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1. **INDONESIA REDD+ AND FCPF GRANT**

The Government of Indonesia (GoI) has progressively advanced the development of its REDD+ architecture to address the drivers and underlying causes of deforestation and forest degradation. This includes the necessary elements required to prepare the country for a future performance-based emission reduction program implementation, such as: development of a national REDD+ strategy, putting in place the institutional arrangement/management structures to help sustainable land use management through a multi-sectorial and participatory way; putting in place a funding mechanism for REDD+; as well as building their national emission reference levels and MRV systems.

The activities funded by the FCPF Grant are a subset of an overall readiness effort laid out in the Readiness Preparation Proposal, which was presented to the FCPF in June 2009. Since 2009, there have been many other sources of international support, including UN-REDD ($6 million), AUSAID Indonesia Australia Forest Climate Alliance ($30 million), and Norway’s Forest Climate Initiative and Letter of Intent provided $30 million in Phase 1 of a three-part results-based program. In this context, the FCPF has supported a select subset of strategic analytical inputs and a consultative process, but not the entire REDD+ Readiness architecture. Given the multiplicity of actors and the small size of the FCPF grant compared to other efforts, the FCPF grant cannot be held responsible for the entire national REDD+ strategy, but should be seen as a contributor of specific inputs into a broader multi-donor, multi-sectoral dialogue and development process. The FCPF Grant has four main components:

i. **Analytical Works.** This includes a synthesis and analysis of available assessments and studies on causes of deforestation and compilation of options for main investment types and other interventions, which would reduce deforestation and greenhouse gas emissions.

ii. **Support of Readiness Process.** This component includes the assessment of options and discussion of pros and cons of new REDD+ relevant regulations, including benefit sharing systems; capacity building of institutions and stakeholders; a large subcomponent of consultation and outreach to cover all actors including Indigenous Peoples; and the completion of the Strategic Environmental and Social Assessment, resulting in an ESMF.
iii. Reference Emission Level (REL) and Measurement Reporting and Verification (MRV). This component contributes to efforts to improve understanding of the effect of land use change on carbon stocks; develops a time series of land use change; and develops systems to monitor carbon stocks at the ground level in permanent sample plots.

iv. Regional Data Collection and Capacity Building. The fourth component of the project facilitates relevant REDD+ readiness activities at sub-national level.

2. **INDONESIA REDD+ SAFEGUARDS**

Addressing safeguards is critical to enhance the effectiveness and success of REDD+ implementation. The importance of this was articulated in the seven Cancun safeguard principles by which countries are required to report on how safeguards are implemented and addressed. Furthermore, REDD+ participating countries have widely recognized that failure to address social and environmental risks/impacts associated with REDD+ would result in negative consequences for the millions of forest-dependent communities including Indigenous Peoples who depend on the forest for their economic, social and cultural well-being.

The GoI has performed extensive work on safeguards in recent years and has already developed national safeguards-related initiatives, principally: (i) The Principles, Criteria, and Indicators for REDD+ Safeguards (PRISAI) for the management of project/program level S&E impacts/risks, and (ii) Safeguards Information System (SIS) – a web based system developed through translating 7 Cancun REDD+ safeguards and related COP UNFCCC decision into the national context that will serve as a basis for providing information and reporting to UNFCCC on how REDD+ safeguards are addressed and respected. The development of both these instruments from 2011-2013 was accompanied by a comprehensive analysis of the national policies, laws and regulations related to environment, social and institutional issues, as well as series of multi-stakeholder consultation processes to solicit views especially from Indigenous Peoples, and CSOs. Various national level instruments pertinent to the management of social and environmental aspects of development programs were also used to inform the development of PRISAI and SIS, including:

- AMDAL tool for conducting environmental impact assessments
- Strategic environmental assessment (KLHS)
- Sustainable Forest Management and Production (PHPL)
- SMF Certification
- System for verification of timber legality
- Partnership governance Index (PGI)

The results of these analyses combined with consultations, led to the development of specific social and environmental criteria and indicators for both PRISAI and SIS in order to be able to address/mitigate, monitor and report on safeguards. PRISAI has already been tested in East Kalimantan, Central Kalimantan and Jambi, while SIS has been piloted in Jambi and East Kalimantan. In addition, the REDD+ SES (Social and Environmental Standards) for Central and East Kalimantan have been developed and tested in both provinces.

