

## Annex 12 Environmental and Social Action Plan

Summary of risks	Mitigation measures*	Risk significance	Responsible party/person	Schedule	Expected results	Cost/Budget
<p>1. Environment (protected area):</p> <p>Some existing and proposed protected areas are located in and adjacent to the target watersheds. Although the project activities such as PLUP, CF promotion, and climate resilient agriculture, would contribute to protection and sustainable management of existing forests in the watersheds, due attention should be paid to the government regulations (Decree Law 05/2016) on protected area management to prevent any damage to the ecosystem.</p>	<p>1. Enhancement of communities' understanding of the rules on protected area management (Decree Law 05/2016) in the discussions on the village regulations in PLUP, which is a part of the activities in the stakeholder engagement plan (SEP) shown in Attachment-1 of this annex.</p> <p>2. Ensuring of i) development of a future land use plan considering the conservation of the protected area and ii) incorporation of the rules and regulations on management of the ecosystems in the village regulations in PLUP</p> <p>3. Monitoring of compliance of villagers with the future land use plan and village regulations along with the enhancement of local governance as described in the stakeholder engagement plan (SEP) shown in Attachment-1 of this annex.</p>	Level: No-minimal	Local leaders and communities NGOs hire for Activities 1.1.1 and 1.2.1 MAF Municipal and Central Project Monitoring Teams P.A-level coordinating platforms TET	<p>1. &amp; 2. PLUP including the formulation of a future land use plan and village regulations will be carried out in the target villages in the four watersheds in the initial 4 years.</p> <p>3. Monthly monitoring meetings will be regularly held at the target villages in the four watersheds for at least 2 years after a set of village regulations is put in place. Hence, protection of the protected areas by using the village regulations is scheduled from 2<sup>nd</sup> year to 7<sup>th</sup> year.</p>	No or minimal impact on protected areas is foreseen.	All the mitigation measures are part of the project activities proposed in the respective Activities. Measures 1 and 2 are those of PLUP of Activity 1.1.1, while Measure 3 is the main activity of Activity 1.2.1. Thus, no additional cost is required for the proposed migration measures.
<p>2. Social conflict</p> <p>Activity 2.1.1 will directly benefit 120 families (30~90% of families) in a village during the project. Those who are not engaged in Activity 2.1.1 might have a feeling of inequality.</p>	<p>1. Ensuring of villagers' understanding that similar support would be provided by MAF officials even after the project in the planning stage</p> <p>2. Development of a benefit sharing scheme, e.g., seed bank, at the target villages so that other communities could benefit from the project outputs</p> <p>3. Enhancement of MAF field</p>	Level: No-minimal	Local leaders and communities NGOs hire for Activities 1.1.1 and 1.2.1 MAF Municipal and Central Project Monitoring Teams MAF field officials TET	<p>1. The planning of community-based adaptation measures, such as climate resilient agriculture, will be undertaken after the conduct of PLUP. Hence, this activity will be carried out in the initial 4 years.</p> <p>2. Possible benefit sharing mechanism will be discussed and examined in the course of the implementation of Activity 2.1.1, which will be implemented from the 2<sup>nd</sup> to 6<sup>th</sup> years.</p> <p>3. The capacity building activities for</p>	Ditto	All the mitigation measures are part of the project activities proposed in the respective Activities. All Measures, Measures 1 to 4, are contained in Activities 1.1.1, 2.1.1, 2.4.1, and 1.2.1, respectively.

	<p>officials' capacity to conduct similar activities at village level</p> <p>4. Introduction and enhancement of local communities' awareness of the Grievance Redressal Mechanism (GRM) developed/introduced for the project, which is shown in Attachment-2 of this annex.</p>			<p>MAF field officials, Activity 2.4.1 will be carried out from the 1<sup>st</sup> to 6<sup>th</sup> years.</p> <p>4. GRM will be introduced in the planning process of PLUP, which will be implemented in the initial 4 years. Additionally, the awareness of GRM among local communities will be enhanced in the monthly meetings held at village level under Activity 1.2.1 from 2<sup>nd</sup> year to 7<sup>th</sup> year.</p>		<p>Thus, no additional cost is required for the proposed migration measures.</p>
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\*The potential risks and proposed mitigation measures in this ESAP will be monitored as described in the monitoring plan shown in Attachment-3.

