

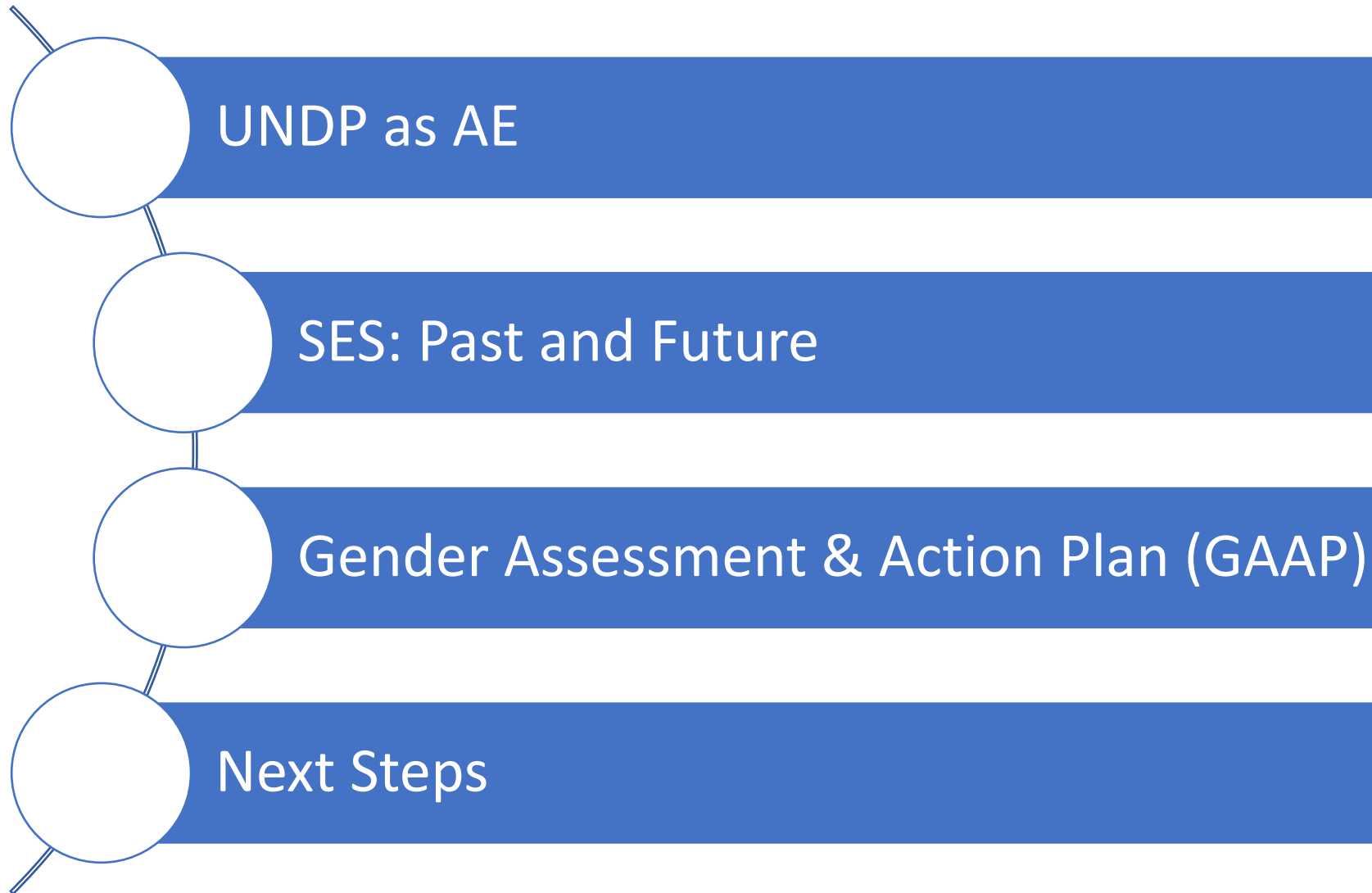


Indonesia GCF REDD+ RBP Inception Workshop

**Social and Environmental Safeguards:
Environmental & Social Management Plan
(ESMP) and Gender Assessment & Action
Plan (GAAP)**

21 June 2022

Overview



Main role for UNDP as Accredited Entity

- GCF proceeds (USD 103.78 million) used as described in Funding Proposal
- **Safeguards are addressed and respected along with GCF policies and procedures**
- Legal responsibility lies with the AE contractually through the FAA. However, many of the responsibilities ultimately fall on the participating country and will need to be transferred to the country.
- Responsibility for facilitating ad-hoc check and investigations and accepting remedies is shared between AE and government