Two key documents remain to be developed for safeguards as required by the World Bank in preparation for the implementation of REDD+ programs, namely the Strategic Environmental and
Social Assessment (SESA) and Environmental and Social Management Framework (ESMF). As Indonesia is currently preparing two major provincial-level programs for REDD+ implementation in East Kalimantan (for the FCPF Carbon Fund) and Jambi (for the BioCarbon Fund), the SESA and ESMF – while principally national in scope – also need to be tailored to the context of these pilot provinces. A sound ESMF (based on the analytical work performed for the SESA) is a requirement for these programs receive financing (results-based carbon payments) for future emission reductions.

3. PRINCIPLES AND OBJECTIVES OF THE SESA AND ESMF

The REDD+ Readiness process should ensure that implementation of REDD+ programs and activities will not cause adverse social and environmental impacts, while striving to enhance benefits for local communities and the environment. All countries participating in the FCPF Readiness Mechanism are required to perform a Strategic Environmental and Social Assessment (SESA) to assess the potential impacts from national REDD+ programs and policies, formulate alternatives and mitigation strategies, and enhance the decision-making process around the design of the national REDD+ framework. The SESA is deemed to be an adequate tool for this purpose as it offers a platform for consultation with a broad range of national and sub-national stakeholders, including potentially affected communities to integrate social and environmental concerns into the upstream policy-making process. Since East Kalimantan and Jambi have been selected as pilot provinces for the carbon payments, the SESA outcomes should reflect strategic relevance of REDD+ activities for these provinces and recommended measures to mitigate potential adverse impacts and leverage positive benefits that may accrue from the proposed activities. The SESA is the basis for an Integrated Environmental and Social Management Framework (ESMF), which will guide potential investments in the proposed emission reduction programs toward compliance with World Bank safeguards policies.

The ESMF provides an analysis of potential risks and impacts associated with future REDD+ initiatives and will include adequate safeguard measures based on relevant typologies of activities and ER strategic options. The ESMF sets out the principles, guidelines, and procedures to assess environmental and social risks and proposes measures to reduce, mitigate, and/or offset potential adverse environmental and social impacts and enhance positive impacts and opportunities of said projects, activities, or policies/regulations. A preliminary assessment has indicated that the following World Bank safeguard policies may potentially be triggered by REDD+ related activities in Indonesia, including:\n
- Environmental Assessment (OP/BP 4.01)
- Natural Habitats (OP/BP 4.04)
- Forests (OP/BP 4.36)
- Pest Management (OP 4.09)
- Physical Cultural Resources (OP/BP 4.11)
- Indigenous Peoples (OP/BP 4.10)
- Involuntary Resettlement (OP/BP 4.12)

¹ These policies can be accessed under the Investment Project Financing (IPF) operational manual on environmental and social safeguards policies. See https://policies.worldbank.org/sites/PPF3/Pages/Manuals/Operational%20Manual.aspx
The consultant team shall ensure that the provisions of the safeguards policies and procedures above are adequately accommodated in the ESMF to ensure that the REDD+ initiatives achieve objectives materially consistent with the OPs/BPs triggered. The framework applies to future REDD+ activities funded by the World Bank in particular and the Government and other Agencies to use WB safeguards. **The ESMF described in this TOR will build on an indicative ESMF developed for REDD+ that needs to be further tailored into the context of East Kalimantan and Jambi based on SESA’s key findings and recommendations.**

Due to the sequence of analytical work to inform the REDD+ design and related safeguards instruments, the ESMF development is an inseparable process from SESA and therefore the same consultant team responsible for the SESA will be requested to adjust the indicative REDD+ ESMF to be fully aligned with SESA.

