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**MINISTRY OF PUBLIC WORKS AND HOUSING**

**DIRECTORATE GENERAL CIPTA KARYA**

**NATIONAL URBAN WATER SUPPLY PROJECT (NUWSP)**

**ENVIRONMENTAL AND SOCIAL MANAGEMENT  
FRAMEWORK (ESMF)**

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## LIST OF ABBREVIATIONS

AMDAL	: Environmental Impact Analysis/EIA
APBN	: National Budget
APBD	: Regional Budget
ATR	: Non-Revenue Water (=NRW)
BPKP	: Financial and Development Supervisory Agency
BBWS	: <i>Balai Besar Wilayah Sungai</i> (Agency of River Area)
CB	: Capacity Building
CMC	: Central Management Consultant
CoE	: Center of Excellence
CPIU	: Central Project Implementation Unit
CPMU	: Central Project Management Unit
DAU	: General Allocation Fund
DED	: Detailed Engineering Design
DitPAM	: Directorate of Water Supply Services
DJCK	: Directorate General Cipta Karya (Ministry of Public Works and Housing)
DJPk	: Directorate General of Fiscal Balance (Ministry of Finance)
DMA	: District Metering Areas
DPA	: Budget Implementation Document
DPH	: List of Grantees
DPIU	: District Project Implementation Unit
DPM	: List of Beneficiaries
DPRD	: Regional House of Representatives
FCR	: Full Cost Recovery
FA	: Field Assistant
FS	: Feasibility Study
IPP	: Indigenous People Plan
KAK	: Terms of Reference/TOR
KPBU	: Government-Enterprise Cooperation
LA	: Loan Agreement
LARAP	: Land Acquisition and Resettlement Action Plan

MBR	: Low-Income Community
MDGs	: Millennium Development Goals
MG	: Matching Grant
Nawasis	: National Water and Sanitation Information Services
NRW	: Non-Revenue Water
NUWS	: National Urban Water Supply
PEMDA	: Local Government (District/City)
PBG	: Performance-Based Grant
PHD	: Regional Grant Agreement
PDAM	: Local Water Supply Company ( <i>Perusahaan Daerah Air Minum</i> )
PH	: Grantee
PHLN	: Overseas Loans and Grants
PKPAM	: Water Supply Management Performance Improvement
PPIU	: Provincial Project Implementation Unit
PMK	: Minister of Finance Regulation
PMPD	: Local Government Capital Participation
RIDF	: Regional Infrastructure Development Fund
RISPAM	: Development Master Plan for Water Supply System
RKUD	: Regional Treasury Account
RMAC	: Regional Management and Advisory Consultant
RPJMN	: Medium-term National Development Plan
RPJMD	: Medium-term Regional Development Plan
RPJPD	: Long-term Regional Development Plan
SIM	: Management Information System
SNI	: Indonesian National Standard
SPAM	: Water Supply System
SPPL	: Statement of Undertaking for Environmental Management & Monitoring
SR	: Residential Connection
TA	: Technical Assistance
TACT	: Technical Assistance and Capacity Building Coordination Team
UKL-UPL	: Environmental Management – Monitoring Measures

## EXECUTIVE SUMMARY

1. To support the achievement of universal access target to drinking water, especially in urban areas, the Government of Indonesia in collaboration with the World Bank is preparing the "National Urban Water Supply Project" (herein referred to as NUWS Project). Through this collaboration, Central Government (hereafter "Government") will support the Local Governments and water supply companies (PDAMs) to improve and expand piped water supply services for urban communities, including services to low-income households. Funding for NUWS Project will be a combination of funding support from the World Bank/IBRD and Government of Indonesia's own funds.

2. In accordance to the World Bank Operational Policy, especially with regards to the requirements for environmental and social management, all programs funded by the World Bank are obliged to develop an environmental and social management plan. This Environmental and Social Management Framework (ESMF) is prepared as a project operational document that provides guideline for assessing the potential impacts and preparing the environmental and social management plans for NUWS Project implementation.

3. NUWS Project aims to improve access to and quality of piped water supply services for urban communities and improve the capacity and performance of Local Governments and PDAMs in water supply services provisions. NUWS Project consists of four components, as follows:

- a) **Component 1:** Investment for Urban Water Supply Infrastructure;
- b) **Component 2:** Technical Assistance and Capacity Building for Local Governments and PDAMs;
- c) **Component 3:** Advisory and Policy Development Support for Government; and
- d) **Component 4:** Program Implementation and Management Support.

4. As part of the ESMF development, the potential impacts of each NUWS Project component were assessed. The results of assessment on the potential impacts are presented in the following table:

Component	Description of Activities	Potential Environmental and Social Impacts
<b>Component 1</b>		
Investment for Urban Water Supply Infrastructure	Expansion and optimization of existing water supply infrastructure through activities such as: <ul style="list-style-type: none"> <li>- Non Revenue Water reduction (NRW): main meter installation, repair / replacement of water meters and pipe rehabilitation, etc.</li> <li>- Energy efficiency: repair / replacement of pumps, installation of inverters,</li> </ul>	There are potential environmental and social impacts of construction activities in the field, namely impacts on the ambient water quality, erosion and sedimentation, air quality, noise, traffic / mobility / access, impacts of land acquisition, impacts to indigenous peoples and physical cultural resources.



Component	Description of Activities	Potential Environmental and Social Impacts
	variable speed drivers etc. - Distribution network expansion and installation of new connections - Water intake development/improvement - Water Treatment Plant rehabilitation/optimization	
<b>Component 2</b>		
2A: Capacity Building and Training	- Procurement of consulting services - Help strengthening / improving existing training modules and carry out training activities.	There is no impact to the environment
	- Develop new modules and conduct training.	There is no direct impact to the environment but the training materials are provided with general information about the potential environmental and social impacts of the water supply infrastructure activities (for example: potential contamination of water and soil from chemicals used at the treatment plants, etc.) referring to the ESMF
2B (b): Technical Assistance (TA)	Technical assistance to improve access to finance, to improve performance and to help with preparation of project proposal documents (Feasibility Study).	Feasibility Studies include review of potential environmental and social impacts on downstream activities.
<b>Component 3</b>		
Advisory and Policy Development Support for Central Government	Provide a team of advisory consultant support for the policy to POKJA AMPL (Water & Sanitation National Steering Committee).	No environmental or social impact
	Development of an integrated web based monitoring and evaluation system	There is no direct impact to the environment and social, but the environmental and social performance management monitoring and evaluation should be included in the regular monitoring and evaluation system.
	Strengthening NUWAS Framework	No environmental and social impact
<b>Component 4</b>		
Program Implementation and Management Support	Provision of consultant teams (RMACs and Field Assistants) to support program management and implementation both at central (CPMU, CPIU, and PPIUs), provincial and local level (LGs/PDAMs).	No environmental or social impact

5. Assessment of the potential impacts indicates that only Component 1 and part of Component 2 have potential environmental and social impacts. The World Bank

Operational Policies in environmental and social management that are applicable for NUWS Project consist of operational policies related to: (i) Environmental Assessment, (ii) Indigenous Peoples, (iii) Physical Cultural Resources, and (iv) Involuntary Resettlement.

6. Based on the assessment of potential environmental and social impacts, and with reference to the applicable World Bank Operational Policies, this ESMF is developed to provide operational guidance that must be followed by project stakeholders.

7. This ESMF covers procedures for environmental and social management for the implementation of activities of Component 1 Investment Support for Urban Water Supply Infrastructure (consist of screening process, preparation of environmental and social assessment document and development of mitigation and action plans) and Component 2B (b) Technical Assistance for Proposal Preparation of Project Investment (consist of screening process to determine the scope and depth of the required study, gap analysis, and preparation of the terms of reference for the feasibility study that includes environmental and social aspects), guidelines for resolving grievances/complaints, and implementation for monitoring, evaluation and reporting activities.

## 1.0 INTRODUCTION

1. To support the achievement of universal access to water supply, especially in urban areas, the Government of Indonesia in collaboration with the World Bank is preparing the "National Urban Water Supply Project", herein referred to as NUWS Project. Through this collaboration, local governments and local government owned water supply companies (PDAM) will receive support in the form of technical assistance and capacity building, and also investment support to improve and expand coverage of piped water supply services for urban communities, including services for low-income households. Funding for NUWS Project will be a combination of funding support from the World Bank/IBRD and Government of Indonesia's own funds.

2. In accordance to the World Bank Operational Policy, especially with regards to the requirements for environmental and social management, all activities funded by the World Bank, including the NUWS Project, are obliged to develop an environmental and social management plan. This environmental and social management plan is developed as a project operational document that provides guideline for assessing the potential impacts and preparing the environmental and social management plans for project implementation. For NUWS Project, the environmental and social management plan is developed in the form of an Environmental and Social Management Framework (ESMF).

### 1.1 PURPOSE AND OBJECTIVE

3. The purpose of developing ESMF is as an effort to ensure the project can be implemented and project objectives can be achieved while maintaining a sustainable environment. Through ESMF implementation, potential impacts can be identified, World Bank's policies triggered identified and mitigation plans, evaluation and monitoring plans can be developed to avoid or minimize the project's adverse environment and social impacts.

4. ESMF has the objective to provide technical guidance for stakeholders at the central, provincial and local levels for the process of screening, assessment and preparation of environmental and social documents, monitoring and evaluation, and resolving grievances/complaints during Project implementation.

5. ESMF is developed based on the Government of Indonesia Laws and Regulations and the World Bank Operational Policies that are associated with environmental and social management.

6. ESMF, in its function as providing technical guidelines for Project implementation, shall be adhered to by stakeholders in managing the environmental and social impacts in accordance with the Government of Indonesia Law and Regulations, and World Bank Operational Policies.

## 1.2 ESMF STRUCTURE

7. The ESMF document consists of:

- Executive Summary.
- Chapter 1 Introduction.  
Describes the purpose and objective of the ESMF and its structure.
- Chapter 2 Activities Description.  
Describes the relationship of Project with National Urban Water Framework, the scope of activities, objectives, and Project components.
- Chapter 3 Gap Analysis of Indonesian and World Bank Policies.  
Describes the environmental and social management gaps between Indonesian Regulations and World Bank Operational Policies.
- Chapter 4 Environmental and Social Management Framework (ESMF):
  - Analysis of Potential Environmental and Social Impacts
  - Environmental and Social Management Procedure for Component 1.
  - Environmental and Social Management Procedure for Component 2B (b).
- Chapter 5 Grievance Redress Mechanism.  
Describes who, how, and timeframe for resolving and managing grievances related to the Project.
- Chapter 6 Monitoring, Evaluation and Reporting.  
Describes periodic Project reporting based on monitoring and evaluation activities.
- Chapter 7 Training.  
Describes the training need.
- Chapter 8 Training Cost.  
Describes the training cost estimation.

## 1.3 PUBLIC CONSULTATION AND DISCLOSURE

8. ESMF, as an operational document, is mandatory for public consultation during the Project preparation phase. Public consultation was already conducted on March 8, 2017 in Jakarta. The Public Consultation involved representatives from the stakeholders, which include the Government and Local Governments, PDAMs, universities, non-government organizations, private sectors and also donor agencies that are associated with the urban water supply sector. The public consultation report and the list of attendees are provided in Appendix 14. Input from the public consultation is accommodated in the Final ESMF document.

9. Draft ESMF, as the material for the public consultation, was published in the Directorate General Cipta Karya (DGCK) website, Ministry of Public Works and Housing on 1 March, 2017 (Indonesian language version). Draft ESMF in English version was also disclosed in the Infoshop on March 3, 2017. The final version of ESMF will be uploaded in both websites.

10. Link to the ESMF on DJCK/MPWH website: [www.ciptakarya.pu.go.id](http://www.ciptakarya.pu.go.id)

11. Link to the ESMF on World Bank Infoshop: [www.worldbank.org](http://www.worldbank.org)

## 2.0 DESCRIPTION OF ACTIVITIES

12. Indonesia's urban population increased by about 4% annually. In 2012 the number of people who lived in urban areas was 52% and the projection results in 2025 this figure increases to 68%.<sup>1</sup> This empirical evidence shows that urbanization creates population growth and poverty reduction in Indonesia can only happen if adequate infrastructure is provided. Investment in infrastructure in the past decade was still very low, namely 3% - 4% of GDP. This figure is far below China (10%) and India (7.5%), giving rise to a sizeable infrastructure gap. Investment in infrastructure is recognized as one of the priorities to help countries in harnessing urbanization rate and increasing equality of opportunity to get better access to clean water and sanitation services for the poor and vulnerable. Strategic Country Diagnostic (SCD) identified that the delivery of services becomes an important pathway in reducing poverty and increasing prosperity.

