimantan in their efforts to protect and sustainably manage forest resources by promoting land tenure, the official recognition of adat communities and good local forest governance. Final criteria will be developed during implementation. Each applicant can request up to EUR 120,000 with a project duration of 6 months to 1 year. Up to five calls for proposals will be made over up to five years, totalling up to EUR 4,500,000.

It is envisaged that year 1 will focus on developing suitable outreach activities as well as operationalizing the call for proposal process including design of templates and formats for processing the grants. Calls for proposals itself are envisaged to start as of year 2 with subsequent calls up to year 5.

- Eligibility review and risk screening

  The on-granting mechanisms call for proposals will be accompanied by an eligibility check for applicants, the screening of applicant's proposals based on scoring criteria, and a final selection through a selection committee. In order to ensure the selected projects support interests of IPs, the selection committee will also include representatives of IPs, however the final decision will be made by BPDLH.

  A detailed sub-project whitelist will be developed in Year 1 prior to each call for proposals, which will be assessed by the project's ESGI Advisor in close cooperation with staff from BPDLH's Risk Management Division to ensure compliance with GIZ, GCF and BPDLH safeguard requirements, and ensure sub-projects are only low- and moderate-risks (Category B and C)[1]. Grants will only be provided for low- or medium-risk investments. The mitigation measures for potential category sub-projects are outline in the end of this document.

- Grant Agreement and ESS Management and Monitoring during Implementation:

  BPDLH will select the final proposals, which will then enter the grant agreement process, where a grant agreement will be signed between BPDLH and the final beneficiary. Environmental and Social Safeguard requirements will be integrated into contractual grant agreements. Specifically, grant Agreements will require the grant-taker to sign a Commitment of Environmental and Social Plan (CESP), which will outline any specific safeguard requirements and required management measures (linked with the whitelist compliant investments). CESP plans will be reviewed and approved by BPDLH's Risk Management Division prior to approval of the grant agreement. Adherence to the ESCP will be monitored regularly by the Risk Management Division through the quarterly project reports and potentially on-site visits.

- Implementation:

  BPDLH will be responsible for signing the grant agreements and overseeing the disbursements and subsequent financial and technical monitoring. While the selection of beneficiaries will be managed centrally, the implementation of beneficiary projects will be closely accompanied in the field with monitoring of progress and use of funds.

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[1] Note: The funds cannot be used to purchase pesticides or mineral fertilizer.

3.1.2.3 Solidaridad Network Asia Limited (SNAL) / Yayasan Solidaridad Network Indonesia (YSNI)

Solidaridad International (SI), founded in 1969, is an international civil society organisation that facilitates the development of fair and profitable supply chains for small scale and family farmers.

The SI will act as an Executing Entity and will be responsible for the implementation of activity 2.1.2 "Implementing and up-scaling the adoption of proven approaches for reducing emissions and enhancing the sustainability and climate resilience of smallholders in key commodity supply chains (including agroforestry)", activity 2.1.3 "Enhancing multi-stakeholder dialogue and platform for low-emission and climate-resilient agriculture and private sector investment", and the solely own financed activity 2.1.5. "NISCOPS: improving sustainable landscape management and smallholder palm oil market inclusion".

Under the supervision of GIZ AE, Solidaridad will ensure that all GCF and GIZ fiduciary and safeguards standards are followed, complying with the ESMP, IPP, GAP and the stipulations of the Grant Agreement, always within the legal framework of the project (AMA, FAA).

Solidaridad (YSNI) will also participate in the Project Management Unit (PMU) to guide implementation with local partners.

In addition, Solidaridad will liaise and coordinate with other project partners to guarantee the integral fulfilment of the expected results of the project.

Figure 1: Institutional arrangements and flow of funds
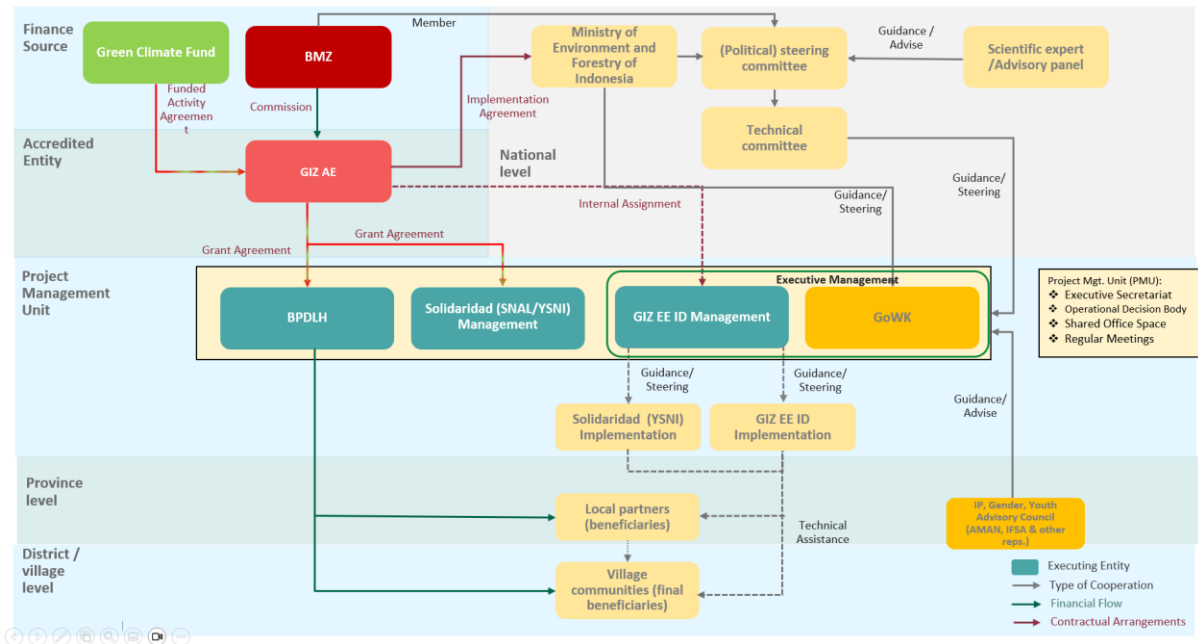
3.2 Project Governance

The implementation arrangements of the ESMP will always refer to the project governance (Figure 2). The highest-level governance will be overseen by a Project Steering Committee (PSC), which will serve as the principal governing body for the project. The PSC will meet on a six-monthly basis (twice a year). The members of the PSC will be representatives of the Indonesian and German national ministries and departments as well as BPDLH and GIZ. The PSC will be responsible for political oversight and coordinating partner cooperation. The members of PSC will be Secretary General of MoEF, Directorate General for Sustainable Forest Management (DGPHL), The Directorate General of Social Forestry and Environmental Partnership (DGPSKL), The Directorate General Climate Change (DGCC), BPDLH/IEF, BMZ (Germany) and West Kalimantan Regional Secretary. The role of PSC is as follows:

- Provide overall guidance for project implementation.
- Provide feedback and validation of annual work plans, annual reports and project evaluations.
- Ensure project progress and coherence with the (evolving) international and national policy context.
- Oversee project adherence with E&S Safeguards and Gender Action Plan objectives.
- Support the coordination of project activities across different line ministries and between the private and public sectors and civil society.

The Project will be run, monitored, and managed by Project Management Unit (PMU). The PMU will be responsible for day-to-day implementation of the project. The PMU will be headed by a Dinas LHK director on behalf of the government of West Kalimantan and the GIZ Programme Director. Other members of the PMU will include staff from the four Executing Entities – BPDLH, Solidaridad and GIZ. The PMU has a task to monitor the implementation of safeguards. The following tasks for PMU are as follows:

- Monitor and ensure adherence to environmental, social, gender and fiduciary safeguards and the implementation of the ESMP.
- Enhance common understanding among Executing Entities on the theory of change and how transformation in the sector shall evolve.
- Discuss, monitor, and promote best possible synchronisation of implementation between the Executing Entities.
- Ensure overall project planning, implementation, monitoring, reporting and evaluation.
- Define, monitor and coordinate work plans.
- Ensure that budgets and work plans are on track.
- Identify and resolve bottlenecks and implementation challenges relevant at the project level.
- Identify issues required to be brought to the attention of the PSC.
- Manage the procurement of consultants.
- Knowledge and learning management.

Figure 2: Governance Structure of the Project
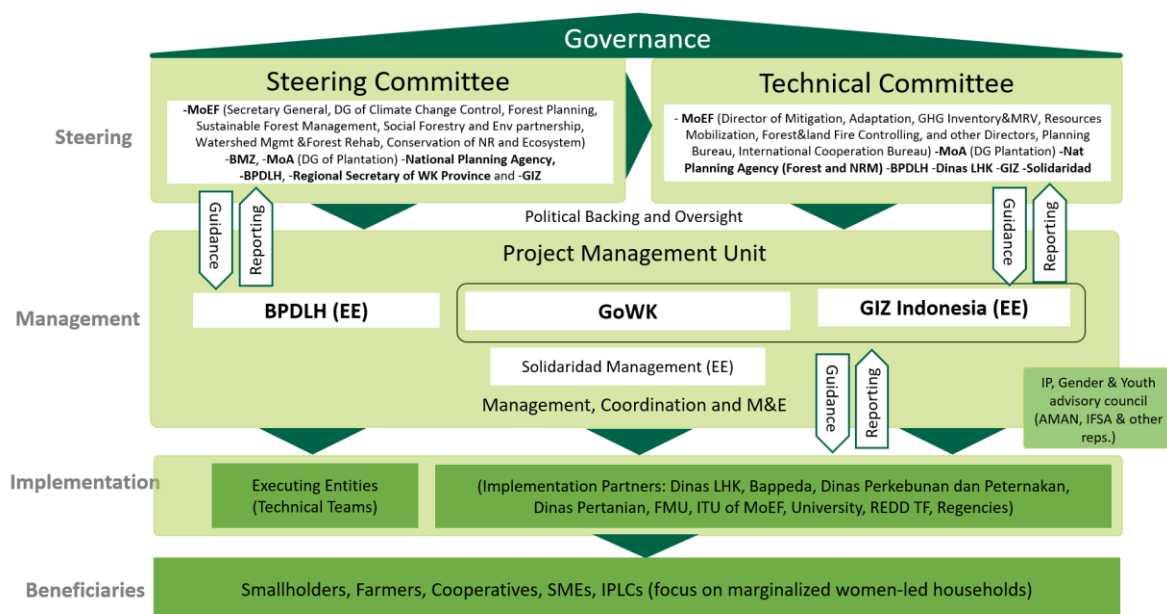
4. Potential Negative Impacts

Possible negative impacts that can trigger ESS are listed below. More information can be found in the Annex 6a - ESIA.