4. **THE SCOPE OF THE CONSULTING SERVICES**

The consultant team is required to facilitate assessment and consultation processes to produce sound SESA and ESMF as detailed in the following:

A. **STRATEGIC ENVIRONMENTAL AND SOCIAL ASSESSMENT (SESA)**

The consultant will prepare a SESA comprising the following six tasks: (a) analysis of strategic context of REDD+, (b) analysis of environmental and socio-cultural characteristics in priority emission reduction locations in East Kalimantan and Jambi Provinces, (c) stakeholder analysis, (d) assessment of legal and institutional frameworks, (e) a scenario analysis in sample priority areas, (f) policy implications and proposed recommendations. In consultation with MoEF, provincial level steering committees, and the World Bank, sample location selection for the assessment will be focused in selected districts in East Kalimantan and Jambi Provinces. The selected consultant team/firm is required to assess and analyse existing REDD+ materials developed for Indonesia since 2011 as part of the analytics to be used for the overall SESA document. The materials will be made available to the consultant team/firm. The SESA process is further guided by the Government Regulation (Peraturan Pemerintah/PP) No. 46/2016 on the Guidelines for Strategic Environmental Assessments (KLHS). The SESA shall capture the following elements:

a. **Strategic Context of REDD+**

- Building on previous analytics and consultation processes for REDD+, present key results of REDD+ consultations involving relevant stakeholders at the national and sub-national to ensure that views and concerns, including risks and issues, are made known to decision makers and taken into account;
- Analysis of strategic rationale for Indonesia to participate in REDD+ initiatives, including national and local government’s readiness, understanding, current capacity and capacity gaps, political buy-in. Complemented with other pertinent studies, this section should also cover a political-economy analysis of REDD+ which may contribute to understanding of

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2 The DGCC and FORDIA has developed a comprehensive inventory database of documentation for the REDD+ process in Indonesia, containing around 400 materials. This database will be made available to the selected consultant team/firm.
prospects and challenges to ensure the management of environmental and social aspects and sustainability of ER interventions;

- Present lessons-learnt from previous ER demonstration pilots/activities, including analysis of various conditions and building blocks to foster community acceptance, understanding, and participation, grievance handling, as well as key risks and challenges to enforce and promote good practices in environmental and social management,

b. Environmental and socio-cultural characteristics in priority ER locations in East Kalimantan and Jambi Provinces:

- Identification of baseline conditions of sample priority areas in terms of key physical, biological, cultural and socio-economic characteristics. Sub-categories for project areas may be developed based on ecosystem/landscape characteristics for analytical purposes. The selection of sample areas shall be done through consultations with FORDIA, DGCC, DDPI East Kalimantan, Jambi focal points and World Bank;

- Analysis of key environmental and social issues of concern in potential project areas (e.g. pressures on protected areas, competing demands for natural resources and extractive activities, biodiversity hotspots and other critical areas qualifying as Critical Natural Habitats as per WB’s OP 4.04, settlement expansion, potential conflicts between forest dependent communities and private actors, settled agriculturalists and pastoralists, indigenous peoples and local communities. Identification of key social and environmental issues related to REDD+ should involve primary stakeholders who may be affected or have interest in the initiative. This will include affected groups and local non-governmental organizations, as early as possible, in the preparation process and ensure that their views and concerns are made known to decision makers and taken into account;

- Identification of core environmental and social indicators that need to be tracked and monitored, which may include but is not limited to information on: land use, biodiversity, forest cover, population distribution, land tenure and conflicts, access to basic services, livelihoods displacement, etc. This should also include understanding of the threats and opportunities resulting from REDD+ activities based on recent trends and future outlook and identification of how best to monitor such trends and threats.

c. Stakeholder Analysis

- Analysis outlining the key stakeholders likely to be affected, either positively or negatively, directly or indirectly, through project implementation. For each stakeholder group identified, the analysis shall: 1) outline the specific ways in which the project may positively or negatively affect them; 2) recommend ways to enhance positive benefits, or mitigate negative impacts; and 3) recommend measures to encourage their participation in project consultation and implementation, as appropriate

d. Assessment of Legal and Institutional Framework

- Assess the existing GoI’s legal and institutional framework for environmental and social risk and impact management for REDD+ related activities and provide a gap analysis of the current institutional and governance capacity both at the national and sub-national

