

# Community Development Framework

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Draft

Project Number: 55020-001  
August 2022

## Indonesia: Infrastructure Improvement for Shrimp Aquaculture Project

Prepared by the Ministry of Marine Affairs and Fisheries for the Asian Development Bank.

## ABBREVIATIONS

ADB	–	Asian Development Bank
AH	–	Affected Household
AMA	–	Aquaculture Management Area
AMAN	–	<i>Aliansi Masyarakat Adat Nusantara</i> (Indigenous Peoples Alliance of Archipelago)/NGO
AP	–	Affected Person
BAPPENAS	–	<i>Badan Perencanaan Pembangunan Nasional</i> (Ministry of National Development Planning)
BBPBAP	–	<i>Balai Besar Pengembangan Budidaya Air Payau</i> (Main Center for Brackish water Aquaculture Development)
BBPBL	–	<i>Balai Besar Perikanan Budidaya Laut</i> (Main Center for Marine Aquaculture Development)
BPBAP	–	<i>Balai Pengembangan Budidaya Air Payau</i> (Center for Brackish water Aquaculture Development)
BPKIL	–	<i>Balai Pemeriksaan Kesehatan Ikan dan Lingkungan</i> (Center for Investigation of Fish Health an Environment)
BPN	–	<i>Badan Pertanahan Nasional</i> (National Land Affairs Agency)
CBO	–	Community-based Organizations
CDP	–	Community Development Plan
CDF	–	Community Development Framework
CRC	–	Cooperative Research Center
DDR	–	Due Diligence Report
DMS	–	Detailed Measurement Survey
EA	–	Executing Agency
EMA	–	External Monitoring Agency
GAR	–	Grant Assistance Report
GEF	–	Global Environment Facility
GRC	–	Grievance Redress Committee
GRM	–	Grievance Redress Mechanism
HSRT	–	<i>Hatchery Skala Rumah Tangga</i> (Household Scale Hatchery)
IA	–	Implementing Agency
IISAP	–	Infrastructure Improvement for Shrimp Aquaculture Project
INDOGAP	–	Indonesian Good Aquaculture Practices
IOL	–	Inventory of Losses
IP	–	Indigenous Peoples
IPP	–	Indigenous Peoples Plan
IPPF	–	Indigenous Peoples Planning Framework
KPA	–	Kuasa Pengguna Anggaran (Proxy of Budget User)
KUR	–	Kredit Usaha Rakyat (People's Business Credit)
LAR	–	Land Acquisition and Resettlement
MBC	–	Multi Brood stock Center
MMAF	–	Ministry of Marine Affairs and Fisheries
NBC	–	Nucleus Breeding Center
PIU	–	Project Implementation Unit
PMC	–	Project Management Consultant
CPMU	–	Central Project Management Unit
PPK	–	Pejabat Pembuat Komitmen (Commitment-making Officer)
POKDAKAN	–	Kelompok Pembudidaya Ikan (Fish Cultivator Group)

POKLINA	–	Kelompok Pengelola Irigasi Perikanan (Fisheries Irrigation Management Group)
PSIA	–	Poverty and Social Impact Assessment
RPJMN	–	Rencana Pembangunan Jangka Menengah Nasional (National Medium-term Development Plan)
RTC	–	Regional Technical Consultant (RTC)
SADP	–	Sustainable Aquaculture Development Plan
SES	–	Socio-economic Survey
SIA	–	Social Impact Assessment
TPP	–	Tim Penanganan Pengaduan (Grievance Redress Committee)
TRTA	–	Transaction Technical Assistance
UPT	–	Unit Pelaksana Teknis (Technical Implementing Unit)
WWTP	–	Wastewater Treatment Plant

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## DEFINITION OF TERMS

<b>Affected Person (AP)</b>	Means any person or persons, household, firm, private or public institution that, on account of changes resulting from the project, will have its (i) standard of living adversely affected; (ii) right, title or interest in any house, land, water resources or any other moveable or fixed assets acquired, possessed, restricted or otherwise adversely affected, in full or in part, permanently or temporarily; and/or (iii) business, occupation, place of work or residence or habitat adversely affected, with or without displacement. APs residing under one roof and operating as a single economic unit are collectively referred to as an affected household (AH).
<b>Ancestral Domains</b>	Means the territory, economic resources, and governance of ethnic groups and Indigenous Peoples. Ancestral lands are those under claim of ownership by indigenous communities that they have occupied and used continuously for several generations up to the present to fulfill material and cultural needs, even when such occupation or use has been interrupted by war, displacement by force, deceit, stealth, or as a consequences government projects and other voluntary dealings entered by government and private individuals/corporations.
<b>Community</b>	Refers to location sites of IISAP that will be implemented in many provinces of Indonesia.
<b>Community Development</b>	Is a process where community members come together to generate solutions to and take collective action on the common problems of the community.
<b>Community Development Framework</b>	A development framework that provides the procedures, key principles and requirements for social impact assessment, consultations with local community, preparation, and implementation of community development plan by the project in compliance with the ADB's SPS (2009) and relevant regulations of the Government of Indonesia.
<b>Community Development Plan</b>	Refers to a time-bound action plan with identified benefits and impacts of the project or program to the community, agreed beneficial measures and impact management; consultation with and participation of community in the impact assessment and implementation of beneficial measures and impact management, responsibilities of relevant agencies, implementation schedule, budget, and monitoring.
<b>Detailed Measurement Survey (DMS)</b>	With the use of approved detailed engineering drawings, this activity involves the finalization and/or validation of the results of the IOL, severity of impacts, and list of APs done during preparing of the resettlement plan. The final cost of resettlement is determined following completion of the DMS.
<b>Fish Cultivator Group</b>	Fish Cultivator Group ( <i>Kelompok Pembudidaya Ikan, POKDAKAN</i> ) is a collection of fish cultivators formed and growing on the basis of a common interest with mutual trust, harmony and intimacy to work together in order to utilize resources, develop businesses, funds, to improve the welfare of its members.

<b>Indigenous Peoples</b>	<p>ADB Safeguard Policy Statement 2009 Indigenous Peoples Safeguards (p. 18):</p> <p><i>“The term Indigenous Peoples is used in a generic sense to refer to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees: (i) self-identification as members of a distinct indigenous cultural group and recognition of this identity by others; (ii) collective attachment to geographically distinct habitats or ancestral territories in the project area and the natural resources in these habitats and territories; (iii) customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and (iv) a distinct language, often different from the official language of the country or region. In considering these characteristics, national legislation, customary law, and any international conventions to which the country is a party will be taken into account. A group that has lost collective attachment to geographically distinct habitats or ancestral territories in the project area because of forced severance remains eligible for coverage under this policy.”</i></p>
<b>Inventory of Losses</b>	<p>This is the process where all fixed assets (i.e., lands used for residence, commerce, agriculture, including ponds; dwelling units; stalls and shops; secondary structures, such as fences, tombs, wells; trees with commercial value; etc.) and sources of income and livelihood inside the project right-of-way are identified, measured, their owners identified, their exact location pinpointed, and their replacement costs estimated. Additionally, the severity of impact to the affected assets and the livelihood and productive capacity of affected persons will be determined.</p>
<b>Involuntary resettlement</b>	<p>Refers to when displaced people have no right to refuse land acquisition by the state that result in their displacement which occurs when land is acquired through (i) expropriation by invoking the eminent domain power of the state, or (ii) land is acquired through negotiated settlement when the pricing is negotiated, and the failure will result in expropriation through invoking the eminent domain of power of the state.</p>
<b>Meaningful Consultation</b>	<p>A process that: (i) begins early in the project preparation stage and is carried out on an ongoing basis throughout the project cycle; (ii) provides timely disclosure of relevant and adequate information that is understandable and readily accessible to APs; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of APs and other stakeholders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues.</p>
<b>Shrimp Cultivation Cluster</b>	<p>Shrimp Cultivation Cluster, hereinafter referred to as Cluster, is a pond cultivation business with the concept of an area with shrimp commodities.</p>
<b>Severely Displaced Persons</b>	<p>Those who experience significant/major impacts due to (i) losses of 10% or more of their total productive land, assets and/or income sources due to the project; and/or (ii) relocation due to insufficient remaining residential land to rebuild.</p>

**Vulnerable groups**

These are distinct groups of displaced persons who are likely to be more adversely affected than others and who are likely to have limited ability to re-establish their livelihoods or improve their status and comprise of: (i) households living below the national poverty rate established by the Government of Indonesia, (ii) female headed households with dependents , (iii) disabled headed households with no other means of support, (iv) elderly headed households with no other means of support, (v) child headed households with no other means of support, (vi) landless households, (vii) those without legal title to land and (viii) ethnic minorities/indigenous peoples/customary communities.

**Wastewater Treatment Plant (WWTP)**

Wastewater Treatment Plant, hereinafter referred to as WWTP, is a water structure that functions to treat wastewater originating from shrimp farming activities.

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## EXECUTIVE SUMMARY

1. Indonesia is among the top five shrimp producers in the world, together with India, People's Republic of China, Thailand, and Vietnam,<sup>1</sup> and had a global market share of 7.1% in 2019.<sup>2</sup> Global shrimp production is expected to grow by more than 5.2% annually.<sup>3</sup> Indonesia is a top exporter of frozen seawater shrimps, but lags behind its peers in exports of freshwater shrimps, and fresh, salted, or smoked shrimps.<sup>4</sup> The main farmed shrimp species is the whiteleg shrimp (*Litopenaeus vannamei*) accounting for 80% of production, which is produced by large companies and around half of the smallholders.<sup>5</sup> The other half of the smallholders cultivates the tiger shrimp (*Penaeus monodon*) in an extensive way.<sup>6</sup> In 2019, Indonesia exported shrimp products equivalent to \$1.2 billion to the European Union, Japan, and United States.<sup>7</sup> The developed countries are increasingly monitoring the quality of shrimp imports for drug and chemical residues, environmental damage, and lack of transparency and traceability.<sup>8</sup> While the shrimp aquaculture potential is high, several barriers constrain its growth and sustainability. Smallholder farming profitability is constrained by the lack of economy of scale, limited access to finance, unsustainable farming infrastructure and practices, and low bargaining power with aggregators. The low level of certification of farmers, aggregators, and processors also limit the ability to properly trace products, further limiting international buyers' confidence. As the demand for sustainability grows, there is a need to shift toward responsible and transparent production and sourcing.

2. The Infrastructure Improvement for Shrimp Aquaculture Project (the project) will help the Ministry of Marine Affairs and Fisheries (MMAF) in introducing sustainable shrimp aquaculture and improving transparency, and traceability processes towards increased productivity, quality, profitability, and environment sustainability of smallholder's shrimp farming. The project will deliver an integrated investment addressing upstream, production, and downstream processes through infrastructure, capacity support to improve farming practices and post-harvest systems, and value chain strengthening in seven provinces. The project will deliver three outputs: (i) Output 1: quality and sustainable inputs production increased, (ii) Output 2: sustainable aquaculture infrastructure and services developed, and (iii) Output 3: shrimp aquaculture value chain strengthened.

3. The project targets seven (7) provinces considering the priorities set in the MMAF Aquaculture Masterplan 2020-2024. Output 1 will finance the development of a modern broodstock center and two multiplication centers to provide smallholders access to affordable and quality whiteleg shrimp broodstock.<sup>9</sup> Under this output the project will also finance construction, modernization, and climate and disaster proofing of seven laboratories under MMAF.<sup>10</sup> This is to control quality of broodstock and juveniles and water quality in production facilities. Under

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<sup>1</sup> J. Anderson et al. 2019. [Goal 2019: Global Shrimp Production Review](#). *Global Aquaculture Alliance*. 4 November.

<sup>2</sup> FAO. 2019. *Globefish Trade Statistics*. Rome.

<sup>3</sup> *Globe Newswire*. 2019. [Shrimp: The Future of the \\$45+ Billion Market, 2019-2024](#). 13 June.

<sup>4</sup> Mainly Asian tiger shrimp and whiteleg shrimp. Daniel Workman. [Big Export Sales for Frozen Shrimp](#). *World's Top Exports*.

<sup>5</sup> Whiteleg shrimp production uses semi-intensive or intensive technologies with substantial feed from feed mills, water control with pumps and aerators, high stocking rates, and purchase post-larvae from hatcheries.

<sup>6</sup> The conventional approach involves limited feed from feed mills and limited water control equipment, often cultivated together with milkfish; gets post-larvae from the ocean; and has low stocking rates.

<sup>7</sup> Government of Indonesia, Statistics Indonesia. 2021. Jakarta.

<sup>8</sup> From 2012 to 2017, the segment of sustainably sourced seafood in European markets grew by about 12% while demand for other seafood segments declined. H. Rubel et al. Boston Consulting Group. 2019. [A Strategic Approach To Sustainable Shrimp Production in Indonesia: The Case for Improved Economics and Sustainability](#).

<sup>9</sup> In Aceh Besar, Takalar, and Karangasem districts.

<sup>10</sup> In Aceh Besar, Pesawaran, Serang, Situbondo, Karangasem, and Takalar districts.

output 2, the project will upgrade farmers groups and five MMAF production facilities introducing a sustainable aquaculture model.<sup>11</sup> The five MMAF production facilities, to be constructed under this output, will serve as demonstration plots.<sup>12</sup>

4. The targeted farmer-owned facilities will be spread over 26 districts<sup>13</sup>The project will strengthen small scale hatcheries (HSRT) managed by small holders farmers and will support small holders farmers in upgrading their ponds and its associated infrastructure (irrigation canals, wastewater treatment plants (WWTP). The Project will also strengthen capacity of government staff, aquaculture farmers, cultivators, and the business communities in sustainable aquaculture.

5. The Project aims to avoid, or if not possible minimize, negative impacts as required by Asian Development Bank's (ADB's) Safeguard Policy Statement (SPS, 2009) and government laws and regulations. Some proposed infrastructures will be in government lands while investments in farmers' land will be based on the voluntary participation of the landowners following the community development approach. No transfer of land ownership will be required to the landowners. Consequently, the Project is categorized as C for Involuntary Resettlement as per the ADB's SPS (2009). If involuntary resettlement is identified in any future subprojects, MMAF will inform ADB, and project's classification will be updated.

6. To implement the community development approach for project's investment on farmers' land, the project prepared the Community Development Framework (CDF). The CDF provides the procedures, key principles and requirements for social impact assessment, consultations with local community, preparation and implementation of community development plan (CDP) by the project in compliance with the ADB's SPS (2009) and relevant regulations of the Government of Indonesia. This CDF has been prepared based on various consultations held with local people in the project sites, stakeholders, relevant government agencies, and civil society.

7. The objectives of the CDF are to: (i) avoid involuntary land acquisition and other negative impacts from the project activities on local people and communities; (ii) to guide for the implementation of project activities to comply with the prevailing regulations of the Indonesian Government and ADB's SPS principles; (iii) to foster participation and empowerment of the project beneficiaries in the project activities; (iv) to create a framework to encourage entrepreneurship at the communities of farmers in the village level; and (v) to improve the living standards of aquaculture farmers, especially the poor and vulnerable groups.

8. The Directorate General of Aquaculture (DGA), MMAF has also developed regulations in selection the farmers' groups and their location to be included in the Project. For project's investment on farmers' lands, the participating farmers' will be expected voluntarily allowing the project to use their land for project activities that directly bring benefit to them. The project locations should be clear from in any land dispute and conflicts and the land must be owned/managed by the selected shrimp farmers for the next 8 years for the Small-Scale Hatchery (*Hatchery Skala RumahTangga, HSRT*), and for 5 years for community shrimp aquaculture clusters.

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<sup>11</sup> This includes provision of inlet reservoir to stabilize water, wastewater treatment facility, canal and ponds upgrading, and replanting of mangroves in inlet and outlet canals to improve water quality.

<sup>12</sup> In Jepara, Tangerang, Pasuruan, Pinrang, and Takalar districts.

<sup>13</sup> These include Pidie, Bireun, Nagan Raya, Aceh Jaya, and Aceh Barat, and Pidie Jaya (Aceh Province); Lampung Timur, Lampung Selatan, and Tanggamus (Lampung Province); Serang, Banten Province; Jepara, Central Java Province (2 clusters); Situbondo, Sidoarjo, Gresik, and Tuban (East Java Province); Jembrana and Buleleng (Bali Province); Bone, Pangkep, Pinrang, Sinjai, Bulukumba, Wajo, Luwu, Takalar, and Barru (South Sulawesi Province).

9. A socio-economic survey (SES) to obtain baseline data on the project communities has been carried out in 16 villages of six sub-districts across four (4) districts. The average monthly household income and others SES data and information have been used to determine the poverty in the subproject areas. The SES data shows that there are households in subproject areas that are living below the national standard poverty line. The project will provide income opportunities and economic improvement among poor communities benefiting from the project.

10. The MMAF had established ministerial regulation for handling of complaints from the public. In addition, the project will develop a project level-specific grievance redress mechanism (GRM) by appointing Grievance Redress Committee (GRC) or, *Tim Penanganan Pengaduan (TPP)*, at the UPT level. The GRC will also be established in each UPT. The composition of the sub-district GRC will include representative from PIU (chair), the representatives of village authorities, consultant/technical team, shrimp farmer group, the *Masyarakat Hukum Adat* or Indigenous Peoples, if any, and local women association. The complainants can file their grievance to the UPT directly or to the ministry.

11. To ensure compliance with ADB SPS (2009) principles and requirements, external monitoring agency (EMA) will be recruited to evaluate and monitor the implementation of land contributions by the landowners to implement the subproject activities in the farmer's land. The EMAs will perform and prepare independent reports and submit to EA and ADB for review and disclosure.



## I. PROJECT BACKGROUND

1. Indonesia is among the top five shrimp producers in the world, together with India, People's Republic of China, Thailand, and Vietnam,<sup>1</sup> and had a global market share of 7.1% in 2019.<sup>2</sup> Global shrimp production is expected to grow by more than 5.2% annually.<sup>3</sup> Indonesia is a top exporter of frozen seawater shrimps, but lags behind its peers in exports of freshwater shrimps, and fresh, salted, or smoked shrimps.<sup>4</sup> The main farmed shrimp species is the white leg shrimp (*Litopenaeus vannamei*) accounting for 80% of production, which is produced by large companies and around half of the smallholders.<sup>5</sup> The other half of the smallholders cultivates the tiger shrimp (*Penaeus monodon*) in an extensive way.<sup>6</sup> In 2019, Indonesia exported shrimp products equivalent to \$1.2 billion to the European Union, Japan, and United States.<sup>7</sup> The developed countries are increasingly monitoring the quality of shrimp imports for drug and chemical residues, environmental damage, and lack of transparency and traceability.<sup>8</sup> While the shrimp aquaculture potential is high, several barriers constrain its growth and sustainability. Smallholder farming profitability is constrained by the lack of economy of scale, limited access to finance, unsustainable farming infrastructure and practices, and low bargaining power with aggregators. The low level of certification of farmers, aggregators, and processors also limit the ability to properly trace products, further limiting international buyers' confidence. As the demand for sustainability grows, there is a need to shift toward responsible and transparent production and sourcing.

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3. **Output 1: Quality and sustainability of inputs for shrimp production increased.** This output will finance the development of a modern broodstock center and two multiplication centers to provide small scale hatcheries access to affordable and quality whiteleg shrimp broodstock. The project will facilitate transfer of knowledge from the Oceanic Institute of Hawaii to MMAF in producing high quality genetic shrimp fry. To control quality of broodstock and juveniles, and water quality in production facilities, the project will finance construction, equipment, and climate and disaster proofing of seven laboratories under MMAF. All facilities will incorporate gender

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<sup>1</sup> J. Anderson et al. 2019. [Goal 2019: Global Shrimp Production Review](#). *Global Aquaculture Alliance*. 4 November.

<sup>2</sup> FAO. 2019. *Globefish Trade Statistics*. Rome.

<sup>3</sup> *Globe Newswire*. 2019. [Shrimp: The Future of the \\$45+ Billion Market, 2019-2024](#). 13 June.

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<sup>5</sup> Whiteleg shrimp production uses semi-intensive or intensive technologies with substantial feed from feed mills, water control with pumps and aerators, high stocking rates, and purchase post-larvae from hatcheries.

<sup>6</sup> The conventional approach involves limited feed from feed mills and limited water control equipment, often cultivated together with milkfish; gets post-larvae from the ocean; and has low stocking rates.

<sup>7</sup> Government of Indonesia, Statistics Indonesia. 2021. Jakarta.

<sup>8</sup> From 2012 to 2017, the segment of sustainably sourced seafood in European markets grew by about 12% while demand for other seafood segments declined. H. Rubel et al. Boston Consulting Group. 2019. [A Strategic Approach To Sustainable Shrimp Production in Indonesia: The Case for Improved Economics and Sustainability](#).

responsive and inclusive features.<sup>9</sup> The project will train MMAF staff in operating and maintaining these facilities. This output will also help small and medium seed suppliers to comply with national broodstock breeding protocols, good hatchery practices, and biosecurity and environment monitoring procedures. It will strengthen farmers capacity in producing their own feed aligned with the national fish feed self-sufficiency program (*Gerakan Pakan Mandiri* or GERPARI).<sup>10</sup>

4. **Output 2: Sustainable aquaculture infrastructure and services developed.** This output will support establishment and strengthening of farmers groups enabling smallholders, including women farmers, to consolidate their production facilities under a cluster approach. Local facilitators will support them in developing sustainable aquaculture development plans (SADPs) as the basis for investment in their respective clusters. The SADP will also help farmers to access credits and explore partnerships with the private sector. The project will upgrade traditional ponds introducing a sustainable aquaculture model. Selected MMAF production facilities will also be upgraded following this model as demonstration sites. The sustainable aquaculture model aims to increase production, while minimizing impact on the ecosystem. For each cluster, the project will (i) rehabilitate or upgrade as relevant associated infrastructure (canals, production roads, inlet reservoir, wastewater treatment facility, and access to the electricity grid);<sup>11</sup> and (ii) purchase equipment towards semi-intensive aquaculture production.<sup>12</sup> Farmers will plant and maintain mangrove trees in inlet and outlet canals and along the shoreline, to help improve water quality and reduce soil erosion.<sup>13</sup> This output will support MMAF in establishing O&M guidelines and upgrade its infrastructure registry information system to a full asset management information system for infrastructure lifecycle management. The project will strengthen farmers technical capacity, including women farmers, to adhere to the INDOGAP guidelines for environmentally and economically sustainable shrimp production.<sup>14</sup>

5. **Output 3: Shrimp aquaculture supply chain strengthened.** This output will build men and women farmers' capacity in food safety, handling and cold chain management, transformation, and marketing. Towards improved transparency, the project will facilitate registration of broodstock and feed suppliers, farms, aggregators, and processors into the INDOGAP system and transactions in the MMAF's STELINA. Towards a harmonized regulatory framework, the project will assist MMAF in preparing quality standards, and in reviewing and rationalizing regulations and incentive systems for sustainable aquaculture.<sup>15</sup>

6. **Approach.** The project will apply a sector approach in selecting farmers subprojects that are outside MMAF land.<sup>16</sup> To be financed under the project, these subprojects need to comply with the applicable selection criteria described in the Project Administration Manual (PAM) Section

<sup>9</sup> These include lactation rooms, separate male and female toilets, and separate male and female prayer rooms.

<sup>10</sup> A grant from the Global Environment Facility (GEF) is proposed to complement those activities by engaging feed suppliers in diversifying feed raw material to reduce reliance on fish wild catch and imported raw material, and improve tracking of shrimp feed.

<sup>11</sup> The project will promote fair water allocation among water users and include climate and disaster proofing, and gender responsive and inclusive features. The project will exclude clusters requiring land acquisition or resettlement.

<sup>12</sup> Equipment includes among others wastewater equipment, water pumping, paddle wheel, generator, liner, grower and finisher for shrimp feed, spiral and plastic hose, diluted oxygen and pH meters, refractor salinometer.

<sup>13</sup> This will contribute to the National Mangrove Rehabilitation program, with the goal of restoring 600,000 hectares of mangroves by 2024.

<sup>14</sup> Training programs will cover pond water quality, wastewater management, cleaning technology, feed management, disease and biosecurity management, financial literacy, and mangrove management.

<sup>15</sup> Under the proposed GEF grant, BAPPENAS will prepare a national action plan for shrimp aquaculture adopting an aquaculture management area approach including climate change mitigation and resiliency and conduct strategic coordination to institutionalize sustainable aquaculture development nationwide.

<sup>16</sup> Including canals, water treatment and production facilities outside MMAF land. A subproject is defined as a cluster of farmers within a hydraulic unit or tertiary block.

II. Implementation Plans (D. Selection and Approval of Subprojects). For each subproject, a sustainable aquaculture development plan (SADP) will be prepared following the template provided in the PAM. The project theory of change and approach and relevant technical guidelines are presented in the PAM.

7. **Project locations.** The project targets seven (7) provinces considered as priority under the Aquaculture Masterplan 2020-2024, MMAF. The proposed project sites for hatchery, laboratory, *Unit Pelaksana Teknis* (UPT) pond cluster are in Nangro Aceh Darusalam Province (Aceh Besar), Lampung Province (Pesawaran), Banten Province (Serang and Tangerang), Central Java (Jepara), East Java (Pasuruan and Situbondo), South Sulawesi (Takalar and Pinrang), and Bali (Karangasem). Each location is owned by *Balai Pengembangan Budidaya Air Payau (BPBAP) Ujung Batee*, *Balai Besar Perikanan Budidaya Laut (BBPBL) Lampung*, *Balai Pemeriksaan Kesehatan Ikan dan Lingkungan (BPKIL) Banten*, *Balai Besar Pengembangan Budidaya Air Payau (BBPBAP) Jepara*, *BPBAP Situbondo*, *BPBAP Takalar*, and *Balai Produksi Induk Udang Unggul & Kekerangan (BPIUUK) Karangasem* respectively. There are fifteen (15) UPT's infrastructures that will be developed and renovated, namely hatcheries (3), laboratories (7), and ponds (5).

8. The proposed project sites for small scale backyard hatchery, farmers cluster, irrigation canal, communal waste water treatment plant (WWTP) and pond upgrading, and value chain strengthening (workshops and trainings) are in 25 districts (26 site locations), the locations include:

- (i) 6 districts in Aceh Province (Pidie, Bireun, Nagan Raya, Aceh Jaya, and Aceh Barat, and Pidie Jaya).
- (ii) 3 districts in Lampung Province (Lampung Timur, Lampung Selatan, and Tanggamus).
- (iii) 1 district in Banten Province (Serang)
- (iv) 1 district in Central Java Province (Jepara, 2 clusters).
- (v) 4 districts in East Java Province (Situbondo, Sidoarjo, Gresik, and Tuban).
- (vi) 1 districts in Bali Province (Jembrana)
- (vii) 9 districts in South Sulawesi Province (Bone, Pangkep, Pinrang, Sinjai, Bulukumba, Wajo, Luwu, Takalar, and Barru).

9. The project sites are presented in Table 1 below per output and shown in Figure 1.

**Table 1: The Project Site of Output 1**

UPT	UPT's Laboratory	UPT's Hatchery	Partial HSRT (Nauplius)	Brood Stock HSRT (Spawner)
BPBAP Ujung Batee	Aceh Besar, Aceh Province	Aceh Besar, <sup>b</sup> Aceh Province	Pidie, Pidie Jaya, and Bireun in Aceh Province	-
BBPBL Lampung	Pesawaran, Lampung Province	-	Lampung Selatan, Lampung Province	Lampung Selatan, Lampung Province
BPKIL Serang	Serang, Banten Province	-	-	-
BBPBAP Jepara	Jepara, Central Java Province	-	-	-
BPBAP Situbondo	Situbondo, East Java Province	-	Situbondo and Tuban in East Java Province	Situbondo and Tuban in East Java Province
BPIUUK Karangasem	Karangasem, Bali Province	Karangasem, <sup>a</sup> Bali Province	-	-
BPBAP Takalar	Takalar, Sulawesi Selatan Province	Takalar, <sup>b</sup> Sulawesi Selatan Province	Barru, Pinrang, and Takalar in Sulawesi Selatan Province	Barru, Pinrang, and Takalar in Sulawesi Selatan Province

BPBAP = Balai Besar Pengembangan Budidaya Air Payau (Main Center for Brackish water Aquaculture Development), BPIUUK = Balai Produksi Induk Udang Unggul & Kekerangan (Broodstock Center for Shrimp and Mollusk) HSRT = Hatchery Skala Rumah Tangga (Household Scale Hatchery), UPT = Unit Pelaksana Teknis (Technical Implementing Unit).

<sup>a</sup> Multiplication Center.

<sup>b</sup> Broodstock center.

**Table 2: The Project Site of Output 2 and 3**

UPT	Output 2				Output 3
	MMAF Clusters	Farmer Cluster <sup>a</sup>	Irrigation Canal <sup>b</sup>	Communal WWTP and Pond Reconstruction <sup>d</sup>	Value Chain Strengthening
BPBAP Ujung Batee	-	Pidie, Bireun, Aceh Besar, Aceh Jaya, and Aceh Barat in Aceh Province	Pidie, Bireun, Aceh Besar, Aceh Jaya, and Aceh Barat in Aceh Province	Pidie, Bireun, Aceh Besar, Aceh Jaya, and Aceh Barat in Aceh Province	Pidie (270 farmers), Bireun (740 farmers), Aceh Besar (96), Aceh Jaya (160 farmers), and Aceh Barat (120 farmers).
BBPBL Lampung	-	Lampung Timur, Lampung Selatan, Tanggamus in Lampung Province	Lampung Timur, Lampung Selatan, Tanggamus	Lampung Timur, Lampung Selatan, Tanggamus	Lampung Timur (240 farmers), Lampung Selatan (370 farmers), Tanggamus (70 farmers).
BPKIL Serang	-	-	-	-	-
BBPBAP Jepara	Jepara, Central Java – 1 cluster	Jepara (2 clusters) in Central Java Province.	Jepara and Serang	Jepara and Serang	Jepara (210 farmers) and Serang (270 farmers)



UPT	Output 2				Output 3
	MMAF Clusters	Farmer Cluster <sup>a</sup>	Irrigation Canal <sup>b</sup>	Communal WWTP and Pond Reconstruction <sup>d</sup>	Value Chain Strengthening
	Tangerang, Banten – 1 cluster	Serang in Banten Province.			
BPBAP Situbondo	Pasuruan, East Java – 1 cluster	Situbondo, Gresik, and Sidoarjo in East Java Province	Situbondo, Gresik, and Sidoarjo	Situbondo, Gresik, and Sidoarjo	Situbondo (30 farmers), Gresik (1,600 farmers), and Sidoarjo (300 farmers)
BPIUUK Karangasem	-	Jembrana in Bali Province	Jembrana	Jembrana	Jembrana (30 farmers)
BPBAP Takalar	Takalar, Sulawesi Selatan – 1 cluster Pinrang, South Sulawesi – 1 cluster	Bone, Pangkep, Pinrang, Sinjai, Bulukumba, Wajo, and Luwu in Sulawesi Selatan Province	Bone, Pangkep, Pinrang, Sinjai, Bulukumba, Wajo, and Luwu	Bone, Pangkep, Pinrang, Sinjai, Bulukumba, Wajo, and Luwu	Bone (960 farmers), Pangkep 2,800 farmers), Pinrang (4,200 farmers), Sinjai (330 farmers), Bulukumba (500 farmers), Wajo (1,460 farmers), and Luwu (1,180 farmers)

BPBAP = Balai Besar Pengembangan Budidaya Air Payau (Main Center for Brackish water Aquaculture Development), BPIUUK = Balai Produksi Induk Udang Unggul & Kekeurangan (Broodstock Center for Shrimp and Mollusk), UPT = Unit Pelaksana Teknis (Technical Implementing Unit).

<sup>a</sup> One (1) cluster 5 hectare.

<sup>b</sup> Irrigation canal 1 packages @ 22 km.

<sup>c</sup> Communal WWTP and Pond Reconstruction 2 packages (@1 hectare).

<sup>d</sup> WWTP Communal + Pond Reconstruction (HDPE 0,5 mm), water pump (6"), paddle wheel (4 units/ha), electricity networks.

**10. Strengthening community capacity in sustainable shrimp pond management.** In the preparatory phase beside the civil works subproject component, the project will provide capacity support to empower communities in sustainable shrimp aquaculture and improve productivity. Those non-civil works activities include (i) introducing good hatchery practices to shrimp farmers; (ii) support development of self-sufficient shrimp feed formula with using local ingredient to be applicable for local farmers; (iii) training programs to farmers including HSRT (small scale hatchery/backyard) with low biosecurity system and potential to disease risk; (iv) support farmer-based enterprises in getting legally established and in preparing sustainable aquaculture development plans (SADP); (v) trainings on financial literacy, good aquaculture practices, silvo-aquaculture, mangrove management, coastal and mangrove management, small scale farmer group, and strengthening farmer institutional empowerment; (vi) preparation of proposals for farmer-based enterprises to access credits (KUR and rural banks); (vii) mangrove tree replanting; (viii) registration of brood stock and feed suppliers, farmers, aggregators, and processors into the INDOGAP system and transactions in the MMAF's Sistem Telusur dan Logistik Ikan Nasional (STELINA).