Table 1: Possible negative impacts of the proposed project

ESS	Risk of negative impact	Related project (sub-) activity
ESS1: Assessment and Management	Social: (-) Insufficient knowledge and experiences of culture, tenure, and religious values of the IPs, including communication skills and consultations could lead to misunderstanding of the proposed project by the relevant stakeholders, which might cause social conflicts. Environmental: (-) The promotion of agriculture might indirectly cause the risk of increased use of agro-chemicals/pesticides and forest clearance.	Cross-cutting
ESS2: Labour and Working Conditions	(-) Infringement of decent working conditions. (-) Confrontative physical contacts occur during FMU Forest Rangers conducting law enforcements for illegal logging, forest and land fires, and wildlife poaching.	Cross-cutting Sub-activity 3.1.1.4: Strengthen law enforcement to secure FMU areas from illegal logging, forest and land fires, wildlife poaching, and other activities lead to deforestation and degradation.
ESS 3: Resource Efficiency and Pollution Prevention	- indirectly increased use of pesticides and other chemical products in intensified community or smallholder farming and agriculture (-) Fires caused by slash and burn practices (-)- indirectly increased chemical waste from intensified fish food production	Sub-activity 1.1.2.3: Identification and mapping of agricultural land allocated to slash-and-burn practices by IPs. Sub-activity 1.3.1.1: Establish a dedicated grant mechanism for IP for climate-smart agriculture and sustainable forest management. Sub-activity 2.1.1.1: Design of a sustainable land and forest-based business model Sub-activity 2.1.2.1: Improved capacities to implement resilient and sustainable smallholder farming Sub-activity 3.2.1.5: Developing climate-resilient aquaculture infrastructure for coastal communities

ESS	Risk of negative impact	Related project (sub-) activity
ESS 4: Community Health, Safety, and Security	(-) Potential conflict and social jealousy, because not all villages or villages will receive assistance from the programme	Sub-activity 2.1.1.1: Design of a sustainable land and forest-based business model Activity 2.1.2.1: Improved capacities to implement resilient and sustainable smallholder farming Sub-activity 3.2.1.4: Rehabilitation of degraded areas in non-forest land (APL) (peat and mangrove areas) and establishment of agroforestry plots Sub-activity 3.1.1.4: Improve community-based forest management practices, include improve sustainable and alternative livelihoods, climate change and disaster awareness, fire mitigation through the development of Fire Group, etc. Sub-activity 3.2.1.2: Develop and strengthen Social Forestry business units (KUPS) to establish, improve, and expand market, supply chain, and value-added communities' products, including the creation of KUPS models and capital supports
ESS 5: Land Acquisition and Involuntary Resettlement	(-) The loss of livelihood through rehabilitation of degraded areas in APL and peat and mangrove areas might aggravate the socio-economic conditions of local impoverished communities and provoke social conflicts in the project areas.	Sub-activity 3.1.1.4: Support FMU Organizations in five target Regencies in implementing climate-informed RPHJP and RPHJPd through the development of information systems and enhanced forest management practices Sub-Activity 3.2.1.4: Forest restoration and rehabilitation of mangrove and peat forest ecosystems.
ESS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources	Environment: (-) The promotion of agriculture may cause impacts on the habitats of endemic species of West Kalimantan (such as Orangutan, Proboscis Monkey) which might lead to a loss of biodiversity. (-) Increased sales of estate crops products may lead to potential forest encroachment by farmers and pose a risk to biodiversity.	Sub-activity 1.2.1.1: Identify areas and develop management plans for High Biodiversity and Carbon Areas within non-state forest land across West Kalimantan Province. Sub-activity 1.2.1.2: Develop and strengthen regulations at provincial and district levels, to govern the protection and sustainable management of the High Biodiversity and Carbon Areas. Sub-activity 1.2.1.4: Support and monitor the management plan implementation for High Biodiversity and Carbon Areas. Sub-activity 2.1.1.1: Design of a sustainable land and forest-based business model

ESS	Risk of negative impact	Related project (sub-) activity
		Sub-activity 2.1.2.1: Improved capacities to implement resilient and sustainable smallholder farming.
		Sub-activity 2.1.2.2: Climate-resilient commodity and agroforestry scaled with improved market access.
		Sub-activity 3.2.1.2: Develop and strengthen Social Forestry (SF) business units (KUPS) to establish, improve, and expand market, supply chain, and value-added communities' products, including the creation of KUPS models and capital supports.
ESS 7: Indigenous Peoples & GCF Indigenous Peoples Policy	(-) Social conflicts may arise among relevant stakeholders in FMU areas and indigenous peoples' land and forest land under social forestry program (for example participatory land-use planning and management plans for different forest types), furthermore potentially resulting in unintended negative livelihood impacts. (-) Due to inadequate recognition of *adat* communities, the involvement of indigenous people might be limited.	Sub-activity 1.3.1.1: Implement an on-granting programme focusing on Indigenous Peoples (IPs) in West Kalimantan Sub-activity 2.1.1.1: Design of a sustainable land and forest-based business model Sub-activity 3.2.1.1: Develop and implement SF management plans and support new SF permit proposal for local communities. Sub-Activity 3.2.1.2: Develop and strengthen SF business units (KUPS) to establish, improve, and escalate market, supply chain, and value-added communities' products, including the creation of KUPS models and capital supports. Sub-Activity 3.2.1.3: Capacity building for SF permit holders Sub-Activity 3.2.1.6: Accelerate and enable access to potential financial streams for climate change mitigation (e.g. REDD+) and adaptation (…) Sub-Activity 3.2.1.8: Channelling dedicated GCF proceeds (under this proposal) to local communities to implement social forestry licenses and related management plans as well as climate-resilient land-use plans in PROKLIM villages
ESS 8: Cultural Heritage	(-) In some areas people's access to areas for the exercise of cultural heritage, especially of an intangible nature, might potentially be affected, if there is a change in land use, or if any of their lands are overlapped with the social forestry licenses	Sub-activity 1.2.1.1: Identify areas and develop management plans for High Biodiversity and Carbon Areas within non-state forest land across West Kalimantan Province.

ESS	Risk of negative impact	Related project (sub-) activity
	(-) Potential conflicts between companies and communities could theoretically arise during identification and management of HCV areas.	Sub-activity 1.2.1.2: Develop and strengthen regulations at provincial and district levels, to govern the protection and sustainable management of the High Biodiversity and Carbon Areas.
		Sub-activity 1.2.1.3: Increase stakeholders' capacities (i.e. companies, communities, provincial and districts governments) in implementing the management plan for High Biodiversity and Carbon Areas within non-state forest land.
		Sub-activity 1.2.1.4: Support and monitor the management plan implementation for High Biodiversity and Carbon Areas.
		Sub-activity 2.1.1.1: Design of a sustainable land and forest-based business model
ESS 9: Stakeholder engagement and information disclosure	(-) Lacking acceptance of the policies at regency and provincial levels as a result of insufficient involvement and consultation of relevant stakeholders, amongst them (1) Policies on protecting the high biodiversity and carbon areas in APL and the (2) regulatory frameworks at provincial level as part of the programs and activities implementation of REDD+ and FOLU Net Sink 2030 policies.	Sub-activity 1.1.2.1: Align the provincial REDD+ policies with the current national mitigation policies and regulations.
		Sub-activity 1.2.1.2: Develop and strengthen regulations at provincial and district levels, to govern the protection and sustainable management of the High Biodiversity and Carbon Areas.
	(-) The lack of previous experiences by FMUs with private sector engagement (Effective FMU) may create a considerable risk for unsustainable business endeavours (focusing largely on rent seeking from existing informal extraction of timber and/or non-timber products).	Sub-activity 3.1.1.2: Supporting FMU Organizations in five target Regencies to receive the status of "Effective FMU Organization".
ESS 10: Financial intermediaries	(-) In case the number of beneficiaries is too large and BPDLH has limited capacities to monitor and disburse funds, the BPDLH could use intermediary agencies with insufficient skills and experience to manage funds.	Sub-activity 1.3.1.1: Implement an on-granting programme focusing on Indigenous Peoples (IPs) in West Kalimantan
		Sub-activity 3.2.1.8: Channelling dedicated GCF proceeds (under this proposal) to local communities to implement social forestry licenses and related management plans as well as climate-resilient land-use plans in PROKLIM villages

The ESMP supports the mitigation strategies by providing an overarching framework within which the FPIC process and the IPP, gender mainstreaming, capacity building can all be managed by vertical integration of counterparts and the project team; a process of adaptive management that incorporates local realities and understandings into project plans and implementation. Other mitigation measures include updated data collection on local land-use practices, concession and infrastructure planning, land-use conflicts, as well as FPIC and social inclusion databases to ensure participatory consent from village stakeholders. The project will need to monitor all identified potential risks in order to ensure that they do not impinge the environment or local communities, and that if they do, there are suitable mitigation measures in place.

5. ESMP Implementation

5.1 Staffing Concept

The ESMP requires a team of experts in various fields such as environmental/forestry/ecosystem experts, socio-cultural experts, indigenous community experts and gender experts to make up a Safeguards Team that will support the development, capacity building, training, implementation, monitoring, and reporting needed to carry out the actions in this ESMP. The safeguards system is mainstreamed into the project's operations and is carried out continuously.

The assignments for staff are aimed to focus on both the development of the specified tools and approaches, and its implementation at the national and province level, and the five targeted regencies. Therefore, a number of assignments will focus more on concept development, while others will support the implementation of the developed systems and require planned measures. An advisor on ESS, Gender and IPs (ESGI) as main focal point will be recruited by GIZ. The advisor's main responsibility will be to ensure that safeguards are implemented and monitored. The advisor will be supported by five regency advisors. These will be mainly responsible to implement and monitor the project implementation including the safeguards per regency.

Additional ad-hoc specialists will be hired based on the needs of ESS capacities such as training specialist, biodiversity specialist, gender specialist, land tenure specialist, GRM specialist, and five village facilitators (one village facilitator per regency). The other advisors and project staff who will support the ESS implementation are presented as follows:

Table 2: The planned staff for ESS in five target regencies of West Kalimantan

No.	The planned staff for ESS	Roles and Responsibilities related to ESS	Quantity
1.	Advisor on ESS, Gender and IPs (ESGI) (EE GIZ)	To ensure that the ESS plan is implemented in the project areas including addressing cross-cutting issues such as gender and land tenurial rights.	One person – National
2.	Advisor on Stakeholder Engagement/ Liaison (EE GIZ)	To ensure that stakeholders engaged with the project and understood with social and environment risks	One person – National

3.	Advisor on Monitoring and Evaluation (EE GIZ)	To monitor and evaluate the project implementation, including safeguards	One person - National
4.	Advisor on Human Capacity Development (EE GIZ)	To ensure project staff and relevant stakeholders are empowered through capacity buildings, including topics related to ESS	One person - National
5.	Regency Advisor (EE GIZ)	To ensure the project implementation in line with its objective and goals at district level, including safeguards implementation	Five persons – National
6.	Regency Facilitator (GIZ/Solidaridad)	To facilitate and support the process of safeguards implementation including liaising with relevant stakeholders at district level	Five persons – National
7.	High Conservation Value-High Carbon Stock Area (HCV-HCS) Staff (GIZ)	To assess potential environmental risks that might happen due to project interventions in the targeted project areas	One person – National
8.	Social Assessment Staff (GIZ)	To assess potential social risks that might happen due to project interventions in the targeted project areas	One person - National
9.	Gender Expert Staff (GIZ, Solidaridad)	To ensure gender issues addressed for each district in project areas	One person – International One person - National
10.	Community Livelihoods Staff (GIZ/Solidaridad)	To assess identification of community livelihoods that might be affected or supported by the project interventions	One person - National

Objective:	• To allocate staff and consultants to define responsibilities for day-to-day implementation of the ESMP • to ensure monitoring ESMP implementation including Gender Monitoring System, GRM taken place and functional

Action Instructions/ Descriptions:	The ESS Team will conduct and oversee ESMP integration and implementation over the life cycle of the programme. The ESS Team will perform the following tasks: • Development of ESMP task schedules that will support overall programme synchronisation to ensure enabling conditions for specific activities are met. • Working with task-specific consultants to facilitate monitoring of other ESMP Actions including a) Create databases; b) Oversee data collection; c) Design capacity building based on training need assessment (see ESMP Action 2); d) Implement training workshops and annual information sharing / consultation workshops • Improvement of capacities of PMU staff related to monitoring and implementation of environment and social safeguards. • Ensuring the other relevant agencies such as Provincial Forestry and Environment Service/Forest Management Units, REDD+ Working Group, District Environment Services, Province/District Estate Crops Services, Province/District Village Development Services, and Province/Regency Agriculture Services are well aware with the implementation of safeguards as well in the targeted regencies • Development of checklists and other monitoring/reporting formats for tracking whether the subsequent ESMP activities have taken place (or are ongoing) as planned and have the desired effectiveness and efficiency. • Annual reporting on ESS-related activities and its challenges to National/Provincial Programme Steering Committee, GIZ AE unit at GIZ HQ, development partners as appropriate as well as GCF and BMZ. • Register the project on the SISREDD+-Platform and maintain data updated

5.2 Monitoring & Evaluation (M&E)

The project has a series of safeguards related documents, including the ESMP, ESIA, IPP, and GAP. Linking these documents to the project planning process, and creating an effective monitoring system for that linkage, will ensure that the project's work does no harm to the vulnerable members of the communities or environment in which the project is active. The safeguards team will develop a monitoring concept through the following steps:

- Outline a Safeguards Monitoring Concept derived from relevant project documentation, including the Environmental and Social Management Plan, the Environmental and Social Impact Assessment, the Indigenous People Plan, and the Gender Action Plan.
- Design an appropriate Safeguards Monitoring System, preferable integrated into the projects overall M&E-system.
- Identify and interpret the safeguards indicators.
- Give clear suggestions for monitoring tools to measure the safeguards indicators.
- Create a good understanding of the functional relationship between the ESIA, IPP GAP and the ESMP and how they will be taken into account in the safeguards system - Show a sound approach for dealing practically with the large number of safeguards requirements.