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3 The SESA may contain specific chapters on East Kalimantan and Jambi.
4 The determination of core environmental and social indicators shall be based on the SIS for the REDD+, which needs to be further analyzed to assess the adequacy and relevance to the study areas in East Kalimantan and Jambi.
levels in East Kalimantan and Jambi to address aversive effects as they emerge from analytical work;
- Assess whether the current set up and capacity both at the national and sub-national governments (district and provincial) is adequate to ensure the project meets its objective without harming people or yielding environmental damage. This should also include assessments on national and sub-national governments’ capacity to enforce rules and regulations across wide jurisdictions involving multiple stakeholders including private and non-private actors that collectively contribute to emission reduction;
- Assess the impacts and consequences of recent changes in law particularly on the forestry and sub-national governments have on the management of natural resources and oversight capacity;

**e. A scenario analysis in sample priority areas**
- Development of a scenario analysis framework to analyse environmental and social impacts – biophysical and socio-economic positives and negatives, direct and indirect, and cumulative to the extent possible for strategic options proposed for both provinces. Provide a robust analysis, to the extent possible, of the past trends in distribution, quantity and quality of critical environmental and social components and how such trends might change with and without proposed ER interventions. The analysis could factor in relevant aspects affecting ER objectives such as regulatory and law enforcement, development (commercial and non-commercial), political-economy, population growth, spatial planning scenarios vis-à-vis business as usual scenarios. This should include assessment of key environmental, social and economic indicators that can be used to compare alternative development/investment scenarios. The development of such scenario analysis shall involve and be consulted to a broad range of stakeholders both at the national and sub-national levels;
- Analyse key risks and threats that may affect the achievement of environmental and social outcomes of REDD+ related activities;
- For each scenario, provide an assessment of strategic options that promote sustainable natural resource management and have positive impacts on local communities. Where policies could adversely affect the environment or local communities, identify alternatives to the proposed policies and/or mitigate negative social and environmental impact.
- Screen for potential negative impacts on indigenous and other forest dependent and vulnerable communities and identify viable alternatives that minimize adverse impacts on vulnerable groups;
- Identify gender issues and other issues affecting vulnerable communities related to REDD+ and alternatives to avoid and/or mitigate potential adverse impacts for each scenario described;

**f. Policy implications and proposed recommendations**
- Present key environmental and social considerations that should be taken into account to ensure that REDD+ initiatives do not have and/or minimize unintended negative environmental and social consequences. For each strategic option proposed, what are

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5 The SESA specifically shall identify a range of impacts that result from recent policy and regulatory changes and assess whether the current local capacity following such changes is adequate to manage and address potential impacts as they emerge from the implementation of REDD+ initiatives.
context-specific measures that could be undertaken and/or policies that should be enforced, amended and/or elaborated to avoid, minimize or mitigate identified negative impacts. Present potential measures and/or actions that can enhance positive impact;
- Analyse capacity building needs and engagement strategies for key stakeholders both at the national and sub-national level;
- Provide an indicative assessment of financial requirements and resources to implement recommended measures, including capacity building

B. INTEGRATED ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)

Building on the indicative ESMF developed for the program, the integrated ESMF under this TOR shall be fully aligned with key findings and insights obtained through the SESA process (see task A). The ESMF shall be tailored to the contexts of East Kalimantan and Jambi and provide specific procedures for: (i) consultations with concerned stakeholder groups based on the principles of free, prior, and informed consultations to obtain broad community support, (ii) capacity assessments across key stakeholders and capacity building measures, (iii) environmental and social impact screening, assessment, and monitoring and (iv) relevant measures and procedures to manage and minimize adverse impacts. Specific for East Kalimantan, the ESMF shall also build on the Social and Environmental Standards (SES) for Kaltim developed earlier and ensure that the SES Kaltim is in full alignment with the World Bank’s safeguards requirements. The Framework also specifies the inter-institutional arrangements for the preparation of time-bound action plans for mitigating adverse impacts related to the future projects, activities, and/or policies/regulations. Two critical sub-tasks integral to the ESMF include (a) Land Acquisition and Resettlement Planning Framework (LARPF) and Access Restriction Process Framework and (b) Grievance Redress Mechanism (GRM) specific to the context of East Kalimantan and Jambi. Depending on the level of complexity and institutional arrangements, the latter documents could be developed as standalone documents and must be explicitly referenced in the ESMF.