Source: JICA (2020)

**Attachment-1: Stakeholder Engagement Plan**

Local communities will be fully involved in the project activities as key players in the respective project activities. The local stakeholder engagement plan is shown below.

**Local Stakeholder Engagement Plan**

Type of Stakeholder	Activities	Measures of engagement	Participants
Local people of target villages of Component 1	1.1.1 Formulation of village regulation, PLUP, and CCVA	Initial consultation meeting with village leaders and local communities in target villages	Local leaders and other villagers
		Formulation of a working group composed of the members of village council, representatives from women, and other vulnerable groups	Local leaders such as village chiefs, youth group leaders, elders, traditional leaders, representatives from sub-villages (women and men), representatives from women and vulnerable groups
		Conducts of a series of workshops and meetings for formulation of a future land use plan and village regulations	Ditto
		Conducts of a series of consultation meetings with other villagers at sub-village level to introduce the draft village regulation, future land use plan, and community-based adaptation plan prepared by the working group through PLUP	all villagers in the village
	1.2.1 Enhancement of local governance	Organization of monthly meetings with the members of village council at village level to discuss any issues/ problems occurring in the village and how to solve/ settle such issues/ problems using the village regulations	Local leaders such as village chiefs, youth group leaders, elders, traditional leaders, representatives from sub-villages (women and men), representatives from vulnerable groups
		Organization of quarterly meetings with other villagers at sub-village level to share the results of the monthly meetings and obtain feedback on the village regulations from other villagers	all villagers in the village
Local people of target villages of Component 2	2.1.1 Improvement of local livelihood resilience and reduction of climate change vulnerability	Conduct of a series of meetings/ workshops for selection and prioritization of potential adaptation measures to be introduced in each village	Local leaders such as village chiefs, youth group leaders, elders, traditional leaders, representatives from sub-villages (women and men), representatives from vulnerable groups
		Consultation on selection of participants in hands-on training on selected adaptation measures, such as climate resilient agriculture, in sub-villages	All villagers
		Conduct of a series of hands-on training on climate change adaptation measures with the participation of female and male members at sub-village level	A total of 120 villagers, of which more than 40% are women, will be selected in each village.
		Conduct of meetings and workshops for participatory planning, monitoring, an evaluation of the hands-on training on climate change adaptation measures	Village leaders and those who participate in the hands-on training courses
	2.3.1 formulation of forest management plan	Consultation on development of forest management plan and forest management agreement, finalization of the draft plans Exchange agreements	Local leaders and other villagers
		Formulation of a working group composed of village leaders, representatives from sub-villages (women and men), households who have used forests, and representatives from women and other vulnerable groups	Local leaders such as village chiefs, youth group leaders, elders, traditional leaders, representatives from sub-villages (women and men),

Type of Stakeholder	Activities	Measures of engagement	Participants
			representatives from vulnerable groups
		Conducts of a series of workshops and meetings for formulation of a forest management plan	ditto
Local leaders and Post-administrative officers concerned with the target watersheds	1.3.1 Establishment and operation of watershed management councils	Organization of an initial consultation meeting with Post-administrative officers and village chiefs of villagers concerned on the establishment of a post-administrative-level platform.	Post administrative officers, Community development officers of P.A., Village chiefs of villages concerned with P.A.
		Conducts of a series of meetings and workshops for development of by-laws on the platform, selection of members of the platform, determination of roles and responsibilities of the members, and development of a management plan	Ditto
		Organization of quarterly meetings of the platform to discuss any issues on forest and natural resource management in the localities and determine the necessary actions to be taken for sustainable natural resource management in the areas	Ditto

Source: JICA (2020)

## Attachment-2: Grievance Redressal Mechanism (GRM)

The grievance redress mechanism (GRM) of the proposed project is outlined below.