- Translate an 'ESMP Highlights' structure into local language, facilitating access to the Safeguards Monitoring Concept for non-English and/or non-Indonesia speaking counterparts, especially among stakeholders.
- Identify key responsibilities for data collection and data management.
- Include a clear approach for harmonizing and reconciling the safeguards frameworks and the M&E frameworks.

Based on the development of Safeguards Monitoring system, a consultant or internal expert will need to support the project staff, and relevant counterparts, to operate the safeguards monitoring system. The consultant's tasks are to facilitate the introduction and operation of this monitoring system, including:

- Initial and ongoing capacity building of the PMU on all levels of safeguards requirements
- Support to PMU on all levels, and to the project owners to implement safeguards requirements.
- Improve the ESMP, IPP and GAP annually at the institutional level.
- Ensure the integration of safeguards requirements into the database as established by M&E Team.
- Screen incoming data for necessary quality levels, executing clear plans to improve data quality, accuracy, and relevance, when necessary.

As part of their work to rigorously monitor the project safeguards according to the required and agreed framework, the ESS team will need to:

- Have a well-developed and conceptualised filing practice.
- Ensure a sound staffing concept so that good filing practices can be implemented.
- Train project stakeholders in relevant data and knowledge management concepts.

5.3 Grievance Redress Mechanism (GRM)

A Grievance Redress Mechanism needs to be developed. The main tasks of the ESS team regarding the Grievance Redress Mechanism will be to:

- Develop, operationalise and establish a Grievance Redress Mechanism.
- Ensure that all relevant stakeholders are trained how to use the Grievance Redress Mechanism.

Objective:	- To provide a process by which grievances from communities, groups, individuals, local authorities, NGOs, and other local stakeholders can be processed efficiently and constructively. The goal is to resolve grievances amicably and minimize legal system use. - To operate distinct protocols for: 1. Grievances related to SEAH (see section 5.3.1 below), and 2. Grievances related to customary communities (see section 8 of Annex 6c) - To offer individuals and community groups a way to express their grievances and problems rationally and transparently and demonstrate the important role of stakeholders in programme design and implementation. - To institutionalise a reporting system to take corrective action.

	• To establish a transparent relationship based on mutual respect with the communities and other local stakeholders. • To establish project responsibility regarding grievances and set a course of action to manage the grievances promptly • Guarantee the linkage/feeding-in of Grievances into the M&E system

Action Instructions/ Descriptions:	The ESS Team and PMU will provide channelling for GRM. The GRM will be disseminated early in the stakeholder engagement process (i.e., during the Stakeholder Engagement Process) in a way that is easily understood by diverse stakeholders, including those who are illiterate and other especially vulnerable people.
	
	For project management, grievance mechanisms will serve as a tool to build local trust, strengthen stakeholder support for projects, and help identify potential and actual impacts that the project needs to address through operational changes or other forms of remedy.
	
	The GRM guarantees that stakeholders are thoroughly informed on registering complaints, including full contact details for anyone to lodge a formal complaint. This GRM needs to be consistent with international standards and Indonesian law.
	The following steps must be taken:
	• Training Needs Assessment (TNA).
	• Development of capacity building schedules, including:
	   o Identification of trainings' participants/targeted audiences (based on the results of TNA) such as relevant REDD+ Task Force staff, relevant province and district staff such as Province Environment and Forestry/DLHK including Forest Management Unit/KPHs, Province and District Estate Crops/*Disbun*, Province and District Village Empowerment and Development/DPMD, and Province and District Agriculture Services/*Distan.*
	   o Identification of SOP grievance in West Kalimantan.
	   o Development of a channelling system for GRM.
	   o Identification of number of workshops, locations, and estimated duration for training of province and district levels.
	• Development of capacity building materials for province and district stakeholders. The contents of the materials should address the safeguards requirements applicable to the program, and also be able to use and report to safeguards.
	• Delivery of trainings for Provincial REDD+ Working Group staff, and relevant province and district staffs such as Province Environment and Forestry/DLHK including Forest Management Unit/KPHs, Province and District Estate Crops/*Disbun*, Province and District Village Empowerment and Development/DPMD, and Province and District Agriculture Services/*Distan*.
	• Evaluation of ESS trainings based on analysis of safeguards implementation reports.
	Risk and impact analysis may come to the project's attention through its ongoing assessment processes as part of its project diligence lifecycle.
	
	They may also become apparent through channels such as:
	   o Stakeholder engagement and response processes,
	   o Observations of staff, consultants, and contractors on the ground,
	   o Feedback from other groups, beneficiaries, or organizations working with affected stakeholders,
	   o Community groups (women and vulnerable groups),
	   o Representative meetings,
	   o *Adat* institutions meetings.

Effective complaint handling offers many practical benefits to the Project Management and Donors and helps to improve the quality of services and expected impact. Complaints provide evidence of faulty decisions and poor service delivery. The operational-level grievance mechanisms should be legitimate, accessible, predictable, equitable, transparent, rights-compatible, based on dialogue and engagement, and a source of continuous learning.

Preventive measures:
To be admissible, a complaint has to meet the following criteria:
- It shall be in writing in Indonesian language, that contains no abuse or insults.
- It shall contain a description of the relevant facts, including names of alleged victims, dates, locations, and other evidence.
- It must not be manifestly politically motivated.
- It must not be exclusively based on reports disseminated by mass media.
- The complaint procedure is not mandated to seek remedies in individual cases or to compensate alleged victims.
  - Prior to project start:
    - Recruitment of a qualified GRM specialist
    - Recruitment of ESS specialists (see section above)
  - During inception phase (within six months):
    - TNA
    - Capacity building plan and schedule
    - Workshops (Introduction of ESS trainings to targeted audiences)
    - Delivery of trainings to targeted audiences
    - Capacity building report (training implementation and evaluation report)
  - During project implementation:
    - Capacity building report will be reviewed on an annual basis. Additional ESS trainings might be conducted if the capacity of relevant stakeholders needs to be improved. The training will be based on the result of the review.
    - Monitoring and evaluation about the implementation ESMPs (RKL-RPL or UKL-UPL)

A functioning, transparent, and accessible GRM ensures compliance with the project's Social and Environmental Safeguards (ESS). The project guarantees that communities affected or likely to be affected by the project will be informed about the project and that they have channels to raise their grievances, which may arise from project activities. It is also accessible to stakeholders such as projects implementers, CSOs, and private sector companies.

Disclosure mechanism:
The GRM will be disseminated early in the stakeholder engagement process (i.e., during Stakeholder Engagement Process) in a way that is easily understood by diverse stakeholders, including those who are illiterate and other especially vulnerable people. The GRM guarantees stakeholders are thoroughly informed on registering complaints, including full contact details for anyone to lodge a formal complaint. This GRM is consistent with international standards and Indonesia's law.
A regular monitoring and tracking of GRM (incl. SEAH related grievances) will be made publicly available, including resolution status. Likewise, the GRM will ensure that

policies regarding SEAH (i.a., the project's Zero Tolerance Policy to SEAH, beneficiaries' rights, the distinct SEAH grievance protocol, etc. are publicly available and communicated to staff and beneficiaries.

Alternative remedies:
If the grievant does not see their grievances addressed by the project, then in that case, the grievant may also get in contact with GIZ directly (https://www.bkms-system.com/bkwebanon/report/clientInfo?cin=26zig7&c=-1&language=eng). Another option for grievant is the GRM process by the GCF itself (i.e. GCF Independence Redress Mechanism, https://irm.greenclimate.fund/). The grievant may also use the GRM process by IEF/BPDLH (https://bpdlh.id/contact-us).

Eligibility:
A grievance or complaint received by the GRM will not be eligible if it falls into any one or more of the following exclusions:
- A grievance or complaint regarding matters already concluded by any grievance mechanisms in place unless the complainant has submitted new material information or evidence that was unavailable when the matter was previously considered.
- a malicious, frivolous, or fraudulent grievance or complaint.
- a grievance or complaint to gain a competitive advantage.

M&E-system integration:
- Eligible and processed Grievance will be inserted into and monitored by the M&E-system

5.3.1 SEAH-related grievances[2]

5.3.1.1 Background

GIZ pursues a zero-tolerance policy towards any form of sexual exploitation, abuse and harassment. This commitment is in line with legal and policy frameworks at international[3], national[4], GIZ corporate[5], and GCF level[6].

SEAH-related grievances follow a different process, as they have the potential to be qualitatively different – and potentially more serious – than non-SEAH grievances:

- Potential conflicts of interest: the complaint may relate to the behaviour of a project stakeholder who might be involved in the consideration of grievances.

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[2] Note, additional measures to avoid SEAH are outlined in the Project's Gender Action Plan within Annex 8b.

[3] Universal Declaration of Human Rights, the Convention on the Elimination of All Forms of Discrimination against Women and International Labour Organization (ILO) Conventions: 100 (ILO Convention for Equal Remuneration for Men and Women for Work), 111 (The Discrimination (Employment and Occupation) Convention of 1958), 190 (The Violence and Harassment Convention of 2019).
[4] Undang-Undang Tindak Pidana Kekerasan Seksual (UU TPKS), No 12, Tahun 2022, or the Law on Sexual Violence Crime Acts, number 12, year 2022.
[5] GIZ Code of Ethics, GIZ Code of Conduct, GIZ Policy of prohibiting sexual harassment and sexual misconduct, GIZ Corporate Gender Strategy, GIZ Diversity Code.

[6] GCF Revised Environmental and Social Policy,

- Privacy: a complainant making serious allegations of sexual harassment or abuse may not wish his/her identity to be widely known.
- Gender and cultural sensitivity: a complainant, particularly if traumatized, may wish to discuss a grievance only with someone of their own gender or in a culturally acceptable context.

Accordingly, the project's GRM incorporates a survivor-centered and gender-responsive protocol for SEAH-related grievances.

Distinct SEAH protocol are to be followed depending on the grievant:

1. Project **stakeholders** including beneficiaries, communities, etc.
2. GIZ staff

5.3.1.2   SEAH grievance redress protocol for project stakeholders

SEAH-related feedback and grievances can be submitted by the same three groups that are served under the project-specific GRM, namely:

- Individuals or entities directly impacted by the project, including potential beneficiaries;
- Stakeholders with a vested interest in the project;
- Residents or communities influenced by project activities.

A specific SEAH-protocol will be developed for the GRM to ensure grievances are handled in a survivor-centred and gender-responsive way, in alignment with GCF's Revised Environmental and Social Policy. For handling SEAH-related grievances, individuals will be encouraged to use a dedicated project phone number and dedicated project e-mail address distinct from the general GRM contact details. The project will discourage SEAH-related grievance submissions through other channels such as government extension officers and workshops. Comprehensive guidance on the SEAH protocol within the GRM will be made available on the project website and within project literature, including leaflets and workshop materials.

In case of SEAH-related grievance is inadvertently submitted through non-SEAH channels the responsible Advisor on ESS, Gender and IPs (ESGI) will ensure that they are redirected to the SEAH-related grievance track. SEAH-related phone calls and e-mails will be managed separately and distinct from non-SEAH grievances.