By doing the above, the ESMF and its related instruments will provide the overall framework for addressing social and environmental risk management issues in FCPF and WB financed REDD+ activities that are implemented beyond the readiness preparatory work. Drawing from the SESA and various documents, including analytical work carried out as part of the FCPF program, the ESMF should contain at a minimum the following:

- A description of the indicative REDD+ strategy option(s) for East Kalimantan and Jambi, its main social and environmental considerations, and the various risks involved in its implementation;
- An outline of relevant legislative, regulatory, and policy regime (in relation to forest resources management, land use, indigenous rights, local wisdoms, etc.) within which the REDD+ strategy options will be implemented in the East Kalimantan and Jambi jurisdictions. This should also include analysis of inhibiting factors and enabling environments to enforce laws and regulations, together with any reforms in this regime that are proposed as part of the REDD+ strategy options’ implementation;
- An analysis of the potential impacts, both positive and negative, deriving from future project(s) and activity(-ies) associated with the implementation of the emerging strategy/strategic
options, and the geographic/spatial distribution of these impacts particularly within East Kalimantan and Jambi jurisdictions and possibly beyond due to trans-boundary and cumulative impacts;

- Identification of vulnerable groups and mechanisms for participation and measures to mitigate impacts on vulnerable communities including Indigenous Peoples (Masyarakat Adat) and other forest dependent communities who may be impacted by ER activities to a various degree due to their reliance on natural resources and attachment to lands. Such mechanisms could be presented as an Indigenous Peoples Planning Framework (IPPF), integral to the ESMF.

- A description of the arrangements for implementing the specific project(s) and activity(-ies), and relevant measures to avoid and if inevitable mitigate adverse impacts particularly stemming from land acquisition, resettlement, access restrictions and livelihoods displacement (refer to Sub-task 1 on Land Acquisition and Resettlement Planning Framework and Access Restriction Process Framework (RPPF)). This should also include descriptions of the responsible institutions, agencies, and partners albeit indicative if not decided;

- A description of the particular institutional needs within the national readiness management arrangements for implementing the ESMF. This should be based on a review of the authority and capability of institutions at different administrative levels (e.g. local/village/community, sub-district and district, provincial/regional, and national), and their capacity to manage and monitor ESMF implementation. The analysis should draw mainly from the SESA and may extend to proposed laws and regulations, new agencies or agency functions, staffing needs, inter-sectoral arrangements, management procedures, operation and maintenance arrangements, budgeting, and financial support;

- An outline of capacity building actions for the entities responsible for implementing the ESMF;

- Requirements for technical assistance to public- and private-sector institutions, communities, and service providers to support implementation of the ESMF;

- An outline of the budget for implementing the ESMF;

- Provisions for Monitoring and Evaluation;

- Complaint/Grievance Handling Mechanism (GRM) – refer to sub-task 3;

C. **SUB-TASK 1: LAND ACQUISITION AND RESETTLEMENT PLANNING FRAMEWORK (LARPF) AND PROCESS FRAMEWORK**

This sub-task is to be complimented with key findings of the Land and Resource Tenure Assessment and Benefit Sharing (separate contracts) and the SESA. Given the magnitude of potential adverse impacts, the project should make deliberate efforts to avoid activities which would potentially result in land acquisition and resettlement, access restrictions to legally designated parks and/or conservation areas and natural resources, and livelihoods displacement. However, in circumstances where land acquisition (both voluntary and involuntary) and resettlement and access restrictions are inevitable for ER initiatives to be viable, the project proponents must commit to follow provisions set out in the LARPF and Process Framework agreed by the WB. Integral to the ESMF, a LARPF and Process Framework need to be prepared to ensure that any REDD+ activities which have impacts on resettlement, access restrictions and livelihoods displacements or ones that require the exercise of eminent domain could be avoided or if inevitable, handled in a participatory, fair and transparent manner with people affected. The LARPF and Process Framework shall establish resettlement objectives and principals, organizational arrangements, and funding mechanisms for impact mitigation resulting from resettlement, land
acquisition and access restrictions associated with the implementation of REDD+ activities. Both frameworks shall be prepared since the extent and location of resettlement and access restrictions are unknown at the time of the REDD+ readiness phase and will be detailed during the early project screening. When activities requiring resettlement or causing access restrictions are identified, a Resettlement Action Plan and/or livelihoods restoration plans shall be subsequently prepared by project implementing entities.