GCF REDD+ RBP pilot: Key requirements

- Compliance with relevant GCF policies and procedures
 - Prohibited practices
 - **Environmental and Social Safeguards**
 - **Gender Policy**
 - **Indigenous Peoples policy**
 - Monitoring and accountability framework
 - **Safeguards Requirements**
 - For past results: Environmental and Social Assessment
 - For the use of proceeds: Environmental and Social Management Framework
 - Grievance redress mechanism
- NB:** GCF has the right to undertake investigations on grievances raised by affected stakeholders and exercise appropriate remedies during the implementation period*

Applicable Safeguards

- ❖ GCF Standards and Policies
- ❖ UNFCCC Cancun Safeguards

UNDP Social and Environmental Standards

GCF safeguard requirements

Requirement 1: Accredited Entities' Safeguard Policies	In the process of obtaining accreditation by the GCF, UNDP's SES were recognized as consistent with the GCF safeguard policies (ESS Standards).
Requirement 2: Identification of Social and Environmental Risks and Environmental and Social Management Framework (ESMF)	UNDP's Social and Environmental Screening Procedure (SESP) and Environmental and Social Management Framework (ESMF) Template address all GCF-related requirements.
Requirement 3: Gender Policy, incl submission of a Gender Action Plan	UNDP's Policy and Guidance on Gender address all key requirements of the GCF Gender Policy
Requirement 4: Indigenous Peoples Policy	UNDP's Policy and Guidance on IPs address all key requirements of the GCF IP Policy
Requirement 5: Retroactive Environmental and Social Assessment (ESA) [only for REDD+ RBP proposals]	The Legal Matrix addresses all key requirements of the GCF ESA requirement

UNFCCC safeguard requirements



Requirement 1: Implement REDD+ activities in a manner consistent with the Cancun safeguards	UNDP's Social and Environmental Standards (SES) address all key aspects of the Cancun Safeguards (see Annex 1)
Requirement 2: Establish a system to provide information on how the Cancun safeguards are being addressed and respected	UNDP's support to countries to meet this requirement is guided by the UN-REDD Technical Resource: REDD+ Safeguards Information Systems: Practical Design Considerations
Requirement 3: Provide a summary of information on how the Cancun safeguards are being addressed and respected	UNDP's support to countries to meet this requirement is guided by the UN-REDD Info Brief: Summaries of Information: How to demonstrate REDD+ safeguards are being addressed and respected . This Legal Matrix provides a model framework for countries to address this UNFCCC requirement.

UNFCCC Cancun Safeguards for REDD+	Relevant UNDP Standard and/or Policy
(a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;	<ul style="list-style-type: none"> • UNDP Social and Environmental Screening Procedure • Overarching Policy and Principles, paras. 3 and 13, pp. 6 and 9, SES • Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, <u>in particular paras. 3 and 22, pp. 13 and 19, SES</u> • Standard 6: Indigenous Peoples, para. 4, p. 37, and para. 12, p. 29, SES • Quality Assurance Standards: Relevant; and Sustainability and National Ownership
(b) Transparent and effective national forest governance structures, <u>taking into account national legislation and sovereignty;</u>	<ul style="list-style-type: none"> • UNDP Social and Environmental Screening Procedure • Overarching Policy and Principles, para 3, p. 6, SES • Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, <u>in particular, para 17, p. 17, SES</u> • UNDP Information disclosure policy
(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by <u>taking into account</u> relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;	<ul style="list-style-type: none"> • UNDP Social and Environmental Screening Procedure • Principle 1: Human Rights, <u>in particular, paras 13-16, p. 9, SES</u> • Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, <u>in particular para 2, p. 13 and para. 22, p. 19, SES</u> • Standard 4: Cultural Heritage, SES • Standard 5: Displacement and Resettlement, SES • Standard 6: Indigenous Peoples, see Objectives, and <u>in particular paras 4-14, pp. 37-41, SES</u> • Stakeholder Engagement and Response Mechanisms, <u>in particular para 16, p. 52, SES</u> • Quality Assurance Standards: Relevant; and Sustainability and National Ownership
(d) The full and effective participation of relevant stakeholders, <u>in particular indigenous peoples and local communities,</u> in the actions referred to in paragraphs 70 and 72 of this decision;	<ul style="list-style-type: none"> • UNDP Social and Environmental Screening Procedure • Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, paras. 8, 9, and 14, pp. 16, 38-39 • Standard 6: Indigenous Peoples, paras. 8 and 9, pp. 38-39, SES. • Stakeholder Engagement and Response Mechanisms, SES • Access to Information, SES

<p>(e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;</p>	<ul style="list-style-type: none"> • UNDP Social and Environmental Screening Procedure • Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, <u>in particular, para 17</u>, p. 17, SES
<p>(f) Actions to address the risks of reversals;</p>	<ul style="list-style-type: none"> • Overarching Policy and Principles, <u>in particular paras. 1, 2</u>, p. 6, SES • Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, <u>in particular, para 6</u>, p. 14, SES • Assessment and Management, SES, para 10, pp. 49-50, SES
<p>(g) Actions to reduce displacement of emissions.</p>	<ul style="list-style-type: none"> • Overarching Policy and Principles, para. 3, p. 6, SES • Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, <u>in particular, paras 6, 13, 17a</u>, pp. 14-17

SES: Past & Future

SES Past and Future

2014

2016

Period of REDD+ Results (past)
(= GHG Emissions Reductions)

Budget allocated based on
results already achieved

Safeguards:
Environmental & Social Assessment (ESA)

Results = GHG Emissions Reductions

2017-
2019

2021

2025...