### Outline of Grievance Redress Mechanism proposed for the Project

Outline	Descriptions
Goal	<ul style="list-style-type: none"> <li>■ To reduce any negative environmental and social impacts arising from the implementation of the proposed project by taking mitigation and remedial measures in a timely manner.</li> </ul>
Objectives	<ul style="list-style-type: none"> <li>■ To enable affected and/or potentially affected people to file complaints/ grievance to DGFCIP/NDFWM and JICA;</li> <li>■ To enable DGFCIP/NDFWM, MAF Municipal offices, and JICA to properly and effectively assess complaints and grievance;</li> <li>■ To enable DGFCIP/NDFWM, MAF Municipal offices, and JICA to take necessary remedial and mitigation measures; and</li> <li>■ To enable DGFCIP/NDFWM, MAF Municipal offices, and JICA to monitor and evaluate the effectiveness of the remedial and mitigation measures taken.</li> </ul>
Scope	<ul style="list-style-type: none"> <li>■ GRM should accept complains/ issues on negative impacts arising from the project implementation on local livelihoods, human rights, living standards of local communities and natural environment in the target villages. Any allegation of corruptions or criminal acts will be filed to the relevant authorities but not to the GRM established for the proposed project.</li> </ul>
Responsible body	<ul style="list-style-type: none"> <li>■ DGFCIP/NDFWM shall form a special team for GRM with technical assistance from TET.</li> <li>■ The head of the special team shall be Director of the Department of Watershed and Coastal Management of NDFWM or other relevant department under DGFCIP, such as Department of Community Forestry.</li> <li>■ Members of the special team shall be composed of other relevant departments of NDFWM, NDNC, and NDCIP as well as the Forest Department of the MAF municipal offices concerned.</li> <li>■ TET shall be involved in the operations and management of the special team especially in the initial few years to help the special team properly and efficiently assess, investigate, and address complaints from AP/PAP in a timely manner.</li> </ul>
Procedures for receiving, recording, and handling complaints	<p>The proposed procedures for handling complaints/ grievance from affected and/or potentially affected people (AP/PAP) in the project are illustrated below.</p> <pre> graph TD     AP_PAP[AP/ PAP] -- Feedback --&gt; Village_Leaders[Village Leaders]     AP_PAP -- Complaints --&gt; NGOs[NGOs]     AP_PAP -- Complaints --&gt; MAF_Officers[MAF Officers]     Village_Leaders -- Feedback --&gt; Monthly_meeting[Monthly meeting]     NGOs -- Reporting --&gt; Monthly_meeting     MAF_Officers -- Reporting --&gt; MAF_municipal_office[MAF municipal office]     Monthly_meeting -- Reporting --&gt; MAF_municipal_office     MAF_municipal_office -- Reporting --&gt; DGFCIP_Special_Team[DGFCIP Special Team for GRM]     DGFCIP_Special_Team -- Preliminary response --&gt; Step_2[2. Assessment and registration]     Step_1[1. Receipt of grievance] -- Reporting --&gt; Step_2     Step_2 --&gt; Step_3[3. Investigation of grievance]     Step_3 --&gt; Step_4[4. Response to grievance]     Step_4 --&gt; Step_5[5. Monitoring and evaluation]     Step_5 --&gt; Step_6[6. Closing of grievance]     Step_4 -- Final response --&gt; AP_PAP     Step_6 -- Feedback on the remedial action taken --&gt; AP_PAP   </pre> <p><b>Proposed Procedures of GRM of the Project</b>  <i>Source: JICA (2020)</i></p>
Pre-information of the project-based GRM to local communities	<ul style="list-style-type: none"> <li>■ After establishment of the special team and determination of the process of GRM, DGFCIP, DNFWM, and MAF municipal officers concerned, specially the Central and Municipal Project Monitoring Teams, shall explain to local communities in the target villages the propose GRM, namely its aims, mechanism, process, and expected outputs, and communities' rights to make complaints, when starting Activity 1.1.1.</li> <li>■ The Project Monitoring Teams shall introduce, but not limited to, the following: <ul style="list-style-type: none"> <li>• Objectives of the project-level GRM (What the purpose of the GRM is);</li> </ul> </li> </ul>