13. The government has drawn up a development priority plan for Indonesia for the year 2015 – 2019 in the National Medium Term Development Plan (RPJMN) 2015 – 2019. This RPJMN provides a framework for development plans in the medium term and aims at improving the quality of life and overcome the disparities and inequalities. Clean water and sanitation is one of the development priority sectors.

14. The RPJMN specifically sets the optimistic target to reduce the number of slums and provide universal access to water and sanitation (Target 100-0-100), including ending the practice of open defecation by end of 2019.

15. The Indonesian Government has set several levels of services that need to be fulfilled by the year 2019 for universal access to safe water in urban areas, which are as follows:

- a) 60% of the population has access to piped water sources and 40% non-piped water sources;
- b) 85% of the urban population gets clean water at least 100 liters per person per day, and the remaining 15% gets 60 liters per person per day; and
- c) The entire water supply services fulfill the standard of Quality, Quantity, Continuity, and Affordability.

16. The main source of piped drinking water in urban areas is usually provided by PDAM. However, there are still some challenges for PDAM in providing reliable piped drinking water in urban areas for Low-Income Communities (MBR) as well as non-MBR. Some of these challenges include (i) the aging drinking water infrastructure; (ii) lack of technical and non-technical capacity for the management of drinking water system and its infrastructure; (iii) lack of clarity and coordination between Local Governments (LGs) and PDAMs on the implementation of regulations and management of the water system; (iv) a decrease in the quality and quantity of the water resources caused by rapid population growth, inappropriate land use, and

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<sup>1</sup> Urban Stories in Indonesia, the World Bank, 2016

climate change effect; and (v) lack of investment and funding which has affected the performance of PDAM. To achieve the RPJMN target at the end of 2019, increased investment and funding is needed, especially investment from local governments and the use of funding from non-government sources. Inadequate tariffs and inefficient management and operations have caused many PDAMs not yet achieving the Full Cost Recovery (FCR).

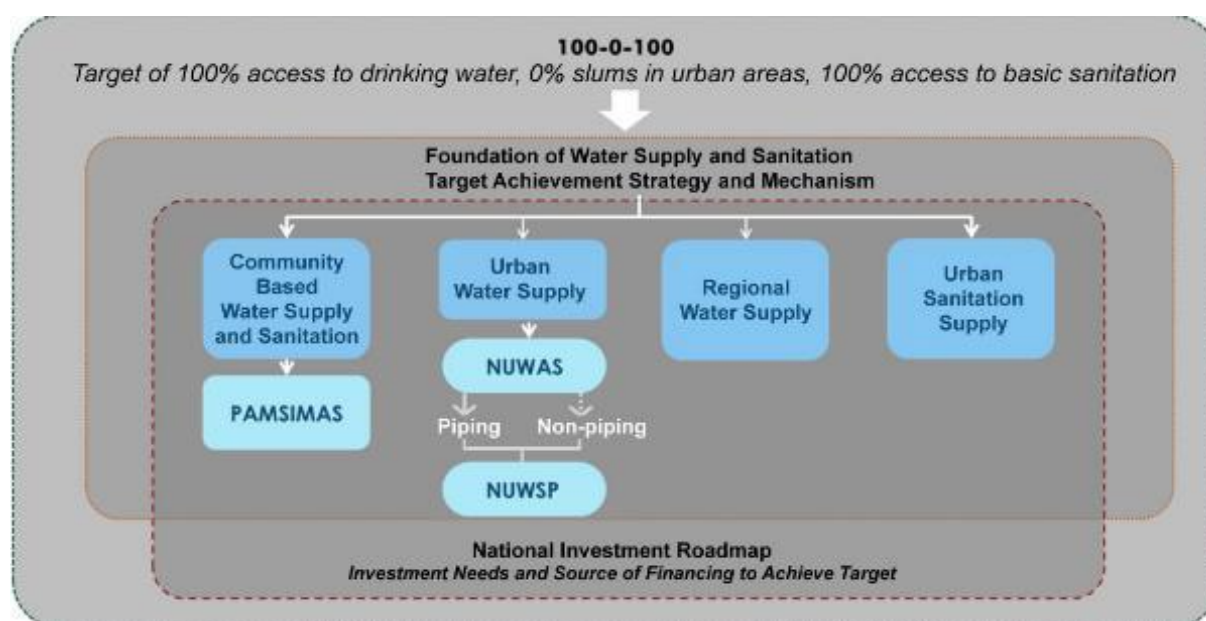
17. Data from performance audit conducted in 2013 by the Financial and Development Supervisory Agency (BPKP) to 358 PDAMs showed that around 60% of all PDAMs was still in an unhealthy condition and operating below FCR levels.

18. To achieve the target of universal access to safe drinking water, IDR 253 trillion is needed to install 27 million new connections in both urban and rural areas. To achieve this target, the urban areas alone need at least 10 million new connections. Of the total cost needed to achieve universal access to safe drinking water, there are limitations in funding from the government. Therefore, an increased role from the local governments is needed to support PDAM, either through investments, policy/regulations, or support for PDAM to utilize alternative sources of funding.

19. Based on the aforementioned condition, there is a need for a framework that will help the development and management of adequate drinking water services in urban areas to provide access to piped drinking water to all levels of society so that it can accelerate efforts to achieve the target of universal access to drinking water, especially for urban areas, in 2019.

20. The National Urban Water Supply (NUWAS) Framework is a national program that supports the development of urban areas with the focus on providing safe water supply services with innovative and effective investment funds. Figure 1 below shows the NUWAS Framework as part of the 100-0-100 Program. The NUWAS Framework is expected to accelerate the implementation of programs for development of urban water supply services in order to expand service coverage and increase local government capacity for the sustainable management of water supply system. At the initial stage, investment priority in the NUWAS Framework is focused on the urban piped water supply services managed by PDAMs. This is based on considerations on the availability of clear regulations, instruments, and institutional control and the larger scale potential impact. Increased Local Governments and PDAMs performance are also expected to help increase the capacity of Local Governments/PDAMs in the preparation of development planning and management of urban water services as a whole, either water services through pipe network or non-pipe.

**Figure 1 NUWAS Framework as part of the 100-0-100 Program**



21. World Bank support through the National Urban Water Supply Project (NUWS Project) is an initiation of the NUWAS Framework implementation to increase and improve access to clean water in urban areas with investment priority to improve access to piped water in selected cities/districts. In addition, through NUWS Project, the World Bank also supports capacity building and improved performance of Local Government/PDAM in the operation and management of drinking water supply systems. Results and lessons learned during the implementation of NUWS Project will be used to further strengthen and enhance the NUWAS Framework so it can be used as the basis for the national platform for development of urban drinking water supply systems.

## 2.1 OBJECTIVES OF ACTIVITIES

22. The objective of NUWS Project is to improve access and quality of piped water services for urban community (MBR and non-MBR) and to increase the capacity and performance of Local Governments and PDAMs in providing water supply services.

23. To achieve these objectives, NUWS Project will be implemented through:

- a) Improvement and increase of community access to piped drinking water services in selected urban areas through strengthening PDAMs capacity and performance;
- b) Improve capacity and human resources and encourage increase investment for urban drinking water supply at the local government level;
- c) Improvement of government policies and strategies in urban drinking water supply sector, increase capacity of monitoring and evaluation system in order to improve effectiveness and efficiency, and better targeted investments.



24. Implementation of NUWS Project will contribute towards the achievement of the target for universal access to clean water in urban areas through the addition of 1.2 million new house connections in selected cities.

## 2.2 SCOPE OF ACTIVITIES

25. The scope of NUWS Project is increasing access to piped water supply for urban population and improving performance and capacity of Piped Water Supply Services in urban areas.

26. NUWS Project consists of 4 (four) components:

- a) Component 1: Investment for Urban Water Supply Infrastructure;
- b) Component 2: Technical Assistance and Capacity Building for the Local Governments and PDAMs;
- c) Component 3: Advisory and Policy Development Support for Central Government; and
- d) Component 4: Program Impementation and Management Support.

27. The types of approach (program support/grant) available for each regional group according to their capacities is summarized in Table 1 and Table 2 below.

**Table 1** Types of Investment Assistance Approach for Water Supply System Infrastructure According to Capacity of Regional Groups

Fiscal Capacity of Local Government (Pemda)	PDAM (Water Supply Company) Category				
	Healthy and Sustainable	Healthy	Potentially Healthy	Not Healthy	Sick
Very High	<b>GROUP 1</b> Regional Revenue and Budget, PDAM National Revenue and Budget through MG TA&CB	<b>GROUP 2</b> Regional Revenue and Budget, PDAM National Revenue and Budget through MG TA&CB	<b>GROUP 3</b> Regional and National Revenue and Budget through PBG, MG and SG TA & CB	<b>GROUP 4</b> Regional and National Revenue and Budget through SG and PBG TA & CB	<b>GROUP 5</b> Regional Revenue and Budget National Revenue and Budget through SG TA & CB
High					
Medium	<b>GROUP 2</b> Regional Revenue and Budget, PDAM National Revenue and Budget through PBG and MG TA & CB				
Low					

**Table 2** Types of Investment Assistance Approach for Water Supply System Infrastructure According to Capacity of Regional Groups (Grouping by NUWAS Framework)

Capacity of Regional Groups	Type of Investment Assistance Approach		
	Seed Grants	Matching Grants	Performance Based Grants
Group 1		■	
Group 2		■	■
Group 3	■	■	■
Group 4	■		■
Group 5	■		

28. Based on data from 367 PDAMs, there are only 74 PDAMs with total production capacity more than 500 l/s. Most PDAM have multiple production units, usually they have one or two main treatment plants/production units and several smaller systems. Thus, even their total production capacity is more than 500 l/s, the size of the single unit treatment plant is mostly below 500 l/s. Most of the big water treatment plants (single unit capacity of more than 500 l/s) were built during the period of 1980s and early 90s or even before. Only metropolitan cities have treatment plants with capacity more than 1,000 l/s in a single production unit. In the last decade, the size of new treatment plants in general is less than 500 l/s, average size is within the range of 100 – 200 l/s. For big cities, the new treatment plants were mainly to have additional production capacity to provide services to the areas previously not served by the big treatment plants. It is also more difficult for cities to find large capacity of water sources within their administration area and the procedure to get permit for new water abstraction for more than 500 l/s is more complicated. In fact, BBWS is very rarely to issue permit for water abstraction for more than 500 l/s to a single PDAM, especially in Java and Bali. There is no further abstraction of water from new raw water sources because of the project. Thus, cities have to consider getting the bulk supply from the regional system. The focus of the project in improving operational efficiency, especially in reducing water losses and optimal utilization of the existing system, combined with technical assistance to PDAMs and LGs in water demand management, will also reduce/postpone the need of big capital investment in building new production units.

## 2.2.1 Component 1: Investment for Urban Water Supply Infrastructure

29. The objective of this component is to support improvement and expansion of drinking water services in main urban areas, particularly in several cities and districts selected from different levels of service capacities and coverage to be able to represent the different mechanisms of investment support for water supply infrastructure included in NUWAS Framework.

30. In NUWAS Framework, Local Governments can obtain investment support from Government for development of piped water supply for the followings: (i) development of a new water supply system in urban areas (for example development of water intake, transmission network, construction of water treatment plants, and distribution system), (ii) expansion and optimization of existing water supply systems. Support from Government to Local Governments is provided through 3 schemes which are determined based on the Local Government's capacity in providing water supply services: (i) Seed grants, (ii) Matching grants, and (iii) Performance-based grants. The performance-based grants scheme is already available and implemented through the Water Supply Grant Program (*Program Hibah Air Minum*). Therefore, in this Project, IBRD fund for the component of Investment for Urban Water Supply Infrastructure will only focus on seed grants and matching grants.

#### **2.2.1.1 Scheme 1. Seed Grants**

31. The Seed Grants is an assistance program that will be provided for regions that still have low/weak capacity in providing water supply services ("less healthy" or "sick" PDAMs with service coverage less than 50% or not being able to meet the Minimum Service Standard/SPM), which include Group 3, 4 and 5. Seed Grant is a one-off CAPEX grant and will be integrated with provision of technical assistance and capacity building programs (Component 2). The amount of Seed Grant that can be received by Local Government will depend on the capability of Local Government and PDAM in planning, implementing, and managing the operations and maintenance of infrastructure funded by this grant. Classification of regional capacity in the NUWAS Framework is used as a reference for the assessment of Local Government capacity.