Period for project implementation (future)

Use of Proceeds:
Project activities implemented with GCF budget
→ No Results Framework, no quantitative targets

- Safeguards:**
- 1. Social & Environmental Screening Process (SESP) (FP)
 - 2. Environmental & Social Management Framework (ESMF) (FP)
 - 3. Environmental & Social Management Plan (ESMP) (In progress)
 - 4. Adat Community Plan (In progress)
 - 5. Stakeholder Engagement Plan & GRM Review (In progress)
 - 6. Gender Action Plan (In progress)

Performance = Outputs/Outcomes from Use of Proceeds

What has been done so far?

- During the project proposal phase, **three** UNDP SES instruments have been applied
 - (1) An Environmental and Social Assessment (ESA) for the 2014-2016 when emissions reductions were generated
 - (2) A Social and Environmental Screening Procedure (SESP)
 - (3) An Environmental and Social Management Framework (ESMF) was prepared (the ESMF establishes the framework for operationalizing safeguards as the project moves towards implementation)



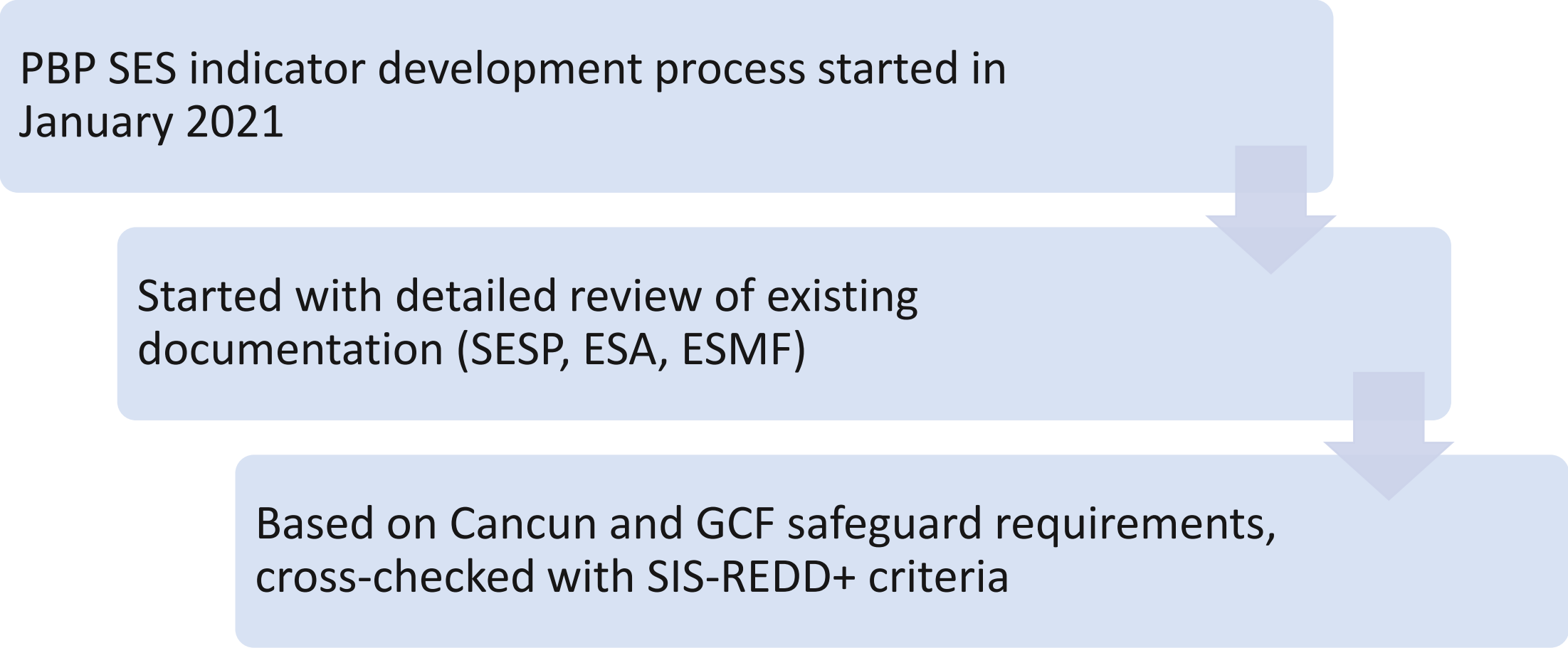
What did the early safeguard work conclude?