Outline	Descriptions
	<ul style="list-style-type: none"> <li>• Target groups of the project-level GRM (Who can use the GRM);</li> <li>• How to make and file complaints (Where, when, and how community members can file complaints);</li> <li>• Process of receiving their complaints and actions to be taken after receipt (What will happen after filing complaints);</li> <li>• Persons/ organizations responsible for processing their complaints and taking actions (Who is responsible for receiving and responding to complaints); and</li> <li>• Communities' rights to be protected and safety of AP/PAP who make complaints</li> </ul> <p>■ After introduction and explanation of the GRM in the 1st consultation of PLUP (or Activity 1.1.1 at the respective target villages, the process and procedures of the GRM with the results will be re-introduced to local communities when the annual evaluation meetings of PLUP are held at the respective villages, so that local leaders and communities are reminded of the GRM.</p>
Preparation and issuance of leaflet of the GRM and distribution of the leaflet/ poster	<p>■ Prior to the field introduction of the project-level GRM, a simple leaflet of the GRM shall be prepared and issued in local language for distribution of the same to local communities in the introductory meeting.</p> <p>■ The leaflet/ poster shall be posted on bulletin board of village and sub-village offices so that local people are aware of the GRM and its process.</p>

Source: JICA (2020)

Key steps and activities in the procedures of the GRM are described below.

### Steps and Activities in the GRM at the Project Level

Actions	Brief description of the actions	Responsibility	Timing
Step 1: Receipt of grievance	<p>■ Any villager who have complaints about the project could file complaints through village leaders, NGOs working for Activities 1.1.1~1.2.2, 2.1.1 and 2.3.1, and MAF field officials (e.g., extension officers).</p> <p>■ Village leaders and NGOs who receive complaints shall report the complaints to MAF Monitoring Teams directly or in the monthly meetings held in Activity 1.2.1.</p> <p>■ MAF Monitoring Teams shall prepare the grievance document filling up the format of grievance by an interview to a/ complainant/s. The information covered by the format shall include, but not limited to, the following:</p> <ul style="list-style-type: none"> <li>➢ Personal information on complainants (name, age, sex, address, ID &amp; telephone number, organization if applicable);</li> <li>➢ Summary of complaints (Events/ activities causing complaints, consequent damage or potential damage, affected or potentially affected people, etc.); and</li> <li>➢ Recommended actions and expected resolutions.</li> </ul> <p>■ MAF Monitoring Teams shall submit the grievance report to the special team for GRM under DGFCIP immediately after receipt of the complaints.</p> <p>■ If any third party representing affected/ potentially affected person/s submits complaints, the third party is required to submit a proxy letter with signature of APs/PAPs with the complaints.</p>	<p>Village leaders, NGOs, MAF field officials, and Municipal Project Monitoring Team will be the potential receivers of complaints.</p> <p>MAF Municipal and Central Monitoring Teams will prepare and submit the grievance document with interviews to a/ complainant/s.</p>	When any complaints arise
Step 2: Assessment and Registration of grievance	<p>■ The special team for GRM under DGFCIP shall review the grievance report to assess the severity of complaints.</p> <p>■ In case the special team judges that the complaints are qualified for registration, the team in consultation with National Director of NDFWM and DGFCIP shall assign the focal person or party to address the complaints.</p> <p>■ The special team shall record the grievance in the grievance log matrix (excel database) so that the team could track the status of the complaints.</p>	<p>The special team under DGFCIP shall review the report and evaluate the complaints.</p> <p>The special team shall record the complaints in the grievance log matrix.</p> <p>MAF Municipal and</p>	Within 7 business days from the receipt of the grievance report