SEAH-related grievances will always be considered with compassion, sensitivity and confidentiality. The ESGI Specialist will customize a response approach for each SEAH grievance, considering the nature and seriousness of the allegations. If necessary (due to gender or linguistic reasons), a grievance Focal Point will be appointed, adhering to strict confidentiality requirements. The Grievance Focal Point will establish contact with the complainant to understand their preferences and ensure a confidential approach. Based on the details provided, a tailored response approach will be devised, in line with the complainant's wishes and the severity of the grievance.

Possible project responses to SEAH grievances are diverse and context specific. Examples of responses could, conceivably, include actions such as: support to survivors (such as psycho-social support or medical care); education of trainers on gender- and SEAH-related topics to ensure inappropriate behaviour is not repeated; removal of personnel from project roles; expanded SEAH awareness-raising among project stakeholders; women-only or ethnic group-only (as appropriate) training workshops; or, in extreme cases, referral of grievances to relevant regulatory or law enforcement authorities.

Should the complainant remain dissatisfied with the proposed actions or the response approach, the grievance can be further escalated to: (i) the GIZ Indonesia Country Office; (ii) the GCF Independent Redress Mechanism; and (iii) legal and administrative remedies outside the project framework that are available in Indonesia.

5.3.1.3 SEAH grievance redress protocol for GIZ staff

Employees of GIZ Indonesia and ASEAN who feel that s/he is being sexually harassed are encouraged to reach out to the Risk Management Office (RMO) or the Country Director directly to ensure discretion and confidentiality.

In addition, appointed 'trustees' are put in place as persons of trust with knowledge of the local cultural contexts and the local languages, to whom a staff subject to sexual harassment can confide in and seek support from, and help to report the incident to the RMO or Country Director whenever further urgent action and decisions are required.

The complaints can be made orally or also in writing to rmo-idn@giz.de, and will be treated as confidential.

An employee who has been found guilty to have breached this policy will be subject to appropriate disciplinary action in accordance with the applicable GIZ internal regulations and the applicable law.

Depending on the severity of the case, consequences can range from an apology to the person subject to sexual harassment, written reprimand, demotion, to – in the event of a severe or pervasive harassment (as judged from the perspective of a reasonable person) – dismissal or unilateral termination of contract without notice and in accordance with the applicable law. Immediate disciplinary action will be taken against anyone who victimizes or retaliates against a person who has complained of harassment.

If a complaint against non-staff members, including customers, suppliers and partners is rightfully upheld, it could result in termination of a contract, suspension of service or business cooperation.

It is also considered a violation of this policy for anyone to make a false complaint/report of harassment or to provide false information regarding a complaint/report of harassment.

5.3.2 Monitoring and Evaluation

The project will track the follow-up of reported cases and securely maintain all case records. Monitoring includes the collection of data on the number of reported cases. These statistics will be compiled for inclusion in the project's annual report.

5.4 Whistleblowing

The protection of whistle-blowers is a high priority[7]. GIZ's Compliance and Integrity Unit[8] investigates all reports of violations of the Code of Conduct, Discrimination, Sexual Misconduct, work harassment (bullying) or serious compliance violations. It ensures that all reports are followed-up with, including the response with appropriate consequences.

GIZ provides various reporting channels for whistleblowers (see the GIZ website for more information):

- The online whistleblower portal can be used at any time of day, anywhere in the world, and is available in several languages. It can be used to anonymously report suspected infringements and to communicate in accordance with the highest security standards, without being required to provide an email address or telephone number. Link to the online whistleblower portal: https://www.giz.de/tell-us
- Violations of laws and regulations related to GIZ's work can also be reported to Compliance and Integrity Advisory Services by email: Compliance-mailbox@giz.de

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[7] See URL: https://www.giz.de/en/downloads/Code%20of%20ethics.pdf (Last accessed: 21.11.2023).

[8] See URL: https://www.giz.de/en/downloads/Code%20of%20ethics.pdf (Last accessed: 21.11.2023).

- Information or complaints concerning discrimination and sexual misconduct can be reported in confidence to stop-it@giz.de.
- An external ombudsman is available as a point of contact outside the company. He has a duty of confidentiality vis-à-vis the company by virtue of his role as a lawyer and collects confidential evidence of compliance infringements.

5.5 Free, Prior and Informed Consent (FPIC)

Objective:	- To obtain consent and support from indigenous people/community *adat* and other project beneficiaries before and during project implementation. FPIC will be implemented with all affected villages/ communities where the project will be implemented. - To ensure sufficient understanding of project including risks and benefits received by beneficiaries, and - To ensure women and *indigenous peoples* effectively participate in decision making processes.
Action Instructions/ Descriptions:	The ESS Team and PMU will develop plans and materials in relation to preparation and implementation of FPIC process.
	The FPIC is one of the core elements of the project. It is not only a mandatory requirement to get consent from indigenous peoples, village communities, and other beneficiaries before project implementation, but also to allow them to provide or withhold/withdraw consent regarding project impacting their territories or livelihoods. The FPIC process also ensures the voices of marginalised, elderly and youth, disability groups, and women are heard and addressed in the targeted villages.
	The FPIC process consists of at least five stages:
	I. The first stage is identification. It aims to identify which indigenous peoples, villages communities, and other beneficiaries could be affected by the project. Once they are identified, additional scoping will be conducted to better understand the communities, including the presence of indigenous peoples, women, persons with disabilities, or marginalized persons, among other considerations and dynamics. This information may be obtained from interviews and talks with the communities in and around the project areas. Data from interviews shall be documented and disaggregated for each of the respective communities that could be affected. Identification of women who could be affected by the project is also important, including their challenges in participation during the interviews. To understand and determine indigenous peoples who have adat/customary rights over the targeted areas of the potential project areas both in State Forests and Non-State Forest, participatory mapping on their lands including natural resources they use as part of their daily livelihoods needs to be conducted. The maps must be made with the full awareness and agreement of, and under control of, the communities and other parties involved. The maps also must be verified with neighbouring communities in order to avoid exacerbating or triggering land disputes. II. The second stage is disclosure and pre-condition of project information. It aims to disclose project information to targeted villages in a transparent and culturally sensitive way so that village communities and indigenous peoples can freely decide whether agree or disagree to provide the consent to the project. It is necessary for the PMU to design a participatory

communication and conduct iterative discussions with the affected communities, including representation of marginalized groups, elderly and youth, disabled persons.

This includes increasing stakeholder understanding through workshop activities, training and information dissemination through announcements, brochures, and other relevant media as well as an inventory of forest areas and land use models including an inventory of parties with an interest in the forest area. These awareness-raising activities are conducted so that the information provided is consistent, uniform, complete and clear. The quantity of workshops and information sharing activities will be assessed during implementation, but should comprise dedicated sessions for information sharing, discussions to resolve questions, and consensus building. For this step maximum two meetings within half a year are envisioned.

Facilitators will be appointed who are accepted by all parties catalyse in the process of determining the approach/method of FPIC implementation.

Iterative discussions should consider traditional and customary protocols and dynamics, including norms for both verbal and non-verbal communication (such as body language, eye contact, personal space, pointing with the chin or mouth instead of with hands or fingers).

The facilitators should ensure that communities are able to express their interests and also able to negotiate the shape of project design, implementation, monitoring, and evaluation. All processes of discussions will then be documented and available disseminated to all parties. Documenting each proceeding will be important and help to retain consistency, accountability and transparency in matters discussed since the local institutions or individuals selected by indigenous people for decision-making in the FPIC process may not be necessarily the same ones who were involved in the preliminary discussions.

During this stage, social and environmental risks or impacts of the project toward future communities/indigenous people' territories or livelihoods must be disclosed and discussed. For example, identification of High Biodiversity and Carbon Areas within non-state forest land needs involvement of indigenous peoples/village communities. This also applies for implementation of protection and rehabilitation of forest and peatland ecosystems within state forest lands. Information on the Project's ESMP will be presented, including information on the project's complaints and grievance redress mechanism.

Once the project is presented, including its conditions, benefits, impacts and risks, the team will discuss closely with the village communities/indigenous peoples how to maximise the potential positive and minimize the negative impacts for them during the project implementation. When village communities or indigenous peoples are opposed to certain parts of the project, PMU and village facilitators need to clarify which elements are acceptable and which conditions may need to be added/ met to enable them to provide their consent.

When communities agree with the project, it is necessary to document villages/ communities needs that are to be included into the project activities, considering the differentiated needs of indigenous peoples, disabled persons, women, among others. Formal consent from the village/ community must be obtained, which must be free from any intimidation, coercion, or manipulation. The agreements should be mutual and recognized by all parties, taking into consideration customary modes of decision-making and consensus-seeking. These might include votes such

as by a show of rising hands. The agreements should be documented and witnessed by a third party. For sensitive issues, it is suggested that the affected communities or indigenous people should be asked what is permissible to document.

III.   The third stage is decision making / coming to an agreement. This stage addresses the consent component of FPIC. All competent representatives will discuss to make decisions about the impacts, options for compensation of impacts and other rights if needed, involvement in the management process of GCF project initiatives, and obligations of village communities and indigenous peoples. This process will be guided by facilitators. The time required for this stage will depend on the success of the pre-conditions stage in terms of increasing stakeholder understanding. For this step maximum two meetings within half a year are envisioned.

IV.   The fourth stage is monitoring, evaluation and verification. It aims to ensure that the agreement reached with village communities/indigenous peoples is properly monitored and evaluated by all interested parties in a transparent and effective manner.

A verification team, comprised of members of the customary community and a representative NGO as independent monitor (e.g. AMAN), to assess whether all FPIC processes have been followed in accordance with FPIC principles and the stages of FPIC implementation before and during the implementation of the GCF project activities. For the FPIC verification one meeting per village with project intervention is envisioned. The communities' right to disagree and reject the consent will be always respected, even after a prior consent. The Project's Grievance Redress mechanism will be available to all affected persons (see the ESMP in Annex 6b, and the IPP in Annex 6c for more detailed information on the GRM and additional channels and procedures to ensure access for indigenous peoples and local communities).

V.   The fifth stage is of socialisation of lessons learned documentation. This stage is to share the results of recorded processes and decisions to all components of the community that will be affected, including core stakeholder at the village, regency and provincial levels.

A project working group / task force in the village will conduct follow-up meetings at the village, regency, and provincial levels. Any lessons learned from FPIC process will be useful to improve future actions. PMU should work together with the community to document what was learned throughout each state of the FPIC process, including both strengths and weaknesses.

A potential risk is insufficient skills and experiences including low qualified human resources in implementing FPIC process from its preparation, implementation, monitoring and evaluation, and documentation.

The following are preventive measures:
▪ During disclosure of project information, the content of presentation must be understandable and readable by villages communities/indigenous peoples.
▪ The information should use local language and culturally appropriate with the local custom.

- The understanding of the project information by village communities and indigenous peoples is the key to FPIC.
- The project likely impacts to the community livelihoods should be shared in ways of honest and good faith.
- Benefits to be received by village communities and indigenous peoples should be clear and easily understood.
- Ensuring representation of diverse beneficiaries within FPIC processes and considering their differentiated needs and perspectives, including indigenous peoples, women, youth, disabled persons, elderly persons and marginalized persons.
- Ensuring the facilitator has high communication skills especially dealing with local village communities, including women, indigenous people, and youth, among others.

The FPIC process is conducted in the beginning of the life of project. It must be implemented in each community/village where the project will be implemented, and before field-level project interventions commence in the targeted areas. The Project's database, which gathers all monitoring data including FPIC-related data, is to be set up in the first year, with ongoing meaningful community consultation and social inclusion engagement activities including monitoring and maintenance throughout life of the project.