32. Seed Grant is specifically used as initial fund or investment for implementation of activities related to:

- a) Non-Revenue Water/NRW reduction and management through reduction of water leakage (commercial and administrative); replacement of water meters; and rehabilitation of pipelines, etc. Provisions for and installation of main production metering system will be mandatory requirement that is included in this seed grant;
- b) Energy efficiency through repair/replacement of pumps, installation of inverters, variable speed driver, etc.;
- c) Utilization of idle/unused capacity for expansion of distribution networks and installation of new house connections; and
- d) Rehabilitation of water treatment plants.

33. The maximum amount of Seed Grant that is available for each Local Government is as follows:

**Table 3 Maximum Amount of Seed Grant**

City/District Group	Seed Grant Amount
Group 3	USD 4 million for each City/District
Group 4	USD 3 million for each City/District
Group 5	USD 2 million for each City/ District

34. It is estimated around fourteen districts/cities will receive Seed Grants with the maximum allocations for each of the groups presented in Table 4 below:

**Table 4 District/City as Seed Grant Recipient**

No.	District/City	Group	Maximum Value of Seed Grant
	<b>North Sumatra</b>		
1	Binjai City	5	USD 2 million
2	Deli Serdang District	5	USD 2 million
	<b>Bengkulu</b>		
3	Bengkulu City	4	USD 3 million
4	Bengkulu Tengah District	4	USD 3 million
	<b>Riau</b>		
5	Dumai City	5	USD 2 million
	<b>Central Java</b>		
6	Pekalongan District	3	USD 4 million
7	Sukoharjo District	3	USD 4 million
	<b>East Java</b>		
8	Lamongan District	5	USD 2 million
9	Pacitan District	4	USD 3 million
10	Ponorogo District	5	USD 2 million
11	Blitar City	5	USD 2 million
	<b>South Kalimantan</b>		
12	Banjar District	3	USD 4 million
	<b>Central Sulawesi Tengah</b>		
13	Palu City	4	USD 3 million
14	Donggala City	3	USD 4 million

35. The selected 14 Local Governments must submit a Proposal to participate in the NUWS Project. The Proposal for the Seed Grant must include:

- (i) self assessment report;

- (ii) summary of proposed investment plan derived from Business Plan/Corporate Plan/Master Plan of the PDAM, RISPAM or Jakstrada Air Minum,
- (iii) a list of the training topics and activities required by PDAMs and Local Governments,
- (iv) a statement of commitment to establish and implement a Performance Agreement between Local Government and PDAM; capability of local governments to provide matching funds for training and technical assistance, and also follow-up activities; capability of Local Government to provide matching funds for the operation and maintenance of infrastructure that will be constructed; and willingness to follow the guidelines and technical principles of the NUWS Project,
- (v) draft Decree on the establishment of District Project Implementation Unit (DPIU) including information on operational funds,
- (vi) a draft performance agreement between Local Government and PDAM. The Local Government that will receive the Seed Grant will require its PDAM to also participate in the TA/CB program.

36. If any of the 14 selected local governments listed above cannot meet the requirements, their allocated positions may be replaced by other Local Governments from the same group who have the capability to meet the requirements.

### **2.2.1.2 Scheme 2. Matching Grants**

37. Matching Grant is provided to Local Governments as an incentive to encourage the use of alternative funding sources (non-government funding). This program is targeted for Local Governments with adequate capacity to conduct planning, implementation, operation and management of water supply services (“healthy” PDAM, service coverage is above 50% and it fulfills the minimum service standards) and has utilized or will utilize alternative funding sources (for Group 1 and 2). Matching Grant is used to implement activities that will accelerate improvement and expansion of services such as NRW reduction (installation of main water meters, repair of pipelines, repair/replacement of meters, establishment of the DMA/District Metering Areas), increase in energy efficiency (repair/replacement of pumps, provision and installation of variable speed driver and other electro-mechanical instruments), expansion of distribution networks, water intake development/improvement, and water treatment plants rehabilitation.

38. In NUWS Project, Matching Grant will be awarded to Local Governments who support their local PDAMs in utilizing funding facilities in the form of bank loans, loans offered by PT. Sarana Multi Infrastruktur (PT SMI) and/or RIDF (Regional Infrastructure Development Fund), Public-Private Partnerships (PPP or KPBU), Business-to-Business, or CSR (Corporate Social Responsibility) funds utilization. Local Governments that is able to encourage their PDAMs to utilize these non-public financing alternatives will be awarded Matching Grant through IBRD funds with the amount of 30% of the total approved financing and a maximum of USD 5 million for a single proposal. Alternative funding that can be applied for receiving substitution for

the Matching Grant are those that have been implemented after the effective roll out of the NUWS Project.

39. It is expected that at least 20-25 Local Governments can benefit or be beneficiaries of the Matching Grant Program based on the condition that the local PDAM is in the process of applying for bank loans and/or being encouraged to utilize bank loans or other alternative funding. Local Governments that will be targeted to obtain the Matching Grant come from Groups 1 and 2 of NUWAS Categorization as provided in Table 1 and Table 2.

40. The amount of fund received through Matching Grant by each city/district depends on the amount of alternative funding they are able to acquire and based on the activity proposal submitted by the city/district.

41. To obtain Matching Grant, the selected Local Governments have to provide a proposal to participate in NUWS Project which contains:

- (i) self assessment report,
- (ii) a summary of the proposed investment plan which is summarized from the PDAM Business Plan/Corporate Plan/Master Plan, *R/SPAM* or the Water Supply Jakstrada,
- (iii) summary of proposed training topics and capacity building required by PDAMs and Local Governments,
- (iv) a copy of the bank loan application proposal or other alternative funding sources and the status of the approval process,
- (v) commitment to establish and implement a Performance Agreement between the Local Government and PDAM, Local Government's ability to provide counterpart funds for the participation in training program, technical assistance and follow-up activities, ability to provide a Detailed Engineering Design (DED) document for the activities funded by Matching Grant, capability of Local Government to provide matching funds for the operation and maintenance of infrastructure that will be constructed; and willingness to follow the guidelines and technical principles of the NUWS Project,
- (vi) draft Decree on the establishment of District Project Implementation Unit (DPIU) including information on operational funds, and
- (vii) a draft performance agreement between Local Government and PDAM.

42. Local governments that are not selected may have the opportunity to become beneficiary of the Matching Grant when a local government nominated to receive the grant cannot meet the specified requirements.

### **2.2.1.3 Scheme 3. Performance-based Grants**

43. Performance-based Grants are awarded to Local Governments who supports performance improvements and efficiency improvements in PDAM operations with regards to improving and expanding urban water supply services. The grant is offered as incentive and awarded after the Local Government and the PDAM demonstrate results in relation to efforts for improving performance and operational efficiency, measured through the achievement of certain performance indicators.

44. The Performance-based Grants targets regions who have started to gain capacity and have strong commitment for continuing to improve their performances and also improving and expanding the urban pipeline water supply services. In this project, the Performance-based Grants will be developed to encourage Local Governments and PDAMs in improving their performance and operational efficiency through reduction of non-revenue water (NRW) and improving energy efficiency.

45. The size of the Performance-based Grants available for the Local Government is calculated based on the following indicators:

- For non-revenue water, the calculation is based on the volume of water that can be recovered without reducing the level of service (must be demonstrated by increase in water connections and no reduction of water pressure at the customer end).
- For improvement in energy efficiency, the calculation is based on reduction of energy consumption in PDAM operations without reducing the level of service (not reducing the operational hours, and not reducing the water pressure at the customer end).

46. In order to become beneficiary of the Performance-based Grant, the Local Government must submit a proposal for the NUWS Project that includes:

- (i) a self assessment report,
- (ii) a summary of proposed investment plans derived from the PDAM, RISPAM Business Plan/Corporate Plan/Master Plan or Water Jakstrada Air Minum,
- (iii) proposed targets and plans for reducing water loss and/or improve energy efficiency,
- (iv) summary of proposed training topics and capacity building for PDAM and Local Government,
- (v) ability to provide/ensure availability of devices/measuring instruments to be used for the verification process,
- (vi) a statement letter on commitment to create and implement a performance agreement between Local Government and PDAM; provide counterpart funds for training and technical assistance and follow-up activities; capability of Local Government and/or PDAMs to initiate water loss reduction activities and/or improve energy efficiency activities; ensure the availability of counterpart funds for sustaining efforts for performance improvement and achieving operational efficiency; adhering to the NUWS Project Management Guidelines (PMM) and NUWS Project technical guidelines,
- (vii) draft Decree on the establishment of District Project Implementation Unit (DPIU) including information on operational funds, and
- (viii) a draft performance agreement between Local Governments and PDAMs.

47. The NUWS Project will be executed in conjunction with other programs (including IUWASH PLUS and KIAT) in selecting the cities/regencies that will be piloting the implementation of the Performance-based Grant and in preparing the necessary technical guidance. It is estimated that for the initial phase (year 1 and 2), 20 cities/regencies will be selected to obtain the Performance-based Grant (refer



Table 5). The following list of cities/regencies are cities/regencies assisted by IUWASH PLUS, IndII, and others include Regional SPAM (Drinking Water Supply System) locations.

**Tabel 5 Regencies/Cities Beneficiary of the Performance-Based Grant**

IUWASH PLUS		IndII*	Regional
1. Magelang City	9. Makassar City	1.City/District in East Nusa Tenggara & West Nusa Tenggara who has social contract: <ul style="list-style-type: none"> <li>▪ Central Lombok District</li> <li>▪ Dompu District</li> <li>▪ Manggarai District</li> <li>▪ Ende District</li> <li>▪ Sikka District</li> <li>▪ Flores Timur District</li> <li>▪ Sumba Timur District</li> <li>▪ TTS District</li> <li>▪ TTU District</li> </ul>	1. Denpasar City
2. Surakarta City	10. Jayapura (City dan District)		2. Badung District
3. Pematang Siantar City	11. Tebing Tinggi City		3. Gianyar District
4. Sibolga City	12. Depok City		4. Pekalongan City
5. Bogor City	13. Sukoharjo District		
6. Bekasi City	14. Gresik City		
7. Sidoarjo City	15. Ternate City		
8. Probolinggo City			

*\*IndII Facility Review and Planning Document (FRPD) January 2016 – January 2017*

48. Aside from improving the performance and operational efficiency of the PDAM, NUWS Project will also support the implementation of the National Revenue and Budget (APBN) Water Grant for new connections of Low-Income Communities (MBR). At least 20% of new connections installed at NUWS Project participating cities/districts are designated for MBR with support from the APBN Water Grant Program. As such, NUWS Project will closely work together with the CPMU Grant. Procedure for receiving Water Grant will follow APBN Water Grant Technical Guidelines.

### **2.2.2 Component 2: Technical Assistance and Capacity Building for Local Governments and PDAMs**

49. This component is focused on supporting capacity building for Local Governments, PDAMs, and other stakeholders to increase their performance in technical, financial, and commercial aspect, management, human resources, and other areas. Capacity building will be conducted through training programs which will be followed up with more focused technical assistance. Technical assistance will also be provided for selected Local Governments and PDAMs to identify investment and capacity building needs and prepare a proposal which will then be considered for accessing different funding schemes in accordance to their capability and capacity as per NUWAS Framework classification.



### **2.2.2.1 Component 2A. Training and Capacity Building Activities**

50. This component will help the Government in establishing a structured and phased capacity building and technical assistance program to develop Local Governments and PDAMs' capacity in improving quality of water supply services, arranging activities and acquiring access to funds for investment. By using NUWAS Framework, the capacity building program will be implemented through the Center of Excellence (CoE) program which has been developed and managed in coordination with the Directorate of Drinking Water Supply Development. Currently, the CoE provides training modules for several topics, namely Non-revenue water (NRW) reduction, PDAM financial management, energy efficiency, and development of a Geographic Information System (GIS).

51. NUWS Project will help the CoE program in developing new training modules for important topics that are not yet available, which includes Integrated Urban Water Management (IUWM), Water Safety Plan, PDAM reform, competency-based human resource development, utility financing, citizen engagement, and MBR inclusive services. Component 2A will also help in strengthening/improving existing training modules. Training through the CoE which has been limited to PDAM employees will be expanded and opened for representatives of the Local Government or Government, for example Ministry of Public Works and Housing, Ministry of Home Affairs, Ministry of Finance, BAPPENAS, PERPAMSI and others as needed.