Figure 1: MMAF's Project Location



Source: Ministry of Marine Affairs and Fisheries.

## II. OBJECTIVES AND RATIONALE OF COMMUNITY DEVELOPMENT FRAMEWORK

### A. The Objective

11. The Project aims to avoid, or if not possible to avoid - minimize negative impacts from project activities as required by the Asian Development Bank (ADB) Safeguard Policy Statement (SPS) (2009) and government regulations. The Community Development Framework (CDF) provides the procedures, key principles and requirements for social impact assessment, consultations with local community, preparation and implementation of community development plan by the project in compliance with the ADB's SPS (2009) and relevant regulations of the Government of Indonesia, participation and empowerment of the project beneficiaries in the project communities, and for creating a framework to encourage entrepreneurship at the community of farmers in the village level as well as improving the living standards of aquaculture farmers, especially the poor and vulnerable groups. This CDF has been prepared based on various consultations with local people in the project sites, stakeholders, relevant government agencies, and civil society. The approved CDF will be disclosed on the ADB website prior to its staff review meeting and on the EA website after project approval. The CDF in *Bahasa* Indonesia will be available in PIU offices, shared to relevant agencies and posted in the public places.

### B. Rationale

12. The hatchery, laboratory, and UPT's pond locations have been determined at the preparation stage and it is confirmed that there will be no involuntary land acquisition and resettlement by implementation of the subproject. The location of pond clusters, irrigation canals, communal WWTP, etc., will be determined at the district level during project implementation. The fisheries agency in each district is preparing a long list of potential farmers groups eligible for assistance which will be screened and confirmed during project implementation.

13. The project will have positive impact on the beneficiaries, especially on farmers whose existing ponds are selected as ponds cluster, and those who received assistance for pond construction repairs, canal repairs, and joint WWTP constructions. The project will assist farmers in increasing the productivity and profitability of small-scale shrimp ponds through three outputs which are environmental sustainability: (i) increasing the quality and sustainability of production inputs; (ii) development of sustainable fisheries infrastructure and facilities; and (iii) strengthening the value chain of shrimp farming.

14. The community development approach adopted by the project is expected to ensure sustainability of the project outputs and outcomes because:

- (i) The selected and participated farmers will be the direct beneficiaries of most project activities and investments.
- (ii) No involuntary land acquisition or land donation will be applied to the targeted beneficiaries and no negative impacts are envisaged by the implementation of project activities.
- (iii) Meaningful consultation and active participation of farmers and other relevant stakeholders will be in all the stages and project activities.
- (iv) The focus and goals of the project is to improve farmers' skills on shrimp farming/cultivation, farm's enterprise, and management.
- (v) The project will mobilize the community facilitators<sup>17</sup> recruited by the PIUs to assist and empower the project's beneficiaries in practicing the acquired skills and knowledge.

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<sup>17</sup> Fisheries Extension Worker (*Penyuluh Perikanan*) of MMAF.

15. Participation and empowerment are two primary principles for the Project's community development. The adopted approach will maximize local participation, with the aims for everyone in the community to be actively involved in project implementation activities and to widen the project's benefits. Participation is an important part of empowerment to farmers. As more farmers actively participating in the implementation process of the project, more ideas will be gathered, increasing community ownership and project's inclusiveness.

### III. LEGAL FRAMEWORK

#### A. Legal Framework

16. Implementation of community development for the project is expected to adhere to the principles and requirements of following regulations and policies of the Government and ADB:

- (i) Law No. 39 of 1999 of the Government on Human Rights describes vulnerable groups (the elderly, children, the poor, pregnant women, and people with disabilities) and the need to support the groups.
- (ii) Law No.11/2005 of the Government on the Ratification of the International Covenant on Economic, Social and Cultural Rights. This Act protects people rights of economy, social, and culture including right to live descent and protection of culture. As stated in Article 11 of the Convention, the state recognizes the right of everyone to an adequate standard of living for himself and his family, including adequate food, clothing, and housing, and to the continuous improvement of living conditions. The State will take appropriate steps to ensure the realization of this right, recognizing the importance of international cooperation based on free consent and proclaimed previously.
- (iii) Law No. 7/2016 of Protection and Empowerment of Fishermen, Fish Cultivators, and Salt Farmers. Under this law, shrimp is included in the category of fish. It regulates who has the role of protecting fish cultivators at the central and regional levels. This law also mentions the types of fish farming facilities. The empowerment strategies mentioned include education and training, counseling and assistance, business partnerships, easy access to knowledge, technology and information, and institutional strengthening.
- (iv) Law No. 14/2019 of the Social Worker. The laws regulate social work practices such as prevention of social dysfunction, social protection, social rehabilitation, social empowerment, and social development.
- (v) Minister of Marine Affairs and Fisheries Regulation No. 56/Permen-KP/2020 concerning Handling of Complaints within the Marine Affairs and Fisheries.
- (vi) Director General of Aquaculture Regulation No. 60/PER-DJPB/2020 on Technical Guidelines of Household/Small Scale Hatchery (*Hatchery Skala Rumah Tangga, HSRT*) Revitalization.
- (vii) Director General of Aquaculture Regulation No. 31/PER-DJPB/2021 on Technical Guidelines of Distribution of Assistance for Shrimp Cultivation 2021 which regulates the mechanism for accessing support.
- (viii) Director General of Aquaculture Regulation No. 14/2022 on Technical Guidelines for Participatory Irrigation Management 2022. It describes technical guidance on procedures for providing assistance for pond development, institutional management, distribution of aid funds, forms of monitoring and evaluation, and accountability for assistance, taxation, sanctions, and reporting.
- (ix) Director General of Aquaculture Regulation No. 201/PER-DJB/2021 on Technical Guidelines of Distribution of Assistance for Aquaculture Facilities and Infrastructure 2021.

- (x) ADB's SPS (2009) seeks to avoid adverse impacts on affected people wherever possible, and if not possible to avoid - minimize, mitigate, and/or compensate for potential adverse impacts that may result from development projects that ADB finances.
17. **Household/Small-Scale Hatchery.** In accordance with Director General of Aquaculture Regulation No. 60/PER-DJPB/2020, the beneficiaries of the Household/Small-Scale Hatchery are fish breeder's units established by Community Groups, Customary Law Community, Non-Governmental Organizations, Educational Institutions, Religious Organization, and Cooperatives. There are 3 requirements to be met, namely administrative, technical, and location requirements.
18. The administrative requirements for receiving HSRT assistance are:
- (i) Not receiving similar assistance as of now, supported by a statement letter signed by the prospective beneficiaries and acknowledged by the extension worker/village head/office.
  - (ii) Members or administrators of community groups that are candidates for the HSRT revitalization assistance should not be a village head, village apparatus, civil servant, a part of state enterprise/regional enterprise/military/police, legislative members, and fisheries extension workers.
  - (iii) Willing to sell seed production to meet the needs of farmers in the surrounding area.
  - (iv) Have been conducting business activities in the seed sector for at least 1 (one) year.
  - (v) Group leaders or administrators should have smart-phones.
  - (vi) The head/person in charge of the beneficiaries group signs a stamped statement letter, which includes the willingness to accept, manage, utilize the assistance, and report.
  - (vii) The head/person in charge of the beneficiaries group signs a stamped statement letter, which contains willingness to provide correct information to internal and external supervisory officers.
  - (viii) HSRT group that has been assigned by head of UPT.
  - (ix) The chairman/person in charge of the beneficiaries group signs the Minutes of handover of goods from the Proxy of the Goods User.
19. The technical requirements for prospective beneficiaries of HSRT assistance include:
- (i) Priority will be given to the legal entity brackish-fish hatchery group and/or brackish-fish hatchery group established under a cooperative or a new cooperative and is engaged in small-scale fisheries business.
  - (ii) Brackish-fish hatchery group that has been registered in the local village and/or has a Fisheries Business Registration Certificate (*Tanda Pencatatan Usaha Perikanan, TPUP*) from the district agency with a minimum member of ten (10).
  - (iii) Applying recommended technology.
  - (iv) Preferably has a certificate of Good Fish Hatchery Practice (*Cara Pembenihan Ikan yang Baik, CPIB*) or is willing to apply CPIB.
  - (v) Experienced in the field of hatchery evidenced by reference letter from the district agency in charge of local aquaculture.
  - (vi) The group leader or administrator has the facilities for active communication.
20. The requirements for the location of the prospective beneficiaries are as below:
- (i) The location is in accordance with the appropriate standards for brackish water aquaculture and is in an aquacultural area.

- (ii) Not located in flooded and polluted areas.
- (iii) The location conforms to the technology application to be developed (suggested technology).
- (iv) Conflict-free land and landowner-approved.
- (v) The business area has been prepared for the HSRT revitalization.

21. **Farmer Pond Clusters.** In accordance with the Regulation of the Director General of Aquaculture 31/PER\_DJPB/2021 concerning Technical Guidelines for the Distribution of Assistance for Shrimp Cultivation Clusters in 2021. The government will assist farmer groups who meet the following requirements:

- (i) Farmer group that are already legal entities or registered in the fisheries agency.
- (ii) Customary law community (*Masyarakat Hukum Adat*) that has received stipulations in accordance with statutory provisions and carry out activities related to the preservation of local wisdom in coastal areas and small islands.
- (iii) Non-governmental organizations that are already legal entities.
- (iv) Educational institutions that have been registered in the ministry that administer government affairs in the field of education, the ministry that carries out government affairs in the field of religion, or the provincial or district service that oversees education affairs.
- (v) Religious organizations that are already legal entities or registered in the ministry that carry out government affairs in religion field.

22. The conditions for the location of the pond (cluster and non-cluster) that will receive assistance are:

- (i) In accordance with the regional spatial plan in the District/City or an area designated as a fishery cultivation utilization area determined by the authorized agency/local government.
- (ii) The legality of the pond cluster land ownership status is clear and clean<sup>18</sup> as evidenced by applicable documents and has legal force (certificate/proof of ownership/proof of minimum lease) 5 (five) years of validity/proof of use rights).
- (iii) Free from legal disputes/problems and no compensation fees.
- (iv) Have accessibility in the area.
- (v) Have irrigation canals in the area.
- (vi) Have a water source that meets fishery requirements cultivation; and
- (vii) Free from flooding.

23. **Irrigation Canal Development.** In accordance with Director General of Aquaculture Regulation No. 14/2022, Participatory Irrigation Management (*Pengelolaan Irigasi Tambak Partisipatif, PITAP*) provides guidance to rehabilitate pond irrigation infrastructure and improve its function; and to increase community participation in pond irrigation management. There are two requirements, on location and on the fishery irrigation management group (*Kelompok Pengelola Irigasi Perikanan, POKLINA*) receiving the assistance.

24. Location requirements for pond irrigation development are:

- (i) The pond area is within a sub district.
- (ii) Allotted for fish cultivation.
- (iii) Free from legal disputes/issues and approved by the landowner (no compensation fee).

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<sup>18</sup> Clear means proved by official legality and clean means free from disputes and legal problems.

- (iv) Not a PITAP beneficiary through Special Allocation Fund (*Dana Alokasi Khusus, DAK*) or other institutions in the same year.
  - (v) The fishery irrigation canals requiring rehabilitation and have not had similar assistance programs in the last 2 (two) years that is evidenced with a statement letter; and
  - (vi) The irrigation canal has a maximum width of 6 meters at their top.
25. The POKLINA requirements for pond irrigation development are:
- (i) Ratified by Camat (head of sub district).
  - (ii) Registered on "Satu Data" website.
  - (iii) Incorporated or registered in the district agency.
  - (iv) Owning the secretariat with a clear and verified address at the PITAP site location.
  - (v) Owning/managing ponds of the PITAP activity area.
  - (vi) Management organizational structure consisting of at least a Chairman, Secretary and Treasurer, who are not a village head, village apparatus, state civil servant, a part of military/police, and legislative members.
  - (vii) Having minimum 20 (twenty) members;
  - (viii) Having Articles of Association and Bylaws.
  - (ix) Willing to make and sign an integrity pact.
  - (x) Having an active banking account in the name of POKLINA signed by the chairman and treasure (attached with reference letter from the bank); and
  - (xi) Not a PITAP beneficiary through DAK or other similar PITAP programs of the same year.
26. **Pond Reconstruction.** In accordance with Director General of Aquaculture Regulation No. 201/PER-DJB/2021, assistance for aquaculture facilities and infrastructure must meet administrative, technical and location requirements. The government will assist farmer groups who meet the following requirements:
- (i) Farmer groups that are already registered in Satu Data website, have legal entities, or registered in the fisheries agency, conducted fisheries sector activity, and has minimum 10 members.
  - (ii) Customary law community (*Masyarakat Hukum Adat*) that is already registered in Satu Data website, has received stipulations in accordance with statutory provisions, and conducted fisheries sector activity.
  - (iii) Non-governmental organizations that are already registered in Satu Data website, have legal entities, and conducted fisheries sector activity.
  - (iv) Educational institutions that are already registered in Satu Data website and registered in the ministry that administer government affairs in the field of education, the ministry that carries out government affairs in the field of religion, or the provincial or district service that oversees education affairs and conducted fisheries sector activity.
  - (v) Religious organizations that are already registered in Satu Data website, have legal entities, or registered in the ministry that carry out government affairs in religion field, and conducted fisheries sector activity.
27. Administrative requirements are: (i) willing to sign a statement letter of readiness to be prospective beneficiaries; and (ii) preparing a proposal to inquire assistance on aquaculture production infrastructure based on the available packages.
28. Location requirements for pond irrigation reconstruction are as follows:
- (i) At least 20,000 m<sup>2</sup> of land area for fish cultivation.

- (ii) Land ownership status is clear and clean<sup>19</sup>, and not in dispute.
- (iii) Availability of water in sufficient quantity with good quality in accordance with the requirements of fish farming and not contaminated from food hazards.
- (iv) Good transportation and communication infrastructures.

## **B. Farmers' Group Selection and Establishment**

29. The participation of the organized farmers is critical for the implementation of the project activities. However, the selection and establishment of farmer groups to be the beneficiaries of this project will not be entirely organic<sup>20</sup> for several reasons:

- (i) The district fishery agency already developed and registered long lists of farmers' groups from their various activities in the sector.
- (ii) There is technical specification that required to be met by the farmers' groups to be considered as candidates as project's beneficiaries. Thus, the eligibility for the farmers to participate in the project activities will be screened against the technical criteria developed by the regional technical unit (UPTs) as the PIU of the project.
- (iii) Limited project implementation period will not allow having the project's beneficiaries to be organically developed, thus it is more practical to revitalize and mobilize the existing farmer's groups in the project areas.

## **C. Government's Provision Process**

30. The assistance to be provided to farmer pond cluster will be in the form of infrastructure and other facilities. They are consisting of the construction of production ponds, construction/rehabilitation of irrigation canals, construction of wastewater treatment plants, construction of reservoir ponds, construction of guard houses, generator houses and feed warehouses, supply of piping, supply of mulch plastic. Meanwhile, assistance for cultivation facilities takes the form of provision of pumps, provision of pipes, electricity, provision of windmills, provision of feed, seeds and probiotics, and other cultivation facilities. Mechanism for proposals, determination and distribution of Government Assistance is as follows:

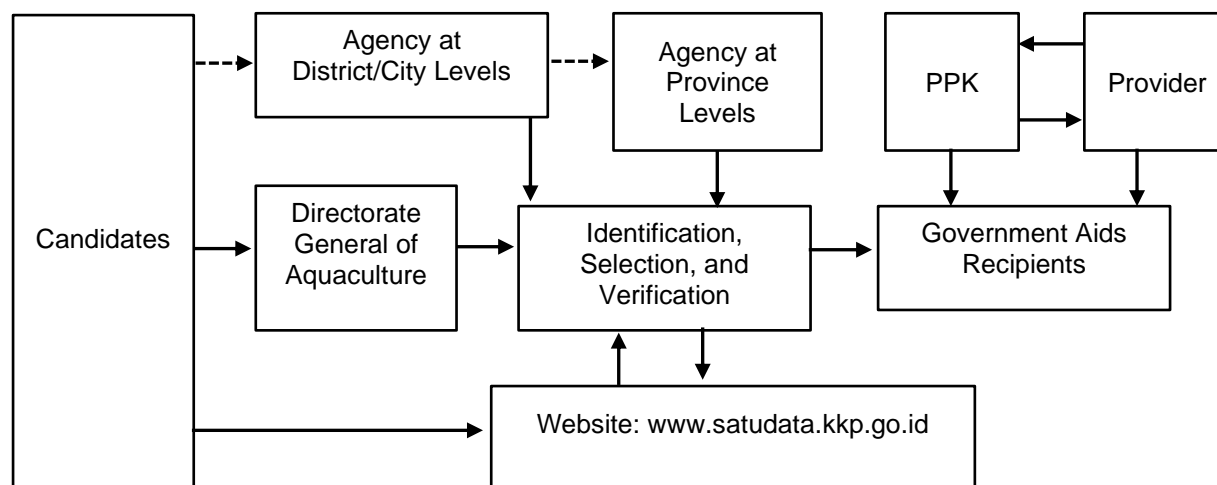
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<sup>19</sup> Clear means that the proposed land has clear ownership with formal ownership certificates or socially/cultural acknowledgement by the local authorities. Clean means the land is free from illegal/informal activities.

<sup>20</sup> This refers to the bottom-up selection process that comes from extensive discussions and consultation with the farmers' communities.



**Figure 2: Mechanisms Schematic of Proposal and Distribution of Government Assistance for Farmer Pond Cluster**



Source: The Regulation of the Director General of Aquaculture 31/PER\_DJPB/2021 concerning Technical Guidelines for the Distribution of Assistance for Shrimp Cultivation Clusters in 2021.

31. Steps (proposal, selection-verification, contract signing, and implementation), process, institutions, and outputs of government assistance can be seen in Table 3.

**Table 3: Steps, Process, Institutions, and Output of Government Assistance**

Steps	1. Proposal	2. Identification, selection, and verification (for each project sites)	3. Contract signing	4. Implementation
<b>Process</b>	Prospective recipients submit proposals online via <a href="http://www.satudata.kkp.go.id">www.satudata.kkp.go.id</a> and submit manually to DGA with a copy to the District and Provincial Fisheries Agency	Beneficiaries are stipulated by PPK (Commitment-making Officer) and validated by Head of DGA.	PPK makes contract with providers of goods and services	The provider carries out the procurement of goods/services according to the contract and distributes Government Assistance directly to recipients of Government Assistance.
<b>Institutions</b>	Beneficiary (community groups that are already legal entities or registered at the Office; customary law community; non-governmental organizations; an educational institution).	District Fisheries Agency Provincial Fisheries Agency DGA through PPK	PPK Contractors/Suppliers	Contractors/Suppliers

<b>Output</b>	Proposal accepted and ready to be assessed	List of beneficiaries in each district: (i) 10 cluster farmer's ponds (5 Ha in each cluster); (ii) 10 farmers' demonstration pond plots; (iii). 10 farmers of irrigation canal for 750 meters; (iv). 10 farmers of community WWTP @1 Ha each.	Beneficiary determination by PPK	Delivery of goods
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Source: The Regulation of the Director General of Aquaculture 31/PER\_DJPB/2021 concerning Technical Guidelines for the Distribution of Assistance for Shrimp Cultivation Clusters in 2021.

32. Beneficiaries are community groups, customary law communities, non-governmental organizations, educational institutions, and/or religious institutions that have been determined by the Commitment-making Officer (*Pejabat Pembuat Komitmen, PPK*) of the Directorate of Production and Cultivation Business and ratified by the Proxy of Budget User (*Kuasa Pengguna Anggaran, KPA*) of the Directorate General of Aquaculture.

#### **D. Government's Regulations Analysis and Project Implementation Policy**

33. Comparison between the Government Regulations and ADB's SPS (2009) terms of community development is described in Tables 4 and 5 below.

**Table 4. Comparison of Regulations of the Government of Indonesia and ADB's SPS (2009)**

<b>ADB Requirements</b>	<b>Government of Indonesia Laws and Regulations</b>	<b>ADB SPS 2009</b>
Screening of the Project	<p>The MMAF regulated the identification and verification process to determine the location and candidate of beneficiaries in the project. The identification and verification will be taken to ensure the location and beneficiaries comply with the requirement within the Directorate General Aquaculture Regulation on Technical Guidance to Implement the Shrimp Aquaculture Cluster, the HSRT (small scale hatchery/backyard), PITAP (Participatory Shrimp Pond Irrigation Management) and the Distribution of Supporting Facilities for Aquaculture.</p> <p>Several regulations within MMAF authority have been regulated the identification and verification process such as:</p> <p>1.The Directorate General Aquaculture Regulation Number 60/PER-DJPB/2020 concerning The Technical Guidance to Revitalization Hatchery Unit at Household Level in 2020, the UPT (technical implementation unit) and fishery extension worker have most significant roles in assessing, identification, and verification the proposed site and beneficiaries to meet with the criteria under the MMAF regulation.</p> <p>2. The Directorate General Aquaculture Regulation Number 201/PER-DJPB/2021 concerning The Technical Guidance for Distribution Government</p>	<p>Screen the project early on to identify past, present, and future involuntary resettlement impacts and risks. Determine the scope of resettlement planning through a survey and/or census of displaced persons, including a gender analysis, specifically related to resettlement impacts and risks</p>

ADB Requirements	Government of Indonesia Laws and Regulations	ADB SPS 2009
	<p>Input to Support Aquaculture Infrastructure and Facilities, provided the template to validate the distribution of Aquaculture facilities to beneficiaries from community groups, indigenous law communities (MHA, <i>Masyarakat Hukum Adat</i>), non-government organization, education institution, and religion institution.</p> <p>3. The Directorate General Aquaculture Regulation Number 31/PER-DJPB/2021 concerning the Technical Guidance for Distribution Shrimp Aquaculture Cluster Input in 2021, the UPT, Provincial and District Fishery Office have responsibility to accomplish task on identification, selection, and verification for proposed shrimp aquaculture cluster areas and the shrimp farmers candidate. The DGA will processed the proposed cluster areas from provincial and district fishery office to be uploaded on the website <a href="http://www.satudata.kkp.go.id">www.satudata.kkp.go.id</a></p> <p>4. The Directorate General Aquaculture Regulation Number 14 of 2022 concerning the Technical Guidance for Participatory Shrimp Pond Irrigation Management (PITAP) in 2022, emphasized the participation of shrimp farmers in each project cycle during preparation, rehabilitation and reconstruction and implementation the operational and maintenance management. The guidance is already developed by DGA, and the verification and assessment will be implemented by technical facilitator and Management Consultant for PITAP.</p>	
Meaningful Consultation and Community Participation	<p>Law Number 27 of 2007 jo. Law Number 1 of 2014 concerning the Amendment of Law Number 27 of 2007 on the Management Coastal Areas and Small Islands, article 63 ensures community involvement in empowering programs from central and local government. The level participation of community included in the decision making, implementation of empowerment program, the partnership between community-business sector-and government, the developing national policy on environmental issue, preventive action to avoid the decreasing support factor for coastal and small islands, developing eco-friendly technology, and providing and disseminating information on the environmental issue.</p> <p>MMAF Regulation Number 17 of 2020 concerning the MMAF Strategic Plan in 2020-2024, the Ministry has prioritised community participation and increased their awareness in monitoring marine and fishery resources management. In addition, the regulation has incorporated the community participation in Gender Mainstreaming issues in each MMAF activity.</p> <p>The DGA has incorporated the participation of beneficiaries within the preparation, implementation, and operational management for HSRT (DGA Regulation Number 60 of 2020), Shrimp Aquaculture Cluster Management (DGA Regulation Number 31</p>	Carry out meaningful consultations with affected persons, host communities, and concerned nongovernment organizations. Inform all displaced persons of their entitlements and resettlement options. Ensure their participation in planning, implementation, and monitoring and evaluation of resettlement programs. Pay particular attention to the needs of vulnerable groups, especially those below the poverty line, the landless, the elderly, women and children, and Indigenous Peoples, and those without legal title to land, and ensure their participation in consultations. Establish a grievance redress mechanism to receive and facilitate resolution of the affected persons' concerns. Support the social and cultural institutions of displaced persons and their host population. Where involuntary resettlement impacts and risks are highly complex and sensitive, compensation and resettlement decisions should be preceded by a social preparation phase.

ADB Requirements	Government of Indonesia Laws and Regulations	ADB SPS 2009
	of 2021), and the Participatory Shrimp Pond Irrigation Management (DGA Regulation Number 14 of 2022)	
Land Provision and Compensation	The MMAF is not required any land acquisition and compensation fee in the implementation of project. The DGA Regulation Number 60 of 2020 on HSRT, the DGA Regulation Number 31 of 2021 on Shrimp Aquaculture Cluster and DGA Regulation Number 14 of 2022 on the Participatory Shrimp Pond Irrigation, stated the proposed land not involved in any land dispute and conflicts. The proposed land must be owned by the shrimp farmers at least for the next 8 years after selected for project site on HSRT areas and 5 years after selected as community shrimp aquaculture cluster areas.	Conceive and execute voluntary land utilization as part of a development activity of the project. Ensure that it is a voluntary land use/ land pooling, as there should be no transfer of ownership of the lands and the participating landowners/users are the direct beneficiaries of the project activities.
Social Inclusion	<p>The MMAF has enacted the DGA regulation to ensure the social inclusion in the preparation, implementation and monitoring – evaluation through active participation from beneficiaries in each project cycle. The target beneficiaries are including the vulnerable group from indigenous peoples, and other groups such as community group, civil society organization, education institution and religious institutions. The regulation also avoids the elite capture issues through <b>prohibited</b> the Village Chief, Village Officer, Civil Servant, BUMN/BUMD officer, member of National Army and Police officer, and Fishery Extension Workers to be selected as beneficiaries.</p> <p>DGA Regulation Number 60 of 2020 concerning the HSRT, will ensure the design of small-scale hatchery in low budget and affordable price to purchase the technology. The objective of HSRT aims to improve the well-being of community through small-scale hatchery method and increasing the productivity of shrimp farmers at large.</p> <p>Directorate General Aquaculture Regulation Number 201/PER-DJPB/2021 concerning The Technical Guidance for Distribution Government Input to Support Aquaculture Infrastructure and Facilities, has objective to improve food security and the recovery of community economic income in the post Covid 19 impact.</p> <p>In the context of gender mainstreaming, MMAF Regulation Number 17 of 2020 concerning the MMAF Strategic Plan in 2020-2024, the Ministry has prioritised community participation and increased their awareness in monitoring marine and fishery resources management. In addition, the regulation has incorporated the community participation in Gender Mainstreaming issues in each MMAF activity.</p>	Improve the standards of living of the displaced poor and other vulnerable groups, including women, to at least national minimum standards. In rural areas provide them with legal and affordable access to land and resources, and in urban areas provide them with appropriate income sources and legal and affordable access to adequate housing.
Public Disclosure	The MMAF emphasized the requirement for project to arrange the discussion within community to prepare the civil works design and the working plan	Disclose a draft community development framework (CDF) and sustainable aquaculture development plan (SADP), including documentation

<b>ADB Requirements</b>	<b>Government of Indonesia Laws and Regulations</b>	<b>ADB SPS 2009</b>
	before submitting the proposal to District Fishery Office.	of the consultation process in a timely manner, before project appraisal, in an accessible place and a form and language(s) understandable to affected persons and other stakeholders. Disclose the final CDF and SADP and its updates to affected persons and other stakeholders.
Monitoring of CDF at Project Implementation	The MMAF has enacted the MMAF Regulation Number 29/PERMEN-KP/2018 concerning the Integrated Monitoring and Evaluation to the Implementation of Program and Activities on Development in Marine and Fisheries sector.  In Appendix 2, the MMAF regulation highlighted the need to measure the impact handling in the community (focused on economic, institutional, and environmental issues).	Monitor and assess community development framework outcomes, their impacts on the standards of living of displaced persons, and whether the objectives of the CDF and SADP have been achieved by taking into account the baseline conditions and the results of resettlement monitoring. Disclose monitoring reports

**Table 5. Gap Analysis of Government Regulations and ADB Requirements for Project Implementation**

<b>ADB Requirements</b>	<b>Gaps Identified of GOI Law/Regulation and ADB SPS</b>	<b>Gap Filling / Project Policy</b>
Screening of the Project	The process is only limited in the identification and verification only, while the ADB SPS required to identify and scoping impact through a survey, census of affected group, gender analysis, and impact and risks analysis	EA supported by PIU will conduct the screening of the project to identify potential impact with strengthening methodology by using IR and IP impact screening forms, SES and Social Impact Assessment from ADB and GOI guideline
Meaningful Consultation and Community Participation	GOI upholds socialization in any developmental process on marine and coastal management. However, participation and meaningful consultation are two different concepts and definitions. Participation does not mean that there is meaningful consultation, while meaningful consultation requires full and effective participation or even collaboration.	The EA/IA will undertake meaningful consultation with affected household and affected person in each subproject component to ensure their informed participation and ascertain the consent of the affected group, particularly from vulnerable group towards project design and implementation
Land Provision and Compensation	Since the project will not require any land acquisition, the MMAF will not allocated cost of land acquisition in the project's costs and benefits. However, the project will avoid non-land asset impact during construction in the implementation phase. When the impacts on non-land assets are identified and cannot be avoided, specific agreement will be made in line with the CDF approach used for the project.	EA/PIU will assess the land ownership status in the proposed project site areas. The land ownership status statement letter will be completed by the agreed project beneficiaries to avoid involuntary land acquisition and compensation fee during construction and implementation stages.
Social Inclusion	The MMAF required the legalization of each beneficiary under legal entity, the vulnerable group might not include if they	EA/PIU will give prioritization for vulnerable group (women, elderly, indigenous peoples, poor families, persons with disability) and

	cannot access or selected as part of the members within Shrimp Farmers Group.	small-scale shrimp farmers to be part of the beneficiaries for the project. The technical and community facilitator, and fishery extension workers will facilitate and document the participation of vulnerable group in each project cycle. The finding will be incorporated in the semi-annual social safeguard report.
Public Disclosure	The disclosure and consultation process are not clearly stated within DGA regulation. In addition, the process of disclosure is not explaining clearly yet to be discussed with beneficiaries before project appraisal	EA/PIU will disclose the relevant document from social safeguard aspect to be discussed with community through meaningful consultation process in a timely manner, in an accessible place and a form and language(s) understandable to affected persons and other stakeholders. EA/PIU will upload the official social safeguard document (CDF, SACDP/SADP, and the internal and external monitoring report) on the website of MMAF and ADB.
Monitoring of CDF at Project Implementation	Currently, regular M&E does cover program impacts on community well-being at economic and institutional levels. The MMAF program impacts are defined as a <i>multiplier effect</i> in the financial condition within the community, the institutional development and environment in the community.	<p>The EA/PIU to monitor the SACDP (Shrimp Aquaculture Cluster Development Plan) implementation and project impacts on beneficiaries (AHs and APs) in a timely manner.</p> <p>The indicator on the capacity building for the beneficiaries will be incorporated as part of the unit indicator in the M&amp;E report to implement social safeguards.</p> <p>Disclose monitoring reports on each UPT and ADB website and make the reports available at the project site accessible to AHs.</p> <p>External monitoring will be required and documented by independent external party</p>

34. Safeguard policies under ADB SPS and government regulations are generally understood to be operational policies that seek to avoid, minimize, or mitigate adverse environmental and social impacts, including protecting the rights of those likely to be affected or marginalized by the development process. In line with that, the project activities are designed to not only avoid negative social impacts, but also avoid involuntary land acquisition and resettlement. Screening is a key step to ensure that all project sites will avoid any involuntary land acquisition when possible. The Involuntary Resettlement (IR) and the Indigenous People (IP) screening form can be seen in Annex 1.

35. The project has selected sites that do not require involuntary land acquisition. The activities under Output 1 are all in government owned land with no envisaged IR impacts. The Project component for shrimp cluster development will be constructed on farmer owned land with no transfer of ownership. In the event if involuntary resettlement is identified in any future subprojects, MMAF will inform ADB, and project's classification will be updated. The Project will exclude any subproject that is categorized as A for IR impacts.