- Key concerns centered on *human rights, gender equality, biodiversity, displacement and resettlement and indigenous people (Adat Communities)* (from the ESA)
- **But**
- There was a good policy and legal framework in place and that **if** existing mitigation measures could be implemented and supplemented as needed, risks could be managed
- ESMF very broad and not a very operational document

What happened next?

PBP SES indicator development process

PBP SES indicator development process started in January 2021

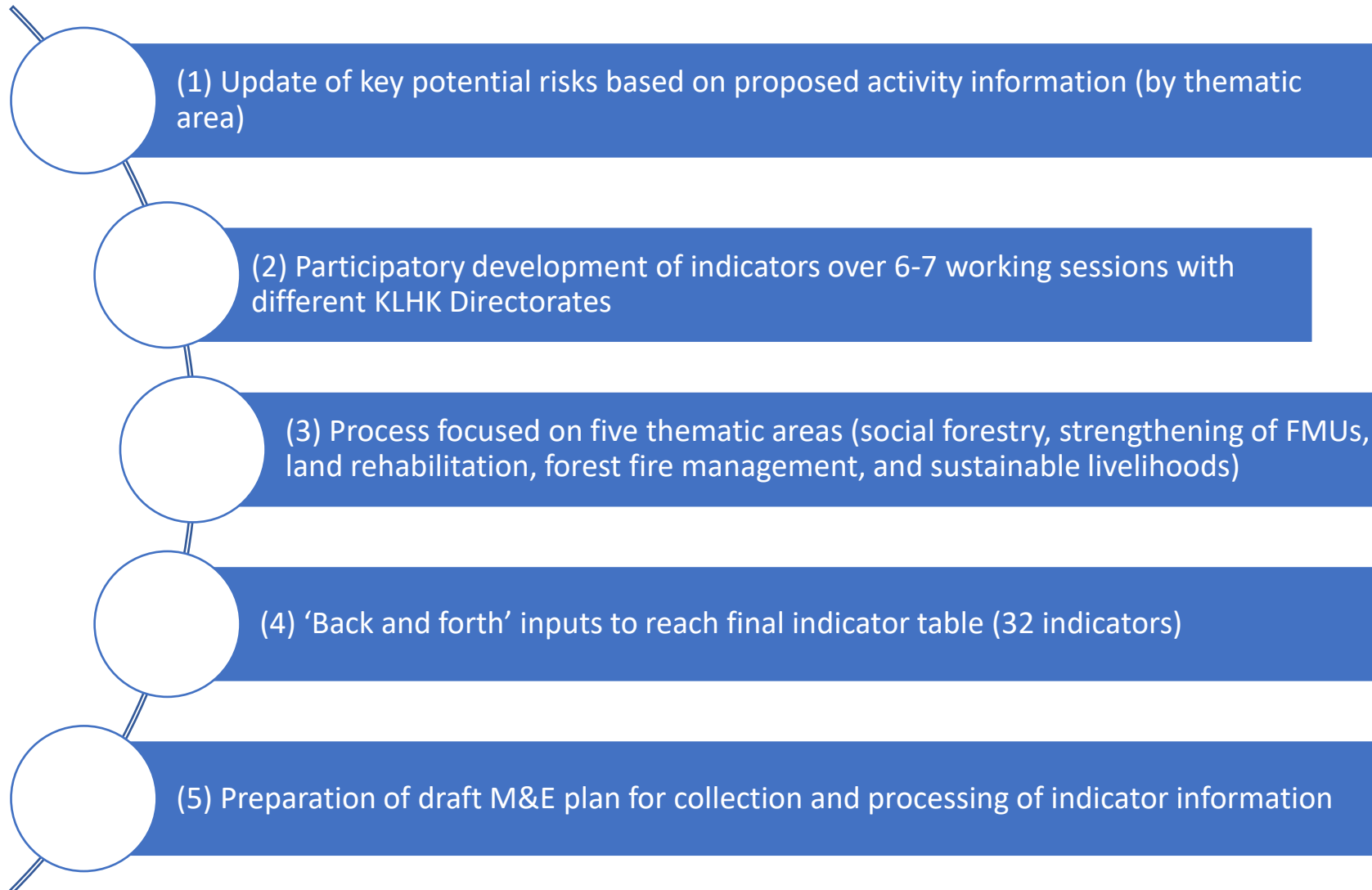


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graph TD; A[PBP SES indicator development process started in January 2021] --> B[Started with detailed review of existing documentation (SESP, ESA, ESMF)]; B --> C[Based on Cancun and GCF safeguard requirements, cross-checked with SIS-REDD+ criteria];
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Started with detailed review of existing documentation (SESP, ESA, ESMF)