52. Capacity building activities and training will be coordinated with and will complement the existing training programs provided by other related institutions such as the technical and management assistance programs from the Ministry of Public Works and Housing, training programs from BPPSPAM (*Badan Peningkatan Penyelenggaraan Sistem Penyediaan Air Minum*), PERPAMSI, Waterlinks, and other donors such as Indonesia Infrastructure Initiative (IndII) from Australian Aid/DFAT, and Indonesia Urban Water Sanitation and Hygiene (IUWASH PLUS) from USAID.

53. To implement this capacity building and training activities, the World Bank investment will be used to provide experts through provision of consultancy services which are part of the Technical Assistance and Capacity Building Team (TACT). The team of experts will help in conducting reviews and improving the quality of existing training modules, and developing new training modules for topics that are not yet available (currently the World Bank is implementing technical assistance to map out and conduct inventory of the existing TA/CB programs. Results from this study will feed into the detail design and implementation of this Component 2A).

### **2.2.2.2 Component 2B. Technical Assistance Program**

54. NUWS Project will provide a structured technical assistance program to help Local Governments and PDAMs specifically in improving their operational and financial performance, develop feasible investment plans and obtain access to investment funds. Topics of technical assistance will be similar to the topics of capacity building; however, it will be geared more directly towards Local Governments and PDAMs and implemented through the provision of Local Government Support Teams (Field Assistants – FA) who will be supported by a team

of experts located at the region or at Government level (provided through *Regional Management and Advisory Consultant (RMAC)* and *Central Management Consultant (CMC)* which are funded through Component 4). The targets of the technical assistance program are Local Governments and PDAMs that have participated in the capacity building program, have established and/or signed a Performance Agreement, and have followed up on the results of their participation in the capacity building program. The types of technical assistance programs that can be received depend on the needs and capacity of Local Governments and PDAMs.

55. The types of technical assistance programs are:

- a) Technical assistance for improvement of operational and financial performance. NUWS Project will provide technical assistance for PDAMs to develop programs for specific activities such as reduction of non-revenue water (NRW), energy efficiency, financial analysis and management, etc., based on the proposal prepared by Local Governments and PDAMs. Through this technical assistance, Local Governments and PDAMs can also be assisted in development of terms of reference and in procurement of suitable consultation services/contractors, preparation of contracts, implementation support, and others. The focus of assistance on asset management and operational improvement of PDAMs will be given to Local Government groups in which their PDAMs are still weak and requiring to receive Seed Grant.
- b) Technical assistance for preparation of investment project proposals. Through this component, Local Governments and PDAMs who have fulfilled eligibility criteria will receive support for preparation of investment projects required to expand their services (including services for low-income community) and improve PDAM performance, and assistance for preparation of Project proposal and feasibility study. Local Governments and PDAMs who have fulfilled the requirements will receive technical assistance specifically to identify suitable funding sources for their investments including domestically available non-government funding sources, and will be facilitated in accessing those funding sources.

56. Monitoring and evaluation of the implementation of Component 2 is included in the monitoring and evaluation system prepared for Component 3. A systematic evaluation system will be developed to monitor the effectiveness of capacity building program that will be implemented and to allow further adjustments to improve performance.

57. All technical assistance activities will be conducted through collaboration and coordination with other development partners (including USAID IUWASH Plus, DFAT IndII) for effective implementation and to avoid overlap or competition both in terms of training topics and location. NUWS Project Technical Assistance will be focused on cities/districts that have not received technical assistance from other donor programs.

58. A team of consultant will be provided through the Consultation Services Provision mechanism at the Government level to coordinate all TA activities

(Technical Assistance and Capacity Building Team – TACT). In addition to TA & CB Coordinator, the TACT will be also assigned to review and improve the existing training modules and develop training modules for new topics which are not yet available. For this task, TACT will be prepared with several experts. TACT will also conduct monitoring and evaluation of the implementation of Component 2. A systematic evaluation system will be developed to monitor the effectiveness of TA/capacity building program and identify adjustments that can be made to further improve quality of the program.

59. Field Assistant Team (FA) at the city/district level working under coordination of the provincial level will assist Local Governments and PDAMs in identifying TA/CB requirements, assisting with data collection and reporting, and also bridging communication between Local Governments and PDAMs with the Government. FA will consist of 1 technical person and 1 financial person. For coordination at the provincial level, the Provincial Coordinator will be assigned to assist the provincial PKPAM Satker (working unit) in coordinating the FA and in coordinating with the Provincial AMPL Working Group and other policy stakeholders.

60. Approximately 200 Local Governments have been selected to participate in the capacity building activities and training. From these selected Local Governments, it is expected there are Local Governments who can demonstrate strong commitment to participate in more specific technical assistance activities to significantly improve their performance.

### **2.2.3 Component 3: Advisory and Policy Development Support for Central Government**

61. The objective of this component is to support the Government in developing an urban water supply investment and service improvement framework that can be used to facilitate, manage, and guide Local Governments in accelerating achievement of sustainable drinking water access targets. Specifically, this component will support the National Working Group on Water and Sanitation (Pokja AMPL) in developing and improving national policies, implementation guidelines, and other supporting instruments that can accelerate the achievement of targets for universal access to water supply services. The main policies and guidelines that will be supported under this component will include the following topics: integrated urban water management, water supply systems through regional cooperation, governance on water supply, utility or service provider reform, public private partnership (PPP/KPBU), utility financing, poor (MBR) inclusive services, community engagement, and utilization of performance-based contracts in water supply sector.

62. This component will also provide support for the Directorate General Cipta Karya– Ministry of Public Works and Housing as the Executing Agency and Central Project Management Unit (CPMU), in improving monitoring and evaluation of performance of Local Governments and PDAMs in providing water supply. The classification/categorization mechanism for Local Governments and PDAMs will be improved, and the web-based information management system will be developed/strengthened and used to implement routine and integrated monitoring.

Through this monitoring system, status of progress towards target achievement can be acquired easily and more systematically. This monitoring system can also be used to facilitate interaction between relevant stakeholders, allow better coordination between Government and Local Governments/PDAMs, more strategic allocation of resources and funds for technical assistance and investment, and encourage more participation of Local Governments in increasing investment for drinking water sector.

63. This component will also help CPMU in project dissemination and socialization, including support for implementation and improvement of Local Governments/PDAMs monitoring and classification system.

64. To implement this component, an Advisory Team will be assigned to provide advisory services to the CPMU and National PokJa AMPL, to help strengthening and developing policies and to improve NUWAS Framework. The Advisory Team will be embedded into the provision of consultancy services at the central level.

## 2.2.4 Component 4: Project Implementation and Management Support

65. This component will provide support for Implementing Agencies, both at the central and local levels, in project management and implementation, including conducting monitoring and performance evaluation, and progress in achieving improvement in access to piped water supply of at least 200 Local Governments. Support for project management and implementation will be provided at the regional and central levels. Support at the regional level will include coordination, management and supervision over the Provincial Coordinators and Field Assistants (FA). There will be 2 RMACs to support implementation of this Project. RMAC 1 will cover the Western Region (Sumatera, Java and Kalimantan) and will be based in Jakarta, and RMAC 2 will cover Eastern Region (Sulawesi, Bali, NTT-NTB, Maluku-North Maluku, and Papua-West Papua) and will be based in Surabaya or Makassar.

66. At the central level, the CMC will support the CPMU in overall project implementation and management, monitoring and evaluation of project implementation progress, facilitate the verification, report preparation and supervision of all other consultants' activities (RMAC and TACT), and assist CPMU in conducting review of proposals submitted by Local Governments/PDAMs.

## 2.3 PROJECT OUTPUT

67. Outputs for each project component is shown in Table 6 below.

**Table 6 Project Output**

No	Component	Output
1	Investment for Urban Water Supply Infrastructure	<ul style="list-style-type: none"> <li>• 1.2 million new House Connections as the results of project intervention, at least 20% of which will be connections for MBR households</li> <li>• A minimum of 40 Local Governments/PDAMs receive investment for urban water supply infrastructure either through Matching</li> </ul>

No	Component	Output
		Grant, Performance-based Grant or Seed Grant mechanism.
2	Technical Assistance and Capacity Building for Local Governments and PDAMs	<ul style="list-style-type: none"> <li>• Up to 200 Local Governments/PDAMs actively participate in training and capacity building program</li> <li>• A minimum of 20 Local Governments/PDAMs have significant performance improvement and move up to the next performance ladder</li> <li>• A minimum of 20 Local Governments/PDAMs prepare bankable project proposals</li> </ul>
3	Advisory and Policy Development Support for Central Government	<ul style="list-style-type: none"> <li>• Policies strengthened in urban water supply services development, including for the following topics: <ul style="list-style-type: none"> <li>○ integrated urban water supply management</li> <li>○ management of urban water supply infrastructure assets</li> <li>○ private sector participation</li> <li>○ inclusive services for the poor (MBR)</li> <li>○ alternative financing</li> <li>○ Water Supply System through regional system</li> <li>○ utilization of performance based contracts</li> </ul> </li> <li>• Integrated Web-based monitoring and evaluation system developed</li> <li>• NUWAS framework strengthened.</li> </ul>
4	Project Implementation and Management Support	<ul style="list-style-type: none"> <li>• Project implemented in compliance with project implementation and management guidelines</li> <li>• Targets/outputs achieved on time with good quality</li> </ul>

68. NUWS Project is expected to increase urban community access to piped water supply through the addition of 1.2 new House Connection which will also increase the quality of life of the community. NUWS Project will also help local governments in achieving the target of universal access for water supply in the year 2019 through performance improvement of PDAMs and the Local Governments in providing urban water supply services. NUWS Project implementation is also expected to strengthen policies on urban water supply development, especially on NUWAS framework, which is expected to be used as the national platform for an overarching urban water supply system development through piped and non-piped systems.

## 2.4 LOCATION OF ACTIVITIES

69. NUWAS framework is expected to be applied and is open to all the municipalities/districts with urban water supply systems. However, in the initial stage of NUWAS Framework implementation, not all the Districts/City can participate in NUWS Project.

70. At least 40 Local Governments will be targeted for the water supply system (SPAM) infrastructure investment through Component 1 and selected based on one of the following criteria:

- 1) cities that are under supervisory of Ditjen Cipta Karya for achieving 100% water supply; and/or

- 2) capital cities of provinces; and/or
- 3) cities/districts that are already and will be included in the regional water supply system; and/or
- 4) cities/districts that are covered under the Regional Strategic Development (regional development areas, special economic zones).

71. The procedure for selecting and classifying the capacity of the District/City and the preparation process for participating in the NUWS Project including the submission of Letter of Interest and proposal are specified in the Readiness Criteria Document prepared by the Directorate of PAM, Directorate General Cipta Karya.

72. At the end of NUWS Project implementation, at least 200 Local Governments/PDAM are expected to have participated in the capacity building activities (Component 2A) and actively participate in conducting monitoring and evaluation of the progress of performance improvement by conducting routine self-assessment and/or using InfoAirMinum (an Information System application developed and provided for free by the DitPAM for PDAMs).

73. From the 200 Local Governments/PDAMs participating in Component 2A, it is expected that at least 20 of them demonstrate a strong commitment and fulfill requirements to receive technical assistance (Component 2B), improve their performance, and move up to the next performance category. Technical assistance from NUWS Project will focus on Local Governments/PDAMs that have not received technical assistance from other donor programs (for example IUWASH Plus).

74. Infrastructure development investment provided through NUWS Project will be conducted through Component 1 and will focus on at least 40 Local Governments/PDAMs. The 40 selected Local Governments will represent different capacity levels, so that the NUWS Project can effectively evaluate the implementation of NUWAS framework. Besides being the representatives from different capacity levels, the selection of Local Governments/PDAM that are prioritized for the infrastructure investment is based on the following criteria: (i) Local Government/PDAM that are committed to participate as DGCK Champions and/or as a NUWS Project city/district; (ii) cities/districts that are in the process of submitting bank loan proposal (Presidential Decree 29/2009) or other sources of non-government funding, (iii) cities/districts included in the existing Regional Water Supply System (SPAM) Scheme, and (iv) cities/districts located in priority areas/strategic development areas.

75. A list of Local Governmnet/PDAMs that are prioritized to receive infrastructure investment through Component 1 is specified in the Readiness Criteria document prepared by Directorate PAM, Ditjen Cipta Karya.

## **2.5 BENEFICIARIES**

76. Urban communities (MBR and non-MBR) in the selected districts will receive benefits in the form of improvement and development of drinking water supply system through NUWS Project. The total number of direct beneficiaries is expected



as many as 1.2 million head of the family (or around 6 million people), and at least 20 percent of them (240.000 house connections – SR) are low income communities.