36. Another impact that the Project needs to be concerned is related to Indigenous People (IP) who are residing in the project sites. The Project is categorized as B for Indigenous People as per the ADB's SPS (2009). The project activities under the Output 2 will be in several areas where IP communities have been identified. Potential impacts, however, will be mostly positive. The indigenous people communities identified in these project areas are in Aceh Besar District, Special Region of Aceh Province, and Karangasem District, Bali Province, and South Sulawesi Province. An Indigenous Peoples Planning Framework (IPPF) has been prepared to govern the IP planning, implementation and monitoring – and the Indigenous Peoples Plan (IPP) will be prepared in accordance with the provisions of relevant regulations of the Government, the ADB's SPS (2009) on Indigenous Peoples, and the prepared IPPF. This is to ensure that the mitigation measures are prepared for the negative impacts of the subprojects and beneficial measures are developed to ensure that the project's benefits are directed to the affected customary communities. For any new subproject site, IP screening will be prepared to determine the presence and possible impacts of the subproject on the IP communities. Any future subproject that is categorized as A for IP will be excluded from project.

#### **IV. BASIC INFORMATION ON SOCIO-ECONOMIC PROFILE OF SHRIMP FARMERS IN SUBPROJECT AREAS**

##### **A. Poverty and Income**

37. The Poverty, Gender Equality, Social Impact Assessment has been prepared based on the Indonesia government's policies and plans for gender and development, and complies with ADB's Social Poverty Analysis Guidelines (2012).

38. This is also aligned with the National Program for the Acceleration of Poverty Reduction (TNP2K), which aims to reduce poverty by reducing the number of poor people and improving people's welfare. Aquaculture offered several opportunities to reduce poverty through multiple pathways. Poverty remained persistent in the areas that are far away from growth centers. Fish culture might be one of the solutions to increase well-being in terms of income and consumption.<sup>21</sup> The project is aligned with the impact of increasing contribution of the fisheries sector to the national economy and increase the value-added contribution of aquaculture.

39. Based on BPS data (2021) the number of poor people in September 2020 was 27.55 million people, an increase of 1.13 million people (or 10.19%) in March 2020 and an increase of 2.76 million people (or 0.97%) in September 2020. The Poverty Line in September 2020 was recorded at IDR 458,947/capita/month with the composition of the Food Poverty Line of IDR 339,004, - (73.87 percent) and the Non-Food Poverty Line of IDR 119,943 (26.13 percent). In September 2020 the average poor household in Indonesia had 4.83 household. It means that the average income of a poor household is IDR 2,216,714 /poor household/month<sup>22</sup>

40. A socio-economic survey (SES) has been carried out in 16 villages across six sub-districts. The average monthly household income and others SES data have been used to estimate the poverty in the sub project area. The SES ranked that source of household income from shrimp farming and wages is still the most dominant. The survey reported that the lowest average household income is in Bandar Agung village (IDR 1.5 million a month), slightly higher than Agung village (IDR 1.7 million a month) and Gerongan village (IDR 2.2 million a month). Referring to the data of the Central Statistics Agency 2020, the category of poor household is those with an

<sup>21</sup> The Relationship between Aquaculture Production and Poverty Reduction in Indonesia, Research Paper by Rico, Institute of Social Studies (ISS) 2019.

<sup>22</sup> Central Bureau of Statistics (BPS) 2021.

average income of IDR 2,216,714/month, meaning that there are households in the project areas who live below the national poverty line. The average household income is shown in the table below:

**Table 6. Poverty Data by Sub Project - Average of Household Income**

Province	District	Sub-district	Village	Average Income per (IDR / Month)
East Java	Pasuruan	Bangil	Kalianyar	4,578,431
			Raci	5,188,889
			Tambakan	9,729,167
		Kraton	Gerongan	2,223,810
			Pulokerto <sup>a</sup>	2,993,590
			Semare	4,096,491
South Sulawesi	Takalar	Sandrobone	Banyuanyara <sup>a</sup>	5,188,889
			Lagaruda <sup>a</sup>	7,783,333
			Sanrobone	5,188,889
	Pinrang	Duampanua	Ujung Baji	7,783,333
			Data <sup>a</sup>	1,729,630
			Maroneng	3,113,333
Lampung	Lampung Selatan	Ketapang	Paria	2,594,444
			Berundung	3,113,333
		Sragi	Pematang Pasir	3,113,333
			Bandar Agung	1,556,667

<sup>a</sup> The villages for development plan location.

Source: Social Economy Survey IISAP. 2021.

41. Using the SES data, estimate of the households with incomes of less than IDR 2,216,714/month as a category of poor households (BPS 2020) has been prepared. Several households in the category of extreme poverty with income of more or less than IDR 2.216.714/month are as follows: Data Village (IDR 1,729,630), Sragi Village (IDR 1.556.667). Households falling in the category of poor are as follows: Gerongan Village (IDR 2.223.810), Pulokerto Village (IDR 2,993,590) and Paria Village (IDR 2,594,444). Meanwhile, households categorized as relatively poor with an average monthly income of (IDR 3,113,333) are in Maroneng Village, Brundung Village, and Pematang Pasir Village. Households with incomes of more than IDR 2,216,714 per month are in Tambakan Village at Bangil sub-district (IDR 9,729,167), La Garuda and Ujung Bale Villages (IDR 7,783,333). Unfortunately, the SES report does not present the percentage of household's income by category. The range of household income is in Table 7.



**Table 7. Poor and Non-Poor Ranking**

District	Sub District	Villages	Extreme Poverty*	Relatively – Poor*	Non-Poor*	High Income (IDR)
Pasuruan	Bangil	Tambakan				9,729,167
		Raci			5,188,889	
	Keraton	Kalianyar			4,578,889	
		Gerongan		2,223,810		
		Pulokerto*		2,993,590		
	Semere			4,096,491		
Takalar	Sandrobone	Banyuanyara*			5,188,889	
		Lagaruda*				7,783,333
		Sandrobone			5,188,889	
		Ujung Bale				7,783,333
Pinrang	Duampanua	Data*	1,729,630			
		Maroneng		3,113,333		
		Paria		2,594,444		
Lampung Selatan	Ketapang	Brundung		3,113,333		
		Pematang		3,113,333		
		Pasir				
	Sragi	Bandar Agung	1,556,667			

Source: Social Economy Survey IISAP. 2021.

42. The SES data shows that there are households in the project area that are living below the national standard poverty line. In this regard, the project may be viewed as an opportunity to provide new income opportunities and economic improvement among poor communities at the village, district, and municipality levels.

43. The SES ranked the poverty according to standards of regional minimum wage. In Pasuruan District, households' income is mostly below to standard regional minimum wage. The table below illustrates the explanation:

**Table 8. Household of Income per District - Regional Minimum Wage**

Average of Household Income District	N	Average Income per (IDR /Month)	District Regional Minimum Wage (2021)
Pasuruan	150	4,801,730	4,365,133
Takalar	50	1,945,833	4,200,479
Pinrang	100	1,859,344	3,500,000
Lampung Selatan	100	1,945,833	2,432,001

Source: Social Economy Survey IISAP 2021.

44. The explanation for being poor according to SES is also interesting and should be factored into the analysis, regarding land owned for housing. The SES data reported the average land owned (for housing). The biggest land area is owned by a household in Gerongan Village with 7,000 m<sup>2</sup> while the biggest home building is owned by respondent in Paria Village with 510 m<sup>2</sup>. However, there is one respondent with only 32 m<sup>2</sup> of land in Gerongan Village and 20 m<sup>2</sup> home building in Maroneng Village.

## B. Gender and Women Issues

45. The project is in the category of Effective Gender Mainstreaming (EGM), as per ADB Guidelines for Gender Mainstreaming Categories (July 2012). The Project is designed to directly

improve women's access to basic infrastructure improvement for shrimp aquaculture. This is in line with the four operational priorities of ADB's Strategy 2030, two of them are (i) addressing remaining poverty and reducing inequality (ii) accelerating progress on gender equality.

46. Gender in the aquaculture sector has been included in Indonesia's aquaculture programs since 2011 through the collaboration of the Ministry of Women and Children Empowerment Protection and the MMAF. This collaboration resulted in a joint decision of the two ministries (KPPPA No MEN-KP/III/2011) on increasing gender mainstreaming in the marine and fisheries sector programs (including aquaculture). Women are engaged in a range of aquaculture production and value chain activities in Indonesia. Women are predominating in marketing and processing, with their involvement estimated to be 1.5 to 1.7 times higher than men's. Men contribute to catching/farming or harvesting, while the rest of the production stages are mostly done by women.<sup>23</sup>

47. Women especially those living in poverty and vulnerable conditions, face challenges and collect various benefits from labor and other opportunities in aquaculture sector. Aquaculture has notable potential to contribute to women's economic and social empowerment.<sup>24</sup>

48. The SES data shows that women's participation is limited for all activities in the aquaculture cycle such as "determining seed cultivation and stockpiling and shrimp cultivation" (men 98 % and women 1% each respectively), in "post-harvest (sorting and cleaning) where (men 87 % and women 3%). Therefore, the project investments in shrimp farming need to introduce inclusive participatory approach, which increases women's participation. That will expand participation of male and female workers in the shrimp farming cycle. The table below illustrates these women's participation in the shrimp farming cycle.

**Table 9. The Role of Women in the Shrimp Farming Cycle**

District	Determining Cultivate and Fry Spread			Determining Cultivate and Stocking Fry			Post-Harvest (Sorting and Cleaning)		
	Men	Women	Men and Women	Men	Women	Men and Women	Men	Women	Men and Women
Pasuruan	28%	0%	5%	32%	1%	1%	23%	10%	9%
Takalar	13%	0%	0%	13%	0%	0%	13%	0%	0%
Pinrang	24%	1%	2%	26%	2%	1%	26%	1%	1%
Lampung Selatan	27%	1%	0%	27%	0%	0%	25%	2%	2%
	98%	2%	7%	92%	1%	7%	87%	1%	12%

Source: Social Economy Survey IISAP, 2021.

49. The SES' data show that the role of women in marketing is also very low with only 1%, while men's role accounted for 81%. In income management, the role of women is seen as more effective and most decisions are made jointly between married couples. As per SES data 45% of male and female couples are those involved in household financial management. Women are considered more effective managers of household finances. The table below illustrates these explanations.

<sup>23</sup> Women role in aquaculture sector, FAO Report 2019.

<sup>24</sup> Gender Barriers in Aquaculture and Fisheries, Indonesia Australia Partnership Program 2020.

**Table 10. The Role of Women in the Marketing and Income Management**

District	Marketing			Income Management			Existence of Fish Processing Women Group	
	Men	Women	Men and Women	Men	Women	Men and Women	Exists	None Exists
Pasuruan	25%	7%	7%	5%	18%	9%	3%	29%
Takalar	13%	1%	0	4%	9%	1%	1%	12%
Pinrang	24%	3%	3%	1%	15%	12%	0%	25%
Lampung Selatan	19%	8%	8%	1%	3%	23%	2%	27%
<b>Total</b>	<b>81%</b>	<b>1%</b>	<b>18%</b>	<b>9%</b>	<b>45%</b>	<b>45%</b>	<b>6%</b>	<b>94%</b>

Source: Social Economy Survey IISAP. 2021.

50. The table above also shows that women also face barriers when it comes to accessing women's group of fish processing and decision-making roles, only 6% of women are involved in the women's fish processing existence group, while there is an opportunity for women to be a part of these organizations, women are often underrepresented -both as members and as leaders- due to social norms and a lack of recognition of women's roles in the public. Even when women have access to fish products, control of productive assets still tends to be male dominated. Because of weak access of women in decision making, many decisions are not in favor of women and vulnerable groups.

51. As per SES data, women are also very rarely invited to aquaculture training events. Of the 370 respondents, only 9% answered that women had been invited to the training. Of the invited women, 51% said that they attended the training. The remaining 49% (17 people) did not come for several reasons such as taking care of the household (59%), not being interested in participating in the training (29%), the location of the training being too far from home (6%), and they had to take care of their children (6%).

## V. COMMUNITY DEVELOPMENT PLAN PREPARATION AND IMPLEMENTATION

52. Preparation and implementation<sup>25</sup> of CDP is presented in the below Figure 3. At the preparatory stage (during project implementation) the project team with support from the district offices will produce long-listed farmer groups in the specific areas in each district that are already registered in their office. Proposals for farmer group names are selected by the local District Fisheries Service in accordance with the technical eligibility criteria. The selected groups will be the targeted beneficiaries of the project and will be further assisted by the consultants and facilitators throughout the project implementation period. With the information of the selected groups of farmers and the target area - a CDP will be developed for implementation in the area. The CDP will be prepared for each district of the project site. The PIU, field facilitators, supported by the consultant team, will prepare, and implement the CDP of their respected area. The CDP will be integrated in the Sustainable Aquaculture Development Plan (SADP) that is prepared for each farmer's pond cluster. The SADP covers technical, socio economic, social and environment, and institutional aspects. The SADP will be prepared for each subproject site, upon the completion of detailed engineering design (DED) and prior to contract award and starts of civil work activities for output 2 activities.

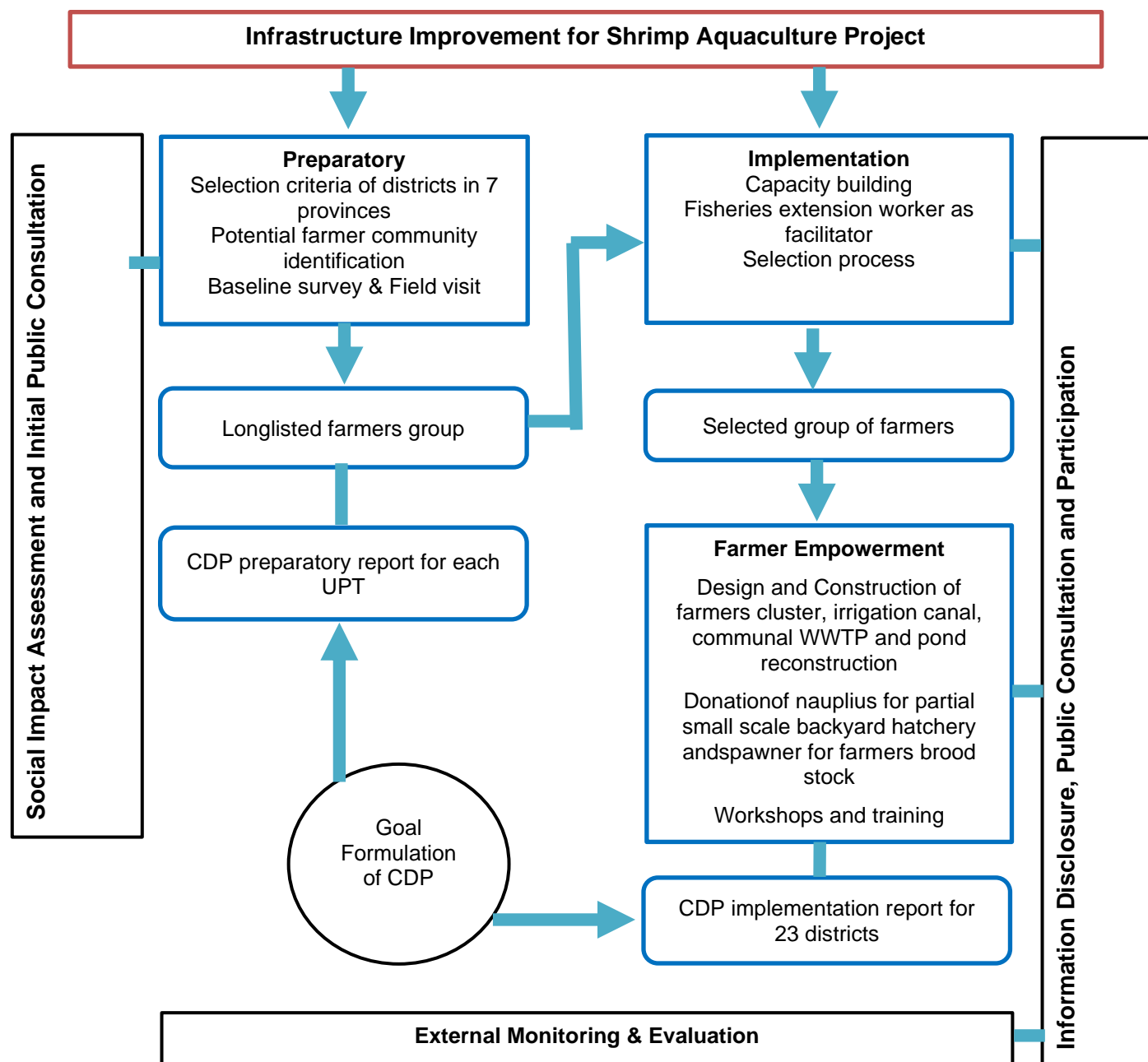
53. CDP is a time-bound action plan that specifies the following:
- (i) List of proposed infrastructures to be developed on farmer's lands and farmer's training activities;
  - (ii) Results of social impact assessment of the selected project areas, including positive and negative impacts of the project to farmer communities.
  - (iii) Consultation and participation plan;
  - (iv) Agreement/ mechanism for farmers' participation in the project activities including land use agreement with landowners/users and group members.
  - (v) Proposed mitigation actions for any non-land impacts<sup>26</sup> identified during project construction and implementation.
  - (vi) Measures to maximize the project benefits/enhance the project positive impacts to the project community and to avoid/minimize/mitigate the project negative impacts to the affected farmer and community.
  - (vii) Timeframe for implementation of mitigation and beneficial measures.
  - (viii) Roles and responsibilities of relevant agencies in the CDP implementation.
  - (ix) Budget, including source(s) of budget for implementation of mitigation and beneficial measures.
  - (x) Monitoring of implementation of mitigation and beneficial measures; and
  - (xi) How the communities are consulted with and participated in the impact assessment by the project and implementation of the mitigation and beneficial measures.

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<sup>25</sup> The implementation document of the CDF will be included in the Sustainable Aquaculture Development Plan (SADP) which is an integrated document consist of technical, environment and social safeguard and procurement planning developed in each subproject.

<sup>26</sup> The non-land impacts are trees, structures, income for workers, access to water resources/ land/ common property areas, etc.

Figure 3. Preparatory and Implementation of CDP



54. The CDP steps include (i) social impact assessment; (ii) community goals formulation; (iii) information disclosure, public consultation, and participation; (iv) CDP in preparation stage; (v) CDP in implementation stage. Each step is explained as follows:

#### A. Social Impact Assessment

55. The initial social impact assessment (SIA) includes specific consideration about targeted farmer household as a potentially project beneficiary as well as other groups in the communities.

If the initial social assessment identifies impacts (both positive and negative) to farmers whose ponds will be included in the pond cluster program, the SIA will gather relevant information on demographic data; social, cultural, and economic situation; and both positive and negative impact. The SIA is the process of identifying and managing social impacts. SIA is used to predict and mitigate negative impacts and identify opportunities to enhance benefits for farmer communities. Central to the principles and practice of SIA is the involvement of affected farmers and other stakeholders in the process. This SIA should inform decision-making by PIU from the early stages of a project. Equally important is the role of SIA in the ongoing management of social issues throughout the whole project cycle until decommissioning and completion. The purpose of the SIA is to identify potential impacts on the local communities so that any adverse negative consequences can be avoided, minimized, or mitigated and positive impacts enhanced.

56. Particularly to the Project, the SIA will focus on the following aspects:
- (i) Life and culture of ponds-owned farmers and pond workers: how they live, work, and interact with one another on a day-to-day basis.
  - (ii) Health, wellbeing, and education of ponds-owned farmers and pond workers.
  - (iii) Current water use, water supply and sanitation, including wastewater management in the local; community capacity to plan, manage and use water sensitive infrastructure in informal settlements.
  - (iv) Livelihoods, income, poverty, vulnerability, and living condition of ponds-owned farmers and pond workers.
  - (v) Land tenure system of the community; status of the affected lands to be used for project activities
  - (vi) The underline of social cohesion and tension within the community members
  - (vii) Possible non land impacts and possible mitigation actions
  - (viii) Ponds owners and pond workers' perception of the project, potential positive and negative impacts on the community by the project.
  - (ix) Concerns, opinions, and suggestions of ponds-owned farmers and pond workers on the project.
  - (x) Grievance redress mechanism within the community
  - (xi) Gender issues in the project communities.

57. A socio-economic survey on the ponds-owned farmers, pond workers and other beneficiaries will be conducted by the PIU to collect the required data and information. The survey will cover 100% of total population of assigned/selected ponds-owned farmers, pond workers and other beneficiaries project sites to develop the community profile and appropriate CDP mechanism to be implemented in the selected areas. This survey will use questionnaire. The PIU will discuss with the survey team to increase the survey sample to 30% of total population of the project sites to ensure the statistical significance and confidence level and to cover the additional required data and information as specified in the Annex 4.

58. If the subproject is located where indigenous people group or *Masyarakat Hukum Adat* (MHA) resides, the PIU and consultants will carry out a stand-alone social impact assessment to affected community from MHA. The social impact assessment will be conducted to detailing the impact to MHA group members and formulating the action in IPP document. The SIA will require qualitative and quantitative information through questionnaires, checklists, focus group discussion, formal and informal discussions, and meetings with IPs and other stakeholders.<sup>27</sup> Information will be gathered through separate consultation meetings within the IP community –

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<sup>27</sup> It is emphasized that the expert designated to arrange the methodology for SIA, IP planning, its implementation and monitoring.

with IP representatives; IP men and women, especially those who live in the zone of influence of the proposed sub-project. Discussions will focus on the positive and negative impacts of the subproject as well as recommendations on the design of the sub-project. The PIUs and consultants will prepare the SIA, and the PIU will be responsible for analyzing the SIA and preparation of an action plan with the support of IP community leaders. If the SIA indicates that the potential impact of the proposed sub-project will be significantly adverse— threatening the cultural practices and IP sources of livelihood, or that the IP community rejects the sub-project works—the PIU will consider other design options to minimize such adverse impacts. If IP communities support the sub-project an IPP will be formulated. The draft IPP will be forwarded to ADB for review and approval.

59. Based on the screening, a field-based SIA will be conducted to provide a baseline socioeconomic profile of the indigenous groups in the project area and project impact zone; assess their access to and opportunities to avail themselves of basic social and economic services; assess the short- and long-term, direct, and indirect, and positive and negative impacts of the project on each group's social, cultural, and economic status; assess if Indigenous Peoples safeguard triggers, and assess the subsequent approaches and resource requirements for addressing the various concerns and issues of projects that affect them.

## **B. Goals Formulation of Community Development**

60. The community development plan integrates four elements (i) social, (ii) cultural, (iii) economic, and (iv) environmental aspects. In a particular situation, not all of these will have equal priority. Each community will develop the four dimensions to differing level, in accordance with the SIA results. These elements will be considered during the design and implementation of project activities. The formulation of the goals expected by the shrimp farming community who participate in the project needs to be carried out after the social profile and social impact assessment have been completed.

61. PIUs in each region and their facilitators will assist in the formulation of community (farmers) goals in subproject. To carry out the main tasks, the facilitator should perform the following tasks:

- (i) Participate in training related to the application of sustainable fisheries production practices, in particular training on sustainable and environmentally friendly aquaculture;
- (ii) Carry out public consultations with beneficiaries who receive assistance for cluster development and other pond infrastructure development. In this case, it is to explain the projectscheme, stages and mechanisms, and the role of each institution involved;
- (iii) Ensure the implementation of the requirements and activities as planned in the SADP (and MHADP, if any);
- (iv) Facilitate and get the agreement for land sharing/pooling of participating farmers as part of CDF implementation;
- (v) Ensure and record/report the participation of poor families, women, vulnerable groups and customary community members (*Masyarakat Adat*) in project activities;
- (vi) Provide training and workshops to all cultivators or farmers (beneficiaries). The cultivators will be provided with training on sustainable shrimp cultivation and workshops on shrimp farming yields that have added value;
- (vii) Assist beneficiaries if there are obstacles that arise during implementation and when complaints arise so that farmers know where to submit complaints;
- (viii) Encourage active participation of beneficiaries in every stage of activities;

- (ix) Actively coordinate with the Project Implementing Unit (PIU), especially with the UPT/Balai and the District/City Fisheries Service where the sub-project is located.
- (x) Support the safeguard officer in the PIU and safeguard expert of the PMC
- (xi) Prepare monthly reports related to day-to-day activities carried out together with PIU and cultivators. In addition to monthly reports, it is also necessary to specifically prepare reports on training, public consultations, implementation of pond cluster development, and others.

### C. Information Disclosure, Public Consultation and Participation

62. The objectives of information disclosure, public consultation and participation include: (i) disseminating all the information and activities related to the project to farmer community; (ii) collecting ideas, suggestions, concerns, needs or priorities of farmer community on the project and its interventions; (iii) ensuring the participation of local people and stakeholders during the design, preparation and decision-making for the project; and (iv) ensuring that local people participate in and are notified of all decisions related directly to their income, livelihoods and living standards. The initial public consultations had been conducted in selected sample project areas during preparation of the project in June 2022. In the implementation stage, public consultation will be held in 26 districts, and conducted for vulnerable and female farmer using FGD method. In every public consultation, the responsible parties must prepare the Public Information Booklet (PIB) and pamphlet. The sample of PIB can be seen in the Annex 6 of this document. Below is the table of consultation and communication plan.

**Table 11: Consultation and Communication Plan**

Consultation and Communication	Targeted Audience/Object	Content and Purpose	Responsibility Parties	Source of Budget	Timeline
<b>Project Preparation</b>					
Initial Public Consultation with potential beneficiaries in Jepara District	Member of farmer group in fisheries area	- Technical aspect - Social and environmental aspects	BBPBAP Jepara ADB TRTA	ADB	14-15 June 2022
Booklets distribution	All farmer group in fisheries area	- The objective of IISAP - Output and targeted locations - GRM	ADB TRTA	ADB	14-15 June 2022
Pamphlet distribution	Villages office, farmer group office, and HSRT workshop, District Fisheries Office, Balai Office	- The objective of IISAP - Output and targeted locations - GRM	ADB TRTA	ADB	13-15 June 2022
Initial Public Consultation with potential beneficiaries in South Sulawesi Province	Member of farmer group in fisheries area	- Technical aspect - Social and environmental aspects	BPBAP Takalar ADB TRTA		21-22 June 2022



Consultation and Communication	Targeted Audience/Object	Content and Purpose	Responsibility Parties	Source of Budget	Timeline
Booklets distribution	All farmer group in fisheries area	<ul style="list-style-type: none"> <li>- The objective of IISAP</li> <li>- Output and targeted locations</li> <li>- GRM</li> </ul>	ADB TRTA	ADB	21-22 June 2022
Pamphlet distribution	Villages office, farmer group office, District Fisheries Office, Balai Office		ADB TRTA	ADB	20-22 June 2022
<b>Project Implementation</b>					
Public Consultation with potential beneficiaries in 26 Districts	<ul style="list-style-type: none"> <li>- All farmer group (POKDAKAN) in each location of respective districts</li> <li>- All pond irrigation group (POKLINA) in each location of respective districts</li> <li>- HSRT group</li> </ul>	<ul style="list-style-type: none"> <li>- The objective of IISAP</li> <li>- Output and targeted locations</li> <li>- GRM</li> </ul>	Each Balai or UPT Regional Social Safeguard Expert Social and Environmental Safeguards Facilitator	DGA	September – December 2022
Focus Group Discussion (FGD)	<ul style="list-style-type: none"> <li>- Vulnerable member in farmer groups</li> <li>- Female communities</li> </ul>	<ul style="list-style-type: none"> <li>- The objective of IISAP</li> <li>- Output and targeted locations</li> <li>- GRM</li> </ul>	Regional Social Safeguard Expert Social and Environmental Safeguards Facilitator	DGA	October– December 2022
Booklets distribution	All POKDAKAN, POKLINA, and HSRT group	<ul style="list-style-type: none"> <li>- Technical aspect</li> <li>- Social and environmental aspects</li> </ul>	Each Balai or UPT Regional Social Safeguard Expert Social and Environmental Safeguards Facilitator	DGA	September – December 2022
Pamphlet distribution	Villages office, farmer group office, and HSRT workshop, District Fisheries Office, Balai Office	<ul style="list-style-type: none"> <li>- Technical aspect</li> <li>- Social and environmental aspects</li> </ul>	Each Balai or UPT Regional Social Safeguard Expert Social and Environmental Safeguards Facilitator	DGA	September – December 2022

63. Farmer community engagement will be carried out by facilitators to be recruited by UPT and supporting consultants in all the 26 districts. Farmer community engagement include: (i) guidance to plan and manage pond cluster; (ii) training to farmers who get assistance for improving the capacity of farmers; (iii) developing understanding of pond cluster and types of cooperation between the farmers; (iv) collecting formal consent from communities and households to participate in the project; and (v) forming and strengthening Fish Cultivator Group or *Kelompok Pembudidya Ikan (POKDAKAN)* as a decision-making entity. All engagements should be documented, including minutes of meetings to record discussion and any community concerns about the program as well as participant lists disaggregated by gender. The engagement strategy embodies the principles of meaningful consultation, transparency, participation, and inclusiveness that ensures affected and marginalized groups such as women and the poor are given equal opportunities to participate in the design of the project – which is in accordance with the requirements ADB's SPS (2009).

64. The PIU and facilitators will carry out meaningful consultations with farmers and fish cultivator groups, affected persons, and the other stakeholders related to this project. They will inform all affected persons (especially shrimp farmers) about the impact this project and about their entitlements. They will ensure shrimp farmer participation in planning, implementation, and monitoring and evaluation of this project. Particular attention will be given to the needs of vulnerable groups, especially those below the poverty line, the landless, the elderly, women and children, and Indigenous People (if any), and ensure their participation in consultations. The public consultation can be conducted separately for vulnerable group.

65. Meaningful consultation refers to a process that (i) begins early in the project preparation stage and is carried out on an ongoing basis throughout the project cycle; (ii) provides timely disclosure of relevant and adequate information that is understandable and readily accessible to affected people; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of affected people and other stakeholders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues.

66. As with meaningful consultations, good participation can be done as early as possible. At this stage, the pond farmers who will benefit from the project can provide an explanation of how the implementation stages should be carried out in accordance with the expectations of the farmers. Included in this area is how to arrange ponds in clusters, improve ponds, build irrigation canals, and build and manage communal WWTPs.

67. A variety of mechanisms for meaningful consultation will be utilized to consult with entitled parties and concerned groups during preparation and implementation: (i) community consultations and dissemination of information about the Project and its subproject components; (ii) meetings with farmer and pond owners; (iii) separate meetings with female farmer; (iv) a socioeconomic survey of male and female farmers to produce ponds cluster profile; and (v) awareness improvement training about possible risks associated with the project.

68. In as much as this project is anchored on CDP strategies, free, prior, and informed consultations at each stage of the project will be conducted to fully identify affected people perspectives, issues and concerns by way of validating broad community support for the project. Consultation is a mode of social preparation that entails the process of informing and generating awareness and understanding of the concerned public about the Project in a manner that will

enable them to effectively participate and make informed and guided decisions. Effective CDP utilizes mechanisms of participatory issue analysis.

69. The PIU and facilitators will ensure that farmer groups are notified about the public meetings at least two weeks in advance and the information delivered to the communities are in *Bahasa Indonesia*. Information disclosure and consultation process will be well-documented (minutes of consultation meetings which documented discussion, signatures of meeting participants – if applicable, photos, etc.) and will be reflected in the CDP and filed by facilitators and PIU offices. The **Annex 6** includes the draft sample of project information booklet (PIB) that need to be finalized and distributed to the project beneficiaries. The PIB will be translated in Bahasa Indonesia and local languages.

#### D. Project Beneficiaries and Selection Criteria

70. Consistent with the project activities, farmer's participation and involvement in the project is categorized into four types of project's beneficiaries as shown in the Table 12 below. These farmer's categories are the target of CDP preparation and implementation.