The LARPF ensures that any Resettlement Action Plan protects affected parties, assets and livelihoods are restored to their previous level and preferably exceed their current status. The LARPF will include the process for valuation of all associated impacts on people’s property, livelihoods and other intangible impacts and address mitigation measures based on international and national best practices. Under the Process Framework, the nature of restrictions, as well as the type of measures necessary to mitigate adverse impacts, is determined with the participation of the displaced persons during the design and implementation of the project. The Process Framework is developed to guide project implementing agencies to ensure that mitigation measures developed to address and minimize the impacts of access restrictions and livelihoods displacement are adequate and fully consulted with the affected persons prior to the implementation of ER activities. Both frameworks shall include the following aspects:

- **Situational analysis**: identification of activities and interventions under the ER program that have potentials to result in resettlement (physical displacement of people), access restrictions and livelihoods displacement, including stakeholders who may be affected. The analysis shall also capture the roles of specific actors in such initiatives and interventions, as well as their current practices in handling land acquisition and restrictions of access relevant to the ER program.

- **Legal and Institutional Frameworks**: a) review relevant laws, policies, legal and administrative procedures of GoI, and in particular East Kalimantan and Jambi in terms of handling land acquisition and compensation practices both by the sub-national governments and private actors (concession holders); b) assess the current capacity of implementing resettlement agencies (Land Agency, East Kalimantan and Jambi governments, and other project proponents, including private actors) and relevant REDD+ agencies in terms of handling land acquisition and resettlements, mitigating associated impacts of access restrictions and livelihoods displacement, grievance handling and conflict resolution; c) identify gaps and relevant measures to address such gaps to ensure that impacts are properly assessed and adequately mitigated and compensated; d) identify mechanisms to enhance institutional capacity and accountability, including community participation;

- **Valuation of Assets**: a) identify current practices for valuation of assets and losses to determine their replacement costs under national and local laws; b) establish principles, basis and methods to be used in valuing losses under REDD+ initiatives; c) identify eligibility criteria for PAPs (displaced persons), d) identify eligibility for compensation, types and levels of compensation under relevant laws; e) establish procedures for cut-off dates for compensation; f) identify gaps particularly with regards to compensation for the landless or people without legal tenure recognition; e) identify supplementary measures necessary to achieve replacement costs for lost assets and livelihoods restoration as well as legal implications under national and local laws;
- **Impact mitigation approaches**: a) analyse technically and economically feasible packages of compensation and other mitigation measures for impacts caused by resettlement, access restriction, and livelihoods displacement, b) provide mechanisms to ensure participatory approaches including necessary conditions and requirements to ensure that mitigation measures and resettlement packages are compatible with cultural and social preferences of affected persons, c) mitigation measures for access restrictions, mechanisms for livelihoods restoration including benefit sharing arrangements and mechanisms to channel benefits down to the community levels; d) mechanisms to promote access to information, community participation and grievance resolution;

- **Implementation arrangements**: a) identify institutional and technical arrangements for identifying and preparing relocation sites; b) identify measures necessary to prevent land speculation or influx of ineligible persons at selected sites; c) procedures for physical relocation and current practices in East Kalimantan and Jambi, d) legal processes for regularizing tenure and transferring titles/grant recognition to re-settlers.

- **Monitoring and evaluation arrangements**: a) develop principles, strategies and procedures for monitoring impacts associated with resettlements and access restrictions for REDD+ activities. This also includes development of a framework for project evaluation and impact assessment for activities covering a wide jurisdiction and involving multiple partners;

- **Cost and identification of possible funding sources**: a) estimate cost implications for impact mitigation and compensation for resettlements and access restrictions based on previous projects; b) identify potential funding sources, including cost-sharing arrangements; c) institutional mechanisms for the payment of compensation.