77. Aside from the communities who are direct beneficiaries, the NUWS Project also supports the operationalization of the NUWAS Framework which is a national framework for increased investment and upgrading of urban water services that will help Local Governments and PDAMs to gradually improve their performance and capacity in providing Water Supply System (SPAM) services. The operationalization of the NUWAS Framework will also support the Government and Local Governments in determining better and effective investment priorities and construction of SPAM, and increasing investment financing from various existing financing schemes.

## **2.6 ACTIVITIES IMPLEMENTATION PERIOD**

78. The project will be implemented for a 48 (forty-eight) month period starting from year 2017 to year 2021.

79. NUWS Project is the initiation of NUWAS Framework implementation and is expected to support not only the 100-0-100 program but also to support the achievement of Sustainable Development Goals (SDG) in urban water supply for the long term. In line with the 100-0-100 program, all physical activities (Component 1) will focus its implementation by commencing in 2017-2019 to get the utmost of additional access and service expansion of piped drinking water. It is expected all physical activities can be completed in the end of 2019. Non-physical activities (Components 2 and 3) will be carried out in parallel and continue until after the year 2019 to ensure the sustainable utilization of infrastructure by ensuring improved performance of Local Governments/PDAMs in water supply services provision, and strengthening/enhancing NUWAS Framework and its implementation instruments. At the end of its implementation period, NUWS Project is expected to contribute to the addition of 1.2 million new house connections, or approximately 7.5 percent of the target of additional number of new house connection in urban areas. At least 20% of these new connections will be for poor households (MBR). Furthermore, through the implementation of the NUWS Project, it is also expected that realization of increased investment by Local Governments will encourage investment from non-public funds for urban SPAM development.

80. NUWS Project is a multi-year project. Results and experience from NUWS Project implementation will be used to further strengthen and improve NUWAS Framework which is expected to be the national platform for Urban Water Supply Development Program.

## **2.7 ACTIVITIES VALUE**

81. The value of IBRD loan for NUWS project, as specified in DRPLN JM/Blue Book is USD 100,000,000.00 (one hundred million US Dollars). The value of the project will be channeled through 4 (four) project components as follows:

- 1) Component 1: USD 70.000.000,00 (seventy million US dollars).
- 2) Component 2: USD 10.000.000,00 (ten million US dollars).

- 3) Component 3: USD 5.000.000,00 (five million US dollars).
  - 4) Component 4: USD 15.000.000,00 (fifteen million US dollars).
- Total: USD 100,000,000.00 (one hundred million US dollars).

82. To achieve the project development objectives, counterpart fund from the Government (APBN) is required, as well as the contribution from Local Government (APBD), PDAM and other funding sources, which will be mobilized through the facilitation of Component 2, 3 and 4.

83. The details on the requirements for funding assistance from the Government (APBN DGCK) and mobilization of required funds from Local Governments, PDAM and other funding sources (banking loans, CSR, KPBU/PPP, other donor, as well as contribution from the community through payment for the installation cost of new connections) are provided in the Readiness Criteria document prepared by the Directorate PAM, DGCK.

## **2.8 ORGANIZATION AND MANAGEMENT OF ACTIVITIES IMPLEMENTATION**

### **2.8.1 Organization Structure**

84. The existing Water and Sanitation National Steering Committee (POKJA AMPL), chaired by the Deputy Minister of Regional Development in the Ministry of Planning/National Planning Agency (BAPPENAS) will provide the overall policy guidance during the preparation and implementation of the project. The Steering Committee is also expected to coordinate and consolidate the views of various ministries and agencies in charge of water supply development.

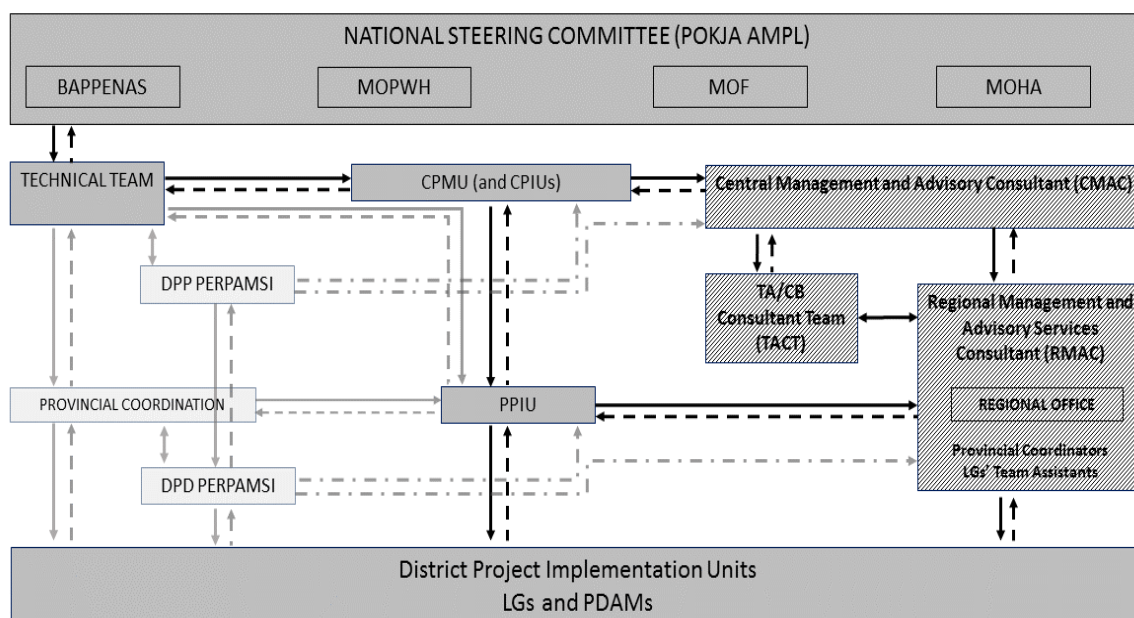
85. Directorate of Drinking Water Supply Development of DGCK of the MoPWH will be the executing agency as Central Project Management Unit (CPMU) and responsible for the procurement and management of all Bank-financed contracts, financial management of loan proceeds, and implementation of environmental and social safeguards in accordance with the ESMF. CPMU is also responsible for managing and coordinating the input of the Technical Team of POKJA AMPL and the Central Project Implementing Unit (CPIU) which will be established in Ministry of Home Affairs (MOHA). To implement the roles and responsibilities, CPMU will be supported by a combination of Central Management Consultant (CMC), Central Advisory Team (CAT), Technical Assistant and Capacity Building Team (TACT), Regional Management Consultant (RMACs), including Provincial Coordinators and Field Assistants.

86. At the local level, DPIUs will also be involved in the implementation of Component 1 and 2, in particular to lead the preparation of the RISPAM (Water Supply Development Master Plan) and PDAM's Business Plan (BP) and execution of activities defined under the RISPAM and BP. Participating LGs will enter into Funding and Performance Agreement with the CPMU and PDAMs will enter into Performance Agreement with their respective LGs to demonstrate the commitment for participation in the project.



87. The diagram summarizes the institutional and implementation arrangements for NUWS Project in Figure 2 below.

**Figure 2 The institution and implementation arrangement for NUWSP**



88. The roles and responsibilities of each of the Ministries/Agencies under the NUWS Project are described in the following table.

**Tabel 7 Roles of Implementing Agency NUWS Project**

Institution	Main Role	Responsibility
BAPPENAS	<ol style="list-style-type: none"> <li>1. Providing guidance in efforts to accelerate the achievement of targets and targets of UA 2019 on water supply;</li> <li>2. Formulating policies and strategies to achieve Urban SPAM targets;</li> <li>3. Coordination of central and regional policy implementation and control of Urban SPAM development implementation;</li> <li>4. Fostering the implementation of the tasks of the National AMPL Pokja Working Group in the NUWS Project</li> </ol>	Availability of national SPAM urban investment framework
Ditjen Cipta Karya- Ministry of Public Works and Housing	<ol style="list-style-type: none"> <li>1. Management and Control of NUWS Project in the context of achieving urban drinking water targets;</li> <li>2. Controlling efforts to achieve all NUWS Project objectives for all components;</li> <li>3. Fostering program implementation on Urban SPAM infrastructure component;</li> <li>4. Carrying out performance evaluation of NUWS Project implementation.</li> </ol>	<ol style="list-style-type: none"> <li>1. 1.2 million additional new Home Connections including 20% for poor households/MBR;</li> <li>2. At least 40 LG/PDAMs shall receive Seed Grant and/or Matching Grant;</li> <li>3. Availability of Web-</li> </ol>

Institution	Main Role	Responsibility
		based Monitoring & Evaluation System
Ditjen Perbendaharaan-Kemenkeu (Directorate General of Treasury – Ministry of Finance)	Manage special account for NUWS Project.	
Ditjen Perimbangan Keuangan-Kemenkeu (Directorate General of Financial Balance-Ministry of Finance)	Managing the on-granting mechanism for the Performance-based Grants approach in accordance with the financing mechanism of the Water Grant Program.	
Ditjen Bina Bangsa-Kemendagri (Directorate General of Fostering Regional Development-Ministry of Internal Affairs)	<ol style="list-style-type: none"> <li>1. Fostering Local Government in mainstreaming/ prioritizing urban water development;</li> <li>2. Encouraging the preparation of regional policies and guidance in the context of achieving urban water supply targets;</li> <li>3. Encouraging the increase of APBD allocation for Urban SPAM development;</li> <li>4. Facilitating LG/PDAMs in setting NUWS Project targets according to district performance.</li> </ol>	<ol style="list-style-type: none"> <li>1. At least 200 PDAMs participate in the Training and Capacity Building Program;</li> <li>2. At least 20 PDAMs demonstrate improved performance;</li> <li>3. At least 20 PDAMs have prepared project proposals that are bankable</li> </ol>

89. The organization for activities implementation of the NUWS Project will be established through the Decree of the Director General Cipta Karya (as the Executing Agency) on behalf of the Minister of Public Works and Housing.

## 2.8.2 Roles and Responsibilities

### 2.8.2.1 Steering Committee

90. The Steering Committee for Water Supply and Sanitation Development in the National Pokja AMPL organization structure established by Minister of Bappenas Decree No. Kep.9/M.PPN/HK/01/2017, dated 31 January 2017, regarding the Establishment of National Housing, Settlement, Water and Sanitation Development Steering Committee, as well as Decree (SK) No. Kep.38/D.VI/07/2013, dated 3 July 2013 regarding the Establishment of a Working Group on Development of National Water Supply and Environmental Sanitation will be the Steering Committee (SC) for the NUWS Project. The SC members for NUWS Project are echelon I and II officials at Bappenas, Ministry of Public Works and Housing (mainly from the Directorate General Cipta Karya), Ministry of Finance and Ministry of Home Affairs. Roles and responsibilities of the SC are as follows:

- a) Provide guidance during NUWS Project preparation and implementation;

- b) Establish general policies and directives related to the NUWS Project;
- c) Coordinate and consolidate views and opinions from different ministries and institutions related to the water supply sector in Indonesia;
- d) Formalize NUWS Project Implementation Guidelines; and
- e) Provide guidance on the utilization of results, experience, and lessons learned from the NUWS Project as input for NUWAS Framework improvement.

91. In conducting its roles and responsibilities, the Steering Committee will be assisted by the Technical Team.

### **2.8.2.2 Technical Team**

92. The Project Technical Team consists of echelon 3 and 4 officials from BAPPENAS, Ministry of Home Affairs, Ministry of Finance, and Ministry of Public Works and Housing. Roles and responsibilities of Technical Team include:

- a) Assist the Steering Committee in providing technical and operational guidance for policy development and project implementation strategy;
- b) Coordinate and consolidate views from stakeholders in urban water supply development such as PERPAMSI, donor institutions and other donor programs;
- c) Inter ministerial coordination to increase effectiveness and smooth processing of project preparation and implementation;
- d) Assist in the preparation of the Project Implementation Guidelines including in the screening and assessment of eligibility criteria for beneficiaries;
- e) Provide technical implementation support to Local Governments participating in the project in regards to project implementation at the province/district/city; and
- f) Report project implementation progress to the Steering Committee.

93. In performing its roles and responsibilities, the technical team will coordinate with the National PokJa AMPL that have been established at the province and district/city levels.

### **2.8.2.3 Central Program Management Unit (CPMU):**

94. CPMU is located in the Directorate General Cipta Karya. The head of CPMU is appointed by the Directorate General Cipta Karya and reports directly to the Director of Drinking Water Supply Development (minimum of echelon 3 official). The members of CPMU are echelon 4 officials from the Directorate of Drinking Water Supply Development, Directorate of Integrated Infrastructure and Programs, BPPSPAM, and the Center of Groundwater and Water Resources of Directorate General of Water Resources. Roles and responsibilities of CPMU related to safeguards include:

- a) Review and approve safeguards instruments/assessments;
- b) Monitor the overall environmental and social safeguard implementation in accordance with ESMF;
- c) Consolidate project reports and submission to the Bank;
- d) Prepare technical guidance for project implementation.