**Table 12: Beneficiaries and Selection Criteria**

Type	Project's Output and Component	Beneficiaries Farmers	Criteria	Implementation Requirement
1.	Output 1 – Household-Scale Hatchery (HSRT) in 9 districts	HSRT group that has been registered in the local village and/or has a Fisheries Business Registration Certificate ( <i>Tanda Pencatatan Usaha Perikanan, TPUP</i> ).	Meeting the administrative, Technical, location requirements.  Preferably has a certificate of Good Fish Hatchery Practice ( <i>Cara Pembenihan Ikan yang Baik, CPIB</i> ) or is willing to apply CPIB	The consultant and facilitator will identify, select, and verify the proposal's farmer group to be shortlisted group.  The UPT and District Fisheries Agency will double check the shortlisted group.  Proposed to be determined by PPK and approved by KPA.
2.	Output 2 – Farmer's Pond cluster in 22 districts (7 provinces)	Farmers' group (POKDAKAN) in the assigned project site and is listed in District Fisheries Agency and Satu Data Website.	Beneficiaries and location requirement. <ul style="list-style-type: none"> <li>▪ Registered farmer group</li> <li>▪ Customary law community</li> <li>▪ NGO</li> <li>▪ Registered educational institution</li> <li>▪ Registered religious organization.</li> </ul>	The consultant and facilitator will identify, select, and verify the proposal's farmer group to be shortlisted group.  The UPT and District Fisheries Agency will

Type	Project's Output and Component	Beneficiaries Farmers	Criteria	Implementation Requirement
			<ul style="list-style-type: none"> <li>▪ In accordance with district spatial plan.</li> <li>▪ The status of land ownership is clear and clean (the land has formal legal certificates of ownership and free from any past and present dispute).</li> <li>▪ Free from legal disputes/problems and no compensation fees.</li> <li>▪ Have accessibility, irrigation canals, and water source in the area.</li> <li>▪ Free from flooding.</li> </ul>	<p>double check the shortlisted group.</p> <p>Proposed to be determined by PPK and approved by KPA.</p>
3.	Output 2 – Irrigation canal in 22 districts (7 provinces)	Group of farmers (POKLINA) located within the same irrigation tertiary block in the assigned areas and is listed in District Fisheries Agency and Satu Data Website.	<p>Location and beneficiary's requirement.</p> <ul style="list-style-type: none"> <li>▪ The pond area is within a sub-district.</li> <li>▪ Allotted for fish cultivation</li> <li>▪ A maximum top width of 6 meters.</li> <li>▪ Registered in district fisheries agency and Satu Data website</li> <li>▪ Having Articles of Association and Bylaws.</li> <li>▪ Willing to make and sign an integrity pact.</li> </ul> <p>Small holder farmers, whenever possible.</p>	<p>The consultant and facilitator will identify, select, and verify the proposal's farmer group to be shortlisted group.</p> <p>Next, the UPT and District Fisheries Agency will double check the shortlisted group.</p> <p>Proposed to be determined by PPK and approved by KPA.</p>
4.	Output 2 – To be provided with pond rehabilitation/ reconstruction, communal wastewater treatment plant, and electricity in 22 districts (7 provinces),	Farmer group within the project's assigned irrigation tertiary block who agreed with the project requirements and is listed in District Fisheries Agency and Satu Data Website.	<p>Beneficiaries, administrative and location requirement.</p> <ul style="list-style-type: none"> <li>▪ Farmer groups, MHA, NGO, educational institution, religious organization that are registers in Satu Data Website, has legal entity, and conducted fisheries sector activity.</li> <li>▪ Make proposal and sign a statement letter of readiness to be</li> </ul>	<p>The consultant and facilitator will identify, select, and verify the proposal's farmer group to be shortlisted group.</p> <p>Next, the UPT and District Fisheries Agency will double check the shortlisted group.</p>

Type	Project's Output and Component	Beneficiaries Farmers	Criteria	Implementation Requirement
			<p>prospective beneficiaries.</p> <ul style="list-style-type: none"> <li>Having land area for fish cultivation with 20.0000 m<sup>2</sup>, land ownership with status is clear and clean, not in dispute, a source of water in sufficient quantity with good quality in accordance with the requirements of fish farming and not contaminated from food hazards, and transportation and communication accessibility.</li> </ul>	Proposed to be determined by PPK and approved by KPA.
5.	Output 3 – Skill improvement and value chain strengthening in 26 districts (7 provinces).	Direct beneficiaries (core farmer) and indirect beneficiaries (expansion farmer) or village community members located in the project areas who are invited and interest to attend trainings	The direct beneficiaries (core farmers) and indirect beneficiaries (expansion farmers), by involving small holder farmers, poor farmers, female daily workers, IP/MHA members, and youth groups.	Will be selected and facilitated by consultants and project's facilitators

## E. Land Use Agreement and Provision

71. **Land Tenure system in Java and Outer Java.** The social conditions of aquaculture farmers in Java and outside Java are significantly different. In Java, many farmers have experience in organizing themselves and in forming groups based on economic or common interest. Many of them have received various government assistance programs. In addition, most of lands used for ponds have land ownership certificates issued by land management agency (BPN). The land ownership of shrimp farmers in outer Java is mostly a local acknowledgment of the ownership from the village authorities. Formal registration of the land in the government's land management agency is rare. The established farmers' groups may also be based on kinship/family relation rather than on economic/common interest ground. The size of the land ownerships in Java is also significantly smaller than the farmers in outer Java. Average size of the ponds in Java (Jepara) is around 1-2 hectares, while for farmers in South Sulawesi, for example, it is minimum of 2 hectares for each farmer. Traditional shrimp farms in outer Java require large amount of land to be economically viable. The social characteristics and ownership of these ponds as described above can affect the success of the program. They require to have differentiated project approaches. The role of the field facilitators is then very critical, and he/she will be required to have basic understanding on technical knowledge on shrimp farming, administrative-financial skills, and social and environmental issues.

72. **Land Sharing/Pooling for Farmers Pond Cluster.** The project plans to upgrade farmer ponds organized in cluster with an average area of 5 hectares. The number of participating

farmers for shrimp cluster component, ideally, should be more than just 1 farmer. The group of farmers will pool their lands to be developed as a cluster and will work together to manage the cluster. The project will invest on the farmers' land and provide the needed supports to the selected groups of farmers. Not all the required area will be used for production ponds. The developed ponds will be converted into semi-intensive shrimp farming facilities. Some of the area will be used for access roads, irrigation canals, water reservoirs, and wastewater treatment ponds. Thus, every pond owner will participate and manage the areas as a group and utilize the pooled/shared lands for farming system within a cluster. All, the members of the farmer's group will be direct beneficiaries of the project if they agree with the technical requirement that needs to be followed.

73. Semi-intensive shrimp farming in a cluster requires approximately 5 hectares of area managed by a group of farmers who will work together. Semi-intensive shrimp farming is a lucrative business for the group if it is properly carried out according to the SOPs. The 5-hectare area requires a lay out with management and planning according to the position of the land or pond with rivers or canals for inlets and outlets. This will change the farmers' individual lands or ponds into a cluster system. Consequently, it will certainly change the position and the boundaries of each individual land. These changes require agreement between group members, especially members of the land or pond owner in the group.

74. The agreement between group members should not only contain land use and boundaries issues, but also with other arrangements such as division of labor and distribution of results starting from the first cycle to the last cycle for the next 5 years. The draft of the Shrimp Cultivator Agreement to participate in the Shrimp Farming Cluster System can be seen in Annex 7a.

75. Besides location and land requirement, farmer group's selection determines the success and sustainability of the shrimp farming program. One of the requirements is to include clear criteria of project's beneficiaries and ownership status of the proposed land or fishponds. Another is technical and administrative-financial viability of the proposed group. Clear agreements within the group members and also between the farmers' groups with the fishery regional technical unit (*Balai*) are needed to eliminate unexpected impacts during implementation and ensuring the sustainability of the investments. The last requirement is based on the lesson learned from past projects, under which the government's program was not legally bind so that the proposed investment was not secured.

76. Construction and improvement of irrigation canals needs to be integrated with the overall development of pond areas in the sub-district. To optimize the benefits of the shrimp farming in a sub-district or larger area, the irrigation canal construction needs to consider other project components such as pond reconstruction and communal WWTP. The irrigation canal will be constructed independently by the group, unlike the construction of farmer pond clusters or pond reconstruction and communal WWTPs which will use third parties or contractors to develop. Like the construction of a farmer's pond cluster, pond reconstruction, with the construction of communal WWTPs and the provision of a power grid agreement within the farmer's group in the same location will be provided.

77. Establishing farmer's pond clusters is not easy for social and economic reasons. As such, implementing regulations are needed. Facilitators will communicate intensely with the owners of the ponds. An explanation of the pond cluster, including the pros and cons, must be explained to them so that problems will not arise in the future.

78. A strong commitment from the group is required. For this reason, the selection criteria to determine the beneficiary candidates are important to be developed and agreed on in the early

stages of implementation. The long list of groups needs to be developed properly based on the technical aspects of the location and the non-technical aspects of the beneficiaries. Although DGA has issued the technical guidance for the selection criteria, both for administrative data completeness and location condition, the project still needs to add some criteria such as information about when the group was founded, and internal agreement letter attached to the proposal.

79. For farmer's cluster development activities, during detailed engineering design process, the UPT and consultant team of PMC/PIU, supported by the facilitators will discuss with farmer or community – particularly those who registered to participate in the project on measures to avoid any land acquisition (considering design alternatives, change the locations for the civil works, and others) using the CDF approach.

However, if during project implementation period, involuntary land acquisition is unavoidable, the PIU will report to ADB, conduct of Inventory of Losses (IOL)<sup>28</sup>. The Project will have to re-categorize the project and prepare the required documents in accordance with ADB SPS (2009) requirements.

80. **Criteria for Farmers' Participation in the project.** The objective of farmer's pond cluster is to upgrade traditional ponds into intensive ponds whose productivity is much higher so that farmers' income increased. With the improvement of applied technology and the addition of aquaculture facilities, the number of shrimp seeds stocked will increase and with sufficient commercial feed the yield will be doubled so that productivity will also increase. Under the project, land pooling/sharing for infrastructure shall be acceptable only if the following conditions are in place:

- (i) Prospective cluster pond farmers or households must be direct beneficiary of the Project.
- (ii) The impacts do not result in physically displacement of any individuals/households or cause loss/impacts on household's incomes and livelihood.
- (iii) The shared lands utilization is with no structures or business facilities on.
- (iv) Prospective cluster pond farmers or households receive clear and adequate information on the project and participates in the project planning.
- (v) Prospective cluster pond farmers or households are fully aware of the entitlements that they would receive the benefit from this project.
- (vi) Grievance redress should be handled by *Tim Penanganan Pengaduan* (Grievance Redress Committee) at each UPT.

81. During the detailed measurement survey (DMS) for the detailed engineering design of farmer ponds/clusters and irrigation canals, the list of the individuals/households who share a land to the project will be developed and reported in the SADP and semiannual monitoring report. Final agreement on the land sharing/pooling will also be developed and signed by the participating landowners/farmers. The final consultations with the landowner and spouse will be conducted. All land sharing will be well documented and shall be kept at the Fish Cultivator Group and PIU Offices. Sample of Land Sharing/pooling Form Statement Letter by the landowner is attached in **Annex 7b**.

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<sup>28</sup> As per Law No 2/2012 and Government Regulation No 19/2021, the inventory of affected assets or land acquisition objects include permanent or temporary and full or partial impacts.

## F. CDP Preparation

82. Based on the results of social impact assessment (SIA) and consultation activities, the benefits, positive and negative impacts of the project to farmers and community can be identified. The measures to maximize the benefits/positive impacts and to avoid/minimize or compensate to the identified negative impacts by the project can be developed in consultation with residents and community. Once the measures are developed and assessed by project communities as sufficient – timeframe, budget, institutional arrangements for implementing and monitoring of the measures, can be established.

83. The PIU with assistance from the Social Safeguard Specialist of PMC and the supporting Consultants will conduct the activities and prepare the CDP to submit to MMAF and ADB for review and approval prior to the starts of project implementation and civil work contract award. The CDP preparation will be prepared for all communities in the District that receive project's assistance. Each group of farmers and the potential beneficiaries send their proposals to the district fisheries agency or directly to the UPT. They will be selected according to the criteria for location and beneficiaries, as stipulated in the regulation of the DGA. Potential farmer's groups as listed in the district fishery office will prepare and send their proposal to the fishery office or to the fishery regional technical agency (UPT) on their interest to join the program. They will be selected according to the criteria for location and beneficiaries. Community workers or facilitators will assist UPTs in identifying and verifying the existence and performance of the group. The role of the facilitator in the CDP preparation stage is critical.

84. **Project's Facilitator.** The project will use a community development approach in every stage of the activity in the project implementation stage. Apart from not triggering Involuntary Resettlement safeguard, two of the 3 IISAP outputs will be directly benefits the shrimp farmers, either as a group or individually. The low capacity of the cultivators/farmers and the lack of knowledge on technology have resulted in low productiivity and environment damage of shrimp farming. This community development approach necessitates the participation of cultivators and empowerment of cultivators.

85. Along with the community development approach, empowerment of workers or facilitators is needed. These community's facilitators are usually known as fisheries extension workers. The facilitators will ensure that all activities planned and designed by the project management consultant (PMC) and Regional Technical Consultants are implemented accordingly at field level. They will be the projects front-liners and main link to farmers together with the extension workers. The Facilitators will be recruited by the UPTs and work in teams of four persons: (i) two Technical Field Facilitators, (ii) Social and Environment Field Facilitator, and (iii) Business Development Field Facilitator. Together with the famers, they will benefit from training programs.

86. Facilitators will support farmer community engagement to : (i) introduce and implement the community development concept with reference of CDF; SADP, and MHADP, if any, prepared for the subproject; (ii) how to plan and manage pond cluster; (iii) facilitating and getting the agreement for land sharing/pooling for farmers' pond rehabilitation/ clusters; (iv) provide training to farmers who get assistance for improving the capacity of farmers; (v) developing a base understanding of pond cluster and types of cooperation between the farmers; (vi) collect formal consent from communities and households to participate in the project; (vii) selecting/ identifying the project's activities beneficiaries/participants for Output 2 and 3 of project activities based on SADP and MHADP, if any, and (viii) strengthen Fish Cultivator Group or *POKDAKAN* as a decision-making entity.



87. The safeguard facilitators will be mainly tasked for CDP/SADP preparation and implementation. They will conduct activities required for the (i) conducting SIA survey, with support from PIU social safeguard consultant; (ii) selecting groups of farmers who will receive project's assistance; (iii) assisting the selected POKDAKAN to receive assistance for construction of pond clusters in each district; (iv) assisting the POKLINA who receive irrigation canal assistance; and (v) assisting the POKDAKAN who get assistance for pond reconstruction along with communal WWTPs. All facilitators will receive basic training on shrimp pond management, shrimp production and maintenance. The facilitators also must have the ability to organize farmers in groups and teach them in administrative and accounting arrangements. As environmental and social workers' facilitators of this project, they are required to have the ability to assess environmental quality and empower pond farmers to ensure their livelihood. Capacity building consultant will provide the trainings and implementation modules to guide the facilitators in SADP preparation and implementation.

88. Technical Field Facilitator will be a trained aquaculture practitioner with at least 5 years' experience in guiding successful vannamei aquaculture projects. S/he will be at least a graduate of a bachelor's degree in aquaculture and willing to stay in the village of assignment. The facilitator will specifically undertake the following tasks:

- (i) support the PIU in the selection and verification of POKDAKAN prospective beneficiaries
- (ii) support the Community Development Specialist in establishing and strengthening of farmer's groups.
- (iii) mobilize the communities around the project activities.
- (iv) mobilize all shrimp farming value-chain stakeholders around the project activities and facilitate synergies between them for specific activities.
- (v) facilitate village and sub-district level civil works by mobilizing communities.
- (vi) facilitate technical trainings of farmers in various areas: construction, production, post-harvest, etc.
- (vii) participate in training related to the application of sustainable fisheries production practices, in particular training on sustainable and environmentally friendly aquaculture
- (viii) support aquaculture clusters and other project provision in technical matters along the project life (farming issues, O&M of infrastructure, collaboration with private sector partners, organization, etc.).
- (ix) conduct in the implementation of field school training for expansion farmers
- (x) transfer of technology Sustainable and Environment friendly Aquaculture
- (xi) assist beneficiaries if there are obstacles that arise during implementation and when complaints arise so that farmers know where to submit complaints
- (xii) encourage active participation of beneficiaries in every stage of activities
- (xiii) actively coordinate with the Project Implementing Unit (PIU), especially with the UPT/Balai and the district fisheries agency where the sub-project is located.
- (xiv) assisting beneficiaries in preparing detailed plans for shrimp farming activities
- (xv) intensively assisting Beneficiaries/POKDAKAN in carrying out shrimp farming activities during project implementation (technically and financial management).

89. Social and Environment Field Facilitator must be willing to stay at project site. The general duties of the facilitator are to participate in training, implement the principles of social and environmental safeguard, facilitating, and increase the capacity of shrimp farmers, coordinate with relevant agencies, and make reports. The details of the duties are as follows:

- (i) participate in training related to the application of sustainable fisheries production practices, in particular training on sustainable and environmentally friendly aquaculture.
- (ii) carry out meaningful public consultations with beneficiaries who receive assistance for cluster development and other pond infrastructure development. In this case, it is to explain the IISAP scheme, stages and mechanisms, and the role of each institution involved.
- (iii) support the preparation of the SADP/CDP, with supports from PIU safeguard consultant
- (iv) ensure the implementation of the requirements and activities as planned in the SADP (and MHADP, if any).
- (v) facilitate and get the agreement for land sharing/pooling of participating farmers as part of CDF implementation.
- (vi) ensure and record/report the participation of poor families, women, vulnerable groups and customary community members (Masyarakat Adat) in project activities.
- (vii) provide training and workshops to all cultivators or farmers (beneficiaries). The types of training that will be provided to cultivators are training on sustainable shrimp cultivation and workshops on shrimp farming yields that have added value.
- (viii) assist beneficiaries if there are obstacles that arise during implementation and when complaints arise so that farmers know where to submit complaints.
- (ix) encourage active participation of beneficiaries in every stage of activities.
- (x) actively coordinate with the Project Implementing Unit (PIU), especially with the UPT/Balai and the District/City Fisheries Service where the sub-project is located.
- (xi) support the safeguard officer in the PIU and safeguard expert of the PIC/PMC
- (xii) assist the GRM implementation and management
- (xiii) support the preparation of semiannual safeguard monitoring reports as guided by PIU safeguard officer and expert.
- (xiv) make monthly reports related to day-to-day activities carried out together with PIU and cultivators. In addition to monthly reports, it is also necessary to specifically make reports on certain activities such as training activities, public consultations, implementation of pond cluster development, and others.

90. Business Development Field Facilitator will be a bachelor's degree graduate of business administration or related field with at least 5 years' experience in actual work organizing farmer folk. Must be willing to stay at the project site, with tasks:

- (i) Mobilize all shrimp farming value-chain stakeholders around the project activities and facilitate synergies between them for specific activities.
- (ii) Assist POKDAKAN in preparing business development plans, access credit, access private sector and register for INDOGAP.
- (iii) Facilitate linkage with Government instances whenever needed and the private sector.

91. **Qualifications.** The candidate for facilitator would be a bachelor graduate from a university majoring in fisheries (especially aquaculture who has technical skills in fish farming), social science, and business administration. If needed, facilitators candidates can be taken from personnels who has a training certificate for vannamei shrimp cultivation and or who have had an internship at the Cultivation Fisheries Center. The selected facilitators will receive further training on social safeguards and CDF implementation from the capacity building consultant.

92. The number of facilitator needed is 92 people for the 23 locations in 22 districts. The proportion of male and female workers should consider gender. Each facilitator is responsible for

the location of the district to which they are assigned. They have to make regular monthly reports which will be submitted to the UPT and PMC.

93. Upon recruitment, these facilitators will receive training of how to cultivate vannamee shrimp (technical aspect), group strengthening and empowerment (community and organizational aspects), and briefing of social and environmental safeguards. The training should be held in one of the fishery technical unit office where shrimp cultivation trainings usually take place with the module prepared by the capacity building specialist. The training module will be prepared in accordance with the shrimp farming training module with the addition of modules on community development and environmental and social safeguards.

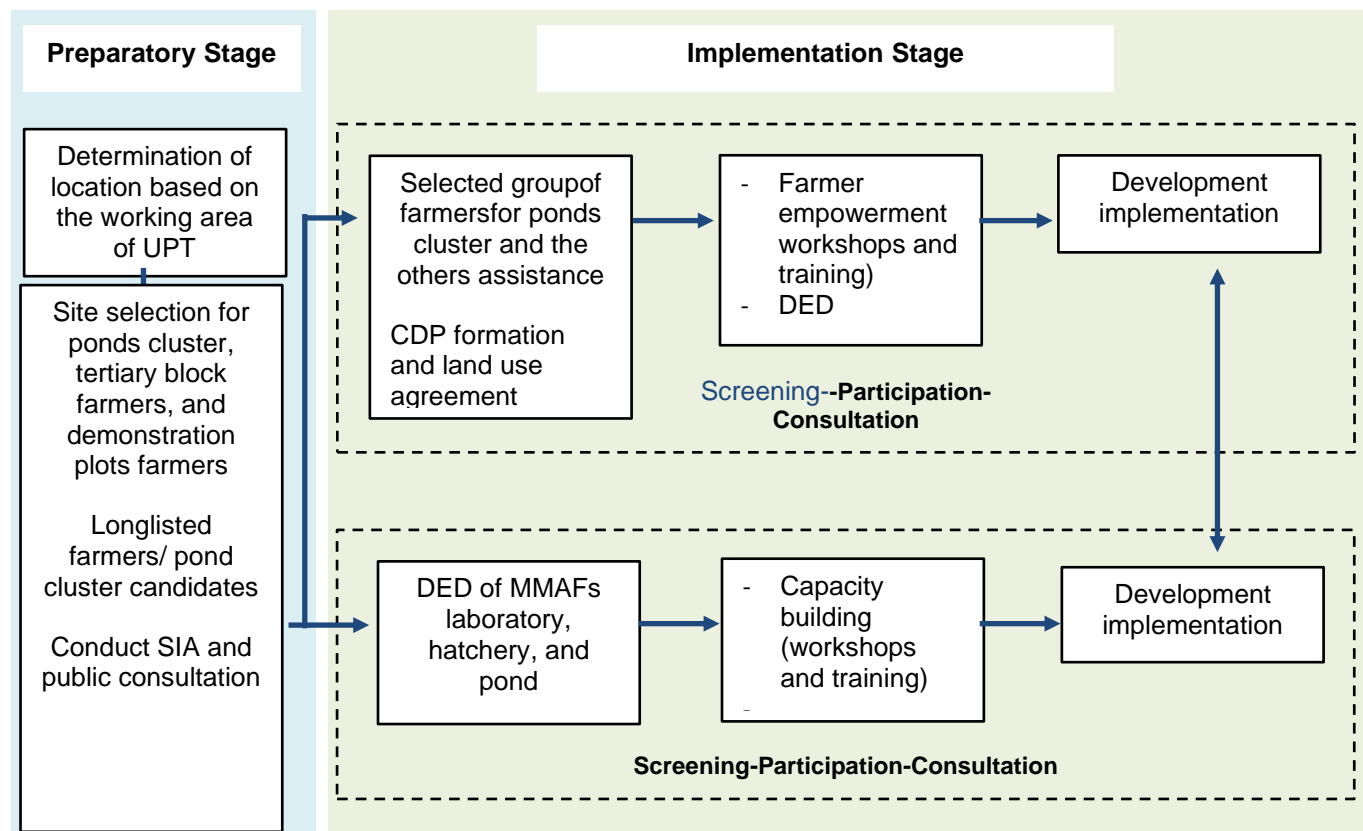
## **G. CDP Implementation**

94. Once the CDP is accepted by MMAF and ADB, the PIU will coordinate with relevant agencies and farmers Groups to implement the CDP. Budget for implementation of CDP will be from the project. PIU will work with MMAF and relevant agencies to ensure that (i) budget is secured and allocated timely for implementation of the CDP (ii) sufficient resource are adequately provided for carrying out the activities in the sites; (iii) project communities are informed in advance about the measures that will be implemented and schedule of implementation of measures; and (iv) implementation of the measures will be monitored by PIU and project communities. The workflow of community development can be seen in Figure 4.

95. One of the important objectives of implementing the community development plan is how to protect people who are powerless, including the households of vulnerable farmers, especially farmers who are not pond owners like pond workers and seasonal workers. Although the project requires the participation of pond owners so that part of the land can be used for infrastructure purposes (such as irrigation canals and communal WWTPs), the regular workers of the shrimp farming should be considered. These workers should be involved in the construction and development of farmer pond clusters to ensure that their income will not be affected. The project's facilitators must ensure the protection of the workers of the participating landowners and are included in the SADP.

96. In preparatory and implementation stages, the PIU should prepare sustainable aquaculture development plan (SADP). The SADP will be prepared for each work area of fishery regional technical unit (*UPT/Bala*). SADP is an integrated document that detailed the implementation of the project activities (technical design, environment and social safeguards requirements, and implementation planning) in subproject areas. The planning action for CDF implementation in the subproject will be detailed in the safeguard section of the SADP. The outline of CDP of the SADP can be seen in **Annex 8** and the templates of the SADP is included in the Project Implementation Manual (PAM).

**Figure 4. Community Development Workflow**



97. In preparatory and implementation stage, the PIU should prepare CDP report. The preparatory CDP report is only for each region managed by UPT and for each district in the implementation stage. The CDP report of preparatory and implementation stage should be disclosed to the farmers and the other stakeholder as well as can be accessible by external monitoring party. Outline of CDP is attached in Annex 8.

## VI. INSTITUTIONAL ARRANGEMENTS

### A. Institutional Arrangements

98. The parties involved in the Infrastructure Improvement for Shrimp Aquaculture Project are the Ministry of Marine Affairs and Fisheries, the Planning and Development Agency, and the Ministry of Finance. The Directorate General of Aquaculture as Executing Agency (EA) and the Secretariat of the Directorate General of Aquaculture as the Central Project Management Unit (CPMU). Technical Implementation Units as Project Implementation Units (PIU). Project Management Consultants (PMC) and Regional Technical Consultant (RTC), and facilitators will support CPMU and PIUs activities. In addition, this activity will involve the local government, cultivator groups and community institutions as part of the project's direct beneficiaries in terms of empowerment and assistance for sustainable shrimp farming. In addition, cultivators also receive benefits related to marketing management to improve the quality of products that meet export standards.

99. The Executing Agency will be responsible for the overall implementation of project activities. The CPMU has the role of management and reporting. CPMU will be supported by a team of consultants who are members of the PMC and RTC. The PIU carries out assistance activities to the shrimp pond farmers, such as seed assistance to HSRT, construction and assistance of farmer pond clusters, irrigation canals, and pond reconstruction and construction of communal WWTPs. Local governments play a role in preparing the needed regulations on sustainable management of fisheries resources and farmers can receive direct benefits through training activities.

100. The role and responsibilities of implementation organizations are summarized in Table 13.

**Table 13. Roles and Responsibilities of Organizations for CDP Preparation and Implementation**

Institution	Division of work	Roles and Responsibilities	
		Project Preparation	Project Implementation
Ministry of Marine Affairs and Fisheries (MMAF)	Borrower	<ul style="list-style-type: none"> <li>- Coordinating the planning of PHLN activities in the marine and fisheries sector.</li> <li>- Preparing the regulation to handle Grievance Redress Mechanism,</li> </ul>	<ul style="list-style-type: none"> <li>• Coordinating the implementation of PHLN activities in the marine and fisheries sector.</li> <li>• Ensuring compliance with ADB SPS (2009) requirements and national regulations</li> </ul>
General Directorate of Aquaculture	Executing Agency (EA)	Preparing and updating the regulation to conduct the assistance for HSRT, farmer pond cluster, irrigation canal, pond reconstruction and communal WWTPs.	Responsible for overall implementation of project activities.
Secretariat of General Directorate of Aquaculture	Central Project Management Unit (CPMU)	<ul style="list-style-type: none"> <li>• Coordinating field visits to discuss and consult with farmer groups with supports from PIUs (7 UPTs)</li> <li>• Finalizing TOR for PMC, RTC, and EMA</li> <li>• Preparing detail TOR for facilitators recruitment and capacity building.</li> <li>• Recruiting PMC, RTC, EMA, and Facilitators.</li> </ul>	<ul style="list-style-type: none"> <li>• Implement management support activities and prepare project reports.</li> <li>• Supported by a secretariat consisting of representatives of concerned Directorates.</li> <li>• The CPMU secretariat will be headed by Secretary Directorate General of Aquaculture</li> <li>• Responsible for financial management, monitoring and reporting, procurement, compliance with social and environmental safeguards policy and requirements, gender, and technical matters.</li> </ul>

Institution	Division of work	Roles and Responsibilities	
		Project Preparation	Project Implementation
			<ul style="list-style-type: none"> <li>• consolidating and submitting the SADP implementation through semiannual safeguard monitoring report to ADB for review and disclosure</li> <li>• Supervising design, supervision, and management consultants.</li> <li>• Implement and manage GRM</li> </ul>
Technical Implementation Unit of General Directorate of Aquaculture	Project Implementation Unit (PIU)-7 UPTs	<p>These are the tasks to be done in the Project implementation period:</p> <ul style="list-style-type: none"> <li>• Undertaking day-to-day implementation activities.</li> <li>• Prepare and submit the SADP for ADB review and approval</li> <li>• Update and prepare DDR for UPT's infrastructures based on DED</li> <li>• Coordinating the implementation of assistance activities to pond farmers, such as seed assistance to HSRT, construction and assistance of farmer pond clusters, irrigation canals, and pond reconstruction and construction of communal WWTPs.</li> <li>• Implementing procurement, safeguards activities and gender action plan</li> <li>• Ensure subproject's activities compliance with government's regulations and ADB SPS (2009), CDF, IPPF</li> <li>• Prepare the required mitigation plan if IR impacts are identified in the subproject areas upon the completion of DED</li> <li>• Ensuring safeguards document's clearance from ADB prior to award of contract</li> <li>• Establishing unit or contact person that will handle technical and safeguards aspect and Grievance Redress Mechanism at subproject level.</li> <li>• Monitoring, and preparing semiannual monitoring reports on safeguards-related activities for ADB and government requirements.</li> <li>• Submitting Semiannual Monitoring report to CPMU for consolidation and submission to ADB.</li> </ul>	
Project Management Consultant	Supporting CPMU and PIU	<p>These are the tasks to be done in the Project implementation period:</p> <ul style="list-style-type: none"> <li>• The PMC will support the MMAF through the Directorate General of Aquaculture (the executing agency) in project management and implementation at national level</li> <li>• Assisting the CPMU in day-to-day project management and coordination with the respective PIUs and local governments to create synergies and expedite the project implementation.</li> </ul>	

Institution	Division of work	Roles and Responsibilities	
		Project Preparation	Project Implementation
		<ul style="list-style-type: none"> <li>• Helping CPMU, and PIUs to ensure that all loan covenants and Design and Monitoring Framework (DMF) are fully complied.</li> <li>• Ensure project's compliance with ADB SPS (2009), relevant government regulation, CDF, IPPF, SADP, MHADP</li> <li>• Final review/quality control for the PIUs' prepared SADP prior to submission to ADB</li> <li>• Coordinating the stakeholders and partners at national and local levels to create synergies and expedite the project implementation.</li> <li>• Assisting CPMU, and PIUs to ensure that the document preparation and implementation of social safeguards, environment and gender activities are complied with the requirements stipulated in the loan documents, CDF and IPPF.</li> <li>• Proactively provide advice and take actions on any safeguard compliance issues.</li> <li>• Support the CPMU in consolidating and preparing the semiannual safeguard report, based on the PIUs' reports.</li> <li>• Coordinate with PIU's safeguard consultants in the preparation and implementation of the safeguard documents</li> <li>• Ensure and provide capacity building training to project facilitators</li> <li>• Provide technical guidance and support to CPMU and PIUs safeguard officers on safeguard requirements and document preparation.</li> <li>• Provide training/briefing for CPMU and PIUs staff on ADB SPS (2009)</li> <li>• Assist GRM's management and implementation</li> </ul>	
Regional Technical Consultant	Supporting PIU	<p>These are the tasks to be done in the Project implementation period:</p> <ul style="list-style-type: none"> <li>• Assist the PIU in day-to-day project management and coordination with the respective PIUs and local governments to create synergies and expedite the project implementation.</li> <li>• Support PIU to ensure that all loan covenants and Design and Monitoring Framework (DMF) are fully complied.</li> <li>• Assist the preparation of SADP and MHADP, if any, to meet the requirements as stipulated in CDF, IPPF and PAM</li> <li>• Ensure implementation of CDF, IPPF, SADP and MHADP</li> <li>• Coordinate the stakeholders and partners at local levels to create synergies and expedite the project implementation.</li> <li>• Assist the PIU to review, update and prepare DDR.</li> </ul>	



Institution	Division of work	Roles and Responsibilities	
		Project Preparation	Project Implementation
		<ul style="list-style-type: none"> <li>• Assist PIU to prepare SADP and ensure that the implementation of social safeguards (IR and IP screening, DDR, CDP, IPP, SADP, MHADP), and gender activities.</li> <li>• Proactively provide advice and take actions on any safeguard compliance issues.</li> <li>• Assist PIU in GRM's implementation and management.</li> <li>• Collaborate with PMC capacity building specialist to train and implement the CDF and IPPF</li> </ul>	
Facilitator (3 types of facilitators)	Supporting PIU and RTC	<p>These are the tasks to be done in the Project implementation period:</p> <ul style="list-style-type: none"> <li>• The facilitators will implement most if not all activities at field level, from community and value-chain stakeholders' mobilization to trainings and civil works.</li> <li>• Participate in training activities provided by PMC and PIU safeguard specialist and capacity building specialist.</li> <li>• The duties of the technical facilitator are to support the PIU in selection and verification of POKDAKAN prospective beneficiaries,</li> <li>• To mobilize the communities around the project activities, to facilitate technical trainings of farmers in various areas: construction, production, post-harvest,</li> <li>• to Support the development of aquaculture clusters and other project provision,</li> <li>• to assist beneficiaries if there are obstacles that arise during implementation through the established GRM</li> <li>• Participate in training, implement the principles of social and environmental safeguard,</li> <li>• To facilitate and increase the capacity of shrimp farmers, by coordinating with relevant agencies,</li> <li>• To prepare the SADP and conduct meaningful consultation with the targeted beneficiaries, with support from PIU's safeguard specialist and officer</li> <li>• Ensure the participation of vulnerable households and women</li> <li>• Ensure implementation of CDF, IPPF, SADP and MHADP, if any</li> <li>• Prepare planning document (SADP) and implementation reports for PIU's submission to ADB for review and approval</li> <li>• The duties of the business development field facilitator are: <ul style="list-style-type: none"> <li>• mobilize all shrimp farming value-chain stakeholders around the project activities</li> <li>• facilitate synergies between them for specific activities, to assist Pokdakan in preparing business development plans, access credit, access private sector and register for INDOGAP,</li> <li>• to facilitate linkage with Government instances whenever needed and the private sector.</li> </ul> </li> </ul>	

Source: PAM and Readiness Criteria Document of IISAP, 2022.