Based on Cancun and GCF safeguard requirements, cross-checked with SIS-REDD+ criteria

Steps in the process




Risks update


Since it is based on actual project activities, it is more concrete than risks presented in ESMF



19 concrete potential risks defined



For each risk, proposed avoidance and mitigation measures identified and link to indicators used to monitor the risk/avoidance or mitigation measures



Not based on field assessment so needed 'on-the-ground' verification

Proposals to avoid, reduce and mitigate risks

(1) Implementation of existing best practices

(2) Tailored avoidance (within reason)

(3) Effective stakeholder engagement and feedback mechanisms

(4) M&E of the safeguards implementation (the SES indicators)

(5) Preparation of a framework ESMP

(6) Preparation of an Adat Communities Plan

(7) Assessment of GRMs and proposal on how to implement

(8) Updated Gender Action Plan

ESMP

Why an ESMP?
Why no ESIA?

Since project is 'moderate' risk and exact areas are unknown, a framework ESMP considered to be the most appropriate instrument going forward

As proposed by ESMF, there is a need to consolidate risk, avoidance and / or mitigation measures into one document accessible by all

ESMP process expected to provide valuable information for PBP SES MoVs and data sources and identify/confirm knowledge gaps and capacity development needs

Adat Communities Plan (ACP)

Why an ACP?

The SES process raised many concerns about rights and full and active involvement of Adat Communities

Major GCF concern and also reiterated during CSO consultation

Intense focus on Adat Communities during proposal process, in ESMF and on-going, is strong argument for addressing this as effectively and efficiently as possible

ACP can be developed based on existing guidelines and Indonesian experience from other projects

Grievance Redress Mechanisms

Why a GRM assessment?

Project-level GRM recommended in ESMF but analysis too general (national level) and not focused on activities defined

Several GRM processes noted during indicator development process, so need to determine which can be used and how it can best be applied and measured (reality check)

Also need to understand where capacity development is needed and how this can best be provided

Stakeholder Engagement Plan (SEP)

Why an SEP?

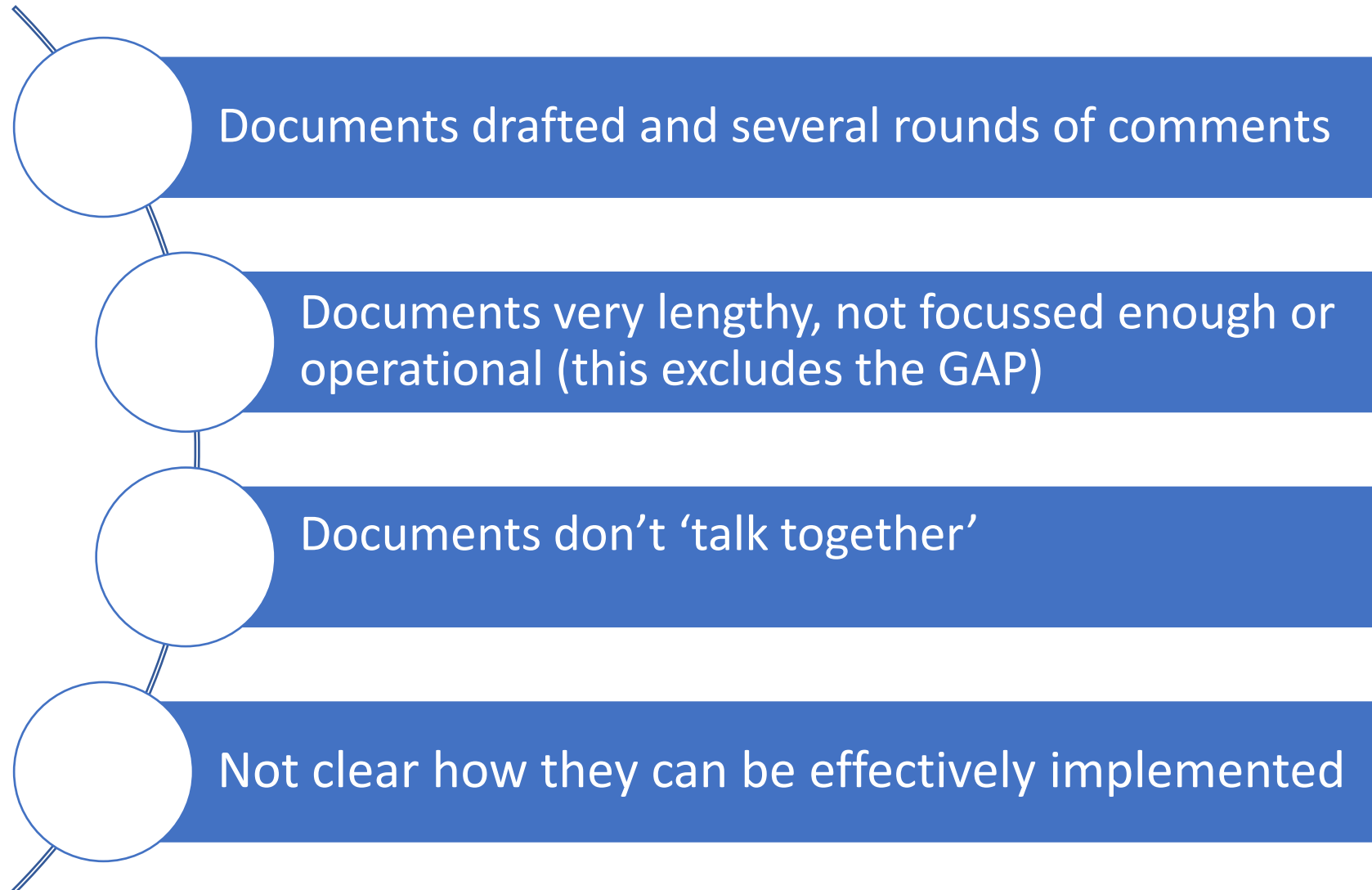
Recognized need for meaningful stakeholder engagement process (also in ESMF)