During the project inception phase (before project activities/interventions are implemented to the targeted areas) the following actions will occur:
- Recruitment of qualified village facilitators with experiences in community facilitation
- Further capacity development for those facilitators
- Recruitment of one leading ESS specialist ("ESGI Expert", see section 7.1 above) through GIZ to oversee the overall FPIC implementation, incl. training + reporting, supported by ESS specialists from the other EEs and implementing partners and the GIZ Project M&E and HCD specialists.
- Identification of village communities and indigenous peoples/ that could be affected by the project – first stage of FPIC process
- Development of Project Information that will be shared to beneficiaries/communities/indigenous people
- Workshops/Seminars/Public Awareness through media (Project Information including Project Impacts to the targeted villages) - second stage of FPIC process

During Project Implementation (project activities commence in targeted villages):
- Monitoring and Evaluation of the Agreements – third stage of FPIC process
- Documentation of Lessons Learned and Dissemination of FPIC process to relevant stakeholders – fourth stage of FPIC process.
- Reporting on FPIC implementation within annual ESMP reports

The principles of FPIC are:

- Indigenous peoples, as rights holders, have a say in the process, timeline and decision-making structure of the project.
- Indigenous peoples, as right holders, must be provided with transparent and objective information.

- All decision-making processes must be free from coercion, bias, conditions, bribery, or rewards.
- Meetings and decision-making shall be held in places and times determined by the customary community as the rights holder.
- This principle gives indigenous peoples ample time to study, access and analyse information related to planned project activities.
- Information should be provided to indigenous peoples before activities are undertaken, at the beginning of the implementation process, and at the beginning, middle, and end of the process of project activities.
- The decisions of indigenous peoples as rights holders must be respected, as they must understand, analyse, and evaluate project activities on their own terms.
- Socialization and project activity plans are delivered in culturally appropriate local languages.
- Information shall contain the potential positive and negative benefits of project activities, as well as the consequences of giving or withholding consent by indigenous peoples.
- Project activities should be delivered by facilitators who understand the culture, in culturally appropriate locations, including building the capacity of local people.
- The project activities should be accessible to remote village communities, including youth, women, seniors, people with special needs who are often neglected.
- The choice is freely offered: it may be "Yes", "No", or "Yes with conditions", with the possibility to rethink if the activity in question changes or there is new information related to the project activity.
- Collective decisions (e.g. by mutual agreement) might happen by the affected indigenous peoples in accordance with their customs.
- The right of indigenous peoples to determine consent to projects relating to land, natural resources, and territories, and culture is mandatory.

5.6 Capacity Building

In general, the ESMP has been included as a cross-cutting topic in the implementation of the activities. As part of the monitoring activities, safeguards data must be collected, analysed, and reported. However, special training on the safeguard is required, especially in terms of gender mainstreaming, respecting the rights of IPs, and more in particular, implementing risk mitigation measures that have been formulated in the ESIA document.

Objective:	• To ensure Provincial REDD+ Task Force and PMU, including province and district government staff and relevant stakeholders, effectively understand in the local program context of a) FPIC process, b) high biodiversity and carbon areas, c) gender and social inclusion, and d) indigenous people plan.
	• To ensure delivery of ESS trainings to REDD+ Task Force's members including PMU as program implementers at provincial level. The content of trainings should include principles, requirements, and implementation of applicable safeguards.

Action Instructions/ Descriptions:	The ESS Team will develop plans and materials in relation to capacity building for ESMP implementation and integration and implementation over the life cycle of the programme.
	
	The ESS Team will carry out as follows:
	• Training Needs Assessment (TNA)
	• Development of capacity building schedules, including:
	   o Identification of trainings' participants/targeted audiences (based on the results of TNA) such as relevant REDD+ Task Force staff, relevant province and district staff such as Province Environment and Forestry/DLHK including Forest Management Unit/KPHs, Province and District Estate Crops/*Disbun*, Province and District Village Empowerment and Development/DPMD, and Province and District Agriculture Services/*Distan.*
	   o Identification of number of workshops, locations, and estimated duration for training of province and district levels.
	• Development of capacity building materials for Province and District stakeholders. The contents of the materials should address the safeguards requirements applicable to the program, and also are able to use and report to safeguards.
	• Delivery of trainings for Provincial REDD+ Task Force's members, and relevant province and district staffs such as Province Environment and Forestry/DLHK including Forest Management Unit/KPHs, Province and District Estate Crops/*Disbun*, Province and District Village Empowerment and Development/DPMD, and Province and District Agriculture Services/*Distan*.
	• Evaluation of ESS trainings based on analysis of safeguards implementation reports
	
	The potential risk is less skills and experiences including low qualified human resources in implementing environment and social safeguards, particularly in FPIC process, mainstreaming gender in the program, facilitating community action plans, participatory land use plans, and management plans for different forest types.
	
	Preventive Measures:
	
	▪ Ensuring TNA conducted including the capacity building schedules provided.
	▪ Ensuring ESS trainings delivered to target audiences (Provincial REDD+ Task Force's members, and relevant province and district staffs such as Province Environment and Forestry/DLHK including Forest Management Unit/KPHs, Province and District Estate Crops/*Disbun*, Province and District Village Empowerment and Development/DPMD, and Province and District Agriculture Services/*Distan*).
	▪ Ensuring representation of target audiences (province and five districts) participated in the ESS trainings.
	
	If managed adequately, then the unintended negative impacts (ES risks) will be easily identified and minimized in the context of working with ethnic groups, migrants, land use planning, influencing regulated and customary land-use.
	
	The awareness and understanding on ES risks increase. It will help for project implementers finding solutions to remedy the risks.
	
	• Prior to project starts:
	   o Recruitment of a qualified training specialist
	   o Recruitment of ESS specialists (see section 7.1 above)
	• During inception phase (within six months):
	   o Training Need Assessment
	   o Capacity Building Plan and Schedule

	○ Workshops (Introduction of ESS trainings to targeted audiences) ○ Delivery of Trainings to targeted audiences ○ Capacity Building Report (training implementation and evaluation report) - During Project Implementation: ○ Capacity building report will be reviewed on an annual basis. Additional ESS trainings might be conducted if the capacity of relevant stakeholders need to be improved. The training will be based on the result of the review.

5.7 Mainstreaming Gender Equality, Disability and Social Inclusion (GEDSI)

Objective:	- to ensure that gender, ethnicity, poverty, elderly and youth groups, and other socioeconomic disadvantaged and marginalised groups are integrated into all programme planning and implementation phases of the project - to ensure that all social groups are proactively included in the planning, implementation, and monitoring of project interventions in a participatory and inclusive way - to ensure gender equality through climate change mitigation and adaptation actions are integrated and mainstreamed - to ensure social, gender-related and climate-related risks in all climate change action are minimized - to ensure inclusion of ethnic groups and gender balance in the participatory process of decision making for land use planning as well as developing or changing management plans - to ensure adequate participation of women in the planning and implementation process so that gender discrimination in development of alternative economic activities can be avoided - to ensure the equal involvement of women in the process of peatland and mangrove rehabilitation and management - to ensure improvement of mindset people on women's primary responsibility that is generally considered as purely household matters instead of women's roles in forestry activities (such as planting at nursery, non-timber forest product collection) and actively involved in decision making and opinions related to climate actions.

Action Instructions/ Descriptions:	The ESS Team and PMU will develop plans and materials in relation to integration and mainstream of gender equality into project preparation, implementation, and monitoring and evaluation.
	
	In early stage of project implementation, the PMU recruits a gender specialist who is familiar with gender concepts, gender equality, and gender mainstreaming. Prior to project implementation, a gender analysis will be conducted. The result of the analysis will be further elaborated into the Gender Action plan (GAP) (see Annex 8b). The role of the gender specialist is to facilitate and ensure integration of gender perspectives into project implementation (project components, activities, and sub-activities including cross cutting issues).
	
	The scopes of the Gender Action Plan will include as follows:
	   a. mainstreaming gender perspectives into province/district government policies and regulations, and climate change mitigation and adaptation activities.
	   b. Strengthening capacities of women groups involved in project implementation.

c. Strengthening capacities, increasing awareness, and improving roles of government agencies in mainstreaming gender perspectives into project implementation
d. Ensuring collection of information and disaggregated data (between women and men) from the targeted groups. The information should have key characteristics such as sex, race, ethnicity, age, disabilities, income levels, etc.
e. Ensuring equity involvement of women and men groups in formulating policies and regulations in relation to project activities such as conservation of biodiversity and high carbon areas
f. Ensuring project's objectives should be in line with the gender equality goals-related performance, participation, and impact within the targeted 200 villages in West Kalimantan.

The potential risk is less skills and experiences including low qualified human resources in implementing the concept of gender balance towards project's preparation, implementation, monitoring and evaluation, and documentation.

In terms of gender sensitivity, the development of alternative economic activities may face gender discrimination as consequence of inadequate participation of women in the planning and implementation process. Gender sensitization and the development of "*ibu PKK groups*" are therefore essential to ensure the equal involvement of women in the process of peatland and mangrove rehabilitation and management.

Preventive measures:
▪ Ensuring technical support to enable women to participate in capacity building activities and mainstreaming gender across all project activities.
▪ Ensuring integration of gender perspectives into project implementation/activities
▪ During disclosure of project information (under FPIC process), it is suggested that material presentations are understandable by communities including targeted groups (such as elderly, youth, disability groups, and gender balance).
▪ Ensuring that all social groups are proactively included and participate in the discussions.
▪ Ensuring that the facilitator is able to encourage the targeted group to ask questions or make clarifications if they are not clear about the project information, including the benefits that they will receive from the project.
▪ Ensuring information is provided in local language and culturally appropriate with the local norms and values. The understanding of the project information by indigenous peoples is the key to FPIC.
▪ Ensuring that the facilitator has high communication skills, especially in dealing with communities, indigenous people, and vulnerable groups.
▪ Ensuring that the gender specialist has enough experience in implementing gender mainstreaming towards the government or donor projects.

With appropriate management, gender equality could be achieved, including their role and participation in project implementation. The likely impacts will be equal access to and control over resources (such as land, livestock).
Gender analysis can be conducted before project implementation. It can be also conducted during the consultations with the targeted villages (FPIC process in the beginning of the life of project). It must be implemented in each community/village.

The gender analysis is useful when it is routinely applied to all aspects of project policy, including project planning, implementation, and review.

Before the start of the project and during early inception phase (before project activities/interventions to the targeted areas):

	- Recruitment of a qualified gender specialist with work experiences in forestry, agriculture, and climate change. - Recruitment of qualified village facilitators with experience in community facilitation (see section above) - Recruitment of ESS specialists - Capacity building related to gender issue for PMU staff and relevant stakeholders at province and district level - Identification of indigenous people/communities that could be affected by the project – first stage of FPIC process (see section above) - Workshops/seminars/public awareness through media (Project information including project impacts to the targeted villages) - second stage of FPIC process (see section 9.3 above) - Review existing project-level Gender Action Plan

5.8 Land Use Issues

Objective:	• To ensure that no land-use or tenurial rights issues hinder the project's goals or the beneficiaries' livelihood at any level, particularly in rehabilitation of degraded aeras in APL and supporting peat and mangrove protection • No resettlement is foreseen in targeted villages. • All initial surveys should be completed within first years of project start.
Action Instructions/ Descriptions:	The ESS Team and the PMU will develop plans and materials in relation to tenurial issues into project interventions in the targeted areas. In early stage of project implementation, the PMU recruits a Land Tenure Specialist who is familiar with tenurial systems or type of land rights in West Kalimantan. In order to understand tenurial issues and land rights in West Kalimantan, the land tenure specialist might have the following tasks: • Identification of communities and groups that might be affected by the project activities (such as rehabilitation of degraded aeras in APL and supporting peat and mangrove protection) • Identification of tenurial systems and types of land rights, including access to natural resources in legal context that might be affected by the project activities • Identification of existing laws, regulations and other obligations or policies relative to land acquisition and involuntary resettlement • Consultations with stakeholders in order to collect information on existing land uses and tenurial rights in proposed project areas (both state and non-state forests and Lands) • Conduct a Participatory Land Use Plan (PLUP) with communities in the targeted villages in order to understand the existing land utilization or land rights of communities • Identification of likely environmental, social, and economic issues, impacts, and risks especially to women, indigenous people, and vulnerable groups resulting from possible land acquisition and physical and/or economic displacement • Conduct preliminary stakeholder mapping to understand the roles, power dynamics in the communities including local politics in the targeted villages • Identification of relevant government agencies that deal with land acquisition at both province and district level • Identification and consultation with relevant stakeholders on solutions or alternative options for minimizing the impacts of land acquisition and resettlement such as

involving communities including indigenous people in restoration or rehabilitation of degraded aeras in APL and protecting peat and mangrove forests
- Identification of existing grievance mechanism (if any) to deal with any complains and tenure issues in West Kalimantan; compare local mechanism with national grievance mechanism particularly on land rights issues.