In performing these roles and responsibilities, CPMU is supported by CMC.

Roles and responsibilities of CPIU related to safeguards include:

- a) Review safeguard instruments/assessment;
- b) Assist in the capacity and institutional development of PPIUs and DPIUs;
- c) Manage procurement of consultants and contractors for project implementation and include environmental and social specifications in the bidding documents and contract for the construction contractor;
- d) Assist in the capacity and institutional development, as well as in ESMF implementation.

In performing these roles and responsibilities, CPIU is supported by CMC and TACT.

#### **2.8.2.4 Provincial Project Implementation Unit (PPIU)**

95. The Working Group for the Provincial SPAM development will become the Provincial Project Implementation Unit (PPIU). PPIU will manage the coordination of project implementation at the provincial level and assist CPMU in overseeing project implementation at the district/city level. PPIU's roles and responsibilities related to safeguards include:

- a) Monitor, supervise and report on the implementation of the ESMF and the required instruments for their respective DPIUs;
- b) Work closely with CPIU and DPIUs for annual coordination (budget, business plan, capacity building plan);
- c) Support CPMU in overseeing project implementation in line with requirements in the ESMF.

In performing these roles and responsibilities, PPIU is supported by RMAC.

#### **2.8.2.5 District Project Implementation Unit (DPIU)**

96. To manage and implement project activities at city/district level, Local Governments participating in NUWS Project will establish a District Project Implementation Unit (DPIU) which consists of members from the Local Government and PDAM. Roles and responsibilities of DPIU include:

- a) Conduct environmental and social screening of subprojects and prepare the safeguard instruments/assessment and mitigation plan in accordance with ESMF.
- b) Record and manage complaints from communities in line with GRM.
- c) Monitor and report the implementation of mitigation plan.
- d) Participate in the safeguard capacity building.
- e) Ensure the bidding documents and construction contracts include the environmental and social specifications.

In performing these roles and responsibilities, DPIU is supported by RMAC (Technical Specialists and Field Assistant Team).

### 2.8.3 Technical Assistance and Project Management Support

97. The Executing Agency and project implementation units will be assisted by the following consultant teams:

- a) **Central Management Consultant (CMC)**. CMC is located in Jakarta and consists of an Advisory Team and a Central Management Consultant. The Advisory Team consists of experts (including a water supply specialist, financial specialist, institutional development specialist, and others can be added or removed as needed) who will help the CPMU and National PokJa AMPL in implementing activities related to strengthening of policies and arranging the implementation of urban water supply development program that is geared towards improvement of NUWAS framework (Component 3). CMC will help CPMU in dissemination of project and NUWAS Framework to Local Governments/PDAMs, assessment and verification of activity proposal submitted by Local Governments/PDAMs, monitoring and evaluation of Local Governments/PDAMs' performance, progress of project implementation and overall project management (part of Component 4);
- b) **Technical Assistance and Capacity Building Team (TACT)** will help CPMU in coordination and implementation of technical assistance and capacity building activities for Local Governments/PDAMs (Component 2). TACT will be based in Jakarta and will work under the coordination of CMC. TACT consists of experts who will help the Centre of Excellence (in the province) in reviewing existing training modules (and provide inputs for improvement if needed) and developing training modules for topics that are not yet available. TACT will also help CPMU to coordinate and collaborate with other TA/CB programs implemented by other donors or institutions. TACT will also help the CoE in conducting monitoring and evaluation of TA/CB activities implementation and the impacts related to the performance of Local Governments/PDAMs. In providing technical assistance to Local Governments/PDAMs, TACT will coordinate with the Regional Management and Advisory Consultants (RMACs).

- c) **Regional Management and Advisory Consultant (RMAC)** will provide support to PPIUs and DPIUs during project implementation period (part of Component 4). There will be 2 RMACs based at the regions. RMAC1 will be based in Jakarta and will be responsible for supporting project implementation in Region 1 (Sumatera, Java and Kalimantan). RMAC2 will be based in Surabaya or Makassar and will be responsible for supporting project implementation in Region 2 (Sulawesi, Bali, NTT-NTB, Maluku and Papua). Each RMAC will have a team of experts/specialists that can provide technical assistance to Local Governments/PDAMs (through coordination with the TACT) and conduct verification of data submitted by Local Governments/PDAMs. Each RMAC will be supported by Provincial Coordinators (PCs) at the province level who will also be supported by the Local Government Support Team (Field Assistants – FA) at the city/district level. PC will help PPIU in conducting monitoring of project implementation, preparation and consolidation of project implementation progress report, monitoring and evaluation including on safeguards. Under the coordination of PC, FA will provide support for Local Governments/PDAMs in conducting self assessment, data collection for reporting, and monitoring/evaluation relate to environmental and social aspects. Each FA consists of one Water Supply Engineer and one Financial Analyst.

CMC, CAC, TACT and RMACs will be hired for the whole project implementation period and procured through multi-year contract mechanism.

## 3.0 GAP ANALYSIS OF INDONESIAN AND WORLD BANK POLICIES

### 3.1 INDONESIAN REGULATIONS

98. Indonesian regulations related to social and environmental aspects are listed in Table 8 below.

**Table 8 Indonesian Regulations Related to Social and Environmental Aspects**

No.	Laws and Regulations	General Theme and Objectives
1.	1945 Constitution (Article Amendment)	Article 18 Paragraph 2 and Article 281 Paragraph 3. The two amendments to the 1945 Constitution and the Agrarian Law (UUPA No.5 /1960) states that the Country recognizes and respects the MHA and its traditional rights as long as they last and are in line with community evolvement and national unity as stipulated in law; the cultural identity and traditional community rights are respected in accordance with the development of civilization. Therefore, the UUPA recognizes the “customary rights” of the MHA.
2.	Law No. 26/2007	Spatial Planning. The objective of spatial planning is to regulate the use of land, sea, and air and all that is contained in the world as a whole for the livelihood of mankind and wildlife. The basic principle of spatial planning is sustainable utilization of natural resources for welfare. This is achieved through: (i) harmonization of the natural and man-made environment; (ii) integration of nature and human resource needs; and (iii) protection of spatial features and prevention of negative impact towards the environment from human activities.
3.	Law No. 32/2009	Environment Protection and Management. The objective is to establish a sustainable environment through environmental based planning policies and rational exploitation which includes environmental development, maintenance, restoration, protection, monitoring and management. Environmental protection and management must be planned through the following steps: inventory of environmental aspects to produce data and information on natural resources; conformity to regulations for ecology of a defined area; and establishment of an environmental protection and management plan.
4.	Law No. 2/2012	Land Acquisition for Public Development. This law is applicable for project proponent/developer in the context of development for public purposes. Land acquisition must be conducted through planning in accordance to: <ul style="list-style-type: none"> <li>a. Regional Spatial Plan;</li> <li>b. National/Regional Development Plan;</li> <li>c. Strategic Plan; and</li> <li>d. Work plan of each institution requiring a piece of land</li> </ul> Planning that involves all stakeholders should be based on a feasibility study. The assets affected are compensated properly based on assessment from an independent/licensed appraiser.



No.	Laws and Regulations	General Theme and Objectives
5.	Law No. 23/2014	The Regional/Local Government. Changes in the structure and authority of regional and local governments. The hierarchy of regional government consists of provincial government authority, regency/district authority and local house of representatives. The regional/local government consists of Head of Government, House of Representatives and their team. The provincial government consists of provincial authority and provincial house of representatives, while the regional/local government consists of the district/city authority and district/city house of representatives. Along with the changing structure of regional and local governments, there are also changes in the authority of regional and local governments.
6.	Government Regulation No. 82/2001	Water Quality Management and Water Pollution Management. This government regulation describes management steps and procedure for surface water resources and water allocation for several types of human activities such as drinking water, agriculture, other community needs, and industrial needs. Water quality standards by activity and utilization are described.
7.	Government Regulation No. 26/2008	National Spatial Plan. Policy and strategy used as reference for long-term planning based on land use in national areas. The national spatial plan consists of: (i) guideline for establishment of a long-term development plan; (ii) guideline for establishment of a medium-term development plan; (iii) guideline for land use and management of national area utilization; (iv) criteria to obtain coherence, relevance, and balance between development of each province and alignment between sectors; (v) tool to determine locations for investments; (vi) tool for spatial planning for strategic use of national areas; (vii) tool for spatial planning of province, cities, and districts.
8.	Government Regulation No 43/2008	Groundwater. This regulation describes acquisition, management, and utilization procedure for groundwater resource for all institutions, agencies and companies that use groundwater to fulfill their needs. Utilization of groundwater based on this regulation requires a license with the goal of avoiding potential negative environmental impacts due to uncontrolled groundwater exploitation.
9.	Government Regulation No. 27/2012	<p>Environmental Permit. This regulation describes environmental documents that are required (EIA/AMDAL, UKL-UPL, SPPL) for activities in all sectors. Prior to construction, all activities (those requiring AMDAL or UKL-UPL) must obtain an Environmental Permit from the mayor, regent, governor, or minister based on its scale and scope. This regulation also describes requirements for the proposal of Environmental Permit, the next step after approval of environmental document(s).</p> <p>AMDAL is required for new Water Treatment Installations (IPA) with a capacity of <math>\geq 250</math> liter/second (source of water are springs, rivers, lakes – surface water) or <math>\geq 50</math> liter/second for groundwater (from one or many deep wells with an area of <math>&lt; 10</math> Ha)</p>
10.	Government Regulation No 69/2014	Water Utilization Right. This regulation is the basis for water utilization by all institutions, agencies, companies, and individuals that are responsible for water treatment and distribution activities. This regulation also includes several articles on water utilization license (HGPA) and water treatment license (HGUA), which limits third parties from monopolizing water resources for commercial goals and provides a larger opportunity for the community to utilize water resources



No.	Laws and Regulations	General Theme and Objectives
		through public institutions such as PDAM. The water sources that can be accessed by the public include surface water, groundwater and sea water.
11.	Government Regulation No 121/2015	Water Resource Exploitation. The goal of this regulation is to provide opportunities for individuals or groups to manage available water resources, which can be used for community welfare. This regulation is a guarantee for individuals or groups to have access to water resources to fulfil various needs.
12.	Government Regulation No 122/2015	Water Supply System. The objective of this regulation is to provide drinking water to fulfil the needs of the community so that they can have a healthy, clean and productive life. This regulation is the standard for implementation of management and service quality with affordable prices to fulfil customer needs. This includes individuals/groups or institutions that are listed as water service recipients by the public/private companies and communities.
13.	Presidential Decree No. 148/2015	Land Acquisition for Public Development, Less Than 5 Ha. Land acquisition of less than 5 hectares does not need a designated location and can be done directly between the party that requires the land and the land owner based on valuation from an independent appraiser.
14.	Presidential Decree No. 111/1999	Social Welfare Guidance for Remote Indigenous Peoples (KAT). Provides a definition for KAT and describes the government support required for the welfare of KAT.
15.	Minister of Health Decree No 492/2010	Water Quality Standard. The objective of this regulation is to provide a standard in water utilization, especially types of water use for several needs such as drinking water, water for domestic needs, and water for industry, which are regulated based on the water quality. This is part of the government's active participation in environmental preservation, specifically for water resources.
16.	Minister of the Environment Regulation No 5/2012	Types of Businesses and/or Activities that Require an Environmental Impact Analysis (AMDAL). This regulation stipulates the activities/projects that have the potential to cause damage to the environment, so they are required to go through screening to determine whether they require an Environmental Impact Analysis/EIA (AMDAL) or Environmental Management/Environmental Monitoring Measures (UKL-UPL).
17.	Minister of the Environmental Regulation No. 16/2012	Environmental Document Preparation Guideline. This regulation is a guideline on how to prepare AMDAL, UKL-UPL and SPPL (Statement of Undertaking for Environmental Management and Monitoring) documents.
18.	Minister of the Environment Regulation No. 17/2012	Guideline for Community Involvement in the AMDAL and Environmental Licensing Process. This regulation is a guideline for the implementation of public consultation as part of the AMDAL and UKL-UPL preparation process and requirement for an Environmental Permit.
19.	Minister of the Environment Regulation No 5/2014	Wastewater Standard. This regulation stipulates the limit or level of pollutants and/or amount of pollutants in the waste water that is discharged by business and/or activity.
20.	Minister of Public Work & Housing	Implementation of Water Supply System ( <i>SPAM</i> )

No.	Laws and Regulations	General Theme and Objectives
	No. 27/2016	
21.	Minister of Energy and Mineral Resources Decree No 1451 k/10/MEM/2000	Technical Guideline for Groundwater Management. This regulation contains the technical guideline for exploration and exploitation of groundwater resources and is targeted for those who utilize groundwater for various purposes. This regulation stipulates the licensing procedure on exploration and exploitation of ground water which includes: 1) ground water exploration permit, 2) groundwater drilling permit; 3) water spring exploration permit; 4) ground water extraction permit; 5) water spring extraction permit.