Two levels of stakeholder engagement exist: at overall project level and at the detailed activity level

At the detailed activity level: Ensuring effective feedback mechanism is a particular need that was noted during discussions, related to 'leaving no one behind' and in particular wrt effective feedback mechanisms

At the overall project level: Good stakeholder engagement ensures understanding and buy-in and reduces risks of problems down the line

Draft ESMP, SEP-GRM, ACP and updated GAP



Main concerns

ACP

- Risks relevant but far too broad and not really project-specific
- Mitigation measures overly ambitious, no clear indicators and no assignment of responsibilities

SEP

- Long document, good analysis of stakeholders but mitigation actions need reality check also considering experience so far in PMU and with technical consultants in KLHK

GRM

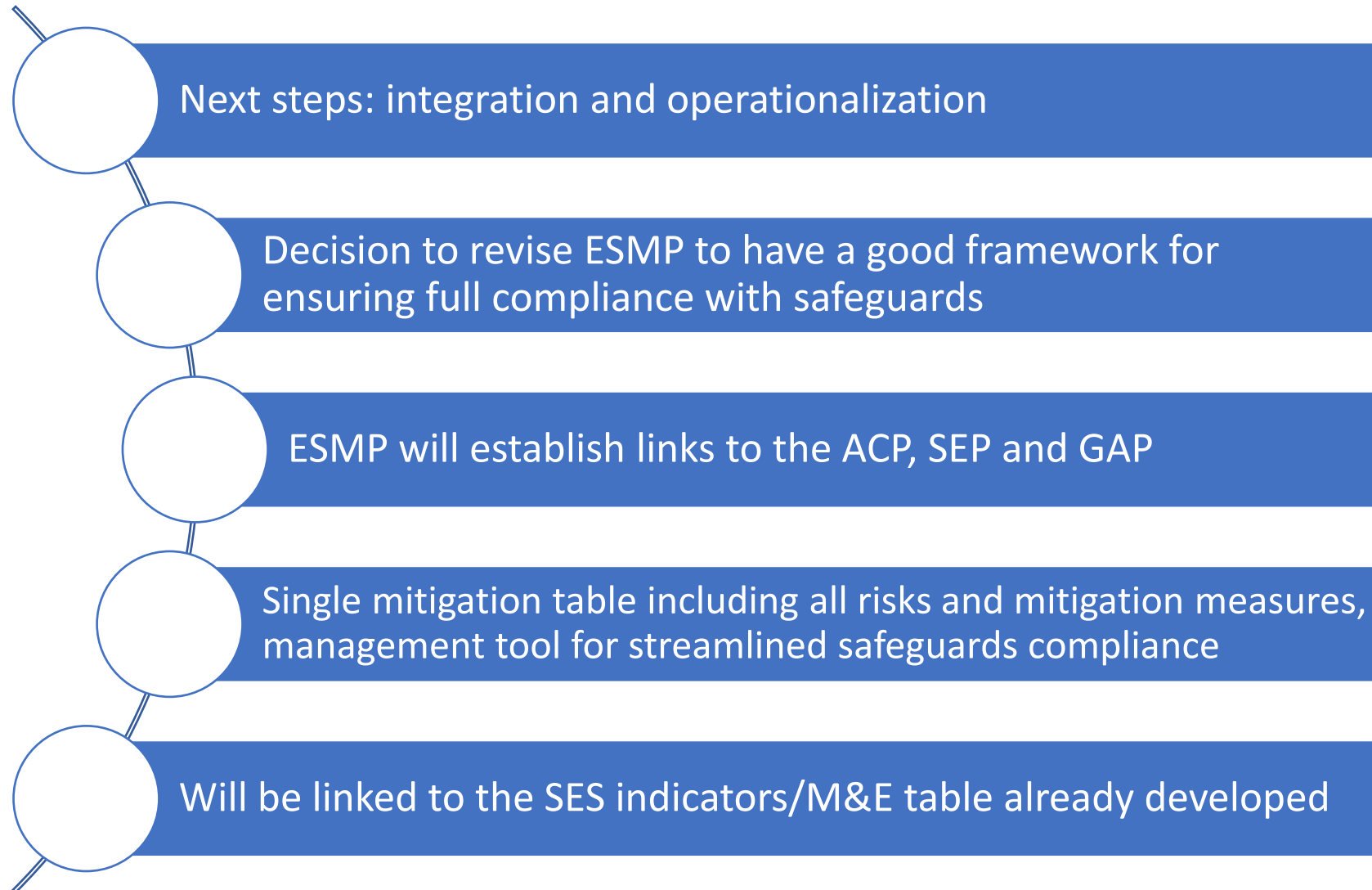
- Has a good review of existing grievance mechanisms
- Recommendation to develop grievance mechanism for forestry and environmental issues from local to national level
- Recommendation to develop project-specific grievance mechanism
- How realistic is this, and is it really needed?