The potential risk is that the loss of livelihood through rehabilitation of degraded aeras in APL and peat and mangrove areas might aggravate the socio-economic conditions of local impoverished communities and provoke social conflicts in the project areas.

Preventive measures:
- Selection of project areas that have low potential for border conflicts or land tenure issues.
- Avoid overlapping areas of other projects or interventions.
- Ensuring Participatory Land Use Mapping process happened with relevant stakeholders as a key measure (include land cover mapping with the information of land tenure and the historical development of the tenures (such as fishponds in mangrove areas, oil palm in APL)
- Ensuring that the facilitator has high communication skills especially dealing with communities, indigenous people, and vulnerable groups.
- Ensuring that the land tenure specialist has enough experiences in facilitating and communicating tenure issues with different stakeholders so that misunderstanding of the project activities related to land rights issues can be avoided.

With good management, protecting and planting of mangroves in the preferred areas by local communities will be achieved.
At early stage of the project (before project interventions start):
- Recruitment of a qualified land tenure specialist with work experiences in land reform, laws, tenurial system, forestry, agriculture, and climate change.
- Recruitment of qualified village facilitators with experiences in community facilitation
- Recruitment of ESS specialists
- Start to collect data and information related to likely environmental, social, and economic issues, impacts, and risks to communities'/indigenous people's land rights affected by the project activities. Data and information can be gathered during the FPIC process.
- Development of Project Information that will be shared to beneficiaries/communities/indigenous people
- Workshops/Seminars/Public Awareness through media (Project Information including Project Impacts to the targeted villages)
- Participatory Land use Mapping (PLUM) with targeted villages aiming to understand the existing utilization of lands that will be allocated by the project for rehabilitation and protection of mangrove forests.

5.9 Biodiversity

Objective:	• To ensure the maintenance of ecosystems services benefits from of high biodiversity and carbon areas in non-state forest land in West Kalimantan Province.

Action Instructions/ Descriptions:	• Before the project interventions to the field start, the PMU will recruit a biodiversity specialist who has experience in working with communities
	• The specialist must identify and collect data as baseline on biodiversity in targeted restoration areas in APL (non-State Lands) before the start of program interventions.
	• Identification includes people's livelihoods that might be affected by program interventions.
	• Consultations and meetings with relevant stakeholders and communities to discuss the likely benefits from restoration areas. It includes the likely positive and negative impacts of the interventions to the people livelihoods.
	
	Other actions that need to be considered are as follows:
	• Training Needs Assessment (TNA)
	• Development of capacity building schedules, including:
	    o Identification of trainings' participants/targeted audiences (based on the results of TNA) such as relevant REDD+ Task Force staff, relevant province and regency staff such as Province Environment and Forestry/DLHK including Forest Management Unit/KPHs, Province and District Estate Crops/Disbun, Province and District Village Empowerment and Development/DPMD, and Province and District Agriculture Services/Distan.
	    o Identification of number of workshops, locations, and estimated duration for training of province and district levels.
	• Development of capacity building materials for province and district stakeholders. The contents of the materials should address the safeguards requirements applicable to the program, and also are able to use and report to safeguards. For example, capacity building and awareness raising for villagers, farmers, partners and trainers/ extension staffs on the impacts of monoculture system on biodiversity and habitats to some endemic species of West Kalimantan.
	• Delivery of trainings to relevant stakeholders about ecosystem services, to be aware of sensitive flora and fauna and to apply best practices for their protection and production
	• Conduct monitoring of land-use changes and, when necessary, in case of concern, site-specific impact assessments on biodiversity or ecosystems
	• Evaluation of ESS trainings based on analysis of safeguards implementation reports
	Preventive measures:
	• Under proposed program on forest-based business model, ensuring consultation with relevant stakeholders particularly with the affected people/communities happened.
	• Ensuring identification of existing wildlife habitats inside forest areas taken place, that are allocated for Social Forestry scheme so that protection of such habitats will be provided. Thus, sustainability of such endemic species is maintained.
	• Ensuring protection of forest areas happened, that consist of plenty foods (fruits and leaves) for wildlife species (such as *Orangutan, Bekantan*) as their daily consumption.
	• Selection of project areas that have low potential for wildlife conflict with communities.
	• Ensuring capacity building and awareness raising happened to villagers, farmers, partners and trainers/ extension staffs on the impacts of monoculture system on biodiversity and habitats of endemic species in the targeted areas.
	• Ensuring participatory land use mapping happened so that identification of existing biodiversity and ecosystem services are safeguarded and sufficient room for regeneration.

	- Ensuring continued consultations and monitoring happened at village and landscape level throughout the programme. - Prior to project starts: - Recruitment of ESS specialists - Baseline data collection on biodiversity in the targeted areas - Consultation and meetings with relevant stakeholders in order to understand the likely impacts of people's livelihoods on the protection and conservation of biodiversity - During inception phase (within six months): - Training Needs Assessment (TNA) - Capacity Building Plan and Schedule - Workshops (Introduction of ESS trainings to targeted audiences) - Delivery of Trainings to targeted audiences - Capacity Building Report (training implementation and evaluation report) - During Project Implementation: - Capacity building report will be reviewed on an annual basis. Additional ESS trainings might be conducted if the capacity of relevant stakeholders need to be improved. The training will be based on the result of the review. - Monitoring and evaluation about the implementation ESMPs (RKL-RPL or UKL-UPL)

5.10 Health and Safety

Objective:	- To ensure Provincial REDD+ Task Force and PMU including province and district government staff and relevant stakeholders effectively understand and raise awareness about effects of chemicals on health and on biodiversity. - To promote non-use of chemicals related to project interventions such as rehabilitation of degraded areas in peat and mangrove aeras, sustainable agriculture and forest business model through the entire project duration. - To increase capacity building and awareness for villages, farmers on the hazards and responsible use of chemical products including the high risk of wildfires during the dry season and also skills in managing sustainable mangrove to avoid coastal land erosion. - To ensure delivery of ESS trainings to PMU and REDD+ working group members as program implementers at provincial level. The content of trainings should include principles, requirements, and implementation of applicable safeguards.
Action Instructions/ Descriptions:	The ESS Team and PMU will review site-specific ESMPs (RKL-RPL or UKL-UPL) where applicable. Any gaps, when identified, will be addressed through additional mitigation measures to meet the requirements of the ESS. The implementation of the measures will be regularly monitored and reported. The ESS Team with the support of PMU and REDD+ Working Group will carry out as follows: - Training Needs Assessment (TNA) - Development of capacity building schedules, including:

	o Identification of trainings' participants/targeted audiences (based on the results of TNA) such as relevant REDD+ Task Force staff, relevant province and district staff such as Province Environment and Forestry/DLHK including Forest Management Unit/KPHs, Province and District Estate Crops/*Disbun*, Province and District Village Empowerment and Development/DPMD, and Province and District Agriculture Services/*Distan.* o Identification of number of workshops, locations, and estimated duration for training of province and district levels. • Development of capacity building materials for Province and District stakeholders. The contents of the materials should address the safeguards requirements applicable to the program, and also are able to use and report to safeguards • Delivery of trainings for Provincial REDD+ Working Group staff, and relevant province and district staffs such as Province Environment and Forestry/DLHK including Forest Management Unit/KPHs, Province and District Estate Crops/*Disbun*, Province and District Village Empowerment and Development/DPMD, and Province and District Agriculture Services/*Distan*. • Evaluation of ESS trainings based on analysis of safeguards implementation reports

Timeframe:	• Prior to project starts:
	  o Recruitment of a qualified training specialist
	  o Recruitment of ESS specialists (see section 7.1 above)
	• During inception phase (within six months):
	  o TNA
	  o Capacity building plan and schedule
	  o Workshops (Introduction of ESS trainings to targeted audiences)
	  o Delivery of trainings to targeted audiences
	  o Capacity building report (training implementation and evaluation report)
	• During Project Implementation:
	  o Capacity building report will be reviewed on an annual basis. Additional ESS trainings might be conducted if the capacity of relevant stakeholders need to be improved. The training will be based on the result of the review.
	  o Monitoring and evaluation about the implementation ESMPs (RKL-RPL or UKL-UPL)

5.11 Cultural Heritage: Chance Finds Procedure

Objective:	• To protect cultural heritage from adverse impacts of project activities and support its preservation. • To ensure any discovery of any previously unknown cultural heritage site (e.g. archeological sites, historical sites, remains and objects) are reported on and investigated to ensure no adverse impacts to cultural heritage occur as a result

	of the project.[9] This procedure outlines what will happen if these chance finds are encountered during project implementation, and how they will be managed.
Action Instructions/ Descriptions:	Any discovery of a cultural heritage site (e.g. archeological sites, historical sites, remains and objects) during project implementation must be communicated immediately to the ESS Team, specifically the ESGI Advisor, for further review and action. When a chance find is reported, the following actions will be undertaken under the leadership and monitoring of the ESS team:

- Stop work in the immediate surrounding area.
- Inform the Project ESGI Officer and the project officer responsible for the activities at the site. The Project ESGI Officer and ESS team need to be informed of all incidents, and need to be continually engaged throughout the entire chance finds procedure (all steps below).
- Ensure all people working in the area have been notified as soon as possible.
- Implement temporary protection measures at the site. For archaeological sites, the artefacts should not be moved.
- Take a photograph of the site and GPS location.
- Immediately inform the respective government authorities (Education and Culture Office) and traditional authorities, (and if required work with an Archaeological or Cultural Heritage Expert), if applicable inform the local authorities.
- Conduct a preliminary evaluation and setup meetings with the necessary officials (e.g. government officials from Ministry of Education, Culture, Research and Technology), and traditional leaders/ indigenous representatives.
- Responsible local and/or provincial 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 by government approved archaeologists. The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage; those include the aesthetic, historic, scientific or research, social and economic values;.
- Consult with the government representatives and traditional authorities' regarding mitigation and/or compensation measures.
  - Appropriate treatment will be developed considering consultation with the concerned stakeholders.
  - Avoidance, mitigation, management and/or compensation measures will be established, discussed and validated with the affected communities and elders.
  - Project activities can only resume after permission is given in writing from the responsible local and traditional authorities.
  - The project's complaints and grievance redress mechanism will be presented to the affected persons/ communities in case of any complaints or grievances. (see Chapter 5.3)
- Document the event as a chance finds incident, and prepare a report of the discovery, providing documentation of the consultations undertaken and treatment.

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[9] Cultural heritage refers to "tangible forms of cultural heritage, such as tangible property and sites having archaeological (prehistoric), paleontological, historical, cultural, artistic and religious values as unique natural environmental features that embody cultural values, such as sacred groves. Intangible forms of culture such as cultural knowledge, innovations and practices of communities embodying traditional lifestyles are also included." A chance find is any cultural Heritage site or associated material encountered during the course of implementation.

	• All chance finds will be also reported on within annual ESMP reporting. All project staff and executing entities will be trained on the ESMP, including the Chance Finds Procedure, to ensure adequate and ongoing implementation of the ESMP and its procedures.

Timeframe:	• Prior to project starts:
	    o Recruitment of ESS specialists (see section 5.1 above)
	• During inception phase (within six months):
	    o Capacity building plan and schedule
	    o Training of project teams on ESMP, including the chance finds procedure
	• During Project Implementation:
	    o All project staff and executing entities implement the ESMP, including the chance finds procedure.
	    o Additional ESS trainings might be conducted if the capacity of relevant stakeholders need to be improved. The training will be based on the result of the review of the project's capacity building plan.
	    o Monitoring and evaluation about the implementation ESMPs, including reporting any chance finds and briefly describing the findings of the related review/ investigation and any related decisions/ follow up actions to avoid, mitigate or manage risks related to cultural heritage (as described in the procedure above).