D. **SUB-TASK 2: GRIEVANCE REDRESS MECHANISM (GRM)**

GRM for REDD+ provides local communities and affected parties with a means of raising concerns relating to the project’s operations, and any activities associated with the project and dealing with such concerns in a manner that is considered to be fair, confidential, transparent, and timely by both parties submitting grievances and the project management. In consultation with both national and local stakeholders in East Kalimantan and Jambi, including potentially affected communities, this deliverable seeks to develop a practical and functioning GRM for East Kalimantan and Jambi that could be potentially replicated to other jurisdiction. Specifically, the proposed mechanism should be based on:

- Assessment of relevant legal, regulatory and procedures for GRM, including local laws/customary laws in selected sites in East Kalimantan and Jambi for grievance handling;
- Stakeholder analysis (see SESA), further identifying institutional capacity of relevant agencies in implementing their mandates with regards to conflict resolution and complaint handling;
- Assessment of existing GRMs both at the national and sub-national levels and identification of good practices, loopholes and gaps, including possible modalities for GRM that are already operating at the site level. Assessment how various GRMs could be synchronized;
- Assessment of potential funding sources and requirements for establishing a responsive project-level GRM, including identification of responsible parties both at the national, sub-national and local/community levels;
- Assessment of strategies/approaches to ensure that grievances and concerns are properly documented, tracked and followed up. This assessment should include identification of MIS
(Management Information System) requirements and how Safeguard Information System (SIS) developed by MoEF can be enhanced to support GRM⁶;

The consultant team is expected to design a GRM for REDD+ activities in East Kalimantan and Jambi based on assessments and consultations with a broad range of stakeholders. The proposed mechanism should ideally accommodate existing systems and practices and fully integrated into the MoEF. The deliverable should also include a roadmap to establish, pilot and roll-out the proposed GRM, including capacity and resource requirements and timeline.

5. **OVERALL MANAGEMENT AND COORDINATION**

The consultant team will report to DGCC and FORDIA and consult regularly with the WB, DDPI East Kalimantan, Jambi focal points and other departments in MoEF and relevant line ministries and agencies both at the national and sub-national levels. All required deliverables will be submitted to DGCC and FORDIA and will be reviewed by a panel commissioned by the DGCC, FORDIA and WB. Integral to the deliverables, the consultant team is required to accommodate inputs and feedback obtained from the technical panel, including necessary revisions and additional analysis and data collection. The consultant team will coordinate closely with key stakeholders in carrying out all aspects of the ToR and engage actively in and make deliberate efforts to promote knowledge transfer and capacity building to local stakeholders in East Kalimantan and Jambi. In doing so, the consultant team shall seek involvement of local consultants and researchers from East Kalimantan and Jambi in an effort to strengthen local participation and promote capacity building and knowledge transfer throughout the overall assessment process.

The methods and procedures, including the workplan and assessment design, including site selection and the number of sample locations and target respondents, shall be agreed upon at the beginning of the contracts. The contract also requires the selected consultant team to facilitate necessary training sessions for local consultants and researchers in East Kalimantan and Jambi based on needs. In addition, the consultant team shall also be responsible for the following:

**Documentation:** The consultant shall establish and maintain a comprehensive inventory of all relevant documents and data collected, including photo and video documentation. Confidential materials and information provided to the consultant team shall not be replicated or distributed and shall be returned to DGCC and FORDIA at the end of the contract.

**Personnel:** The consultant team shall be responsible to provide and maintain all key personnel proposed. Any changes are subject to approvals from the contracting authority and the WB.

**Logistics:** The consultant team shall be responsible for all logistical arrangements including travels, workspace, communication, transportation and office support.

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⁶ Some of the key platforms to be assessed for the GRM shall include the SIS for REDD+ and the existing Complaint Handling System (CHS) within the MoEF and other channels at the provincial level, including existing CHS (Kotak Pengaduan Masyarakat) at relevant agencies (SKPD).
Knowledge Dissemination: In consultation with DGCC and FORDIA, the consultant shall also be responsible to assist the DGCC and FORDIA to prepare relevant materials and disseminate key findings and recommendations of the SESA and related safeguard instruments to key stakeholders both at the national and sub-national level. All materials produced shall be retained and owned by the DGCC and FORDIA and shall be subject to permission from the DGCC and FORDIA for use. Such knowledge dissemination activities shall be reflected in the workplan.