Main concerns

ESMP

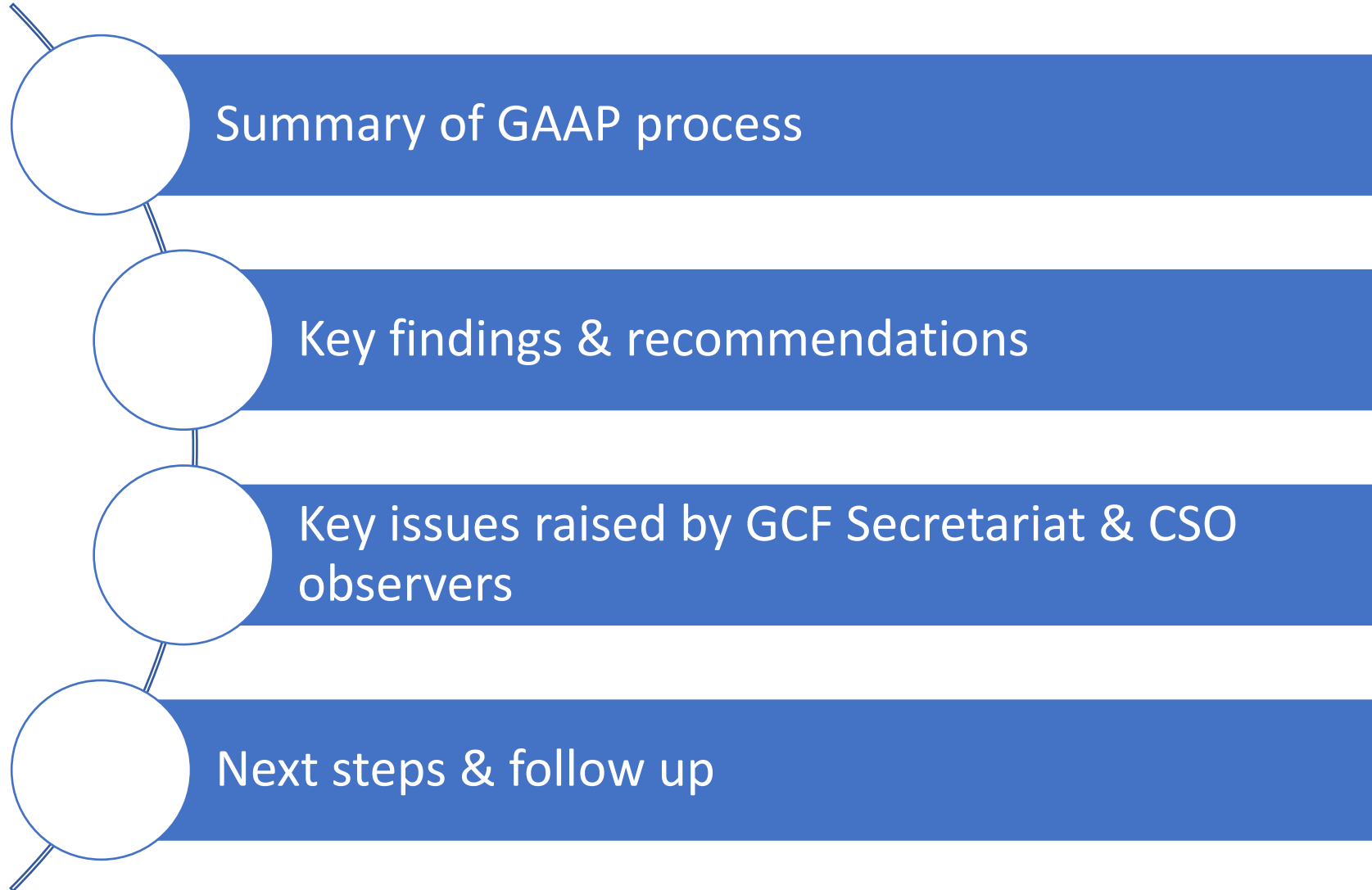
- Applies a traditional AMDAL approach of construction phases, etc
- Refers to SEP and GRM but only very superficially
- Does not provide the appropriate framework or convincing argument on how environmental and social safeguards will be implemented