6. ESMP Measures

The table below provides and summarises the risks, measures, timeline, and organisational responsibilities for the ESMP:

Table 3. ESMP measures on Project Activities

#No	ESS risks[10]: cause / risk / impact	*Reference* to ESS & Analysis in ESIA[11]	Risk Assessment & Strategy [12]	Project (Sub-)Activity	Mitigation measures	Responsibility	Time-frame	Resources & cost estimation	Expected result or evaluation criteria for successful implementation[13]
1	Non-compliance with project's risk category	ESS 1: Assessment and Management	Low avoid	Sub-activity 1.3.1.1: Establish a dedicated grant mechanism for Indigenous Peoples (IPs) for climate-smart agriculture and sustainable forest management. Sub-activity 3.2.1.8: Channelling dedicated GCF proceeds (under this proposal) to local	- 1.3.1.1: All incoming proposals will be thoroughly screened by BPDLH using the GCF-approved ESMS (FP 130) - 3.2.1.8: all existing SF management plans will be thoroughly screened by BPDLH using the GCF-approved ESMS (FP 130) (All other management	BPDLH GIZ	Y1-7	Consultancies and material costs (for budget see chapter 7)	- Compliance with project's risk category

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[10] Potential negative unintended impacts, and/or co-benefits

[11] or any other impact study carried out (e.g. DD report)

[12] minimize, mitigate, avoid, compensate; update during inception phase

[13] for ESMP monitoring purposes

#No	ESS risks[10]: cause / risk / impact	*Reference* to ESS & Analysis in ESIA[11]	Risk Assessment & Strategy [12]	Project (Sub-)Activity	Mitigation measures	Responsibility	Time-frame	Resources & cost estimation	Expected result or evaluation criteria for successful implementation[13]
				communities to implement social forestry licenses and related management plans as well as climate-resilient land-use plans in PROKLIM villages	plans are still to be developed with the TA of GIZ and will consider ESS from the beginning - Use of IFC and GIZ exclusion lists - Definition of fundable activities				
2	Social: Insufficient human capacities, knowledge and experiences of culture, tenure, and religious values of the IPs, additionally to insufficient communication and consultation skills, could lead to misunderstanding of the proposed project by the relevant stakeholders	ESS1: Assessment and Management	Low Minimize, avoid	Cross-cutting	- Allocate budget and hire dedicated ESS team. - Initiate FPIC process prior to implementation and continuation throughout the project with all affected customary communities, villages, and other stakeholders. - Continue consultations, dialogues and public awareness raising on project with relevant	GIZ Solidaridad, BPDLH, GoWK	Y1-7	Consultancies and material costs (for budget see chapter 7)	- ESS team hired. - FPIC process implemented. - SEP implemented. - Field facilitator trained. - GRM in place and operational. - Conflict Resolution Desk in place and operational.

#No	ESS risks[10]: cause / risk / impact	Reference to ESS & Analysis in ESIA[11]	Risk Assessment & Strategy [12]	Project (Sub-)Activity	Mitigation measures	Responsibility	Time-frame	Resources & cost estimation	Expected result or evaluation criteria for successful implementation[13]
	and cause social conflicts. Environmental: The promotion of agriculture might cause the risk of increased use of herbicides and pesticides and forest clearance.				stakeholders (mainly IPs and vulnerable groups), about benefits and possible emerging problems. - Ensure necessary skills for field facilitators through trainings (incl. awareness on the risks of pesticides and mineral fertilizers) - Provide and ensure project grievance mechanism - Implement conflict resolution desk				
3	Infringement of decent working conditions.	ESS 2: Labour and working conditions	Low minimize	Cross-cutting	- Provide capacity building for the project staff in relation to their roles and responsibilities as well as on safety procedures. - Provide accessible information on	GIZ Solidaridad, Dinas LHK/GoWK	Y1-7	Consultancies and material costs (for budget see chapter 7)	- All staff trained - Information on rights and responsibilities made openly available to every staff member - Record of medical

#No	ESS risks[10]: cause / risk / impact	*Reference* to ESS & Analysis in ESIA[11]	Risk Assessment & Strategy [12]	Project (Sub-)Activity	Mitigation measures	Responsibility	Time-frame	Resources & cost estimation	Expected result or evaluation criteria for successful implementation[13]
					rights under national labour and employment policies including maximum working hours, wages, overtime, compensation, and benefits. - Provision of drinking water and sanitation facilities whenever possible. - Require medical certificate to ensure staff are fit to work in various work conditions of the project. - Strictly forbid child labour - Provision of safety equipment for partners and other stakeholders involved in project implementation.				certificates and age of staff - Protection equipment made available to all staff, partners and stakeholders when in the field for the project implementation
4	Confrontative physical exposure to Occupational	ESS 2: Labour and	Low avoid	Sub-activity 3.1.1.4: Strengthen law enforcement to	- Train FMU staff supporting the implementation activities related	GIZ	Y1-7	Consultancies and	- FMU staff, rangers and patrollers are trained properly.

#No	ESS risks[10]: cause / risk / impact	*Reference* to ESS & Analysis in ESIA[11]	Risk Assessment & Strategy [12]	Project (Sub-)Activity	Mitigation measures	Responsibility	Time-frame	Resources & cost estimation	Expected result or evaluation criteria for successful implementation[13]
	Health and Safety (OHS) risks might occur during law enforcement measures against illegal logging, forest and land fires, and wildlife poaching by FMU Forest Rangers.	working conditions		secure FMU areas from illegal logging, forest and land fires, wildlife poaching, and other activities lead to deforestation and degradation.	to law enforcement in civil servant investigation practices and protocols, avoiding physical contact with poachers/illegal loggers. - Support the procurement of forest patrolling equipment such as radio, GPS device, cameras, batteries, walkie-talkies, and drones. - Always make available First Aid Kits - Provide and make mandatory use of personal protection equipment.			material costs (for budget see chapter 7)	- FMU staff, rangers and patrollers are equipped (GPS, radio, PPE, First Aid Kit).
5	Project activities might lead to environmental risks through:	ESS 3: Resource Efficiency and Pollution Prevention	Low to medium Avoid, mitigate	Sub-activity 1.3.1.1: Establish a dedicated grant mechanism for Indigenous Peoples (IPs)	- the Project will support an integral pest management approach and follow GIZ's "Procurement policy for	GIZ Solidaridad, GoWK, BPDLH	Y1-7	Consultancies and material costs (for budget see	- All relevant implementers, partners and beneficiaries are duly trained and informed about the risks of the

#No	ESS risks[10]: cause / risk / impact	*Reference* to ESS & Analysis in ESIA[11]	Risk Assessment & Strategy [12]	Project (Sub-)Activity	Mitigation measures	Responsibility	Time-frame	Resources & cost estimation	Expected result or evaluation criteria for successful implementation[13]
	- Indirectly increased use use of pesticides and other chemical products in intensified community or smallholder farming and agriculture - Indirectly increased chemical waste from fish food production			for climate-smart agriculture and sustainable forest management. Sub-activity 2.1.1.1: Design of a sustainable land and forest-based business model Sub-activity 2.1.2.1: Improved capacities to implement resilient and sustainable smallholder farming. Sub-activity 3.2.1.5: Developing climate-resilient aquaculture infrastructure for coastal communities	agrochemicals, pesticides and mineral fertilisers" - GIZ policies prohibit pesticide purchase. None of the project's EEs will use or nor support the procurement of agrochemicals. - Provide blacklisting support to selected crops where extensive negative impacts from agrochemicals are widely documented (oil palm). - Provide capacity building and awareness raising for villagers, farmers, partners and trainers/ extension staff on the hazards and responsible use of agro-chemicals/pesticides prior to implementation of sustainable			chapter 7)	use of agrochemicals and pesticides - In the case of use by third-parties mitigation measures will be initiated - Grantees present fire control and pesticide management plans in proposals

#No	ESS risks[10]: cause / risk / impact	*Reference* to ESS & Analysis in ESIA[11]	Risk Assessment & Strategy [12]	Project (Sub-)Activity	Mitigation measures	Responsibility	Time-frame	Resources & cost estimation	Expected result or evaluation criteria for successful implementation[13]
					agriculture land and forest-based investments to prevent groundwater and surface water resources being contaminated with chemical products/pesticides. - Promote the use of good practices for integrated pest management (The project will only promote no-pesticide farming practices including a range of integrated tools for plant protection taking into account climate change effects on pests and diseases). [14] For potential sub-projects: • Annually monitoring of compliance with				

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[14] https://www.giz.de/en/downloads/giz2018-en-IPM-guideline-web.de.pdf

https://www.iied.org/sites/default/files/pdfs/migrate/9293IIED.pdf

#No	ESS risks[10]: cause / risk / impact	*Reference* to ESS & Analysis in ESIA[11]	Risk Assessment & Strategy [12]	Project (Sub-)Activity	Mitigation measures	Responsibility	Time-frame	Resources & cost estimation	Expected result or evaluation criteria for successful implementation[13]
					environmental and social safeguard including all measures included in the management plans/proposals and agreements • make sure there is a question linked to pesticides/agrochemicals in the checklist for ESS risk screening of potential sub-projects • All grant recipients will have to sign a formal declaration prior to receiving any funds that they will not purchase any pesticides with these funds and that eligibility of related activity costs				

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					will be refused in case of infringement.				
6	Potential social conflict and jealousy might arise between villages and communities as not all will receive assistance from the program	ESS 4: Community Health, Safety, and Security	Medium minimize	<u>Sub-activity 2.1.1.1:</u> Design of a sustainable land and forest-based business model <u>Sub-Activity 2.1.2.1:</u> Improved capacities to implement resilient and sustainable smallholder farming. <u>Sub-activity 3.2.1.4:</u> Rehabilitation of degraded areas in APL (peat and mangrove areas) and establishment of agroforestry plots <u>Sub-activity 3.1.1.4:</u> Improve community-based forest	- Conduct community consultation during the design of business models. - FPIC processes to be initiated and maintained throughout the project with all participating villages, affected vulnerable groups and other stakeholders prior to the implementation of any activity. - Continue consultation and program dissemination to relevant stakeholders to avoid misinformation about the project.	GIZ Solidaridad, BPDLH	Y1-2	Consultancies and material costs (for budget see chapter 7)	- Stakeholder engagement implemented as described in SEP - FPIC process realised as described in IPP

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				management practices, include improve sustainable and alternative livelihoods, climate change and disaster awareness, fire mitigation through the development of Fire Group, etc. Sub-activity 3.2.1.2: Develop and strengthen Social Forestry business units (KUPS) (…)					
7	The loss of livelihood through rehabilitation of degraded aeras in APL and peat and mangrove areas might aggravate the socio-economic conditions of local impoverished communities	ESS 5: Land Acquisition and Involuntary Resettlement	Low to medium	Sub-activity 3.1.1.4: Support FMU Organizations in five target Regencies in implementing climate-informed RPHJP and RPHJPd through the development of information systems and	- Upscaling of conflict resolution desk from Kapuas Hulu to the other four target regencies - FPIC processes to be initiated and maintained throughout the lifetime of the project with all participating	GIZ	Y1-7	Consultancies and material costs (for budget see chapter 7)	- Conflict resolution desks operational in five target regencies - Stakeholder engagement implemented as described in the SEP. - FPIC process realised as

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	and provoke social conflicts in the project areas.			enhanced forest management practices. Sub-Activity 3.2.1.4: Forest restoration and rehabilitation of mangrove and peat forest ecosystems.	villages, affected vulnerable groups and other stakeholders prior to the implementation of any activities. - Increase public awareness on program to relevant stakeholders mainly to communities including benefits that could be obtained by communities. - Continuous consultations with communities on forest management plan under social forestry program - Land-use planning as well as developing or changing management plans to be conducted in participatory manner (PLUP)				described in the IPP. - Field facilitators trained. - Grievance mechanism is in place and operational

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					with local stakeholders always, considering the inclusion of vulnerable groups and gender-balance, with a special focus on indigenous women-led households. - Regular dialogues and meaningful consultations at local level to identify emerging problems. - Improve communication skills for field facilitators so that conflict and misunderstanding on tenurial issues can be avoided. - Provide and ensure project grievance mechanism to deal with any complaints and issues that may				

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					arise as a result of the project.				
8	The promotion of agriculture may cause impacts on the habitats of endemic species of West Kalimantan (such as Orangutan, Proboscis Monkey) which might lead to reduced biodiversity. Increased revenues from estate crops products may lead to potential forest encroachment by farmers and risk to biodiversity.	ESS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources	Low Minimize and avoid	Sub-activity 1.2.1.1: Identify areas and develop management plans for High Biodiversity and Carbon Areas within non-state forest land (…). Sub-activity 1.2.1.2: Develop and strengthen regulations at provincial and district levels, to govern the protection and sustainable management of the High Biodiversity and Carbon Areas. Sub-activity 1.2.1.4: Support and monitor the management plan implementation for High	- The project will not promote the expansion of agriculture, monocultures, or timber plantations. - Instead, all project activities will happen on land that is already under agricultural use or heavily degraded production forest. - Ensure during the participatory land use planning that the existing biodiversity and ecosystem services are safeguarded. - Develop and apply guidelines in consultative processes together with potential investors, farmers and communities to ensure	GIZ Solidaridad GoWK	Y1-7	Consultancies and material costs (for budget see chapter 7)	- Land-use change in the project area is continuously monitored. - Consultations are held (according to SEP) - Trainings with stakeholders are implemented. - Guidelines are available.