### 3.2 WORLD BANK OPERATIONAL POLICIES

99. The World Bank Operational Policies related to social and environmental management which are triggered by the project are listed in Table 9 below.

**Table 9 World Bank Operational Policies Triggered by the Project**

No.	OP/BP	Operational Policy Objectives
1.	4.01 Environmental Assessment	<p><b>Objective:</b> To ensure the project is environmentally sound and sustainable. Assessment of potential environmental impact is conducted to prevent or minimize environmental impact (through mitigation) or by conducting ecological compensation.</p> <p><b>Triggered:</b> The Project will perform physical activities in the form of rehabilitation, repair and/or development of clean water infrastructures for utilization and optimization of existing systems (for example, distribution system, water pump installation, transmission network, and water treatment facility). These activities have potential to generate social and environmental impacts around sub-projects' locations. In addition, the project also provides technical assistance for feasibility studies preparation which potentially generate social and environmental impacts due to downstream activities.</p>
2.	4.10 Indigenous Peoples (IP)	<p><b>Objective:</b> To ensure that the indigenous peoples: (1) receive social and economic benefit from the Project align with their culture, and (2) is not affected by negative impacts during Project implementation.</p> <p><b>Triggered:</b> Physical activities may be conducted in areas inhabited by IP which can affect their cultural heritage or their assets. In addition, the Project also provides technical assistance for preparation of feasibility studies of downstream activities which may impact the cultural heritage or asset of the IP.</p>
3.	4.11 Physical Cultural Resources	<p><b>Objective:</b> To ensure that physical cultural resources, which consist of archaeological, paleontological, historical, architectural, esthetical objects or other artefacts (including graves), are not affected by negative impacts from the Project.</p> <p><b>Triggered:</b> Physical activities may be conducted in the location of the physical cultural resources. Furthermore, the project also provides technical assistance for feasibility study of downstream activities which can impact the physical cultural resources.</p>
4.	4.12 Involuntary resettlement	<p><b>Objective:</b> To avoid or minimize involuntary resettlement and should this be unavoidable, the project affected person/s is</p>

No.	OP/BP	Operational Policy Objectives
		<p>provided with options of compensation, resettlement assistance and livelihood restoration assistance, at least to the level before the resettlement/land acquisition.</p> <p><b>Triggered:</b> Physical activities may require land acquisition on a small scale (<math>\leq 1</math> ha). Furthermore, the Project also provides technical assistance for feasibility study of downstream activities which potentially require land acquisition and/or cause involuntary resettlement.</p>

Note: OP 4.37 is not triggered as the Project will exclude water source from existing dams (small or large) or dams under construction as described in Appendix 2. The Project will not finance (i) the activities that take water from an existing dam or a dam under construction; (ii) the activities that rely on the performance of an existing dam or dam under construction; (iii) water supply systems that draw directly from a reservoir controlled by an existing dam or a dam under construction; diversion dams or hydraulic structures downstream from an existing dam or dam under construction, where failure of the upstream dam could cause extensive damage to or failure of NUWSP subproject; (iv) water supply projects that will depend on the storage and operation of an existing dam or a DUC for their supply of water and could not function if the dam failed.

Large dams are 15 meters or more in height. Dams that are between 10 and 15 meters in height are treated as large dams if they present special design complexities—for example, an unusually large flood-handling requirement, location in a zone of high seismicity, foundations that are complex and difficult to prepare, or retention of toxic materials. Dams under 10 meters in height are treated as large dams if they are expected to become large dams during the operation of the facility. Small dams are normally less than 15 meters in height. This category includes, for example, farm ponds, local silt retention dams, and low embankment tanks.

### 3.3 GAP ANALYSIS

100. There are several gaps between the Indonesian regulations related to environmental and social aspects and the World Bank operational policies.

101. The gap analysis is shown in Table 10 below.

**Table 10 Summary of Gaps between Indonesian Regulations and World Bank Operational Policies for NUWS Project**

Aspect	World Bank Policy	Indonesian Regulation	Gap	ESMF Role
<b>OP 4.01 Environmental Assessment</b>				
Environmental Assessment	OP 4.01 Paragraph 1 states that projects funded by the World Bank require an environmental assessment.	Minister of Environment Regulation No 5/2012 specifies the requirement for conducting screening and also environmental and social impact assessment (ESIA) in the form of AMDAL ( <i>Analisis Mengenai Dampak Lingkungan</i> ) or UKL-UPL ( <i>Upaya Pengelolaan Lingkungan-Upaya Pemantauan Lingkungan</i> ) documents or letter of statement for undertaking environmental management and monitoring, SPPL ( <i>Surat Pernyataan Pengelolaan Lingkungan</i> ).  Minister of Public Works and Housing Regulation No 27/2016, specifies that SPAM development projects (new development, improvements or expansion) require feasibility studies including a feasibility study on environmental and social aspects.	AMDAL, UKL-UPL and/or SPPL is more based on threshold value while ESIA and EMP are based on magnitude of impact.  The environmental and social aspects that is assessed in the feasibility study does not cover properly environmental and social assessment.	Environmental and social impact assessment for ESIA follows the Bank requirements as described in Appendix 9 for Outline full ESIA and EMP including the modified RPL-RKL and UKL-UPL (complies with Bank requirements); and Appendix 10 for ECOP and the modified SPPL (complies with Bank requirements).  Environmental and social assessments for feasibility studies (for Component 2 b) follows Bank requirements as described in Appendix 5 (Example of TORs for Full/Complete and Simplified Feasibility Study) and Appendix 6 for Social and Environmental Justification.
Environmental Screening	OP 4.01 Paragraph 8 states that a screening process is required to determine the scale/scope of the project	Based on Minister of Environment Regulation No 5/2012, Appendix 1, a screening of potential impacts is conducted to determine the type of environmental documents that will be required (AMDAL/UKL-UPL/SPPL) based on criteria	The screening process does not consider the presence of social impacts due to land acquisition/involuntary	ESMF develops a screening process for sub-project proposals that include identification of potential impact towards

Aspect	World Bank Policy	Indonesian Regulation	Gap	ESMF Role
	and the type of environmental assessment required.	described in the regulation.	resettlement, impact towards indigenous peoples and physical cultural resources.	involuntary resettlement, indigenous peoples, and physical cultural resources. (Appendix 2 and 3 for Subproject Screening)
Capacity of stakeholders in conducting social and environmental assessment, management and monitoring	OP 4.01 Paragraph 13: If stakeholder cannot/does not have the capacity to conduct an assessment and/or management or monitoring of social and environmental impacts, the project must provide the necessary training and capacity building activities.	Minister of Public Works and Housing Regulation No 27/2016 established the need for competence-based education and training on SPAM implementation which includes all stages of SPAM implementation.	No gaps.	ESMF accommodates the need for training on social and environmental aspects.
Public Consultation	OP 4.01 Environmental Assessment	Regulated in the Minister of Environment Regulation No. 17/2012 concerning Guidelines on Community Involvement in the AMDAL and Environment Permitting Process.  Minister of Public Works Regulation No 18/PRT/M/2012 states that public consultation is required to acquire input from stakeholders.	No gaps.	The ESMF accommodates the consultation process which includes the social and environmental document and public consultation concerning ESMF (Appendix 15).
Environmental Permit	OP 4.01 Environmental Assessment	Government Regulation No. 27/2012 on Environmental Permit requires all project proponents to have an Environmental Permit for their activities.	Not regulated in OP 4.01	ESMF follows the related Indonesian Regulation.
<b>OP 4.10 Indigenous Peoples (IP)</b>				
Impact on indigenous peoples	OP 4.10 Indigenous peoples. (i) Identify the presence of indigenous peoples; (ii) recognition of	There are no specific regulations on the management of impacts towards IP. The existing regulations only recognize the presence of IP.	There are gaps. The social and environmental assessment does not accommodate the	The ESMF provides (i) screening that includes the presence of IP based on the List of Indigenous

Aspect	World Bank Policy	Indonesian Regulation	Gap	ESMF Role
	the right to obtain information at the beginning of the sub-project.	There are no regulations that require impact assessment towards IP during feasibility studies for SPAM implementation (Minister of Public Works and Housing Regulation No. 27/2016).	presence of IP and impact towards IP.	Peoples published by the Ministry of Social Affairs in 2010 compiled by the World Bank using EGiMap (Appendix 8) and (ii) impact assessment uses IPP when IP affected from the subproject activity (Appendix 4a)
<b>OP 4.11 Physical Cultural Resources</b>				
Impacts on physical cultural resources	OP 4.11 Physical Cultural Resources. Identify and mitigate potential impact towards physical cultural resources for each sub-project.	Law No. 11/2010 about Cultural Heritage states that cultural heritage needs to be preserved and protected.	No gaps.	The ESMF provides procedure for unexpected discovery of physical cultural resources (Appendix 14)
<b>OP 4.12 Involuntary Resettlement</b>				
Land acquisition and appraisal of assets	OP 4.12 Involuntary Resettlement. Compensation for asset with full replacement cost. Involuntary resettlement must be avoided or minimized as much as possible by considering various alternative options.	<p>Law No. 2/2012 regulates compensation of assets based on the appraisal made by a licensed/independent appraiser in accordance to market prices.</p> <p>The regulation does not stipulate in detail how the resettlement is performed (tend to provide compensation in cash); not regulating the recovery/improvement of income, compensation is provided only to the land/building owner.</p>	<p>No gaps for replacement value of the affected asset..</p> <p>Not specifying compensation for persons who get benefit from the affected land such as encroachers, sharecroppers, renters, squatters and not arranging the requirements for livelihood</p>	<p>The ESMF regulates the asset compensation value based on Indonesian regulation.</p> <p>The ESMF regulates compensation for persons who get benefit from the affected land such as encroachers, sharecroppers, renters, squatters and livelihood restoration program in accordance with conditions</p>

Aspect	World Bank Policy	Indonesian Regulation	Gap	ESMF Role
			restoration program for project affected people.	prior to land acquisition for project affected people (Appendix 11).
<b>Feasibility Study</b>	OP 4.01 Paragraph 1 states that a project funded by the World Bank requires an environmental assessment.	Minister of Public Works Regulation No. 27/PRT/M/2016 Appendix V:		
		Full/comprehensive Feasibility Study: Technical, financial, economic and environmental feasibility study for water supply services for > 10.000 people	No gaps.	ESMF provides procedures for developing the feasibility study and the depth of review integrating Indonesian and World Bank Regulation. (Appendix 5)
		Simplified Feasibility Study: Technical, financial, economic and environmental feasibility study for water supply services for ≤ 10.000 people	No gaps.	ESMF provides procedures for developing the feasibility study and the depth of review integrating Indonesian and World Bank Regulation. (Appendix 5)
		Technical and Cost Justification: The technical and economic assessment for some SPAM improvement activities; do not require social and environmental assessment	There are gaps.	ESMF provides analysis for environmental and social justification. (Appendix 6)



## **4.0 ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)**

### **4.1 POTENTIAL ENVIRONMENTAL AND SOCIAL IMPACT**

102. Based on the description of project components described in Chapter 2, Table 11 below provides a summary of potential impacts that may occur from project components and implementation of impact management. Table 11 shows that Component 1 and Component 2B have the potential to generate environmental and social impacts while Component 2A, 3 and 4 do not have the potential to cause impact. Therefore, the ESMF describes a framework for the management of potential impacts caused by Component 1 and Component 2B.