## B. Capacity Building

101. The project that involved fish/shrimp farmer community indicates that: (i) relatively few projects have included local capacity building as an explicit objective, and (ii) not many social assessments offer a sufficiently solid basis for designing the institutional components of these projects. The capacity building of community-based organizations (CBO) should concentrate on fostering a collective action (as a social capital) among the targeted communities' members. Capacity building for the local CBOs, such as the organization of farmer associations, is important so that the organization can facilitate farmers to develop social cohesion for the implementation of the project activities and assist the farmers file complaints if problems arise in the implementation of their pond cluster development. Capacity building plan for CBOs will be prepared and conducted by PIU.

102. To implement the community development plan, the facilitators under the PIU shall assist the farmers' groups and provide the capacity building on community development-related tasks/activities. The training will be provided to the farmers so that they can implement the project activities. Specific topics to be recommended for the training of CBOs are:

- (i) Meaningful consultations that pay attention to women and other vulnerable groups.
- (ii) Orientation on grievance redress mechanism, livelihood restoration plan and its required documentation.
- (iii) SADP implementation
- (iv) Managing impacts during construction.
- (v) Gender issues and its strategy relevant to the project activity.
- (vi) Self-monitoring and reporting of the prepared community development plan and ensuring the achievement of social safeguards objectives (that beneficiaries will not become worse off).

103. Capacity building for the PIU safeguard staff and facilitators is also recommended particularly on how to conduct (i) social impact assessment (SIA),(ii) social-economic survey, preparation, and (iii) preparation and implementation of sustainable agriculture community development plan (SADP). Capacity building plan for PIU will be prepared and carried-out by CPMU. The TOR of the capacity building specialist is attached in **Annex 9**.

104. The trainings for shrimp farmers under output 3 project activity must include the small holder farmers, women, and youth. Several capacity building activities that will be carried out for quality seed production inputs, sustainable aquaculture infrastructure, and improve the value chain as presented in the following table:

**Table 14. General Training and Workshop in Each Output**

Output	Training, Workshop, and Socialization	Targeted Participants	Executor
Output 1	Training on the operation of brood stock and multiplication center facility.	15 persons Staff/UPT	BPIUUK Bali
	Training on the operation of seed production and management for UPTD and HSRT (small scale hatchery).	150 persons PTD & HSRT	UPT in each Province
	Roll out the training programs to MMAF staff (TOT)	15 persons Staff/UPT	- MMAF - OI Hawaii
	Socialize brood stock breeding protocols to small and medium seed suppliers and hatcheries.	150 persons PTD & HSRT. 10 NBC & MBC	UPT in each Province

Output	Training, Workshop, and Socialization	Targeted Participants	Executor
	Socialize Good Hatchery Practice (CPIB) to small scale hatchery	150 persons PTD & HSRT.	UPT in each Province
	Train Indonesian government (MMAF and UPT Staffs), feed and processing sectors on requirements to access markets of the Seafood Task Force (STF)		Global Environment Facility (GEF)
	Training of Trainers for MMAF staff on laboratory management.	84 persons Staff/UPT	- MMAF - Arizona University
	Training for UPT and UPTD on laboratory management and operations.	70 persons UPT	MMAF
	Training on disease surveillance and monitoring	70 persons UPT	MMAF
	Training on disease sampling and handling.	70 trainers 192 shrimp farmers.	UPT in each Province
	Training on the application of biosecurity and biosafety, monitoring water quality, disease, and residue for small scale hatchery.	70 persons UPT	MMAF
	Training on monitoring water quality, disease, and residue for shrimp farmers.	192 shrimp farmers.	UPT in each Province
	Workshop on (i) the harmonization of testing methodology, (ii) the validation/verification of test method, (iii) AMR Controlling	70 persons UPT	MMAF
	Workshop on shrimp breeding bioinformatics.	60 persons UPT	MMAF
Output 2	Training on financial literacy, farmer-based enterprise, access to finance and small-scale farmer group strengthening and farmer institutional empowerment	192 shrimp farmers.	MMAF
	Training on establishment and strengthening of farmer-based enterprises	20 group farmers.	MMAF
	TOT on good and sustainable aquaculture practices in international forum	25 persons staff	MMAF
	Training on good and sustainable aquaculture practices involving women.	125 persons MMAF trainer. 192 shrimp farmers.	UPT in each Province
	Socialize INDOGAP implementation included, Good Aquaculture Practice (CBIB) training to farmers	150 persons MMAF trainer. 30 feed company	UPT in each Province
	TOT to district agencies on socialize INDOGAP implementation included CBIB, CPIB, CPPIB		MMAF
	Training on shrimp farming technology including pond water quality and wastewater management and cleaning technology, feed management, disease and biosecurity, mangrove management and replanting	125 persons MMAF. 192 shrimp farmers.	UPT in each Province
Output 3	Training on good shrimp post-harvest handling to add the value, food safety and quality assurance	125 persons MMAF trainer.	UPT in each Province

Output	Training, Workshop, and Socialization	Targeted Participants	Executor
		192 shrimp farmers <sup>29</sup> .	
	Training on CBIB, CPPIB certification processes	125 persons MMAF trainer. 192 shrimp farmers.	UPT in each Province
	Training on INDOGAP, STELINA and traceability	150 persons UPT 125 persons MMAF trainer. 192 shrimp farmers.	MMAF UPT in each Province

## VII. GRIEVANCE REDRESS MECHANISM

105. A project grievance is defined as an actual or perceived project-related problem that gives ground for complaint by an affected person. As a general policy, the CPMU and PIUs will work proactively to prevent grievances through the implementation of impact mitigation measures. They will provide community liaison to anticipate and address potential issues before they become grievances. Nonetheless, it is possible that unanticipated impacts may occur if the mitigation measures are not properly implemented, or unforeseen issues occur. To address complaints, a project level Grievance Redress Mechanism (GRM) is developed in accordance with ADB requirements and the Government procedures. The GRM is a systematic process for receiving, recording, evaluating, and addressing an affected person's (beneficiaries) project-related grievances transparently and in a reasonable period.

106. An effective GRM should integrate community development, resettlement, environment, and technical issues into a single structure. The structure considers the Government's laws and provisions for complaint handling as well as nuances of the operating environment and cultural attitudes toward lodging complaints. Specifically, the structure enables the GRM to:

- (i) provide a predictable, transparent, and credible process to all parties, resulting in outcomes that are seen as fair, effective, and lasting.
- (ii) build trust as an integral component of broader community relations activities; and
- (iii) enable a systematic identification of issues or problems, facilitating corrective actions and pre-emptive engagement.

107. For the project the GRM will include the following elements:

- (i) a grievance receipt and registration system to provide ways for community members to register complaints and confirm that their grievance have been received.
- (ii) grievance eligibility assessment to determine if the issues raised in the complaint fall within the mandate of the GRM and if the complaints are legitimate.
- (iii) grievance assessment and investigation to clarify concerns raised in the complaint, to gather information on the situation, and to identify how the issues might be resolved.
- (iv) joint problem-solving, in which all relevant project stakeholders engage in a dialogue and action planning to resolve the problem.
- (v) grievance tracking, including maintenance of written records of grievances, monitoring, public information disclosure and reporting to the affected person; and

<sup>29</sup> The targeted participants for this training should include (i) small holder farmers; (ii) women; (iii) youth; (iv) ponds workers.

- (vi) grievance closure, including community feedback and confirmation of resolution of the problem.

108. For the project, each UPT will establish a GRC. The composition of the sub-district GRC will include the below members. Depending on the type of complaint, the GRC may also ask representatives of the relevant technical divisions of sub-district to be present for the meetings.

- (i) representative from PIU (Chair)
- (ii) representative from the local government at village level
- (iii) representative from the project team
- (iv) representative from shrimp farmer associations and other CBO/CSO
- (v) representative from the *Masyarakat Hukum Adat* or Indigenous Peoples, Group if any, from subproject site<sup>30</sup>.
- (vi) representative from local women association, if any.

109. The Minister of Marine Affairs and Fisheries has issued a regulation regarding the handling of complaints within the MMAF, (number 56/Permen-KP/2020). The MMAF complaint handling flowchart is shown in figure 5. In addition to an official complaint channel for the community, the regulation also establishes a Grievance Redress Committee<sup>31</sup> (*Tim Penanganan Pengaduan, TPP*) at the central level to the UPT. The duties of the TPP are as follows:

- (i) Coordination on complaint handling with Echelon I Work Unit of UPT in MMAF.
- (ii) Provide an early response or solution to the grievance according to their authority.
- (iii) Monitor the follow-up to the grievance according to their authority.
- (iv) Communicate, coordinate, and provide information on the grievance in accordance with their authority.
- (v) Gather materials and information relevant to the grievance.
- (vi) Receive the grievance to be submitted to the administration of the complaint handling unit of UPT.
- (vii) Carry out field verification of the complaint.
- (viii) Conduct a technical review of the received complaints.
- (ix) Submit the results of the study and material and information collection in the form of recommendations for follow-up to the complaint solution to the Head of the UPT.
- (x) Coordinate with the Inspectorate General regarding the results of collecting materials and information through the Echelon I Work Unit of UPT, and
- (xi) Prepare monthly GRM report for the Head of the UPT.

110. The roles and responsibilities of the GRC include (i) receiving all complaints from affected persons seeking access to the GRM; (ii) registering the complaints; (iii) determining complaint eligibility; (iv) investigating the complaint and identifying corrective actions that are within the mandate of GRC; (v) informing complainant about the proposed corrective action; (vi) managing and supervising the implementation of the plan; and (vii) maintaining a complaint registration,

<sup>30</sup> In several subproject site, the roles of indigenous governance in customary village system are quite significant to solve any dispute, complaint during the preparation and implementation of project activities. In Aceh, the roles of *teunku* (religious authority), *keuchik* (a village head) are significantly important to organize the properties and land within the *Gampong* (villages) areas. Meanwhile, the head of *pekon* (villages) as the official customary village administrative system in Tanggamus District (Lampung), head of *kampung* (villages) in Sinjai District, and *Pasang ri kajang* value (customary value) in Ammatoa Kajang in Bulukumba District, South Sulawesi Provinces, are used to be refers to solve any conflict and issue related the complaint from daily life of MHAs and the various project development initiative at village level.

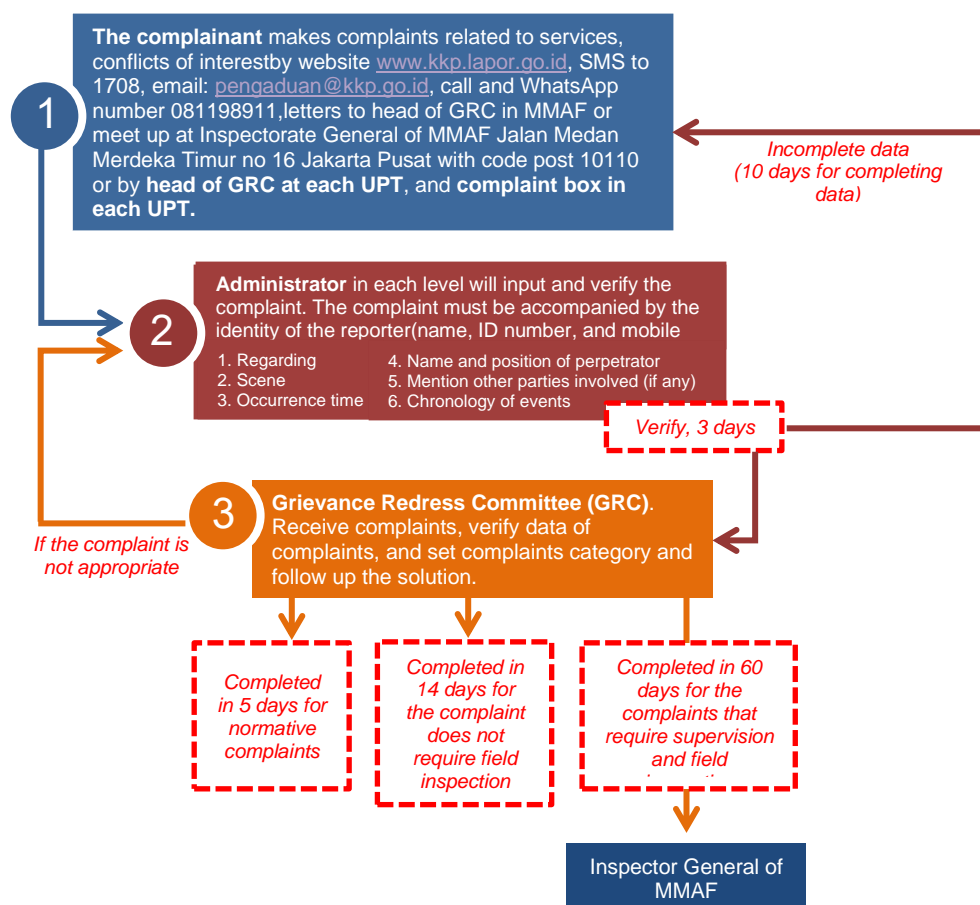
<sup>31</sup> *Tim Penanganan Pengaduan*, the Grievance Redress Committee, hereinafter abbreviated as TPP, is a team formed within the Ministry of Marine Affairs and Fisheries who is tasked with following up and monitoring the grievance solution submitted through the official complaints channel within the MMAF.

tracking and monitoring system. The GRC will assign one GRC member to be the contact person to receive the grievances, to organize the meetings of the GRCs on the received cases, to organize the investigations, to implement the actions, to respond to the affected person and to maintain the grievance system.

111. Representative of farmers Groups, supported by the facilitator, will facilitate complainant to submit complaints, to coordinate meeting with the contact person of GRCs for grievances settlement. The field facilitator and GRC contact person will maintain complaint registration and settlement. The submission and redressal status will be kept in the PIU office as managed by the PIU safeguard officer. The GRM status of each subproject must be reported in the semiannual monitoring report.

112. The GRM stages are presented in the **Annex 10**. The proposed GRM will be consulted and disclosed in the public consultation meetings with farmers, residents, authorities, and relevant agencies by PIU and will be finalized before the detailed engineering design of the project is available. The project team will prepare and conduct a capacity building program to all levels of the GRM to ensure that it is functional and effective in resolving grievances of farmers and residents to the project related issues.

**Figure 5. The Flowchart of Formal Grievance Redress Mechanism of MMAF**

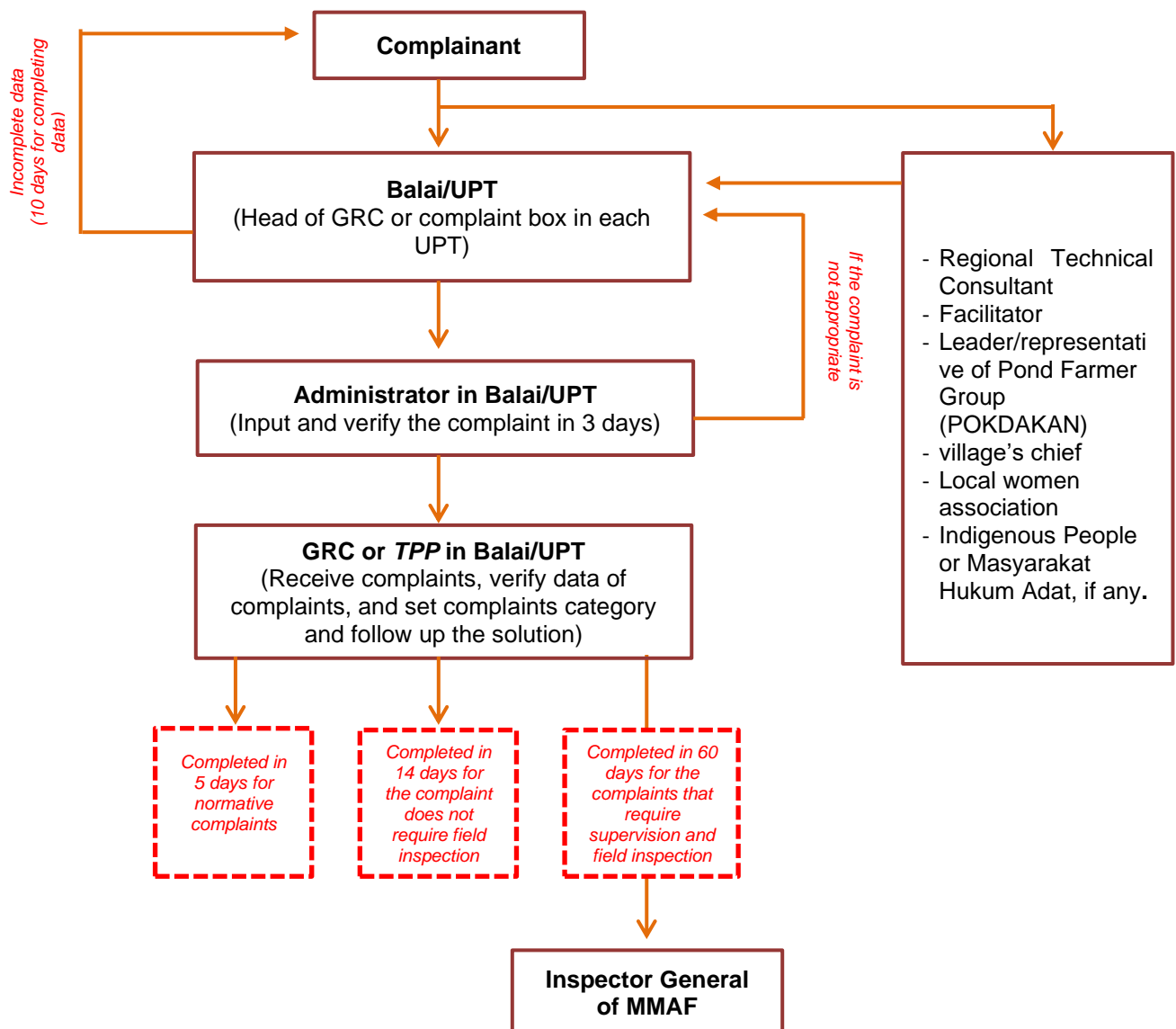


Source: MMAF Regulation Number 56/Permen-KP/2020

113. If the efforts to resolve disputes using the project level grievance procedures fail or unsatisfactory, as a last resort, complainants can directly send their concerns or problems to ADB to settle the dispute using ADB's Accountability Mechanism (AM). The complaint may be submitted by mail, fax, email, or in person to Complaint Receiving Officer (CRO), Accountability Mechanism of Asian Development Bank at ADB Headquarters, 6 ADB Avenue, Mandaluyong City 1550, Metro Manila, Philippines by phone [\(+632\) 632-4444 loc. 70309](tel:+6326324444) or (+632) 636 2086 or by email [amcro@adb.org](mailto:amcro@adb.org). Alternatively, the complaint may be submitted through any ADB office, such as a [resident mission or representative office](#), which will forward the complaint to the CRO.

114. The project also prepares alternative GRM for the farmers/ beneficiaries of this project. Instead of sending the complaint to the ministry level, the complainant can send the grievance to the regional technical unit (UPT/Balai) in their respected areas. The proposed mechanism is in the flowchart of figure 6. This flowchart is based on the MMAF regulation but with a complaint flow that is accessible for the complainant in the project areas.

**Figure 6. The Flowchart of Proposed GRM of IISAP**



## VIII. MONITORING AND REPORTING

115. The CPMU, with support from PIUs and consultant teams will establish an internal monitoring, reporting and supervision mechanism of all social safeguard activities. Monitoring information will be directly collected from the field supported by project facilitators. PIUs safeguard officer will collect and prepare the semiannual safeguard monitoring report, to be submitted to CPMU. The outline of SMR's report is in Annex 11. PIUs' monitoring reports will be consolidated by CPMU and submitted to ADB for review and disclosure.

116. Internal monitoring and supervision will include the following:

- (i) Ensure project's compliance with ADB SPS (2009), CDF and IPPF.
- (ii) Preparation and implementation of SADP, MHADP, if any and DDR for UPTs infrastructures.
- (iii) Verify the baseline information of Project's beneficiaries, and proposed locations for community's infrastructures
- (iv) Ensure that land verification and provision mechanism is properly executed as in the CDF
- (v) Monitor the community consultation and participation process for farmer's shrimp clusters and pond rehabilitations
- (vi) Ensure social inclusion of the Project targeted beneficiaries, especially for vulnerable households, women, IP members and youth.
- (vii) Record all grievances and their solution and ensure the complaints are addressed and redressed in timely manner.

117. An external monitoring of community development is required by the Project. The external monitor is responsible for external monitoring of the SADP preparation and implementation ensuring that the processes are in accordance with the principles of safeguard policy and CDF. The external monitoring and supervision will focus on the following aspects:

- (i) land sharing/pooling for farmer pond cluster and the other assistance in all locations are conducted in accordance with applicable regulations.
- (ii) delivery of livelihood restoration program and social support entitlements includes delivery of assistance for farmers renting ponds.
- (iii) public information dissemination and consultations procedures.
- (iv) adherence to grievance procedures, and resolution of outstanding issues requiring management's attention.
- (v) the benefit provided from the project.
- (vi) the ability of the farmers and farmer group in re-establishing their livelihoods and living standards.
- (vii) assessing if CDP activities achieved the intended objectives, measuring community development outcomes against baseline condition.

118. For external monitoring needs, CPMU needs to recruit an independent external party. The justification and TOR of the external monitoring is in the **Annex 12** and the indicators for external monitoring and evaluation of community development plan can be seen in the appendix of **Annex 11**. The CPMU should submit the monitoring result of external party to the ADB for review and disclosure on its website.

119. The primary responsibility for internal monitoring lies with PIU and CPMU, which will be responsible for overseeing the activities of the civil work and non-civil work in each project site location. They should also summarize the progress and compliance issues of community development plan in the semi-annual project progress reports.

120. All monitoring data on community development will be collected and disaggregated by sex. The Social Safeguards officer of the PMU and PIU and supporting Consultants will support the PIU and CPMU to establish system to implement the internal monitoring of the prepared plans and support the EMA in carrying out of external monitoring activities.

#### **IX. BUDGET AND FINANCING**

121. Costs related to CDP planning and implementation include (i) socio and economic data and information collection; (ii) consultations with residents, (iii) implementation of mitigation and beneficial measures, (iv) monitoring on implementation of mitigation and beneficial measures by CPMU, PIU and community, and (v) grievance resolution (assessment, investigation, meetings, carrying out of actions, etc.).

122. Budget for CDP and implementation is from the project. PIU and CPMU are responsible to secure of funds and timely allocate of funds for CDP and implementation.



## Annex 1: Screening Form for Involuntary Resettlement

### INVOLUNTARY RESETTLEMENT/ LAND ACQUISITION AND INDIGENOUS PEOPLE SCREENING CHECKLISTS

#### A. Introduction

Each project/subproject/component needs to be screen for any involuntary resettlement impacts and indigenous people impacts which will occur or already occurred. This screening determines the necessary action to be done by the project team.

#### B. Information on project/subproject/component:

- a. Subproject name :
- b. Contract package number:
- c. District/ Administrative Name:
- d. Location/ area:
- e. Civil work dates (proposed):
- f. Technical Description: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

#### C. Screening Questions for Involuntary Resettlement Impact

Below is the initial screening for involuntary resettlement impacts and due diligence exercise. Both permanent and temporary impacts must be considered and reported in the screening process.

Involuntary Resettlement Impacts	Yes	No	Not known	Remarks
Will the project include any physical construction work?				
Does the proposed activity include upgrading or rehabilitation of existing physical facilities?				

Involuntary Resettlement Impacts	Yes	No	Not known	Remarks
Will it require permanent and/or temporary involuntary land acquisition?				
Will it require donation or negotiated land acquisition?				
Are there any non-titled people who live or earn their livelihood at the site or within the corridor of impact (COI) / Right of Way (ROW)?				
Is the ownership status and current usage of the land known?				
Will there be loss of housing?				
Will there be loss of agricultural plots?				
Will there be losses of crops, trees, and fixed assets (i.e., fences, pumps, etc.)?				
Will there be loss of businesses or enterprises?				
Will there be loss of incomes and livelihoods?				

Involuntary Resettlement Impacts	Yes	No	Not known	Remarks
Will people lose access to facilities, services, or natural resources?				
Will any social or economic activities be affected by land use-related changes?				
Are any of the affected persons (AP) from indigenous or ethnic minority groups?				If yes, please describe the situation
<b>Additional Notes: (sketch map or pictures)</b>				

## D. Screening Questions for Indigenous People Impact

<b>KEY CONCERNS</b> (Please provide elaborations on the Remarks column)	YES	NO	NOT KNOWN	Remarks
<b>A. Indigenous Peoples Identification</b>				
1. Are there socio-cultural groups present in or use the project area who may be considered as "tribes" (hill tribes, scheduled tribes, tribal peoples), "minorities" (ethnic or national minorities), or "indigenous communities" in the project area?				
2. Are there national or local laws or policies as well as anthropological research/studies that consider these groups present in or using the project area as belonging to "ethnic minorities", scheduled tribes, tribal peoples, national minorities, or cultural communities?				
3. Do such groups self-identify as being part of a distinct social and cultural group?				
4. Do such groups maintain collective attachments to distinct habitats or ancestral territories and/or to the natural resources in these habitats and territories?				
5. Do such groups maintain cultural, economic, social, and political institutions distinct from the dominant society and culture?				
6. Do such groups speak a distinct language or dialect?				
7. Has such groups been historically, socially and economically marginalized, disempowered, excluded, and/or discriminated against?				
8. Are such groups represented as "Indigenous Peoples" or as "ethnic minorities" or "scheduled tribes" or "tribal populations" in any formal decision-making bodies at the national or local levels?				
<b>B. Identification of Potential Impacts</b>				
9. Will the project directly or indirectly benefit or target Indigenous Peoples?				
10. Will the project directly or indirectly affect Indigenous Peoples' traditional socio-cultural and belief practices? (e.g., child-rearing, health, education, arts, and governance)				
11. Will the project affect the livelihood systems of Indigenous Peoples? (e.g., food production system, natural resource management, crafts and trade, employment status)				

<b>KEY CONCERNS</b> (Please provide elaborations on the Remarks column)	<b>YES</b>	<b>NO</b>	<b>NOT KNOWN</b>	<b>Remarks</b>
12. Will the project be in an area (land or territory) occupied, owned, or used by Indigenous Peoples, and/or claimed as ancestral domain?				
<b>C. Identification of Special Requirements</b> <i>Will the project activities include:</i>				
13. Commercial development of the cultural resources and knowledge of Indigenous Peoples?				
14. Physical displacement from traditional or customary lands?				
15. Commercial development of natural resources (such as minerals, hydrocarbons, forests, water, hunting or fishing grounds) within customary lands under use that would impact the livelihoods or the cultural, ceremonial, spiritual uses that define the identity and community of Indigenous Peoples?				
16. Establishing legal recognition of rights to lands and territories that are traditionally owned or customarily used, occupied or claimed by indigenous peoples?				
17. Acquisition of lands that are traditionally owned or customarily used, occupied or claimed by indigenous peoples?				

### **E. Involuntary Resettlement and Indigenous People Impact**

After reviewing the answers above, EA/ Safeguard Team confirms that the proposed subsection/ section/ subproject/component (tick as appropriate):

- Has involuntary resettlement (IR) or land acquisition impact, a resettlement plan (or corrective action plan) is required
- Has No IR impact, due diligence report to be prepared to confirm.
- Has Indigenous People (IP) impact, an indigenous people plan (IPP) (or specific IP action plan) is required
- Has No IP impact, no IPP/specific action plan is required.

Prepared By:	Verified by:
Signature:	Signature:
Name:	Name:
Position:	Position:
Date:	Date:

## **Annex 2. Outline of an Indigenous Peoples Plan**

This outline is part of the Safeguard Requirements 3. An Indigenous Peoples plan (IPP) is required for all projects with impacts on Indigenous Peoples. Its level of detail and comprehensiveness is commensurate with the significance of potential impacts on Indigenous Peoples. The substantive aspects of this outline will guide the preparation of IPPs, although not necessarily in the order shown.

### **A. Executive Summary of the Indigenous Peoples Plan**

This section concisely describes the critical facts, significant findings, and recommended actions.

### **B. Description of the Project**

This section provides a general description of the project; discusses project components and activities that may bring impacts on Indigenous Peoples; and identify project area.

### **C. Social Impact Assessment**

- (i) Reviews the legal and institutional framework applicable to Indigenous Peoples in project context.
- (ii) Provides baseline information on the demographic, social, cultural, and political characteristics of the affected Indigenous Peoples communities; the land and territories that they have traditionally owned or customarily used or occupied; and the natural resources on which they depend.
- (iii) Identifies key project stakeholders and elaborate a culturally appropriate and gender-sensitive process for meaningful consultation with Indigenous Peoples at each stage of project preparation and implementation, taking the review and baseline information into account.
- (iv) Assesses, based on meaningful consultation with the affected Indigenous Peoples communities, the potential adverse and positive effects of the project. Critical to the determination of potential adverse impacts is a gender-sensitive analysis of the relative vulnerability of, and risks to, the affected Indigenous Peoples communities given their particular circumstances and close ties to land and natural resources, as well as their lack of access to opportunities relative to those available to other social groups in the communities, regions, or national societies in which they live.
- (v) Includes a gender-sensitive assessment of the affected Indigenous Peoples' perceptions about the project and its impact on their social, economic, and cultural status.
- (vi) Identifies and recommends, based on meaningful consultation with the affected Indigenous Peoples communities, the measures necessary to avoid adverse effects or, if such measures are not possible, identifies measures to minimize, mitigate, and/or compensate for such effects and to ensure that the Indigenous Peoples receive culturally appropriate benefits under the project.

### **D. Information Disclosure, Consultation and Participation**

- (i) Describes the information disclosure, consultation and participation process with the affected Indigenous Peoples communities that were carried out during project preparation.
- (ii) Summarizes their comments on the results of the social impact assessment and identifies concerns raised during consultation and how these have been addressed in project design.
- (iii) In the case of project activities requiring broad community support, documents the process and outcome of consultations with affected Indigenous Peoples communities and any agreement resulting from such consultations for the project activities and safeguard measures addressing the impacts of such activities.
- (iv) Describes consultation and participation mechanisms to be used during implementation to ensure Indigenous People participation during implementation; and
- (v) Confirms disclosure of the draft and final IPP to the affected Indigenous Peoples communities.

**E. Beneficial Measures**

This section specifies the measures to ensure that the Indigenous Peoples receive social and economic benefits that are culturally appropriate, and gender responsive.

**F. Mitigative Measures**

This section specifies the measures to avoid adverse impacts on Indigenous Peoples; and where the avoidance is impossible, specifies the measures to minimize, mitigate and compensate for identified unavoidable adverse impacts for each affected Indigenous Peoples groups.

**G. Capacity Building**

This section provides measures to strengthen the social, legal, and technical capabilities of (a) government institutions to address Indigenous Peoples issues in the project area; and (b) Indigenous Peoples organizations in the project area to enable them to represent the affected Indigenous Peoples more effectively.

**H. Grievance Redress Mechanism**

This section describes the procedures to redress grievances by affected Indigenous Peoples communities. It also explains how the procedures are accessible to Indigenous Peoples and culturally appropriate and gender sensitive.

**I. Monitoring, Reporting and Evaluation**

This section describes the mechanisms and benchmarks appropriate to the project for monitoring and evaluating the implementation of the IPP. It also specifies arrangements for participation of affected Indigenous Peoples in the preparation and validation of monitoring, and evaluation reports.

**J. Institutional Arrangement**

This section describes institutional arrangement responsibilities and mechanisms for carrying out the various measures of the IPP. It also describes the process of including relevant local organizations and NGOs in carrying out the measures of the IPP.