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				Biodiversity and Carbon Areas. Sub-activity 2.1.1: Design of a sustainable land and forest-based business model Sub-activity 2.1.2.1: Improved capacities to implement resilient and sustainable smallholder farming. Sub-activity 2.1.2.2: Climate-resilient commodity and agroforestry scaled with improved market access. Sub-activity 3.2.1.2: Develop and strengthen Social Forestry (SF) business	conservation and recovery of biodiversity. - Conduct continued consultations and monitoring at village and landscape level throughout the project. - Provide capacity building and awareness raising for villagers, farmers, partners, and trainers/ extension staffs on the impacts of monoculture system on biodiversity and habitats of endemic species of West Kalimantan as well as ecosystem services, to be aware of sensitive flora and fauna and how to apply best practices for their protection and production.				

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				units (KUPS) (…)	- Conduct monitoring of land-use changes.				
9	Social conflicts may arise among relevant stakeholders in FMU areas and indigenous peoples' land and forest land under social forestry program (for example participatory land-use planning and management plans for different forest types), furthermore potentially resulting in unintended negative livelihood impacts. Due to insufficient recognition of *adat communities*, the involvement of indigenous	ESS 7: Indigenous Peoples & GCF Indigenous Peoples Policy	Medium Minimize, avoid, mitigate	Sub-activity 1.3.1.1: Implement an on-granting programme focusing on Indigenous Peoples (IPs) (…) Sub-activity 2.1.1.1: Design of a sustainable land and forest-based business model Sub-activity 3.2.1.1: Develop and implement SF management plans and support new SF permit proposal for local communities Sub-Activity 3.2.1.2: Develop and strengthen SF	- Ensure the compliance with existing national laws related to customary communities by providing capacity building to project staff, regency, and provincial service officers especially FMUs staff in recognition of the indigenous people's rights inside State Forests under social forestry scheme. - Develop Indigenous Peoples Plan (IPP) and Stakeholder Engagement Plan - Establish a Grievance Redress Mechanism and procedures that	GIZ GoWK	Y1-7	Consultancies and material costs (for budget see chapter 7)	FPIC process implementation GRM in operational Trainings with project staff and stakeholders implemented. IPP and SEP developed. IP and particularly female community members are represented in institutional arrangements. Eligibility criteria for funding mechanism reflecting exclusion of any potentially harmful measures. IP on-granting mechanism in place.

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	people might be limited.			business units (KUPS) (…) Sub-Activity 3.2.1.3: Capacity building for SF permit holders Sub-Activity 3.2.1.6: Accelerate and enable access to potential financial streams for climate change mitigation (e.g. REDD+) and adaptation (…) Sub-Activity 3.2.1.8: Channelling dedicated GCF proceeds (under this proposal) to local communities to implement social forestry licenses and related management plans as well as climate-resilient land-use plans in	take into account the needs of indigenous peoples. - Establish institutional arrangements that reflect the representation of IP, in particular indigenous women. - FPIC processes to be initiated and maintained throughout the lifetime of the project. - Ensure financing measures that specifically enable customary communities and their most vulnerable members to have better access to land, technical support for implementing good agriculture practices, sustainable land management				

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				PROKLIM villages	(SFM, FLR, etc.), and green finance measures. - Ensure eligibility criteria of the on-granting mechanism exclude project proposals with potentially negative impacts (following the ESS policies of BPDLH's Terra Fund).				
10	The integrity of any culturally, historically, archeologically significant item or structure encountered during work done for project activities might be at risk.	ESS 8: Cultural Heritage	Low	Sub-activity 1.1.1.3: Development of tools for the implementation of adaptation activities. Sub-activity 1.1.3.2: Support activities of provincial body for climate change. Sub-activity 3.2.1.4: Forest restoration and rehabilitation of mangrove	- Protect and safeguard the integrity of any culturally, historically, archeologically significant item or structure encountered during work done for project activities.	GIZ	Y1—7 Any time physical work is done for project activities	Consultancies, construction work and material costs (for budget see chapter 7)	- Chance Finds Procedure records

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				and peat forest ecosystems					
11	In some areas peoples' access to areas for the exercise of cultural heritage, especially of an intangible nature, might potentially be affected if there is a change in land use or if any of their lands overlap with the social forestry licenses. Potential conflicts between companies and communities could theoretically arise during identification and management of HCV areas.	ESS 8: Cultural Heritage	Medium	Sub-activity 1.2.1.1: Identify areas and develop management plans for High Biodiversity and Carbon Areas within non-state forest land across West Kalimantan Province. Sub-activity 1.2.1.2: Develop and strengthen regulations at provincial and district levels, to govern the protection and sustainable management of the High Biodiversity and Carbon Areas. Sub-activity 1.2.1.3: Increase stakeholders' capacities (…) in implementing	- FPIC conducted prior to designation of HCV/HCS areas and maintained throughout the lifetime of the project. - National, regional and/or local museums will be consulted on any historical, indigenous, or cultural heritage areas. - Ensure existing national and sub-national laws/regulations related to cultural heritage are fully respected by providing capacity building of regency and provincial service officers especially FMUs staff in recognition of the indigenous people's rights	GIZ GoWK	Y1-7	Consultancies and material costs (for budget see chapter 7)	- FPIC process implemented before implementation. - Museums consulted prior to implementation. - Trainings implemented. - Project information available and accessible in local languages. - Consultations and dialogues held prior and during implementation - Monitoring of land-use changes - GRM established and operational - Conflict Resolution Desk Established

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				the management plan for High Biodiversity and Carbon Areas within non-state forest land. Sub-activity 1.2.1.4: Support and monitor the management plan implementation for High Biodiversity and Carbon Areas. Sub-activity 2.1.1.1: Design of a sustainable land and forest-based business model	and cultural heritages and values inside State Forests under social forestry scheme. - All information on project activities will be made easily accessible and in appropriate ethnic languages. - Conduct regular dialogues and consultations and monitoring at village and landscape level throughout the project to identify cultural heritage areas or lands (prior to the project implementation) to ensure that stakeholders are at any time aware of the project, its progress as well as any changes. - Conduct monitoring of				

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					land-use changes. - Establish a Grievance Redress Mechanism and a Conflict Resolution Desk.				
12	Lacking acceptance of the policies at regency and provincial levels as a result of insufficient involvement and consultation of relevant stakeholders, amongst them (1) Policies on protecting the high biodiversity and carbon areas in Non- State Forest lands (APL) and the (2) regulatory frameworks at provincial level as part of the programs and activities implementation	ESS 9: Stakeholder engagement and information disclosure	Low	Sub-activity 1.1.2.1: Align the provincial REDD+ policies with the current national mitigation policies and regulations. Sub-activity 1.2.1.2: Develop and strengthen regulations at provincial and district levels, to govern the protection and sustainable management of the High Biodiversity and Carbon Areas. Sub-activity 3.1.1.2: Supporting	- Ensure that all relevant information on project activities is easily accessible and disseminated to relevant stakeholders in both province and regency levels and in appropriate ethnic languages. - Conduct continued public consultations with relevant stakeholders throughout the project. This will ensure that stakeholders are at any time aware of the project, its progress as well	GIZ	Y1--4	Consulta ncies and material costs (for budget see chapter 7)	SEP implemented

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	of REDD+ and FOLU Net Sink 2030 policies. The lack of previous experiences by FMUs with this kind of engagement may create a considerable risk for unsustainable business endeavours (focusing largely on rent seeking from existing informal extraction of timber and/or non-timber products).			FMU Organizations in five target Regencies to receive the status of "Effective FMU Organization"	as any changes. This will also be used as a mechanism to identify any arising issues that would revise and improve mitigation and adaptation policies. - Ensure participation from different stakeholders (including vulnerable groups such as women from indigenous communities) in development of regulatory frameworks related to mitigation and adaptation policies at provincial level. - Other action measures related under ESS 1, 5, 7 and 8.				

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13	In case the number of beneficiaries is too large and BPDLH has limited capacities to monitor and disburse the fund, intermediary agencies might be recruited by BPDLH. If the agencies are insufficiently skilled and experienced in funding management, possible leakages, less transparency and accountability might occur.	ESS 10: Financial intermediaries	Low	Sub-activity 1.3.1.1: Implement an on-granting programme focusing on Indigenous Peoples (IPs) in West Kalimantan Sub-activity 3.2.1.8: Channelling dedicated GCF proceeds (under this proposal) to local communities to implement social forestry licenses and related management plans as well as climate-resilient land-use plans in PROKLIM villages	- Ensure sufficient capacities at BPDLH. - Prefer direct flow of funds from BPDLH to beneficiaries. - Ensure that BPDLH and potential intermediaries have experiences in managing proceeds including monitoring and channelling funding to SMEs, FMUs, IPs and public sector institutions. - Ensure transparency, accountability, and reliability in the handling of funds through regular audits. - Provide capacity building on grant management (especially financial report) for grantees.	GIZ BPDLH	Y1-7	Consultancies and material costs (for budget see chapter 7)	Project specific/dedicated staff at BPDLH is available. Grants are audited Trainings for recipients/grantees are conducted

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14	Risks of gender-based violence, incl. Sexual exploitation, abuse and Harassment (SEAH) among staff and community members	Other	Low	Cross-cutting	Establishing a survivor- centred and gender-responsive GRM for SEAH issues. Assigning the ESGI Advisor to oversee the implementation, monitoring, evaluation and reporting of SEAH risks, avoidance measures and potential issues, as outlined in the ESMP and GAP. Implementing the Gender Action Plan, including additional measures to avoid SEAH risks (e.g. developing a code of conduct, ensuring awareness raising on SEAH and GRM, among others) and ensure adequate monitoring and reporting.	ESGI Advisor GIZ Solidaridad BPDLH	Y1-7	Included in M&E budget	More than 80% of women and men in each subcategory (by sex, ethnic group, age, migration status) are aware of the SEAH protocol for the GRM and have trust in its effectiveness

7. ESMP Budget

The estimated staffing costs (incl. travel) for ESMP, IPP and GAP implementation are included in the EEs' project staff budget.

External costs of safeguards implementation and monitoring are depicted below.

Table 4: Activity and Material Costs

	Safeguards Implementation and Monitoring	Total (EUR)
1	Implementation of IPP, GAP and ESMP Measures	605,000
2	Monitoring of ESMP, IPP and GAP	1,295,000
3	Implementation and Operation of Conflict Resolution Desk	320,000
	Total	**2,220,000**