Actions	Brief description of the actions	Responsibility	Timing
	<ul style="list-style-type: none"> <li>■ The special team through the Monitoring Teams shall notify the receipt of the grievance with results of an initial assessment to the complainant/s.</li> <li>■ The receipt of the grievance shall also be placed on the bulletin board of the MAF municipal office concerned.</li> </ul>	Central Monitoring Teams will notify the receipt of the grievance to the complainant/s.	
Step 3: Review and investigation of the complaints	<ul style="list-style-type: none"> <li>■ The focal person/ party assigned in collaboration with the MAF Monitoring Teams will visit the village or the site to observe the situations and interview the complainants and other persons concerned for investigation of the complaints.</li> <li>■ After the field investigation, the focal person/ party and the special team under DGFCIP will figure out the possible solution with careful consideration of local custom, gender equality, government regulations and policies, experiences in the past, and potential outcomes.</li> </ul>	<p>Focal person/ party with the special team and MAF Municipal Monitoring Team will conduct a field investigation.</p> <p>Focal person/ party with the special team will figure out the possible solution.</p>	After acknowledgement to complainant
Step 4: Response to grievance	<ul style="list-style-type: none"> <li>■ The MAF Monitoring Teams shall notify the results of the investigation to the complainants and make an agreement on the solution measures proposed by the special team under DGFCIP.</li> <li>■ The solution measures will be undertaken by the relevant parties, namely MAF officials, NGOs, local authorities, and local communities according to the agreement.</li> <li>■ The results of the investigation and the agreement made between MAF and the complainants will be shared with village leaders and other communities in the monthly meetings held in Activity 1.2.1 and posted on the bulletin board of the MAF municipal office.</li> </ul>	MAF Municipal Monitoring Team will notify the results of the investigation and proposed solution to the complainant/s and share the results with village leaders in the monthly meetings.	Within 30 business days from grievance receipt
Step 5: Monitoring & Evaluation	<ul style="list-style-type: none"> <li>■ The Municipal Monitoring Team will monitor the situations after undertaking the solution measures.</li> <li>■ The Municipal Monitoring Team will report the results of monitoring in the monthly meetings held in Activity 1.2.1 and submit a simple monitoring report to Director of MAF Municipal office and the special team under DGFCIP.</li> <li>■ Once the situations are improved and complaints are fixed, the special team under DGFCIP shall keep the results in the grievance log matrix.</li> <li>■ JICA represented by its TA will conduct the post-evaluation of grievance cases and extract lessons to improve project implementation.</li> </ul>	<p>MAF Municipal Monitoring Team will monitor the situations from time to time and report the results to village leaders in the monthly meetings and DGFCIP.</p> <p>TET will conduct the post evaluation of the complains.</p>	Every month after agreement between the complainant/s and the special team under DGFCIP.

Source: JICA (2020)

### Attachment-3: Draft Monitoring Plan

Environmental monitoring and reporting will be part of the tasks of the MAF Monitoring Teams to ensure that no potential environmental and/or social impacts will be caused by the project activities. The Environmental and Social Action Plan (ESAP) will be used as the guidelines for the MAF Monitoring Teams to check if the proposed counter measures against the potential environmental and social impacts will be carried out in a proper manner. When the MAF Monitoring Teams have opportunities to attend the village-level meetings and training activities organized by Activities 1.1.1, 1.2.1, 2.1.1 and 2.4.1, the MAF Monitoring Teams will monitor the compliance of the hired NGOs and local communities in the target villages with the ESAP. The table below suggests the environmental monitoring plan, especially for monitoring of the ESAP.

**Draft Environmental Monitoring Plan**

Items	Parameters	Location	Method	Frequency	Responsibility
Protected area	Communities' understanding of the rules on protected area management (Decree Law 05/2016)	Target villages located in and around protected areas	Observation of the meetings in Activities 1.1.1 and 1.2.1	Monthly	MAF Municipal Monitoring Teams
	Future land use plan and village regulations		Confirmation of the future land use plans and village regulations of the villages	Once after PLUP	MAF Central Monitoring Teams
	No. of cases of illegal cutting, forest fires, and animal free grazing		Observation of the monthly monitoring meetings in Activity 1.2.1	Monthly	MAF Municipal Monitoring Teams
Social conflicts	Any direct or indirect impact on economy	Target villages and watershed management councils in and around protected areas	Observation of the meetings in Activities 1.1.1, 1.2.1, and 1.2.2	Monthly	Extension officers, Municipal Project Monitoring Team
	Benefits sharing schemes developed in the villages	Target villages located in and around protected areas	Observation of the evaluation meetings of Activity 2.1.1  Interviews to village leaders	Annually  Occasionally	MAF Municipal Monitoring Teams
	No. of grievance given by local communities		Observation of the meetings in Activities 1.1.1 and 1.2.1	Monthly	MAF Municipal Monitoring Teams

Source: JICA (2020)