**K. Budget and Financing**

This section provides an itemized budget for all activities described in the IPP.

**L. Implementation Schedule**

This section describes the detailed IPP activities, and it must be aligned with the overall project implementation schedule and all the compensation and mitigations will be done prior to the civil work



### Annex 3. List of *Masyarakat Hukum Adat* Located in IISAP Project

Name of MHAs	Regional Legal Product Recognized the MHA	Location			Project Component
		Village	District	Province	
Gampong Neuheun and Gampong Baro Community	Qanun (Regional Regulation) of Aceh Besar District Number 4 of 2013 concerning the Regional Spatial Plan for 2012-2032	Gampong Neuheun	Mesjid Raya, Aceh Besar	Aceh Special Region	Good Hatchery Practices to local farmers
		Gampong Baro			
Bugbug Customary Village Community	Regional Regulation of Karangasem District Number 17 of 2012 concerning the Regional Spatial Planning in the period of 2012-2032	Bugbug	Karangasem	Bali	
Mukim Dalam	Qanun Aceh Barat District Number 5 of 2015 Concerning the Establishment Mukim Dalam	TBD	Aceh Barat	Aceh	Sustainable Shrimp Pond; Farmers Shrimp Cluster
MHA Mukim Lango	Bupati of Aceh Besar Decree Number 22a of 2018 concerning the recognition of MHA Mukim Lango	TBD	Aceh Barat	Aceh	Sustainable Shrimp Pond; Farmers Shrimp Cluster
MHA Mukim Manjeng	Bupati of Aceh Besar Decree Number 22b of 2018 concerning the recognition of MHA Mukim Manjeng	TBD	Aceh Barat	Aceh	Sustainable Shrimp Pond; Farmers Shrimp Cluster
MHA Mukim Meuko	Bupati of Aceh Besar Decree Number 22c of 2018 concerning the recognition of MHA Mukim Meuko	TBD	Aceh Barat	Aceh	Sustainable Shrimp Pond; Farmers Shrimp Cluster
MHA Mukim Tungkop	Bupati of Aceh Besar Decree Number 22d of 2018 concerning the recognition of MHA Mukim Tungkop	TBD	Aceh Barat	Aceh	Sustainable Shrimp Pond; Farmers Shrimp Cluster
MHA Mukim Paloh	Bupati of Pidie Decree Number 140/342 of 2016 concerning the legalization of Mukim Paloh Borders Area	TBD	Pidie	Aceh	Sustainable Shrimp Pond; Farmers Shrimp Cluster

MHA Mukim Kunyet	Bupati of Pidie Decree Number 140/343 of 2016 concerning the legalization of Mukim Kunyet in Padang Tiji Subdistrict	TBD	Pidei	Aceh	Sustainable Shrimp Pond; Farmers Shrimp Cluster
MHA and Customary Forest of Mukim	Qanun of Aceh Jaya District Number 5 of 2017 concerning the recognition of Mukim Customary Forest	TBD	Aceh Jaya	Aceh	Sustainable Shrimp Pond; Farmers Shrimp Cluster
<i>Pekon</i> (Customary Villages) in Tanggamus District	the Bupati Tanggamus Regulation Number 11 of 2016 concerning the Guidance to Establish Organization, the <i>Pekon</i> Governance System, and the Selection and Termination of <i>Pekon</i> Members at village level.	TBD	Tanggamus	Lampung	Sustainable Shrimp Pond; Farmers Shrimp Cluster
MHA Kampong Barambang	Sinjai Regional Regulation Number 1 of 2019 on the Recognition of MHAs	TBD	Sinjai	South Sulawesi	Sustainable Shrimp Pond; Farmers Shrimp Cluster
MHA Kampong Karampuang		TBD	Sinjai	South Sulawesi	Sustainable Shrimp Pond; Farmers Shrimp Cluster
MHA Kampong Turungan		TBD	Sinjai	South Sulawesi	Sustainable Shrimp Pond; Farmers Shrimp Cluster
MHA Ammatoa Kajang	Bulukumba Regional Regulation Number 9 of 2015 concerning the recognition of MHAs Ammatoa Kajang	TBD	Bulukumba	South Sulawesi	Sustainable Shrimp Pond; Farmers Shrimp Cluster

TBD: To be decided by project selection areas by MMAF, ADB, and Local Government

## Annex 4. Social Impact Assessment Data Collection

1. Demographic profile of the project communities
  - (i) Total number of households
  - (ii) Number of female and male-headed households
  - (iii) Number of individuals (sex and age disaggregated)
  - (iv) Ethnicity of local people.
  
2. Economic Activities and Employment
  - (i) Main economic sectors of the project communities
  - (ii) Household primary/secondary occupations
  - (iii) Occupational transition
  - (iv) Migration.
  
3. Income and Expenditure Pattern
  - (i) Average income per capita (average monthly income of possible)
  - (ii) Average income by occupations
  - (iii) Monthly expenditures of households.
  
4. Education and Health
  - (i) Education attainment disaggregated by gender
  - (ii) Literacy/ illiteracy rate
  - (iii) School dropout and non-enrollment with reasons
  - (iv) Education facilities and access to education facilities by local children
  - (v) Health issues (common diseases), reproductive health status (women and girls)
  - (vi) Health facilities and access to health facilities by local children.
  
5. Water Use, Water Supply, and Sanitation
  - (i) Status and issues of water use by local people
  - (ii) Status and issues of water supply in the community
  - (iii) Sanitation issues, including wastewater management in the local
  - (iv) Community capacity to plan, manage and use water sensitive infrastructure in informal set tlements.
  
6. Poverty and Vulnerability
  - (i) Poor according to government definition of poor (poverty line)
  - (ii) Number of poor households, number of poor females headed households
  - (iii) Reasons for poverty
  - (iv) Changes of poverty in the last 5 years
  - (v) Asset ownership and land use by the poor. Importance of the potentially affected land and assets (if any) to their livelihoods.
  - (vi) Access to basic utilities (education, health, credits, electricity, water) by the poor.
  - (vii) Number of vulnerability of households in the project area (if any).
  - (viii) Poverty reduction programs/campaigns that have been carried out in subproject areas
  - (ix) Poverty assessment according to results of the conducted consultation and surveys (any o ther poverty criteria).
  
7. Community/Group Characteristics and Development Plan
  - (i) Shared beliefs, customs, and values of the community.

- (ii) Cohesion, stability, character, services, and facilities of the community.
- (iii) Social cohesion when facing change and challenges.
- (iv) Social tensions in group and wider community.
- (v) The extent to which people can participate in decisions that affect their lives in the community.
- (vi) The extent of community participation before the project.
- (vii) Group member participation for formation and collaboration.
- (viii) Community development programs that have been conducted by other projects.
- (ix) Trainings and workshops that have been received by the community.
- (x) The relationship between the farmer communities with the fisheries extension worker in previous occasions.

#### 8. Gender Issues

- (i) Gender disparity in different levels: Work distribution (percentage of male and female in labor force, economic sectors); time spend for various activities (total hour that men/women spend for daily housework and other domestic activities; weekly/ad-hoc household activities; time spend for performing community roles); salary/ wage that they are paid for their jobs (compare the wages of men and female); decision making (percentage of decision that is made by male only, female only and both male and female); participation in mass organization, local authority or Government councils (percentage of female in these agencies).
- (ii) Family income contribution among men and women in different levels.
- (iii) Violence against women (in family and community).

#### 9. Local people's perception on the proposed project

- (i) Potential benefits of the proposed project for local people and community.
- (ii) Potential positive and negative impacts on the community by the project.
- (iii) Concerns, opinions, and suggestions of local people on the proposed project.

## Annex 5. Public Consultation Meeting's Note and Documentation

### MINUTES OF PUBLIC CONSULTATION IN KEDUNG SUBDISTRICT, JEPARA DISTRICT

Today, Tuesday, **June 14, 2022**, we conducted a public consultation for IISAP located in **Kedung Subdistrict**, Jepara District, East Java Province. The public consultation was attended by relevant institutions from Directorate General of Aquaculture, MMAF, Fisheries Agency of Jepara District, head of Kedung Subdistrict, Head of Panggung Village, fish farmer group, and extension worker (attendance list is attached).

As the public consultation uses meeting methods, thus we call it Public Consultation Meeting (PCM). The PCM has been conducted in Kampung Tambak café and attended by 48 people (3 women, 45 men), 39 of whom were the representatives of fish farmer group (*Kelompok Pembudidaya Ikan, POKDAKAN*).

<b>Summary Discussions</b>	
(i)	Project will improve the fish farmers' welfare through developing aquaculture
(ii)	It will be ensured all participants of this consultation meeting, especially fish farmers, understand the objective, output, and activities of project.
<b>Concern raised by the participants and Project team response:</b>	
(iii)	<b>Criteria of Selected Group. Project Response:</b> This project requires group members who are highly dedicated and motivated. Selected groups will go through strengthening activity by the facilitators with mechanism designed for the project until 2027. Performance of fish farmer group will influence the sustainability of project.
(iv)	<b>Institution in charge, rule, and procedure of group selection. Project response:</b> BBPBAP Jepara takes the biggest responsibility for the technical selection of farmer group as beneficiary of this project. Selection process refers to result of assessment, the rule, and procedures.
(v)	<b>The Risk when group does not achieve the target. Project Response:</b> Selected group have to know their rights and obligations to harmonize working group and optimize use of resource. All the process must refer the rule and procedure.
(vi)	<b>Legal and permit of Shrimp ponds operation in Karimun Jawa Islands. Project Response:</b> Since most of them have no Letter of conformity for Regional Spatial Planning, it should be reviewed the permit and ensure shrimp pond with Wastewater Treatment Plant (WWTP) management through a natural approach by planting mangroves is required. It is to ensure that the water quality meets the requirements. Test the water quality will be carried out regularly.

Photograph of related public consultations











Attendance List

## List of Participants

Project : IISAP  
 Date : 14 June 2022  
 Venue : Kampung Tambak Café at Pangung Village



TA 9951-INO: Supporting Water Security Investments Facility (Subproject 4)  
 Public Consultation Meeting for the Preparation of  
 Infrastructure Improvement for Shrimp Aquaculture Project








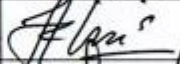
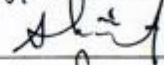


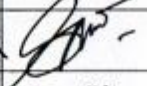


Jepara, 14 June 2022:

List of Participants

Sub-district (Kecamatan) : Kecamatan Kedung Kabupaten Jepara

Village (Desa) : Desa Pangung

No.	Nama (Name)	Alamat (RT/RW) (Address)	Pekerjaan (Profession)	Tandatangan (Signature)
1	Ahmad Safi	PANGUNG 02/01	PeranotaT	
2	JAMRONI	PANGUNG 04/01	KETUA kelomp	
3	LAIQ	PANGUNG 06/02	Seceatoris	
4	Tri Mahanani	Kasi PMD kec. Kedung	perwakilan kec.	
5	MURAHAN	PANGUNG	KETUA	
6	Sulisman	PANGUNG	KETUA	
7	Wawan p	PANGUNG 9/3	Sekeoran	
8	Burhanudin	Dinas Perikanan	Perwakilan Perikanan	
9	Polhib	Surokadi	Perwakilan	

10	SYAMSUL HUDA	Panggung 07/02	Perwirwati	S/100 hals
11	Ir. WAFYANT	Dinas Perikanan	ICADIR	
12	A-CHOTIB	"	ICADID PB	
13	NOJAL H	"	SVB ISKANDIANTH	
14	BUDI S	"	"	
15	MOVI C	"	STAF	
16	Miskan	Panggung	Tirta Bantak	
17	Khabibullah	Kedung Malang	ALBAROKAH I	
18	NOOR REXIQA	- - -	- - -	
19	Mukhlisin	- " -	AL BAROKAH II	
20	Nor Khalim	"	"	
21	Budi Utomo	- " -	Tirta Bantak	
22	Alwi	Butak Baru	Sri Rejeki	
23	Posid	- - -	- - -	

24	M. Rista	Kedung Malang	Tirta Bahari	ofp
25	Kusnan	Kali Angur	Mata Bahari	fyg
26	Sukarno	"	"	fo
27	ali khanda	kolikanya	win dan kausala	ofp
28	Haryono	Panggung	TIRTA MILI	ofp
29	Sagidi	"	"	ofp 2
30	Darman	Panggung	Sumber Rezeki	ofp
31	Azz	"	"	ofp
32	Jaebri	"	Tirta Muli	ofp
33	Rudi	Panggung	Sumber Rezeki	2
34	Rahm	Panggung	Tirta Muli	ofp
35	Shota	Panggung	Bahari Matani	ofp
36	Nasir	Panggung	"	12
37	Mabru	Kedung Malang	Tirta Bahari	ofp

38	Ahmad Safiq	Panggung	Sumber Rezeki	<i>hafsan</i>
39	NASIKIN	PANGLING	SUMBERALAM	<i>[Signature]</i>
40	SAHID	PANGGUNG	SUMBER ALAM	<i>[Signature]</i>
41	tarji	Kaliangar	Sumber alam	<i>[Signature]</i>
42	Santoso	Panggung	Al Barokah	<i>[Signature]</i>
43	Kusnan	Surodadi	Tirta Bawotah	<i>[Signature]</i>
44	Fatkhur Ulum	Kedung Malang	Al Barokah	<i>[Signature]</i>
45	Suram	Surodadi	Tirta Bawotah	<i>[Signature]</i>
46	Hadi	Surodadi	Al Barokah	<i>[Signature]</i>
47	Daman	Panggung	Sumber Rezeki	<i>[Signature]</i>
48	Suhadi	Kedung Malang	Al Barokah	<i>[Signature]</i>
49				
50				
<b>Total Number (Jumlah Total)</b>				<hr/>

PCM schedule

**PUBLIC CONSULTATION MEETING  
FISH FARMER GROUP (POKDAKAN) IN KEDUNG SUB DISTRICT – JEPARA DISTRICTS  
Kedung Sub District , 14 June 2022**

<b>No.</b>	<b>Time</b>	<b>Activity</b>	<b>Responsible Institution/Person</b>
1	08.30 – 09.00	Participants Registration	Head of BBPBAP Jepara
2.	09.00 – 09.10	Welcome Speech	MC
2.	09.10 – 10.00	Opening Speech from Kedung Sub district	Head of Village Development Division of Kedung Sub district
		Speech from Fisheries Agency of Jepara District	Head of Jepara District Fisheries Agency
		Speech from BBPBAP Jepara / Representative of Directorate General of Aquaculture, MMAF	Head of BBPBAP Jepara
3.	10.00 – 11.00	Technical Aspects: Pond Cluster System, Irrigation Canal, Pond Repair and Communal Wastewater Treatment Plant	ADB TRTA (Bambang Sumartono)
		Environmental Safeguard	ADB TRTA (Adam Yazid)
		Social Safeguards	ADB TRTA (Teguh Kuncoro)
4.	11.00 – 12.00	Discussion, Question and Answer (QA)	Facilitated by BBPBAP Jepara
5.	12.00 – 12.10	Closing Speech	BBPBAP Jepara
6.	12.10 –	Informal Discussion and fill out questionnaire	MC/Balai Staff /TRTA

## MINUTES OF PUBLIC CONSULTATION IN DONOROJO SUBDISTRICT, JEPARA DISTRICT

In this day, Wenesday, **June 15, 2022**, we carried out a public consultation for IISAP located in **Donorojo Subdistrict**, Jepara District, East Java Province. The public consultation attended by relevant institutions from Directorate General of Aquaculture, MMAF, Fisheries Agency of Jepara District, Head of Donorojo Subdistrict, Head of Ujungwatu Village, fish farmer group, and extension worker (attendance list are attached).

The public consultation uses meeting methods, so we can call Public Consultation Meeting (PCM). The PCM has been conducted at Sutarno's Fish Warehouse in Ujungwatu Village Donorojo Subdistrict and attended by 49 people (8 women and 41 men), 40 of whom were the representatives of fish farmer group (*Kelompok Pembudidaya Ikan, POKDAKAN*).

### Summary Discussions

- (i) The diversification of pond business through cultivation of various products is very importance. Not only milky fish but produce the vannamei shrimp with export quality will have high prices
- (ii) Readiness to adopt new technology, new skill, and work hard as the key to success for the projects.

#### **Concern raised by the participants and Project team response**

- (iii) **Role of Extension Worker. Project response:** Project will ensure role of extension workers to assist in making proposals and provide technical assistance to the farmer group to implement activities to reach the objective of project.
- (iv) **Planning to build processing factory in Jepara. Project response:** The project will build processing factory in Jepara that will affect the efficiency of production cost.
- (v) **Requirement of Location Determination. Project response:** Location will be determined based on requirement (technically good) and can give positive impact on farmers and the surrounding community. It is agreed that Jepara District has 2 project locations.



Photograph of related public consultations



**Attendance List**

## List of Participants

Project : IISAP  
 Date : 15 June 2022  
 Venue : Ujungwatu Village



TA 9951-INO: Supporting Water Security Investments Facility (Subproject 4)  
 Public Consultation Meeting for the Preparation of  
 Infrastructure Improvement for Shrimp Aquaculture Project




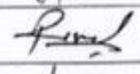
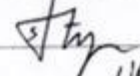
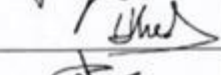



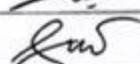
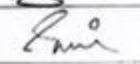
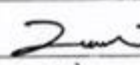
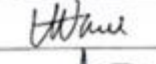


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




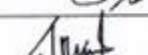
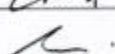





**List of Participants**





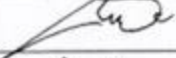
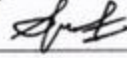
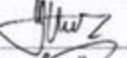
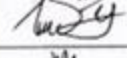

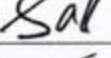
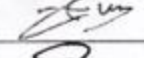
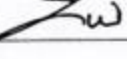
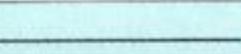
Sub-district (Kecamatan) : Kecamatan Donorojo Kabupaten Jepara  
 Village (Desa) : Desa Ujungwatu

No.	Nama (Name)	Alamat (RT/RW) (Address)	Pekerjaan (Profession)	Tandatangan (Signature)
1	Sukanan	RT 1 RW 10	tani tambak	
2	wawang	wing watu	Tani Tambak	
3	PURWAN TO	CLERING	TANI TAMBAK	
4	ARITINI	—	—	
5.	JUKI	CLERING	TANI TAMBAK	
6	Ahmad Khafid	Ujungwatu	Tani tambak	
7	Moh. Taufan	Jaya	Pemulok.	
8	Supai	ujung watu	TANI Tambak.	
9	Sunaryo	Ujungwatu	Tani Tambak	



10	M. Abdul Jalil		tani tambak.	
11	Wiharsono	Pr ab/os upuquatu denovis / 2012	budidaya ikan	Hd
12	RISMIATI	CLERING	- "	
13	Adityan S.N	ujung watu	Budi daya ikan	
14	SUMBAGTI	ujung WATU	... ikan	
15	SUDIRO	ikan	Budidaya	
16	BAPU	UJUNG WATU	TAMBAK	
17	Legiman	clering	petambak	
18	Ahmad Uka	Peramp	Petambak	
19	Robmad	clering	Petambak	
20	Indiyo	Ujung Watu	Tani Tambak	
21	M. Zaenul	ujung Ulatu	tani Tambak	
22	M. Zuhdi	clering	petambak	
23	ANSORI	ikan	-	

24	A-CHOTIS	DISKON JEPARA	KABID PB	
25	RADE H	"	SUB KAMUD	
26	BUDI SUTAWI	Ujungwatu	Pembina	
27	MEILIA R	"	STAF	
28	A WAHIB	"	STAF	
29	HAFID	Ujungwatu	Sidakulaw	
30	AGUS	-/-	-/-	
31	Sungatono	Ujungwatu		
32	Nurul Aini	Ujungwatu		
33	Wazir N	DJPB - KUP	Bos. Prga	
34	Masluh	Claring	Petambak	
35	SETA ADI	KEC DONOROJO	CAMAT	
36	DODIK	KEC DONOROJO	STAF	
37	Windy Indra A	Jepara	Petambak	

38	Sumbarno	ujung wata	Petambak	
39	NOVI	TAWANG SAPI	PETAMBAK	
40	AGUS S	Clering	Petambak	
41	WIKAS	Cijangwatu	"	
42	SUKIKNO	Ujung wata	" - "	
43	Kholi	Clering	" - "	
44	Susanto	Cijangwatu	Petambak	
45	SUPRIANTO	Ujung wata	Petambak	
46	Ngahyah	Clering	Petambak	
47	MAKAMAH	Clering	Petambak	
48	Sutarwi	Dorotojo	Budidaya	
49	Zestari	Clering	Petambak	
50				
Total Number (Jumlah Total)				

PCM schedule

**PUBLIC CONSULTATION MEETING  
FISH FARMER GROUP (POKDAKAN) IN DONOROJO SUB DISTRICT – JEPARA DISTRICT  
Donorojo Sub District , 15 June 2022**

No.	Time	Activity	Responsible Institution/Person
1	08.30 – 09.00	Participants Registration	Head of BBPBAP Jepara
2.	09.00 – 09.10	Welcome Speech	MC
2.	09.10 – 10.00	Opening Speech from Donorojo Sub district	Head of Donorojo Sub district
		Speech from Fisheries Agency of Jepara District	Head of the acuaculture division, Jepara District Fisheries Agency
		Speech from BBPBAP Jepara / Representative of Directorate General of Aquaculture, MMAF	Head of BBPBAP Jepara
3.	10.00 – 11.00	Technical Aspects: Pond Cluster System, Irrigation Canal, Pond Repair and Communal Wastewater Treatment Plant	ADB TRTA (Bambang Sumartono)
		Environmental Safeguard	ADB TRTA (Adam Yazid)
		Social Safeguards	ADB TRTA (Teguh Kuncoro)
4.	11.00 – 12.00	Discussion, Question and Answer (QA)	Facilitated by BBPBAP Jepara
5.	12.00 – 12.10	Closing Speech	BBPBAP Jepara
6.	12.10 –	Informal Discussion and fill out questionnaire	MC/Balai Staff /TRTA

**MINUTE OF PUBLIC CONSULTATION  
IN BULUKUMBA DISTRICT**

In this day, Tuesday, **June 21, 2022**, we carried out a public consultation for IISAP in **Bulukumba District**, South Sulawesi Province. The public consultation attended by relevant institutions from

Directorate General of Aquaculture, MMAF, BPBAP Takalar, Fisheries Agency of Bulukumba District, Head of Ujung Loe Subdistrict, fish farmer group, and extension worker (attendance list are attached).

The public consultation uses meeting methods, so we can call Public Consultation Meeting (PCM). The PCM has been conducted at Manjalling village office and attended by 50 people (6 women and 44 men), 39 of whom were the fish farmer group (*Kelompok Pembudidaya Ikan, POKDAKAN*).

<b>Summary Discussions</b>	
(vi)	This Project is closely related to the implementation of the Regent's 4th mission in increasing fishery productivity.
(vii)	It has been described the project objective, output, and activities.
(viii)	In Bulukumba, potential fishpond area of around 5000 hectares, but currently, only about 3000 hectares are managed.
(ix)	Problems of shrimp cultivation due to the lack of concern and mitigation of environmental impact. are disease attacks and environmental damage. Project concern and mitigation of environmental impact.
<b>Concern raised by the participants and Project team response:</b>	
(x)	<b>Shrimp without electrical installation. Project response:</b> Project will provide budget for electrical installation for the pond location and the surrounding area without electricity.
(xi)	<b>Consequence for farmer group when project target is not achieved. Project response:</b> There is no consequence for farmer group when project target is not achieved but commitment to follow the rules must be obeyed.
(xii)	<b>Risk of Flood and harvest fail. Project response:</b> The pattern of sowing seeds needs to be re- arranged according to the calendar to anticipate when the flood comes and ensure pond is already harvested when flood come.
(xiii)	<b>Ownership of pond regarding pond re-arrangement. Project response:</b> Re arrangement of ponds is using the cluster concept. It will not change the ownership status of pond.



Photograph of related public consultations





Attendance List

## List of Participants

Project : IISAP  
 Date : 21 June 2022  
 Venue : Manjalling Village office





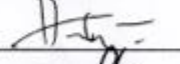
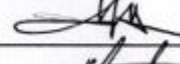
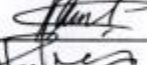
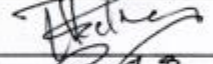


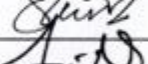
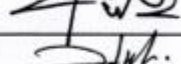




TA 9951-INO: Supporting Water Security Investments Facility (Subproject 4)  
 Public Consultation Meeting for the Preparation of  
 Infrastructure Improvement for Shrimp Aquaculture Project  
 Kabupaten Bulukumba, 21 June 2022



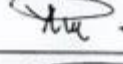






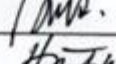




List of Participants














Sub-district (Kecamatan) : Kecamatan Ujung Loe, Kabupaten Bulukumba  
 Village (Desa) : Manjalling

No.	Nama (Name)	Alamat (RT/RW) (Address)	Pekerjaan (Profession)	Tandatangan (Signature)
1	Nasrullah	Desun T. Tedy Garamta	Tani Tambak	
2	TAJUDIN	Kel. Cijung Loe	Penyuluh	
3	MISBAHUDDIN	TA'BURU kalumene	Tani Tambak	
4	Lutfal.	Bulukumba	Penyuluh ✓	
5	Adi Mu/Saiful	Dampang	petani	
6	MUSIKKIE	Manjalling	---	
7	HERMAN	MANJALLING	---	
8	SARJI	Ds Dampang	Bisnis	
9	TAMSIR	Batee	panga	



10	Fatmawati Patwa	Binar Parikemas Bulukumba	PNS	
11	Muspriah Baso	- sd -	PNS	
12	Kamaludin	Mananran	petambak	
13	Sulhkar	Guntang -	petambak	
14	AHMAD RIZAL	MANJALLING	PETANI	
15	ABD. RAHMAN	KALAMENE	PETANI	
16	Andi Rajih.M	Barabisa, Dasa Dyojo	Pj. Kepala Dan	
17	HARUNG	Manjaling	petambak	
18	Zainuddin Syed	Manjaling	petambak	
19	ARMAN	- - -	Petambak	
20	Haerudin	Manjaling	Petambak	
21	HARIANTO	- - -	peternak	
22	MARCIATI	PACATTAS	PEG. DESA	
23	ARBIANA	Pelatti	Petambak	

24	MUHAMMAD ALUSI	PARUMONGA	POTAMBOR	
25	Murpachah	Bulukumba	PPB	
26	RUSTAN	KALIE	POTAMBOR	
27	A. Sukman	PARANG / BAN	POTAMBOR	
28	A. FAIZ	Parang (Ban)	POTAMBOR	
29	A. CAHAYA M.	Bulukumba	TANI	
30	FIRMAN	KALUMONGA	TAMBOR	
31	MOBTANG	CANDANA	TAMBOR	
32	Syamsidar	KALIE	TAMBOR	
33	A. SYAMRULLAH	PARATTRE	POTAMBOR	
34	HARTALAH	KALIE	POTAMBOR	
35	YANIS	Bulukumba	POTAMBOR	
36	ABULLAH. SP	KALUMASSANG	TAMBOR	
37	Rahmat Abbas	KALUMASSANG	TAMBOR	

38	FATIMAH. SP4.	DUSUN KALIE	GURU -	
39	HARAGADI	KEL. MALIONESO	ASN/Petambak	
40	ANDHARI	Ujung Bulu	Penguluh	
41	Jawaruddin	Ujung Bulu	Petambak	
42	MUCCABD AZIS	Ujungbulu	TAMBAK	
43	APDA BUKHARI UMAR	Ujung Bulu	Petambak	
44	H. MAHMUDDIK	PACATTAE	PETAMBAN	
45	SURAMAN	DUSUN KALIE	Tambak.	
46	H. PRITUDIN	DUSUN KALIE	PETANBA	
47	Andi Anto	u.loe	Petambak	
48	ANDI MANGBANG	Ujung loe.	Pembudidayaan	
49	ABD GAFFAR.	Ujung loe	Petambak.	
50	Husaini	Ujung loe	Petamban	
Total Number (Jumlah Total)				

**PCM schedule**

**PUBLIC CONSULTATION MEETING  
FISH FARMER GROUP (POKDAKAN) IN BULUKUMBA DISTRICTS  
Ujung Loe Sub District , 21 June 2022**

<b>No.</b>	<b>Time</b>	<b>Activity</b>	<b>Responsible Institution/Person</b>
1	08.30 – 09.00	Participants Registration	Head of BPBAP Takalar
2.	09.00 – 09.10	Welcome Speech	MC
2.	09.10 – 10.00	Opening Speech from Ujung Loe Sub district	Head of Ujung Loe Sub district
		Speech from Fisheries Agency of Bulukumba District	Head of Bulukumba District Fisheries Agency
		Speech from BPBAP Takalar / Representative of Directorate General of Aquaculture, MMAF	Head of BPBAP Takalar
3.	10.00 – 11.00	Technical Aspects: Pond Cluster System, Irrigation Canal, Pond Repair and Communal Wastewater Treatment Plant	ADB TRTA (Bambang Sumartono)
		Social safeguard	ADB TRTA (Teguh Kuncoro)
4.	11.00 – 12.00	Discussion, Question and Answer (QA)	Facilitated by BPBAP Takalar
5.	12.00 – 12.10	Closing Speech	BPBAP Takalar
6.	12.10 –	Informal Discussion and fill out questionnaire.	MC/Balai Staff /TRTA

## MINUTES OF PUBLIC CONSULTATION IN SINJAI DISTRICT

Today, Wednesday, **June 22, 2022**, we conducted a public consultation for IISAP in **Sinjai District**, South Sulawesi Province. The public consultation was attended by relevant institutions from Directorate General of Aquaculture, MMAF, BPBAP Takalar, Fisheries Agency of Sinjai District, head of Sinjai Timur Subdistrict, head of Sinjai Utara Subdistrict, Head of Pasimarannu Village, Head of Lappa Village, Head of Samataring Village, fish farmer group, and extension worker (attendance list are attached).

The Public Consultation Meeting (PCM) was conducted at Fisheries Agency Office of Sinjai District and attended by 50 people (7 women and 43 men), 38 of whom were the representatives of fish farmer group (*Kelompok Pembudidaya Ikan, POKDAKAN*), and fisheries extension worker from Tellulimpoe, Sinjai Timur, and Sinjai Utara sub-districts.

<b>Key Discussion</b>
<p>(i) The coastal area in Sinjai District are 612 hectares consisting of 715 fish farmers.</p> <p>(ii) BPBAP Takalar will synergize with IISAP to reach the target 2 million tons Shrimp production until 2024.</p> <p>(iii) Participants has been explained the 3-project output and activities of project.</p> <p>(iv) Public consultation is carried out to ensure participation of local. communities and stakeholders during project design, preparation and decision making.</p> <p><b>Concern raised by the participants and Project team response:</b></p> <p>(v) <b>How to ensure the transparency of Project and involvement of village and sub district office. Project response:</b> Project ensures the transparency and accountability through developing and implementation SOP, technical assistance, discloses the project' plans and activities and internal and external monitoring that involve head of village and sub district office.</p> <p>(vi) <b>Problems of the Shrimp cultivation in Sinjai are flood and damage of canals and embankments. Project response:</b> The construction of embankments on the coast is not the district's authority as there is no budget. It Will coordination with related agency.</p> <p>(vii) <b>Settlements occupying conservation area, degrading the water quality, land status, price fluctuation of shrimp. Project response:</b> Project will assess the problems and coordinate to solve the problem through project activities.</p> <p>(viii) <b>The design of pond cluster. Project response:</b> The design of pond using cluster concept with reservoir pond and an WWTP (wastewater treatment plant).</p> <p>(ix) <b>Group Selection Procedure. Project Response:</b> Regulation and procedure for farmer group selection will be prepared.</p>



Photograph of related public consultations






**Attendance List**

## List of Participants

Project : IISAP for Sinjai District

Date : 22 June 2022

Venue : Fisheries Agency Office of Sinjai District




TA 9951-IND: Supporting Water Security Investments Facility (Subproject 4)

Public Consultation Meeting for the Preparation of





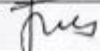
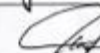



Infrastructure Improvement for Shrimp Aquaculture Project

Kabupaten Sinjai, 22 June 2022

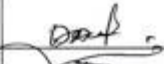
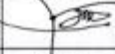




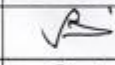
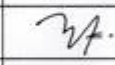



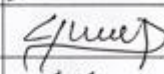


**List of Participants**







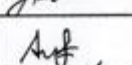




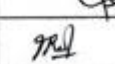




Sub-district (Kecamatan) : Kecamatan Sinjai Utara, Kabupaten Sinjai  
 Village (Desa) : .....