6. CONSULTANT QUALIFICATIONS

The consultant team will consist of a team with a mix of senior and mid-level specialists with representation of local specialists from East Kalimantan and Jambi. The expected duration of the assignment will be approximately six months from notice to proceed. The consultant will be required to identify key personnel and provide sufficient qualified personnel to ensure achievement of all deliverables with acceptable quality and within the timeframe. It is expected that the following key professional personnel will be required:

A. Team Leader preferably with a graduate degree in environmental or social science (particularly forestry or natural resource management) and at least 15 years of international experience, having excellent written and spoken command of English and Bahasa Indonesia and significant experience in leading environmental and social impact assessment and mitigation, long term impact planning, cumulative impact assessment, institutional strengthening and research methodologies. At least 5 years of professional experience within Indonesia. Detailed knowledge of existing and past Indonesian REDD+ safeguard activities (including SIS-REDD+, PRISAI / BP REDD+, and UN-REDD) would be considered a strong asset.

B. Environmental Specialist preferably with a graduate degree in environmental science and at least 7 years of experience in environmental aspects of natural resource and forestry projects; Strategic Environmental Assessments; developing environmental management plans (EMPs), and monitoring and evaluation of EMPs, environmental management frameworks (EMFs). Experience working with the World Bank, including knowledge of the Bank Operational Policies and REDD+ safeguards related experience will be highly preferred.

C. Social Specialist/Community Development Specialist preferably with a graduate degree in social science and at least 7 years of experience working with rural, indigenous and/or ethnic minority communities, participatory community planning and natural resource management, undertaking Social Impact Assessments and developing social management plans including Indigenous Peoples Plans (IPPs), Land Acquisition and Resettlement Plans (LARAPs) and have familiarity with government systems. The specialist must be knowledgeable about the local institutional and social structures. Experience working with the World Bank, including knowledge of the Bank Operational Policies and REDD+ safeguards related experience will be highly preferred.
D. **Regional Development Specialist/Planner** preferably with a graduate degree in spatial planning and at least of 7 years of experience working in regional spatial, forestry, and agricultural development planning, mapping and spatial analysis. REDD+ safeguards related experience will be highly preferred.

In addition, the consultant team may need to solicit additional support from senior, mid-level and junior technical professionals with the following expertise as needed:
- Agriculture development/policy;
- Civil works (e.g. water sources, hydrology);
- AMDAL (Environmental Impact Assessment);
- Benefit sharing;
- Land tenure;
- Participatory planning;
- Community-driven development;
- Geographical Information System;
- Database management;

The consultant may wish to propose alternative staffing to ensure achievement of the deliverables. As part of selection processes, the consultant team is required to share proposed key personnel’s Curriculum Vitae to the contracting authority (DGCC and FORDIA) and the WB. The availability of each proposed staff person must be identified as well as whether they are full-time staff persons of the consulting firm or subcontractors or consultants. It is expected that the Team Leader, if not costed full time for the project, will be available throughout the duration of the contract to address all management and administrative matters.

### 7. EXPECTED CONSULTANT DELIVERABLES AND TIMELINE

<table>
<thead>
<tr>
<th>Deliverable</th>
<th>Inception report</th>
<th>Draft Report</th>
<th>Final Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>SESA ESMF (including sub-task)* of East Kalimantan Province</td>
<td>August 2018 (tba)</td>
<td>November 2018</td>
<td>December 2018</td>
</tr>
<tr>
<td>Preparation of SESA ESMF (including sub-task)* of Jambi Province</td>
<td>August 2018 (tba)</td>
<td>November 2018</td>
<td>December 2018</td>
</tr>
<tr>
<td>SESA ESMF (including sub-task)* of Jambi Province</td>
<td>January 2019</td>
<td>March 2019</td>
<td>April 2019</td>
</tr>
<tr>
<td>Final Document (including sub-task)* of SESA-ESMF for East Kalimantan and Jambi Provinces</td>
<td>January 2019</td>
<td>March 2019</td>
<td>April 2019</td>
</tr>
</tbody>
</table>

*Depending on the complexity of potential risks and impacts based on ER strategic options and priority locations, the LARPF and Process Framework and GRM can be developed as standalone documents and referenced in the ESMF.