Draft ESMP, SEP-GRM, ACP and updated GAP




Gender Assessment & Action Plan (GAAP)

Overview




Summary of GAAP Process (During Funding Proposal Stage)


Undertook gender assessment (review of national policies & studies, lessons learned & good practices from GoI, donor agencies & multilateral organizations)



Identified gender gaps & developed corresponding recommendations & mitigation measures (consistent with UNDP's SES & national priorities)



Developed Gender Action Plan (GAP) to address gender gaps, mitigate potential risks & promote gender-responsive approach



Ensured consistency in analysis, findings & mitigation measures between the GAP & ESMF

Limitations of GAAP Process

GAAP based solely on desk review

Limited consultation with state & non-state stakeholders (e.g. women, youth, indigenous people)

Lack of gender baseline data

Lack of data available on key topics, such as women's time use & DBV

Only a preliminary assessment, which needs to be revised

GAAP Key Findings



Gender inequalities are faced by women & other marginalized groups around of REDD+ thematic areas (e.g. national PLRs, decision-making processes, agricultural production, forest use, land tenure, education)

Women have less access to extension or capacity-building activities related to agriculture and forestry, as participation is usually limited to household heads or community leaders

SIS-REDD+ currently does not contain any reference to gender, either in its principles, criteria, indicators, or tool (in 2019-2020)

Lack of gender-sensitive and sex-disaggregated baseline data (e.g. on land tenure, value chains, women's time use, violence against women, etc.)

GAAP Recommendations

Data Needs

- Undertake field-based data-collection to contextualize gender analysis at local level
- Collect gender disaggregated data in REDD+ implementation to establish adequate baseline & measure progress towards targets

Resource / Support Needs

- Hire national gender consultant to support project & backstop gender focal points of MoF & MoEF
- Build capacity of MoF & MoEF gender support staff to mainstream gender in project
- Encourage political commitment toward gender mainstreaming

Stakeholder Engagement

- Involve stakeholders, particularly women, in decision-making processes, including on use of proceeds
- Increase efforts to promote women's active involvement
- Support subnational level stakeholders to effectively implement national level gender equitable policies

Summary: GCF & CSO comments

Promote active inclusion of non-state actors who work on gender equality & women's empowerment issues

Provide clear plans on how RBPs will be equitably administered & integrate gender given existing gender inequalities in communities, etc.

Assess what is the potential for violence against women to increase with an anticipated increased participation rate of women in project activities

Assess whether project will have an adverse impact on women's time use and increase women's time burden

Need of ensuring gender integration in FPIC & grievance redress processes

Promote all benefit-sharing arrangements fully integrate a gender perspective

Next Steps & Follow up

- Revise GAP during ESMP/ACP/SEP process.
 - Ensure revision fulfils preliminary GAAP recommendations & addresses GCF & CSO comments
 - Ensure consistency between revised GAP & ESMP, ACP and SEP
- Ensure gender approach integrated into ESMP, ACP and SEP
- Validation of revised GAP with state & non-state stakeholders, including those more marginalized, such as women, youth, indigenous, people, etc.



Next steps

Estimated Timeline: ESMP

ESMP with sections on GAAP, SEP and GRM

- 11 July - 11 August:
 - Public disclosure in IEF and UNDP Indonesia's websites
 - Submit to UNDP Global Safeguards for internal clearance
- 12 – 18 August: Finalize changes
- 19 August: Submission to GCF
- 20 August onwards: Operationalization

Estimated Timeline: ACP

Adat Community Plan

- 1 August – 1 September
 - Public disclosure in IEF and UNDP Indonesia's websites
 - Submit to UNDP Global Safeguards for internal clearance
- 2 – 9 September: Finalize changes
- 14 September: Submission to GCF
- 15 September onwards: Feedback from GCF

Terima Kasih