No.	Nama (Name)	Alamat (RT/RW) (Address)	Pekerjaan (Profession)	Tandatangan (Signature)
1	A. ASHAR	JLN. MELATI NO. 6 SINJAI	W. RAJAWATI	
2	H. HANIN	DE. PASI MANAN DUKUN MARANA	PETAH DA	
3	MUHTAR	JL TERATAI	TABAK	
4	AKBAR	DE. STADION MARI	Cons. STIR	
5	A. Syamsul Bahri	DESA. PARI-MARANNU	KADES	
6	A. ASHYARI	Jl. Kelapa kec. Sinjai utara	PPL Sinjai utara	
7	NOOR RAHMA	Jl. BUIUDICARA NO 13 KEL. BONGKI	PKL. Sinjai TIMOR	
8	MUHAJI	JL. UNDAK KEL. LAPPA	PETAUNBAK	
9	ARMAN	JL. UDANG. KEL. LAPPA	PETAUNBAK	



10	DARLINA	JL. UDANG G. KEL. LAPPA	DOTA LUBAK	
11	SYAMSUC ALAM	JL. UDANG KEL. LAPPA	PEMBUDI DAYA	
12	H. SOFWAN	Jl. Kefau Sanyir Tengah	CAMAT. S. UTARA	
13	MUDA IKLAD	PANDANG	AWANGA	
14	AMIRUDDIN LATIF	BL. NEMER. KEL. LAPPA	PEMBUDI DAYA	
15	APRIL NURANI	JL. KH. AENGALIK	PERUPULAH	
16	BUDIYAMIN	BTN 7 WALI INDAH	PENYULUH	
17	IRFAN.	JL. NEMAS	Stape prikenan	
18	AGUS SALIM	M. BOMBANG	PICAM LOK	
19	M. ASRI	M. BOMBANG	PETAUBAK	
20	KURNIAI	Sajai	Lurah Samudra	
21	USMAN	TAJJULO LAGORRI	Pembudaya	
22	USMAN	TAJJULO LAGORRI	Pembudaya	
23	SAINUDDIN	TAJJULO LAGORRI	TAMBAK	

24	LALA	ALAMAT PANGASA	TAMBAK	
25	ASKAR	TOJOLU / LAGORI	Tambak	
26	FIRMAN	BUNGIN TARE II	TAMBAK	
27	MANSUR	BUNGIN TARE II	TAMBAK	
28	Harmonyah	Ganggang Jaya II	Tambak	
29	SUTAI	CEPETA	200 Luch Gpx	
30	AHZAUL	PASIRARAU	TAMBAK	
31	FITRA	- II -	- II -	
32	MUKAWAHIDAHY	SINJAI	PPP	
33	Jocua Ningrum	Sinjai	PSA	
34	SARGAWI	"	PETAMBAK	
35	Rudi Selma	Sinjai	- " -	
36	Wahid Haidari	Sinjai	- " -	
37	Marul Fati Mah	Sinjai	- " -	

38	H. M. Tayeb	Tongke - Tongke	Pembudidayaan	Md
39	Abd. Kadir	— " —	— " —	A
40	SUNEDI	— " —	— " —	SmS
41	KAMU	Samarising	Pembudidayaan	KAMU
42	HUJAU LESTARI	— " —	— " —	Hj
43	Abuli Mustapa	Tecafai	Budidaya	Dut
44	F H S A L	TERATAI	Budidaya	D
45	Abdul Salam	Balangnipa	Refambak	A
46	Kaemu ddn	Lappa	Petambak	R
47	H. Humman	Panai pang	Petambak	F
48	H. Moh. Tayeb	Tongke - Tongke	Petambak	J
49	H. M. Tayeb	Tongke - tongke	Petambak Siti	J.
50	DARNAWATI	Pauai kang	Petambak	Dud
Total Number (jumlah Total)				

**PCM schedule**

**PUBLIC CONSULTATION MEETING  
FISH FARMER GROUP (POKDAKAN) IN SINJAI DISTRICTS  
Sinjai , 22 June 2022**

<b>No.</b>	<b>Time</b>	<b>Activity</b>	<b>Responsible Institution/Person</b>
1	08.30 – 09.00	Participants Registration	Head of BPBAP Takalar
2.	09.00 – 09.10	Welcome Speech	MC
2.	09.10 – 10.00	Speech from Fisheries Agency of Sinjai District	Head of Sinjai District Fisheries Agency
		Opening Speech from Sinjai Utara Sub district	Head of Sinjai Utara Sub district
		Speech from BPBAP Takalar / Representative of Directorate General of Aquaculture, MMAF	Head of BPBAP Takalar
3.	10.00 – 11.00	Technical Aspects: Pond Cluster System, Irrigation Canal, Pond Repair and Communal Wastewater Treatment Plant	ADB TRTA (Bambang Sumartono)
		Social safeguard	ADB TRTA (Teguh Kuncoro)
4.	11.00 – 12.00	Discussion, Question and Answer (QA)	Facilitated by Sinjai District Fishery Agency
5.	12.00 – 12.10	Closing Speech	BPBAP Takalar
6.	12.10 –	Informal Discussion and fill out a questionnaire	MC/Balai Staff /TRTA

## Annex 6. Sample Public Information Booklet







Source: MEDIA INDONESIA, 2022.

#### GAMBARAN UMUM PERIKANAN BUDIDAYA

Arah dan kebijakan Kementerian Kelautan dan Perikanan (KKP) yang telah dan akan ditempuh pada tahun 2020-2024 adalah mengoptimalkan dan memperkuat perikanan budidaya.

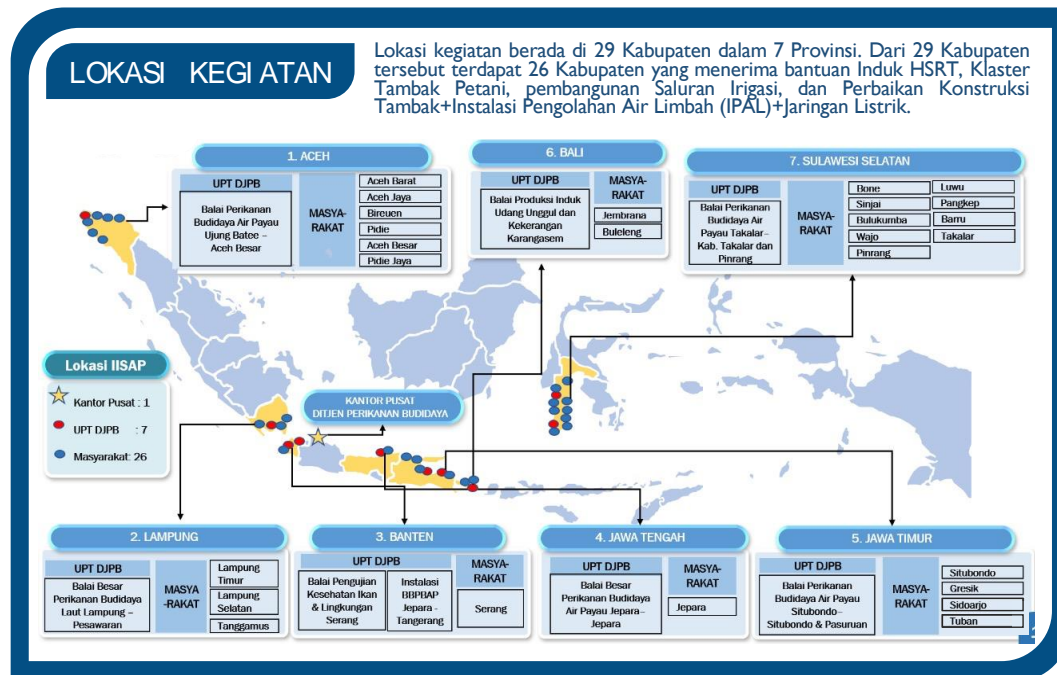
Sesuai dengan amanat RPJMN 2020-2024, perikanan budidaya diharapkan dapat memberi kontribusi besar dalam menunjang perekonomian nasional. Terkait dengan amanat tersebut, KKP dalam hal ini Direktorat Jenderal Perikanan Budidaya berupaya untuk:

- Meningkatkan produksi perikanan budidaya menjadi 10,32 Juta ton (termasuk di dalamnya udang sebesar 1,52 juta ton) pada tahun 2024 atau tumbuh 8,5 persen per tahun;
- Meningkatkan pertumbuhan volume ekspor udang 8 persen per tahun dan pertumbuhan nilai ekspor udang sebesar 250% dari tahun 2019 hingga tahun 2024.

Pada tahun 2019 produksi udang Indonesia mencapai 881 ribu ton, dimana kontribusi udang vaname sebesar 677 ribu ton atau 11,3% dari produksi dunia yang mencapai 5,4 juta ton. Produksi udang vaname Indonesia, berada di urutan ketiga produsen terbesar, setelah China dan India.

#### STRATEGI UTAMA IISAP

Strategi utama yang digunakan untuk peningkatan produksi dan produktivitas budidaya udang, salah satunya adalah dengan melakukan penataan kawasan budidaya / areal pertambakan, perbaikan saluran irigasi tambak yang memadai dengan menerapkan pengelolaan intensifikasi lahan tambak yang terintegrasi dan dilakukan secara kolektif, berupa kluster tambak udang berkelanjutan dan ramah lingkungan. Sehingga memiliki daya ungkit tinggi untuk mencapai sasaran prioritas pembangunan.



## KENDALA BUDIDAYA UDANG DI INDONESIA

-  **Belum Tertata**, Kawasan budidaya udang yang belum tertata dengan baik.
-  **Lokasi Tersebar**, Indonesia memiliki kegiatan budidaya udang hampir di seluruh provinsi, tetapi lokasi tambak tersebut tersebar di berbagai tempat dan belum dikelola dengan baik.
-  **Benih**, Kualitas dan kuantitas benih dan induk udang belum memadai.
-  **Infrastruktur Budidaya**, Sarana dan prasarana pendukung tambak udang masih terbatas.
-  **Kesehatan**, Pelayanan kesehatan ikan masih terbatas dan belum memenuhi standar.
-  **Cold Storage**, Jumlah cold storage yang masih terbatas di sekitar sentra-sentra budidaya udang.
-  **Petugas Penyuluh**, Kapasitas pembudidaya udang dan petugas penyuluh perikanan masih perlu ditingkatkan.
-  **Teknologi**, Fasilitas dan fungsi Unit Pelaksana Teknis (UPT) lingkup Ditjen Perikanan Budidaya dalam menghasilkan dan mendesiminasikan model atau percontohan budidaya udang yang berkelanjutan sesuai teknologi anjuran masih terbatas.







## PERLINDUNGAN LINGKUNGAN

### Budaya Tambak Udang Berkelanjutan Sistem Kaster

Pengembangan dan revitalisasi/rehabilitasi tambak akan menggunakan konsep tambak berkelanjutan (*sustainable aquaculture*) dengan *sylvo-aquaculture*, yang ramah lingkungan. Dengan konsep tersebut pengembangan budidaya udang akan dipadukan dengan perlindungan terhadap kawasan bakau (mangrove) melalui program restorasi bakau pada saluran air tambak.

Source: STEPHEN K

## PEMILIHAN LOKAS

Kriteria perlindungan lingkungan sesuai dengan peraturan dan perundang-undangan, antara lain:

### JENSKEGATAN TAMBAK DAN PEMENIHAN

- Sesuai dengan tata ruang wilayah (RTRW) dan Zonasi Wilayah Pesisir Dan Pulau-Pulau Kecil (RZWP-3-K) dan peraturan tata ruang terkait lainnya;
- Adanya sumber air, air pemeliharaan dan lahan yang memadai dan sesuai;
- Tidak berada dalam kawasan bakau atau kawasan lindung/konservasi lainnya dengan jarak sekurang-kurangnya 100 m dari batas terluar;
- Lokasi bebas dari banjir berkala (untuk kala ulang dua puluh lima tahun atau Q25) dan dampak pencemaran atau pencemar/bahaya lainnya untuk keamanan pangan;
- Tambak udang berada di belakang sempadan pantai sekurang-kurangnya 100 m dan sekurang-kurangnya 100 m dari sempadan sungai sungai besar dan sekurang-kurangnya 50 m dari sungai kecil;

Tekstur tanah dari lokasi tersebut memenuhi spesifikasi yang mendukung pertumbuhan pakan alami, kualitas air yang cocok untuk budidaya udang, dan mampu menahan volume air tambak dengan kebororan yang dapat diabaikan (<10 % perminggu).

### JENSKEGATAN JALAN PRODUK DAN PRASANA PENDUKUNG

Sesuai dengan rencana tata ruang wilayah (RTRW) dan peraturan terkait lainnya;

- Tidak berada dalam atau pada batas kawasan bakau atau kawasan lindung/konservasi lainnya;
- Berada di luar daerah milik sungai/semipadan sungai: sekurang-kurangnya 5 (lima) meter dari kaki sungai bertanggul di daerah permukiman; sekurang-kurangnya 100 (seratus) meter dari tepi sungai besar tanpa tanggul atau sekurang-kurangnya 50 (lima) meter dari tepi sungai untuk anak sungai tanpa tanggul di luar permukiman.



### PENGOLAHAN AIR LIMBAH DAN SAMPAH

Prinsip pengolahan air limbah adalah melakukan perbaikan mutu air limbah (dengan cara teknis maupun alami) agar saat dibuang tidak mencemari lingkungan (perairan umum). Perbaikan mutu air limbah dilakukan dengan cara:

- a. Memisahkan dan mengelola padatan (sampah) dan air buangan (air limbah);
- b. Mengurangi bahan pencemar dari air limbah sehingga air hasil pengolahan IPAL memenuhi baku mutu yang ditetapkan dalam peraturan atau setidaknya tidak lebih buruk dari lingkungan sekitar.



### KRITERIA SELEKSI PENERIMA BANTUAN KLASTER BUDIDAYA UDANG



Diagram. Alur mekanisme usulan, penetapan dan penyaluran Bantuan Pemerintah

Keterangan Diagram:

- 1a = Calon penerima mengajukan usulan secara online melalui [www.satudata.kkp.go.id](http://www.satudata.kkp.go.id)
- 1b = Calon penerima menyampaikan surat usulan secara manual kepada Direktorat Jenderal Perikanan Budidaya melalui Dinas Kabupaten/Kota.
- 1c = Surat usulan kemudian ditembuskan oleh Dinas Kabupaten/Kota kepada Direktorat Jenderal Perikanan Budidaya dan Dinas Provinsi sebagai laporan.
- 1d = Direktorat Jenderal Perikanan Budidaya dan/atau Dinas melakukan identifikasi, seleksi dan verifikasi calon penerima dan calon lokasi.
- 2 = Hasil identifikasi di input ke dalam laman [www.satudata.kkp.go.id](http://www.satudata.kkp.go.id) melalui operator yang ditugaskan.
- 3 = Calon penerima yang memenuhi kriteria kemudian diusulkan untuk ditetapkan oleh PPK dan disahkan oleh KPA.
- 4 = PPK melakukan kontrak pengadaan barang/jasa dengan Penyedia.
- 5a = Penyedia melaksanakan pengadaan barang/jasa sesuai kontrak dan menyalurkan Bantuan Pemerintah langsung kepada penerima Bantuan Pemerintah.
- 5b = Serah terima barang dari satker kepada penerima Bantuan Pemerintah.



## RENCANA PEMBANGUNAN KOMUNITAS

Proyek ini menggunakan cara kerja Rencana Pembangunan Komunitas (*Community Development Plan*) karena banyaknya komponen kegiatan berupa bantuan kepada komunitas petani tambak. Salah satu tujuan penting pelaksanaan Rencana Pembangunan Komunitas adalah bagaimana melindungi masyarakat yang tidak berdaya, termasuk rumah tangga petani rentan, terutama petani yang bukan pemilik tambak seperti buruh tambak dan buruh musiman.

Source: UNAIR

## FASILITATOR, PARTISIPAS & PEMBERDAYAAN

Proyek ini menggunakan pendekatan pengembangan masyarakat di setiap tahap kegiatan setelah tahap persiapan. Selain tidak berdampak perlunya pengadaan tanah, dua dari 3 output IISAP akan berhubungan langsung dengan pembudidaya udang dan petani tambak lainnya, baik secara kelompok maupun individu.

Rendahnya kapasitas sumberdaya manusia pembudidaya dan kurangnya penguasaan teknologi budidaya udang yang direkomendasikan mengakibatkan tidak terkelolanya kawasan budidaya udang. Pendekatan pengembangan masyarakat ini membutuhkan partisipasi petani pembudidaya dan pemberdayaan petani pembudidaya.

Fungsi fasilitator sebagai petugas dari UPT yang memfasilitasi dan memediasi kegiatan IISAP dengan para penerima manfaat, baik kelompok tani maupun individu tani.



Mereka berfungsi sebagai teknisi, manajer, dan pekerja lingkungan dan sosial. Tugas umum fasilitator adalah mengikuti pelatihan, menerapkan prinsip-prinsip pengamanaan sosial dan lingkungan, melakukan penyuluhan dan peningkatan kapasitas petambak udang, berkoordinasi dengan instansi terkait, melakukan pemantauan internal, dan membuat laporan. Tiap lokasi proyek di masing-masing kabupaten penerima bantuan akan didampingi oleh 3 (tiga) fasilitator.

## PERLINDUNGAN SOSIAL

### KETERBUKAAN INFORMASI DAN KONSULTASI YANG BERMAKNA

Tujuan keterbukaan informasi, konsultasi publik dan partisipasi meliputi:

- i. Menyebarkan semua informasi dan kegiatan yang terkait dengan proyek kepada masyarakat petani;
- ii. Mengumpulkan ide, saran, keprihatinan, kebutuhan atau prioritas komunitas petani pada proyek dan intervensinya;
- iii. Memastikan partisipasi masyarakat lokal dan pemangku kepentingan selama desain, persiapan dan pengambilan keputusan untuk proyek; dan
- iv. Memastikan bahwa masyarakat lokal berpartisipasi dan diberitahu tentang semua keputusan yang terkait langsung dengan pendapatan, mata pencaharian, dan standar hidup mereka.



## PEMANTAUAN INTERNAL & EKSTERNAL



Pemantauan internal akan dilakukan selama proses pembangunan fisik hatchery, laboratorium, dan klaster tambak UPT yang akan dimulai pada tahun 2023 hingga selesai. Pembangunan 15 infrastruktur tersebut akan menggunakan konsultan supervisi yang pemilihannya adalah bersamaan dengan kontraktor lelang. Pemantauan internal akan mengawasi kegiatan kontraktor dan konsultan supervisi di setiap UPT. Laporan pemantauan internal harus diserahkan kepada ADB setiap enam bulan setelah pembangunan fisik dimulai.

Pemantauan eksternal terhadap pembangunan masyarakat diperlukan oleh Proyek. Direktorat Jenderal Perikanan Budidaya bertanggung jawab atas pemantauan eksternal dan sesuai dengan tahap persiapan dan pelaksanaan CDP dan MDP (Rencana Pemberdayaan Masyarakat Hukum Adat) untuk memastikan bahwa proses dan tahapan dilakukan sesuai dengan prinsip-prinsip kebijakan perlindungan lingkungan dan sosial.

Laporan pemantauan eksternal harus diserahkan ke ADB setiap enam bulan, dan dimulai setelah kelompok petani yang masuk daftar panjang diketahui. Laporan tersebut akan disiapkan oleh pihak ketiga yang independen (Konsultan Monitoring Eksternal) di beberapa daerah, antara lain: i) Aceh; ii) Lampung dan Banten; iii) Jawa Tengah, Jawa Timur dan Bali; iv) Sulawesi Selatan.





# PENINGKATAN INFRASTRUKTUR UNTUK PROYEK BUDIDAYA UDANG BERKELANJUTAN



## INFRASTRUCTURE IMPROVEMENT FOR SHRIMP AQUACULTURE PROJECT (IISAP)

### PENANGANAN KELUHAN

Proyek ini telah menyiapkan tata cara penanganan pengaduan masyarakat. Sebagaimana telah diatur oleh Peraturan Menteri Kelautan dan Perikanan Nomor 56/Permen-KP/2020, di masing-masing UPT atau Balai telah dibentuk Tim Penanganan Keluhan (TPP). TPP di masing-masing UPT/Balai mempunyai tugas melakukan koordinasi penanganan, memberi respon awal terhadap penyelesaian pengaduan, memantau tindak lanjut penyelesaian pengaduan, melakukan komunikasi dan memberikan informasi penyelesaian pengaduan.

Mekanisme pengaduan dari masyarakat dapat disampaikan melalui saluran resmi meliputi:

- Website dengan laman [www.kkp.lapor.go.id](http://www.kkp.lapor.go.id) atau [www.lapor.go.id](http://www.lapor.go.id)
- Pesan singkat elektronik (SMS) dengan format: **KKP (spasi) isi aduan, kirim ke nomor 1708**
- Surat elektronik dengan alamat [pengaduan@kkp.go.id](mailto:pengaduan@kkp.go.id)
- Telepon dan whatsapp dengan nomor **0811989011**
- Surat nonelektronik ditujukan kepada Ketua TPP Kementerian Kelautan dan Perikanan dan Pengaduan secara langsung (tatap muka) dengan alamat **Inspektorat V Inspektorat Jenderal KKP Jalan Medan Merdeka Timur Nomor 16 Jakarta Pusat Kode Pos 10110**, atau kepada Ketua TPP di masing-masing UPT di lingkungan KKKP; dan/atau
- Kotak Pengaduan yang disediakan di Kantor Pusat dan UPT di lingkungan KKP.

**KEMENTERIAN KELAUTAN DAN PERIKANAN**  
**JL. Medan Merdeka Timur No.16 Jakarta Pusat**  
**Telp. (021) 3519070 EXT. 7433 – Fax. (021) 3864293**  
**Email: [humas.kkp@kkp.go.id](mailto:humas.kkp@kkp.go.id) Call Center KKP: 141**

**Annex 7a. Sample of Beneficiaries Statement Letter**  
**PROSPECTIVE BENEFICIARIES STATEMENT LETTER**

The undersigned below:

Name : .....

Position : Chairman of POKDAKAN .....

Address : .....

Stating that with regard to the 2024 Shrimp Cultivation Cluster Assistance (hereinafter referred to as "Government Assistance") which was handed over to us, we hereby state that we are willing to:

1. receive and utilize the said Government Assistance for shrimp farming in the xxxxxx District.
2. secure and maintain the Government Assistance that has been received.
3. ensure that there are no conflicts, both internal to the group and with the community around the cluster location.
4. utilize the results of Government Assistance for sustainability and further cluster development.
5. repair cluster damage.
6. be subject to sanctions in accordance with the provisions in the Technical Guidelines for Distribution of Shrimp Cultivation Cluster Assistance in 2021.
7. do not transfer, pledge, pledge, or trading Government Assistance to other parties.
8. provide correct information to the government's internal and external supervisors.
9. report the use of Government Assistance to the Director General of Aquaculture every 4 (four) months and copy to the office.
10. ensure that there are no conflicts, both internal to the group and with the community around the cluster location; and
11. will not sue the Ministry of Marine Affairs and Fisheries, xxxx District Fisheries Agency or anyone else if they are subject to sanctions if they do not carry out numbers 1 to 10 as referred to.

This statement is made as a commitment to the assistance provided.

.....

*10,000 duty stamps, and signature*

Chairman of POKDAKAN .....

**Annex 7b. Sample of Land Sharing Form**

**LAND STATUS STATEMENT LETTER**

The undersigned below:

Name : .....

Address : ..... *(Fill in the correct identity card)*

No. ID card : .....

In this case, acting as the owner/user of a land parcel with the attached Certificate/Letter of Statement and in connection with the 2022 Shrimp Cultivation Cluster Assistance for ..... *(Fill in the name of the organization)* having its address at ..... *(Fill in the address of the organization)*, hereby represents and guarantees that the land parcel:

- 1. Not being involved in a dispute in any legal dispute with any party.
- 2. Not being bound as collateral for any debt to any party.
- 3. Not being confiscated by any party for any reason.
- 4. Not being transferred to any party in any way.

I .....(name) voluntarily allow the IISAP project to use the said land plot(s) for Shrimp Cultivation Cluster Assistance in (fill in the period of the project activities) without any compensation and without transfer of ownership.

That, if the statements and guarantees mentioned above are not true, then I am willing to be legally responsible and release the 2022 Shrimp Cultivation Cluster activities implementers from any lawsuits from any party.

Thus, this statement is made truthfully and without coercion from any party.

Knowing, ....., .....

*10,000 duty stamps, and signature*

Head of Fisheries Agency

Regency/City .....

NIP: .....

Landowner

## **Annex 8. Recommended Outline of Community Development Plan**

### **A. Subproject and Cluster's Socio-Economic Profile**

- (i) Social impact assessment survey results (social economic and cultural background, education level, income, major occupations, employment rate, poverty level of the communities)
- (ii) Land Tenure system of the community
- (iii) Access to basic government services
- (iv) Environment, social and cultural vulnerability (i.e., youth, gender, customary communities, migration, flood, drought, etc.)
- (v) Presence of IP communities
- (vi) Physical, socio economic, and aquaculture Practices Condition
- (vii) Mapping of constraint for Value Chain Improvement

### **B. Due Diligence and Cluster Development Plan**

This section will provide information from social safeguard due diligence activities for the cluster development plan proposed in each subproject site. The required information to be provided includes (i) IR and IP impact screening result; (ii) list of the proposed infrastructures and other project activities; (iii) Information on land requirement for each proposed work; (iv) land provision/ arrangement to be used for each proposed work; (v) number of participating households; (vi) number of vulnerable groups and women involved; (vii) assessment of possible non-land impacts; (viii) mitigation plans prepared; (ix) construction schedule; (ix) presence and number of cultural communities; (x) potential negative and positive impacts; (xi) mitigation document prepared.

This section will also identify the training activities to be conducted to ensure that the benefits of the project activities are expanded to the vulnerable groups, women, youth and IP communities. The list of (i) type of training programs (under output 2 and 3) to be conducted, (ii) targeted participant (with numbers), (iii) locations and (iv) schedule should be provided.

### **C. Information Disclosure, Consultation, and Participation**

The main requirement for the CDF implementation is the information disclosure of project activities and public consultation and participation. The prepare SADP should provide information on how the project team will conduct the activities. The consultation plan should include the following information: (i) identifies project stakeholders, especially primary stakeholders; (ii) Describes the consultation and participation mechanisms to be used during the different stages of the project cycle; (iii) activities undertaken to disseminate project and farmer's pond cluster information during project design and preparation for engaging stakeholders; (iv) Describes the planned information disclosure measures (including the type of information to be disseminated and the method of dissemination), the means for consultation with affected persons and (v) responsible party to conduct the activities.

### **D. Grievance Redress Mechanisms**

Describes mechanisms to receive and facilitate the resolution of affected farmer concerns and grievances, explains how the procedures are accessible to affected farmers and gender sensitive. Planned activities for GRM disclosure and dissemination should be provided. It includes the information on the means of disclosure, locations for GRM disclosure/dissemination; information on the focal of the GRM with names and contact numbers.

### **E. Monitoring and Reporting**

This section describes monitoring and reporting mechanism for the SADP implementation. This includes responsible parties for the preparation of internal and external monitoring and reports submissions to CPMU and ADB for review and disclosure.

## **Annex 9. TOR for Social Safeguard Training and Capacity Building**

### **A. Introduction and Background**

The Infrastructure Improvement for Shrimp Aquaculture Project (IISAP) is a project that will use a community development approach in every stage of the activities during project implementation period. Two of the 3 IISAP outputs will be directly related to shrimp farmers, either as a group or individually. The low capacity of cultivators' human resources and the lack of mastery of recommended technology have resulted in poor management of shrimp farming areas.

MMAF through the Directorate General of Aquaculture (DGA) will be the executing agency. DGA will establish a project management unit, responsible for project implementation, monitoring, and reporting. MMAF national technical operating units (UPTs) will be implementing agencies, under which project implementation units (PIUs) will be established.

The consultants will be engaged in accordance with the ADB Procurement Policy (2017, as amended from time to time) and Procurement Regulations for ADB Borrowers (2017). It is a mandatory requirement that all national experts should have sufficient fluency in English. The implementing agency will assign counterparts within the Government for each of the consultant listed here to ensure continuity and knowledge transfer between the team of consultants and counterpart staff.

### **B. Objectives of the Consultancy**

The objective of the assignment is to develop the capacity of shrimp cultivators, pond farmers, and staff of Directorate General of Aquaculture (DGA), and staff of UPTs, and facilitators of the Project.

The Consultant will work with the Social Safeguard Specialist and the Team Leader of Project Management Consultant (PMC) and will undertake the following:

- a. Develop implementation/guidance modules of the prepared CDF, IPPF, SADP and DDR for the project's facilitators.
- b. Conduct training/ capacity building on the implementation of the develop modules to the safeguard's facilitators.
- c. Monitor the implementation of the modules used-
- d. Prepare a detailed training report which should include summary of results achieved (and clearly state if the training would significantly lead to improved skill with clear examples).

### **C. Qualification**

The training and capacity building consultant will have experience coordinating capacity building activities in shrimp farming development projects (Master's Degree in social science, environment, and adult education at least 8-10 years of professional experience). Good command in English is a must.



**D. Scope of Consultancy**

Upon to the mobilization the consultant will conduct Training Needs Assessments for selected central level trainings in central level. Based on the training needs assessment, detail capacity building training will be developed and the implementation modules for the field facilitators should prepared.

The capacity building training will be provided to the farmers and the PIU staff will prepare and implement the CDP of IISAP, with other relevant local government requirement on social issues. The specific topics to be recommended for the training are:

- a. How to conduct meaningful consultations and grievance redress that shall pay attention to women and other vulnerable groups.
- b. Orientation on grievance redress mechanism, livelihood restoration plan and its required documentation.
- c. SADP preparation and implementation
- d. Farmer's group development and land related agreements
- e. Managing impacts during construction.
- f. Gender issues and its strategy relevant to IISAP activity.
- g. Monitoring of community development plan and reporting of compliance and achievement of social safeguards objectives (that beneficiaries will not become worse off).

**E. Expected Deliverables**

- a. Inception report with highlighting a need assessment results, detailed work plan and timelines, detailed methodology (with tools) and report format to be submitted.
- b. Training module for implementation of CDF and IPPF as guidance documents for field facilitators, CPMU and PIU safeguard officers
- c. Training modules for ADB SPS (2009) compliance and principles
- d. Training on completion Report and Monitoring.

## **Annex 10. Proposed Procedure for Grievances Resolution for IISAP**

### **Stage 1: Submission of complaint**

- a. The complainant submits a written complaint to the head of GRC or complaint box (contact details of the contact person of the GRC will be indicated in the PIB that will be delivered to residents in the public consultation meetings after the GRC is established) in each UPT location, or as letter, or email (with attached signed letter).
- b. Complaints can also be sent directly to the Regional Technical Consultant (RTC) and/or Facilitator, head of village, leader of pond farmer group, local woman association, Indigenous People (if any) (during implementation phase through a hotline number that will be posted for construction-related matters (such as noise, dust, access to property and other matters) which require immediate action. The RTC and/or Facilitator, head of village, leader of pond farmer group, local woman association, Indigenous People (if any) are required to register the complaint, and report to head of GRC (as representatives of the PIU present in the sub-projects) on complaints received and actions taken.
- c. For customary communities, the grievance mechanism shall follow their internal grievance mechanism (if any), or any mechanism provided by local government based on community request. The affected APs may bring their complaints to the village leaders and/or customary leaders. The village/customary leaders will settle the complaint within seven days working days upon receipt of the complaint notice. If this has not been settled, they may bring it to the project officers in the field office or subproject site office.

### **Stage 2: Registration, Eligibility Assessment, and Confirmation of Eligibility**

- a. The Administrator registers the complaint in a grievance registry and verifies whether the complaint is eligible for the GRM or not. If the complaint is deemed ineligible, the Administrator will return the complaint to the head of GRC if the complaint is not appropriate. The complainant is informed of the decision and the reasons for ineligibility. The complainant is given 10 days to complete the documents.
- b. If the complaint is deemed eligible, the Administrator will submit to GRC of Balai/UPT.

### **Stage 3: Complaint Assessment, and Follow up action for solving the issue**

- a. GRC (*or TPP*) identifies how the complaints should be investigated and addressed and who will be responsible for these actions and informs the relevant parties accordingly. Options include: (i) the PIU; (ii) the RTC; and (iii) Facilitator of IISAP.
- b. If the complaint is eligible, the entity identified under Stage 2(b) conducts an assessment and gathers information about the complaint to determine how it might be resolved. If outside experts or technical information is needed, the entity identified under Stage 2(b) may seek such guidance and may request all parties concerned (including the complainant, as relevant) to participate in the grievance redress process. The identified entity after the assessment will send the assessment letter including time-bound action plan to the complainant.

### **Stage 4: Implementation of Complaint solution and Redressal Action.**

Implementation of the decision and action plan commences depending on the category of complaint. Requests for information and Complaints of a normative nature are completed within a maximum of 5 (five) Days. Complaints that do not have a level of supervision and/or do not require a field inspection are completed within a maximum of 14 (fourteen) Days. Complaints that have a level of supervision and require a field inspection are completed within a maximum of 60 (sixty) Days unless there is a Force Majeure.

- a. If the recommendation on the results of the review of the Complaint has a level of supervision and requires a field inspection related to Maladministration and/or termination of the Complaint follow-up, then the Head of the GRC in the respective work unit submits a proposal for delegating the follow-up to the Complaint settlement to the Inspector General.
- b. If the complaint received is not in accordance with its authority, then the Head of the GRC in the respective work unit forwards or returns the complaint to the UPT Administrator.
- c. Communicating the received complaints from the UPT administrator with GRC members in their respective work units for follow up.
- d. Monitoring the follow-up to the settlement of Complaints by GRC members in their respective work units.
- e. Providing information to the UPT administrator regarding the results of the Complaint settlement to be inputted into the SP4N- LAPOR application!

**Stage 6: Closure of Complaint**

- a. When the decision/actions are implemented and when monitoring is completed, the GRC prepares a final report which is shared with the complainant, PIU, the RTC, facilitators, head of village, leader of pond farmer group, local woman association, Indigenous People (if any).
- b. The complainant confirms completion of the actions and agrees to the closure of the complaint. The grievance dossier is closed and filed in the project archive.

Annex 11. Outline of Internal Monitoring Report

**Social** Monitoring Report

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# {Semiannual/Quarterly} Report

{Month Year}

Loan Number:

**INO: Infrastructure Improvement for Shrimp Aquaculture Project**

Prepared by {complete and accurate name of implementing agency or external monitoring agency}  
for the {complete name of the borrower} and the Asian Development Bank.

**CURRENCY EQUIVALENTS**

(As of {Day Month Year})

**{The date of the currency equivalents must be within 2 months from the date on the cover.}**

Currency unit	–	{currency name in lowercase (Symbol)}
{Symbol}1.00	=	\${ }
\$1.00	=	{Symbol_____}

**ABBREVIATIONS**

{AAA}	–	{spell out (capitalize only proper names)}
{BBB}	–	{spell out}
{CCC}	–	{spell out}

**{WEIGHTS AND MEASURES}**

{symbol 1 (full name 1)}	–	{Definition 1}
{symbol 2 (full name 2)}	–	{Definition 2}
{symbol 3 (full name 3)}	–	{Definition 3}

**{GLOSSARY}**

{Term 1}	–	{Definition 1}
{Term 2}	–	{Definition 2}
{Term 3}	–	{Definition 3}

**NOTE{S}**

- (i) The fiscal year (FY) of the Government of {name of borrower} {and its agencies} ends on {day month}. FY before a calendar year denotes the year in which the fiscal year ends, e.g., FY2011 ends on {day month} 2011. {Note: If FYs are not referred to within the text, delete the entire note and change NOTES to NOTE.}
- (ii) In this report, "\$" refers to US dollars. {Note: If a second \$ currency is referred to in the text, e.g., NZ\$ or S\$, add: unless otherwise stated. In the text, use "\$" for US dollars and the appropriate modifier, e.g., NZ\$ or S\$, for other currencies that use the "\$" symbol.}

This **social** monitoring report is a document of the borrower. The views expressed herein do not necessarily represent those of ADB's Board of Directors, Management, or staff, and may be preliminary in nature.

In preparing any country program or strategy, financing any project, or by making any designation of or reference to a particular territory or geographic area in this document, the Asian Development Bank does not intend to make any judgments as to the legal or other status of any territory or area.

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## **Introduction and Project Overview**

<b>Project Number and Title:</b>		
<b>Social Safeguards Category</b>	Indigenous Peoples	

	Involuntary Resettlement	
<b>Reporting period:</b>		
<b>Last report date:</b>		
<b>Key sub-project activities since last report:</b>		

### Executive Summary

This section provides a concise statement of project scope and impacts, key findings, and recommended actions.

#### A. Background of the Report and Project Description

This section provides a general description of the project, including:

- Background/context of the monitoring report which includes the information on the project, project components, safeguards categorizations and general scope of the social safeguard impacts.
- Information on the implementation progress of the project activities, scope of monitoring report and requirements, reporting period, including frequency of submission and changes in project scope and adjusted safeguard measures, if applicable
- Summary table of identified impacts and the mitigation actions.

*(Present impacts by loss per subproject as applicable, discuss each and should there be changes through each monitoring period).*

- Impact on customary community (Group and number of AHs)
- By vulnerability (Number of AHs)

#### B. Scope of Work

This section provides a general and specific description of project, such as:

The following general aspects:

- a) the Community Development Framework (CDF) and Indigenous People Planning Framework (IPPF or *Masyarakat Hukum Adat* Planning Framework) principles are implemented properly, ADB SPS principles on IR and IP safeguards are complying with and was accomplished through the consultation process.
- b) the sustainable aquaculture development plan (SADP) (planning and activities) on social safeguards is properly implemented and construction of farmers' cluster ponds do not severely affect the living standards of pond farmers (affected person) and will benefit them directly.

- c) whether Masyarakat Hukum Adat Development Plan (MHADP) is implemented, and members of customary communities received the project's benefits.
- d) whether that project's beneficiary's selection criteria include social safeguard considerations as elaborated in the CDF and MHADPF.

The following specific aspects:

- a) review all project documents including loan agreement and memorandum of understanding (MoU) or correspondences between ADB and MMAF related to the CDF-SADP and IIPF-MHADP requirement and implementation.
- b) the CDP-MHADP implementation, if any, follows the principles and procedures agreed in loan agreement, MoU, CDF and IPPF. Verification will cover an adequate representative random sample of the participated farmer households who voluntary land shared for farmer pond cluster and voluntary land used/utilized for irrigation canal and pond reconstruction and communal wastewater treatment plant.
- c) perception of the criteria selection for choosing site location and farmer group, selection implementation of site location and farmer group that receive assistance.
- d) whether the criteria set for location and farmer group requirement and CDP preparatory, and implementation were properly applied.
- e) whether the procedures of the voluntary land sharing/using were properly implemented.
- f) whether the MHADP prepared for the location was implemented properly
- g) whether meaningful consultations were conducted properly and knowledge/ access to project's grievance redress mechanism was distributed to the community members.
- h) the inclusion of poor families, IP members and women in the project activities as part of project's beneficiaries.

### C. Methodology and Social Safeguard Parameter

The internal monitoring party collected social safeguards related documents and other social activities conducted by the project to review, analyze and evaluate the resettlement and indigenous people's plan implementation and other social safeguards activities of the project.

**Table 1. Approach and Methodology Used for Internal Monitoring**

No.	Monitoring Areas	Steps for Monitoring	Verification Method
1	Procedure follow-up by project as per social safeguards documents		
2	Consultation and participation		
3			
n	.....		

The following parameters can be applied during internal social safeguards monitoring:

**Table 2. Monitoring Indicators**

No	Monitoring Indicators	Keys Monitoring Aspects
1		
2		
3		



n		

#### D. Safeguards Document Implementation

This section describes the process and progress of the implementation of the safeguards plan and other required activities as determined in the plan. This includes six monitoring aspects:

- i. Safeguard document implementations for SADP and MHADP
- ii. Disclosure, consultations, and grievances
- iii. Budget and time frame
- iv. Livelihood and income conditions
- v. Project benefits and impacts as indicated in the approved SADP/MHADP.

*(Quantitative as well as qualitative results of the monitoring parameters, as agreed in the plan, should be provided)*

#### I. Safeguard Document Implementations for SADP and MHADP

##### 1. General Progress in Sustainable Aquaculture Development Plan

**Table 3. General Progress in Safeguard Document Implementations**

Project Component/Location [District] (Please segregated by district, sub-district, and villages name)	Fishpond Areas (Sub-district level)				Number of farmers in the beneficiary group			Number of farmers category in the beneficiary group		
	Area (ha)	Number of Fish Farmer	Number of POKDAKAN	Number of POKLINA	Pond Cluster	Irrigation Canal	Pond Reconstruction + WWTP	Male	Female	Vulnerable
District 1										
District 2										
District 26										
<b>TOTAL</b>										

**Table 4. General Progress in Safeguard Document Implementations (Farmer Pond Cluster)**

Project Component/Location [District] (Please segregated by district, sub-district, and villages name)	Land Tenure in Farmer Pond Cluster					POKDAKAN Name	Availability of Land Status Statement Letter	Availability of internal agreements of pond cluster
	Overall (ha)	Owner (ha)	Tenant (ha)	Production Pond Area (ha)	Number of Production Ponds Plot			
District 1								
District 2								
District 26								
<b>TOTAL</b>								

**Table 5. General Progress in Safeguard Document Implementations (Irrigation Canal)**

Project Component/Location [District] ( <i>Please segregated by district, sub-district, and villages name</i> )	Land Utilization Surrounding the Irrigation Canal					POKLINA Name	Statement Letter on Free from Dispute and Not Asking Compensation
	Number Pond Plot	Number of Pond Owner	Pond Utilization	...	....		
District 1							
District 2							
District 26							
<b>TOTAL</b>							

**Table 6. General Progress in Safeguard Document Implementations (Farmer Pond and WWTP)**

Project Component/Location [District] (Please segregated by district, sub-district, and villages name)	Land Tenure in Farmer Pond						Availability of Land Status Statement Letter	Availability of Power Line
	Overall (ha)	Owner (ha)	Tenant (ha)	Production Pond Area (ha)	Number of Production Ponds Plot	WWTP area (ha)		
District 1								
District 2								
District 26								
<b>TOTAL</b>								

**Table 7. Social/Economic/Cultural Impacts of Project Activities**

Project Component/Location [District] (Please segregated by district, sub-district, and villages name)	Sub-project Component of			Remarks
	Farmer Pond Cluster	Irrigation Canal	Pond Reconstruction and WWTP	
District 1				
District 2				
District 26				
<b>TOTAL</b>				

## 2. Other Remarks on Community Development Issues

Describe the issue with land status (the owner or tenant) adjustment for the voluntary land sharing.

**Table 8. Number of Affected Households**

Location District - Sub-district	Total Number of Affected Households	Total Number of Affected People	Number of Affected Households (directly)	Number of Affected Households (indirectly)	Change in Number of affected households Compared to Updated SADP

**Table 9. Mitigation Solutions Implemented for Vulnerable Households**

Mitigation Measures Action	Indigenous People (HHs)	Land (pond) less (HHs)	Poor (HHs)	Female Headed Households	Other (add as needed)
Civil Works Component					
1.					
2.					
n.					
Non-Civil Work Component					
1.					
2.					
n.					

**Table 10. Status of Voluntary Land Sharing**

Cluster Location	Actual completion date	Scheduled completion date	Current Status (Briefly describe status of completion of infrastructure, etc.)	No. of plots allocated for project	No. of AHs to be allocated plots	No. of plots agreed to be share in cluster areas	# AHs issued title	# AHs received reconstruction of sustainable shrimp pond	# AHs living in cluster areas as of reporting period

\* Include also separate residential plots to be provided to AHs even if these are not included in shrimp aquaculture cluster sites.

### 3. General Progress in *Masyarakat Hukum Adat* Development Plan (MHADP) Implementation

**Table 11. The Progress Status of MHADP Action Plan**

Project Component/Location [District]	List of MHA Living in the Area	MHA Development Activities	Implementation Status	Remarks
District 1				
District 2				
District 26				
<b>TOTAL</b>				

### 4. Other Remarks on MHADP implementation

(Describe issues identified along with planned and completed development actions. Also provide additional information regarding delays/obstacles in completing the agreed actions, if any, including remedial actions to be taken)

**Table 12. Program Participation (Cumulative)**

Location	Specific Project Impact to MHAs	No. of eligible APs	Participation in Livelihood Restoration Activities Disaggregated by Gender and ethnicity <sup>45</sup> of AP [examples provided below, revise as appropriate for specific Community Development Program]				Total # Of APs	Of which vulnerable <sup>46</sup>
			No. of APs in Output 1	No. of APs in Output 2	No. of APs in Output 3	[other]		
Village 1								
Village 2								

---

<sup>45</sup> In projects where there are IP issues

<sup>46</sup> E.g., No. of female-headed with dependents, no. of poor; no. of IP

## II. Disclosure, Consultation and Grievances

This section describes information disclosure, public consultation, and grievance activities during the project implementation as agreed in the plan. This includes final consultations with affected farmers during SADP finalization after the completion of detail design; the numbers of activities conducted; issues raised during consultations and responses provided by the project team, implementing NGOs, project supervision consultants, contractors, etc. The idea here is for the CPMU to demonstrate how the Social Safeguards Document (i.e., CDF, IPPF, SADP, MHADP, and SMR) has been disclosed to affected farmers and/or affected MHAs.

### 1. Disclosure

**Table 13. Means of Disclosure of Social Safeguards Document by Location**

Location	Translated approved CDF/IPPF/SADP/MHADP/SMR disseminated to village office? (yes/no)	PIB disseminated to AHs (date/method*)	PIB posted in public place? (yes/no)	Public meeting to present approved CDF/IPPF/SADP/MHADP/SMR (date)	Target date to complete disclosure (date)	Community board support required (Yes/No)
Village 1						
Village 2						

\* Dissemination method such as handed out in public meeting, distributed house-to-house, etc.

#### Communications and Participation

- Number of general meetings (for both men and women).
- Percentage of women out of total participants.
- Number of meetings exclusively with women, exclusively with vulnerable groups and IP members.
- Number of meetings at new sites and between hosts and the beneficiaries.
- Level of participation in meetings (of women, men, and vulnerable groups).
- Level of information communicated—adequate or inadequate.

### 2. Consultations

Provide text for Table below that summarizes the Public Consultation and Participation activities and outcomes during the monitoring period. Attendance will be disaggregated by gender and ethnicity member of customary community (CC) or not as indicated in the screening guide of the CDF and IPPF.

**Table 14. Consultation/Information Dissemination Meetings Conducted During Reporting Period**

Date	Venue	Participants [Disaggregated by gender]	Participants from MHAs Group		Consultation Content	Meeting Minutes with PMU
			Ethnicity	Name of MHAs institution		

**Other Remarks on Public Consultation and participation**

[Please describe any issues encountered and approaches taken to resolve these]

**3. Operation of Grievance Redress Mechanism (GRM)**

This section described the implementation of project GRM as design in the approved SADP/MHADP. This includes evaluations of its effectiveness, procedures, complaints receive, timeliness to resolve issues/ complaints and resources provided to solve the complaints. Special attentions should be given if there are complaints received from the affected people or communities.

**Table 15. Summary of Grievance Cases by Level of GRM**

Location	No. of pending grievance from previous reporting period	No. of new grievance cases for reporting period	Total no. of cases received	No. of cases resolved	No. of cases progressed to next level
Level 1 (MMAF)					
Level 2 (UPT)					
Level 3 (Farmer Group, Village)					

**Narrative Summary of Grievances**

[Provide a narrative summary of grievance cases by type of issue and location, for example...]

[Where resolution of grievance resulted in any cases of land/assets compulsorily acquired, provide details along with information regarding relevant court or administrative decision and confirmation whether funds due from compensation and assistance have been placed in escrow account or provided to AP]

**Table 16. Status of Grievance Redress as of (Date, Month, Year)**

Subproject	Safeguards Document	Grievance			Elevated to Court: # of complaints
		Grievance Topic	# Of complaints	# Of satisfied AHs	
Subproject 1					
Subproject 2					

--	--	--	--	--	--

### III. Budget and Timeframe

Funds disbursement refers to handing over payments from the MMAF down to APs per stipulated social safeguard document budget allocation.

**Table 17. Disbursement of Funds as of (Date, Month, Year)**

Subproject	Safeguards Document	Social Safeguards Budget	Funds Disbursed this Monitoring Period	Comment/s
Subproject				
Subproject				
<b>Total</b>	-	-		

### IV. Livelihood and Income Condition

This section will showed the progress from various training implementation under SADP and MHADP activity (women, men, and vulnerable groups) . In addition, this part will focus to show number and percentage of the beneficiaries covered under livelihood programs (women, men, and vulnerable groups) and the beneficiaries who have restored their income and livelihood patterns (women, men, and vulnerable groups).

**Table 18. Quantity of Land Sharing by the Beneficiaries**

No	Location			Name of Shrimp Farmers Group Cluster	Characteristic of beneficiaries			Income Productivity (ton/ha) if any
	Province	District	Village		Male	Female	Vulnerable Group	

### V. Project Benefits and Impacts as Indicated in the Approved SADP/MHADP

Noticeable changes in patterns of occupation, production, and resource use compared to the pre-project situation.

Noticeable changes in income and expenditure patterns compared to the pre-project situation.

Changes in cost of living compared to the pre-project situation.



Changes in key social and cultural parameters relating to living standards.

Changes occurred for vulnerable groups.

Training benefits for the targeted participants

Concerns and issues raised by the communities.

## E. Capacity Building

[Report on the following as applicable]

- Deployment of safeguards-related staff within CPMUs. Key activities conducted by CPMU safeguards staff during reporting period.
- Capacity development training provided: type and number of trainings, number of staff/officers trained (disaggregated by gender).
- Activities of community-based organizations (CBOs)/mass organizations (as applicable)
- Adequacy of resources for CPMU staff and consultants
- Issues in undertaking roles/responsibilities of different agencies.

**12. Table 19. List of Training Program Implemented**

No	Type of Training	Date	Location		Number of Participant			Degree of Satisfaction with Their Skill
			District	Subdistrict	Male	Female	Vulnerable	

## F. Other Issues

[Provide information on status and/or resolution of issues raised in previous internal monitoring report; ADB monitoring; external monitoring report, etc.]

[Provide information on other newly identified issues impacting the implementation of SADP. These may include resource constraints, changes in scope of impacts, etc.]

[Describe temporary impacts during implementation, including quantities of impacts, #AHs, location, types, etc. and status of restoring temporarily affected assets as appropriate and the responsible agency.]

## G. Institutional Arrangement

This section describes the actual implementation, or any adjustment made to the institutional arrangement for managing the social safeguards issues in the projects. This includes the establishment of safeguards unit/ team and appointment of staff in the EA/IA; implementation of the GRM and its committee; supervision and coordination between institutions involved in the management and monitoring of safeguards issues, the roles of NGO and women's groups in the monitoring and implementation of the plan, if any.

## H. Monitoring Results - Findings

This section describes the summary and key findings of the monitoring activities. The results are compared against previously established benchmarks and compliance status.

## I. Compliance Status

This section will summarize the compliance status of the project activities with the loan covenants, ADB SPS (2009) on SR 2, SR 3 and so on.

#### **J. Overall Status, Issues, Concern, and Proposed Actions**

Under this section, provide information on identified issues impacting the implementation of social safeguards compliance. You may choose to divide this section by crosscutting issues or by social safeguard document type. These may include resource constraints, changes in scope of impacts, etc.

For succeeding internal monitoring reports, it is imperative to include resolution of issues cited in previous internal monitoring reports as well as those that may be cited during independent evaluation from ADB Headquarters. With Table 20 below, indicate the estimated percentage of work accomplished eventually through time reflecting cumulative achievements per subproject up to the point of the current monitoring period.

**Table 20. Social Safeguards Implementation Progress as of (Date, Month, Year)**

<b>Social Safeguards Activities</b>	<b>Subproject</b>	<b>Subproject</b>	<b>Subproject</b>	<b>Subproject</b>	<b>Subproject</b>
Activities mentioned in CDF:					
Activities 1					
Activities 2					
Etc.					
Activities mentioned in MHADF:					
Activities 1					
Activities 2					
etc.					

For Table 21, indicate the issues and concerns per subproject as indicated in the headings and the way forward to overcome issues and concerns.

**Table 21. Social Safeguards Issues, Concerns and Proposed Actions as of (Date, Month, Year)**

<b>Subproject</b>	<b>Safeguards Document</b>	<b>Issues and Concerns</b>		<b>Proposed Action/s</b>
		<b>New/Current</b>	<b>Pending issues from previous monitoring report</b>	
Subproject				
Subproject				

**K. Conclusion and Recommendation**

(Convey important conclusions obtained during monitoring. This includes showing both the important factors whether or not it makes the activity run according to the target).

(Provide the inputs and actions needed to solve the problem at each stage of the monitored activity. This includes providing suggestions on who will be involved in taking a role for the problem solving).

**Appendix 1**

- i. List of Affected Households (directly and indirectly)
- ii. Summary of SADP/MHAP.

**Appendix 2**

- i. Copies of AP's Land Sharing Form Agreement (signed by the APs)
  - ii. Summary of minutes of meetings during public consultations
  - iii. Summary of complaints received and solution status.
  - iv. Activities documentation.
  - v. Copies of statement letters on Free from Dispute and Not Asking Compensation
- Copies of internal agreements of pond cluster.

## **Annex 12. Term of Reference for Independent External Party**

### **EXTERNAL MONITORING AGENCIES FOR IISAP**

#### **I. Objectives**

The objective of this consulting service is to verify that the land utilization and arrangement of Infrastructure Improvement for Shrimp Aquaculture Project (IISAP) follows the principles and procedures of voluntary land sharing/pooling set for the project. The project is supported by the Asian Development Bank (ADB) and will help the Ministry of Marine Affairs and Fisheries (MMAF) in introducing sustainable shrimp aquaculture and improving transparency, and traceability processes towards increased productivity, quality, profitability, and environment sustainability of smallholder's shrimp farming. The project will deliver an integrated investment addressing upstream, production, and downstream processes through delivery of infrastructure, support to improve farming practices and post-harvest systems, and value chain strengthening in selected locations. The project will deliver three outputs: (i) Output 1: quality and sustainable inputs production increased; (ii) Output 2: sustainable aquaculture infrastructure and services developed; and (iii) Output 3: shrimp aquaculture value chain strengthened.

The MMAF is assisted by Project Management Consultant (PMC) for implementing the Community Development Plan (CDP). An external party such as a qualified non-governmental organization (NGO) or legal authority<sup>1</sup> will be engaged by the project to undertake the verification. To ensure the project compliance with ADB Safeguards Policy Statement (2009) on involuntary resettlement and indigenous people policies, the project will recruit external independent monitor for the entire project implementation period. The external monitor will be tasked to monitor and evaluate the implementation of the prepared Community Development Framework (CDF), Sustainable Aquaculture Development Plan (SADPs), Indigenous People Plan Framework (IPPF) and Masyarakat Hukum Adat Development Plan (MHADPs) in the project.

An external monitoring of community development is required by the Project. Project Management Unit (PMU) is responsible for external monitoring and compliance with CDP preparation and implementation to make sure that the process and stages are done according to the principles of safeguard policy. The external monitoring will focus on the following aspects:

- a) Land sharing/pooling for farmer pond cluster and the other assistance in all locations are conducted in accordance with applicable regulations and guidelines.
- b) Land use agreement and beneficiaries' selections are conducted and implemented in accordance with the prepared guidelines.
- c) Delivery of social support and social management includes delivery of assistance for farmers renting ponds are implemented as agreed in the prepared SACDP.
- d) Public information dissemination and consultations procedures.
- e) Adherence to the project's grievance procedures, and resolution of outstanding issues requiring management's attention.
- f) The benefit provided from the project received to all intended beneficiaries.

- g) The ability of the farmers and farmer group in maintaining their livelihoods and living standards.
- h) Assessing if CDP implementation and activities achieved the intended objectives, measuring community development outcomes against baseline condition.

## **II. Scope of Work-General**

This scope of work will require the independent party to undertake the following general tasks among others:

- e) Using observation from field visits, verbal, and written records, verify that the Community Development Framework (CDF) and Indigenous People Planning Framework (IPPF) principles are implemented properly, ADB SPS principles on IR and IP safeguards are complying with, and was accomplished through the consultation process.
- f) Ensure that sustainable aquaculture development plan (SADP) (planning and activities) on social safeguards is properly implemented and construction of farmers' cluster ponds do not severely affect the living standards of pond farmers (affected person) and will benefit them directly.
- g) Ensure Masyarakat Hukum Adat Development Plan (MHADP) is implemented, and members of customary communities received the project's benefits.
- h) Ensure that project's beneficiaries selection criteria include social safeguard considerations as elaborated in the CDF and IPPF.

## **III. Scope of Work - Specific**

The independent party's work will include several specific tasks:

- i) Review all project documents including loan agreement and memorandum of understanding (MoU) or correspondences between ADB and MMAF related to the CDF-SADP and IPPF-MHADP requirement and implementation.
- j) Visit the project site to verify whether the CDP-MHADP, if any, implementation follows the principles and procedures agreed in loan agreement, MoU, CDF and IPPF. Verification will cover an adequate representative random sample of the participated farmer households who voluntary land shared for farmer pond cluster and voluntary land used/utilized for irrigation canal and pond reconstruction & communal wastewater treatment plant.
- k) Conduct interviews, household survey and/or participatory community meetings with the affected pond farmers/affected farmer households to obtain perception of the criteria selection for choosing site location and farmer group, selection implementation of site location and farmer group that receive assistance.
- l) Interview relevant stakeholders including (Directorate General of Aquaculture or DGA and 7 UPTs), construction supervision and project implementation consultants,

community leaders and local authorities regarding the principles and procedures followed CDP; and

- m) Verify whether the criteria set for location and farmer group requirement and CDP preparatory, and implementation were properly applied.
- n) Verify whether the procedures of the voluntary land sharing/using were properly implemented.
- o) Verify whether the MHADP prepared for the location was implemented properly
- p) Verify whether meaningful consultations were conducted properly and knowledge/ access to project's grievance redress mechanism was distributed to the community members.
- q) Verify the inclusion of poor families, IP members and women in the project activities as part of project's beneficiaries.
- r) Prepare a verification report.

#### IV. Location

The project locations for small scale backyard hatchery (partial and spawner), farmers pond cluster, irrigation canal, communal waste water treatment plant (WWTP) and pond reconstruction, and value chain strengthening (workshop and training) are in 26 districts (27 sites/locations), the locations include:

- 6 districts in Aceh Province (Pidie, Bireun, Nagan Raya, Aceh Jaya, and Aceh Barat, and Pidie Jaya).
- 3 districts in Lampung Province (Lampung Timur, Lampung Selatan, and Tanggamus).
- 1 district in Banten Province (Serang)
- 1 district in Central Java Province (Jepara, 2 clusters).
- 4 districts in East Java Province (Situbondo, Sidoarjo, Gresik, and Tuban).
- 2 districts in Bali Province (Jembrana and Buleleng)
- 9 districts in South Sulawesi Province (Bone, Pangkep, Pinrang, Sinjai, Bulukumba, Wajo, Luwu, Barru, and Takalar).

#### V. Indicators

The project has prepared the monitoring aspects and potential indicators to know whether the project is successful or not. Together with the scope of work, both general and specific, independent third parties can formulate their work steps in each region. The monitored aspects and indicators can be seen in **Appendix 1**.

## **VI. Requirement**

The DGA-MMAF will be responsible to recruit the External Monitoring Agencies (EMAs) at the early stage of the project implementation. The EMAs will prepare and submit their report to the PMU and ADB at semiannual bases for review and disclosure. Due to the large areas of the project activities, several EMA can be recruited for effectivity and efficiencies.

The PIUs and PMU social safeguard officers/experts will support the EMAs conducting their monitoring and evaluation. This includes providing the EMA specialist the required project documents (QPRs, internal monitoring reports, grievance redress records, etc.) and access to the project's communities and facilitators.

## **VII. Qualifications**

The EMAs will have work experience in and familiarity with all aspects of community driven development work and project implementation and evaluation. The Team Leader / Expert should have the following qualification: (i) postgraduate degree in social science; (ii) 10 years' experience in M&E; (iii) experience in monitoring international organization funded projects; and (iv) have good English proficiency both the writing and speaking.

Interested agencies/consultants should submit proposal for the work with a brief statement of the approach, methodology, and relevant information concerning previous experience on monitoring and evaluation and preparation of reports. The profile of agency/expert along with CVs of persons to be engaged as monitors must be submitted along with the proposal. The EMAs can be from local NGOs, university research centers, consultant company that have the appropriate experience and qualification in project monitoring and evaluation. The EMAs cannot be associated with the project team and project activities in any capacity.

## **VIII. Personnel and Regions**

A total of twelve (12) domestic persons including the team leaders (3 persons for Aceh; 3 persons for South Sulawesi province; 2 persons for Lampung and Banten provinces; and 4 for Central Java, East Java and Bali provinces) will be recruited for a total of 192 person-months(estimate). Based on location distribution and for easy to conduct survey and monitoring, the working region of external monitoring is determined as follows: i) Aceh; ii) Lampung and Banten; iii) Central Java, East Java, and Bali; iv) South Sulawesi. The EMAs will be separated into four contract packages according to the regions.

## **IX. Budget and Logistics**

The proposal—both technical and financial—should be submitted and the budget should include all costs and logistics necessary for the assignment.



**Appendix 1**

<b>Monitoring Aspects</b>	<b>Potential Monitoring Indicators</b>
Safeguard document Implementation	<ul style="list-style-type: none"> <li>- SACDP and MHADP implementation process</li> <li>- Processes and stages of providing assistance to selected groups of farmers.</li> <li>- Mechanism of land sharing/pooling for farmer ponds cluster.</li> <li>- Availability of land sharing/ pooling agreements</li> <li>- Quality of new pond plots.</li> <li>- Restoration of social infrastructure and services.</li> <li>- The number of farmer pond cluster beneficiaries are 115-230 people.</li> <li>- The number of value chain beneficiaries are 18,466 people for 26 districts.</li> <li>- Trainings deliveries and participations</li> <li>- Compliance with CDF and IPPF principles</li> <li>- Social/economic/ cultural impacts of the project activities</li> </ul>
Consultation and Grievances	<ul style="list-style-type: none"> <li>- Consultations organized as scheduled including meetings, groups, and community activities.</li> <li>- Knowledge of entitlements by the beneficiaries.</li> <li>- Use of the grievance redress mechanism by the beneficiaries.</li> <li>- Information on the resolution of the grievances and the implementation of the social preparation phase.</li> <li>- Implementation of special measures for Indigenous Peoples.</li> </ul>
Communications and Participation	<ul style="list-style-type: none"> <li>- Number of general meetings (for both men and women).</li> <li>- Percentage of women out of total participants.</li> <li>- Number of meetings exclusively with women, exclusively with vulnerable groups and IP members.</li> <li>- Number of meetings at new sites and between hosts and the beneficiaries.</li> <li>- Level of participation in meetings (of women, men, and vulnerable groups).</li> <li>- Level of information communicated—adequate or inadequate.</li> <li>- Information disclosure.</li> <li>- Translation of information disclosure in the local languages.</li> <li>- Village Facilitator roles and availability</li> </ul>
Budget and Time Frame	<ul style="list-style-type: none"> <li>- Capacity building and training activities completed on schedule.</li> <li>- Achieving of providing assistance to the agreed implementation plan.</li> <li>- Funds disbursement according to the SADP.</li> </ul>

	<ul style="list-style-type: none"> <li>- Social preparation phase as per schedule.</li> <li>- Community development plan in time for implementation.</li> </ul>
<p><b>Livelihood and Income Conditions</b></p>	<ul style="list-style-type: none"> <li>- Number of the beneficiaries under the SADP activity (women, men, and <sup>SEP</sup>vulnerable groups).</li> <li>- Number of the beneficiaries who received vocational training (women, men, and vulnerable groups).</li> <li>- Types of training and number of participants in each district.</li> <li>- Number and percentage of the beneficiaries covered under livelihood programs (women, <sup>SEP</sup>men, and vulnerable groups) and the beneficiaries who have restored their income and livelihood patterns (women, men, and vulnerable groups).</li> <li>- Number of new employment activities.</li> <li>- Extent of participation in rehabilitation programs and in vocational training programs.</li> <li>- Degree of satisfaction with support received for livelihood programs.</li> <li>- Percentage of successful enterprises breaking even (women, men, and vulnerable groups).</li> <li>- Percentage of the beneficiaries who improved their income (women, men, and vulnerable groups).</li> <li>- Percentage of the beneficiaries who improved their standard of living (women, men, and vulnerable groups).</li> <li>- Quantity of land sharing/pooling by the beneficiaries (women, men and vulnerable groups).</li> </ul>
<p><b>Project Benefits and Impacts</b></p>	<ul style="list-style-type: none"> <li>- Noticeable changes in patterns of occupation, production, and resource use compared to the pre-project situation.</li> <li>- Noticeable changes in income and expenditure patterns compared to the pre-project situation.</li> <li>- Changes in cost of living compared to the pre-project situation.</li> <li>- Changes in key social and cultural parameters relating to living standards.</li> <li>- Changes occurred for vulnerable groups.</li> <li>- Training benefits for the targeted participants</li> <li>- Concerns and issues raised by the communities</li> </ul>