**Table 11 Potential Environmental and Social Impacts from Project Components**

Component	Activity (based on Readiness Criteria document)	Potential Environmental and Social Impact	Inclusion in ESMF
<b>Component 1</b>			
Investment Support for Urban Water Supply Infrastructure Development	<p>Expansion and optimization of existing water supply infrastructure, which includes:</p> <ul style="list-style-type: none"> <li>▪ Reduction of NRW: installation of main meters, repair/replacement of water meters and piping rehabilitation</li> <li>▪ Energy efficiency: repair/replacement of pumps, installation of inverters, variable speed driver, etc.</li> <li>▪ Development of distribution network and new connections (house connections)</li> <li>▪ Water intake development/improvement</li> <li>▪ Rehabilitation/optimization of Water Treatment Plants</li> </ul>	There are potential environmental and social impacts from construction activities in the field, namely impacts to water quality, erosion and sedimentation, air quality, sound pollution, traffic/mobility/access, impacts caused by land acquisition, impacts towards indigenous peoples and physical cultural resources	Initial screening of sub-project activity proposal and environmental and social management
<b>Component 2</b>			
2A: Training and Capacity Building	<p>Procurement of TACT consultation services</p> <p>Help strengthening/improving existing training modules and conduct the training activity:</p> <ul style="list-style-type: none"> <li>▪ Reduction of NRW for the Local Government/PDAM.</li> <li>▪ PDAM financial management.</li> <li>▪ Energy efficiency</li> <li>▪ Development of a Geographic</li> </ul>	No environmental impact	Not required

Component	Activity (based on Readiness Criteria document)	Potential Environmental and Social Impact	Inclusion in ESMF
	<p>Information System (GIS).</p> <p>Development of new training modules and conducting training:</p> <ul style="list-style-type: none"> <li>▪ Integrated Urban Water Management</li> <li>▪ Water Safety Plan</li> <li>▪ PDAM/SPAM Implementer reformation</li> <li>▪ Competence-based human resource development</li> <li>▪ PAM utility funding</li> <li>▪ Community involvement and services for the MBR</li> </ul>	<p>There are no direct environmental impacts but the training material is provided with general information on potential environmental and social impacts from SPAM activities SPAM (for example: potential water and soil pollution from chemicals used, etc.) referring to ESMF</p>	<p>Not required</p>
<p>2B (b): Technical Assistance (TA)</p>	<p>Technical assistance to increase access to funding, improve performance and help prepare project proposal documents (feasibility study).</p>	<p>The feasibility study includes potential environmental and social impacts from downstream activities.</p>	<p>Initial screening to determine the details of environmental and social impacts (full feasibility study, simplified feasibility study or technical, cost, environmental and social justification).</p> <p>The feasibility study funded by component 2B has the potential to generate impacts from downstream activities, therefore the Interim Guidelines on the Application of Safeguard Policies to Technical Assistance (TA) Activities in Bank-Financed Projects and Trust Funds Administered by the Bank (January 2014) is applicable.</p>

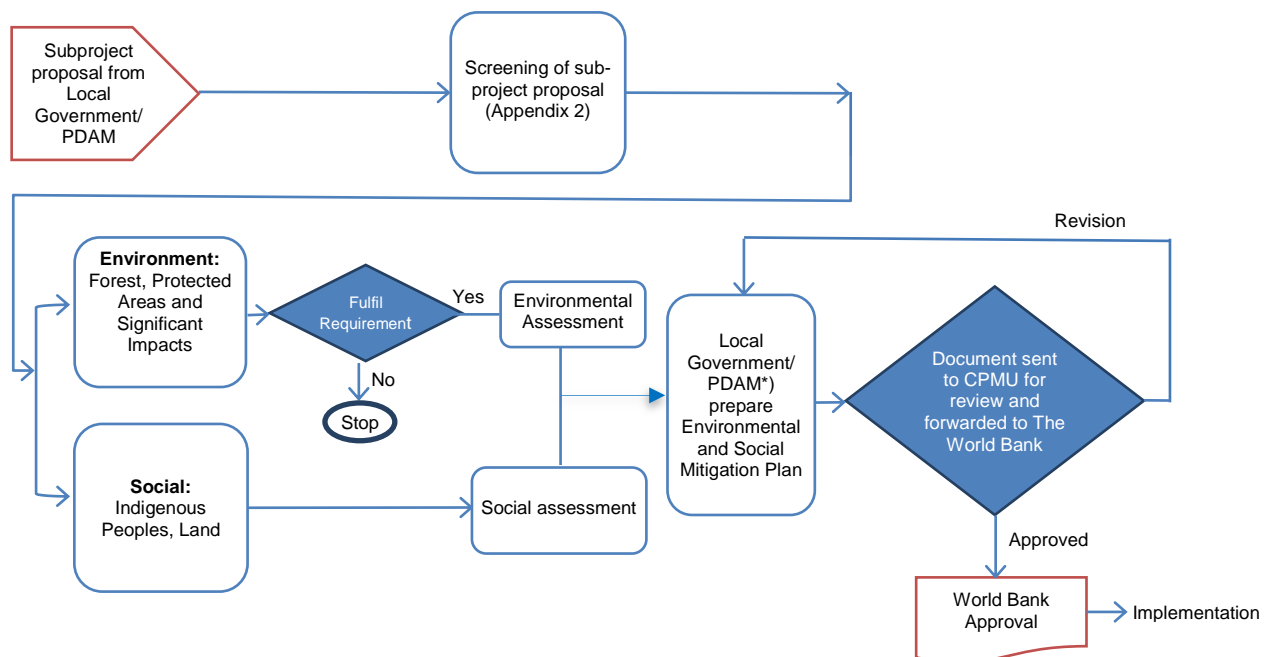
<b>Component</b>	<b>Activity (based on Readiness Criteria document)</b>	<b>Potential Environmental and Social Impact</b>	<b>Inclusion in ESMF</b>
<b>Component 3</b> Advisory and Policy Development Support for the Central Government	Advisory support for PokJa AMPL and CPMU	No environmental and social impact	Not required
	Development of a web-based integrated monitoring and evaluation system	No direct environmental and social impact, but monitoring and evaluation of environmental and social management performance needs to be routinely included in the monitoring and evaluation system.	The result of monitoring of environmental and social aspects is used for project performance evaluation.
	Strengthening of NUWAS framework	No environmental and social impact	Not required
<b>Component 4</b> Project Implementation & Management Support	Establishment of a consultation team to support project management and implementation both in the central government level (CMC) and the regional level (RMAC that includes Provincial Coordinators and Field Assistants) to help PPIUs.	No environmental and social impact	Not required but the result of monitoring of environmental and social aspects is used for project performance evaluation.

## 4.2 ENVIRONMENTAL AND SOCIAL MANAGEMENT PROCEDURES FOR COMPONENT 1

103. The environmental and social management procedure for Component 1 is illustrated in Figure 3 below.

104. The ESMF also applies fully and thoroughly to activities funded by non-IBRD sources as permitted in Component 1 through Matching Grant. Activities funded by non-IBRD sources (70%) and IBRD (30%) as incentives have the same scope of activities and targets to achieve the objectives of NUWS Project.

**Figure 3 Component 1 Environmental and Social Management Procedure.**



Note: \*) Local Government/PDAM is assisted by Field Assistants (Support Team)

### 4.2.1 Screening

105. All sub-project annual proposals require screening, which is conducted by the Local Governments/PDAMs themselves, before submission to CPMU. The infrastructures development that will be funded by Component 1 is limited to (i) reduction of NRW and leakages; (ii) energy efficiency; (iii) installation of distribution network and new house connections; (iv) water intake development/improvement; (v) rehabilitation/optimization of water treatment plants. The scale of subproject activities is relatively small and there is no impact that is unprecedented, sensitive, diverse or complex. Also no cumulative impact is expected and the impact can be managed locally using existing environmental and social mitigation plan. Therefore, Component 1 subproject activities do not have the potential to cause significant and important environmental and social impacts. As such, the activities of subproject Component 1 is not mandatory for full ESIA/AMDAL and full LARAP.

## 4.2.2 Environmental and Social Management Framework

106. The objective of the environmental screening is to ensure that subproject activities fulfill all environmental requirements (see Figure 3 and Appendix 2). Social screening is conducted if the results of environmental screening has fulfilled all requirements. The objectives of social screening are to (i) identify if the land that will be used is already owned by the Local Government/PDAM or if land acquisition is required; (ii) identify the presence of Indigenous Peoples (IP) in the proposed subproject location.

107. If the result of environmental screening fulfills all requirements, the process is moved forward with environmental assessment which can be completed with preparing environmental mitigation plans. Social screening is followed by a social assessment if the Local Government/PDAM requires a piece of land and/or if the presence of IP in the proposed sub-project location.

108. Environmental Assessment. Subsequently, DPIU is required to carry out environmental assesment which is materially consistent with the objective to manage potential environmental and social impacts commensurate to the scale and nature of the sub-project. DPIU will identify, manage and mitigate environmental and social impacts based on the magnitude and nature of potential impacts (see Appendix 9 and 10 for Component 1, Appendix 5 and 6 for Component 2).

109. Social assessment for land requirements. Based on the screening result relates to the need of land, DPIU conducts a social assessment by using LARAP form if the subproject needs to buy land (see Appendix 4a); or by using tracer study form if the required land has been purchased by LG/PDAM one year before the Loan Effectiveness (see Appendix 4a).

Conditions	Safeguard Instruments
If there is involuntary land acquisition and/or resettlement, but not yet implemented.	LARAP (Abbreviated LARAP)
If land acquisition and/or resettlement has been completed one year before the Loan Effectiveness	A Report on the Land Acquisition and/or Resettlement or a Tracer Study completed Corrective Action Plan if there is a gap with the requirements in LARPF
If land acquisition and/or resettlement has been completed more than one year before the Loan Effectiveness.	Copy of land ownership right (e.g. the land certificate or the receipt of sale and purchase of land)

110. Social assessment for IP. If the screening shows the presence of Indigenous Peoples (IP) in the proposed subproject location, DPIU conducts a social assessment to evaluate the subproject's potential positive and adverse effects on the IPs, and to examine subproject alterntatives where adverse effects may be significant. The assessment should generate the necessary baseline information on the demographic, social cultural and political characteristics of the affected IPs communities as well as the land and territories that they have tradionally owned or customarily used or occupied and the natural resources on which they depend. Potential adverse and positives effects of the subproject will be identified through free, prior, informed consultation with the affected IP communities. In assessing

these impacts, the IPs will be engaged in a participatory mapping activity through a free, prior, informed consultation to identify subproject location and potential impacts. In effect, the assessment should in the end identify and recommend the necessary measures to avoid adverse effects and enhancement or maximizations of positive impacts. If avoidance is not possible, mitigation activities or alternatives will have to be mutually developed with IP communities through meaningful free, prior, informed consultation, to ensure that IPs receive culturally appropriate benefits under the subproject. Suggested outline of Social Assessment to develop IPP presented in Appendix 4b.

Matrix for identifying applicable safeguards instrument for IP

Trigger	Safeguard instrument
IP may form a portion of the beneficiaries/persons affected	An IPP based on a social assessment
The subproject does not impact the IP	N/A

### 4.2.3 Approval

111. If the subproject requires environmental mitigation plans, approval for the document follows Indonesian regulations which is conducted at the province or district/city level where the sub-project is located. Approval of the UKL-UPL document is followed by the environmental permitting process for the subproject. The modified UKL-UPL framework acceptable to the World Bank Policies is provided in Appendix 9.

112. If the subproject requires an ECOP/SPPL (Statement of Undertaking for Environmental Management and Monitoring), the modified SPPL is submitted to the authorized environmental agency in the subproject location to acquire the SPPL submission receipt. The modified SPPL format acceptable to the World Bank Policies is provided in Appendix 10.

113. The modified UKL-UPL (and environmental permit) or SPPL (and SPPL submission receipt acknowledgement from the local environmental agency) documents, Abbreviated LARAP and IPP prepared by DPIU that have been reviewed by CPIU, are delivered to CPMU for approval and subsequently to be forwarded to the World Bank for approval.

114. All construction projects can be carried out only if the environmental and social mitigation plans, including environmental permits, have been completed and acceptable by CPMU and World Bank.



### 4.3 ENVIRONMENTAL AND SOCIAL MANAGEMENT PROCEDURES FOR COMPONENT 2B

115. Component 2B will provide technical assistance for Local Governments/PDAMs for:

- a) Technical Assistance for improvement of operational and financial performance. NUWS Project will provide technical assistance for PDAMs to develop programs for specific activities such as leakage reduction (Non-Revenue Water/NRW reduction and management), energy efficiency, financial analysis and management, etc., based on proposals from Local Governments and PDAMs. Through this technical assistance, Local Governments and PDAMs can also be assisted in the preparation of terms of reference for subproject, procurement of consultant services/contractors depending on the need, contracts preparation, implementation support, etc.

**The ESMF does not manage this subcomponent's scope of work because it does not generate environmental and social impacts.**

- b) Technical Assistance for preparation of investment project proposals. Through this component, eligible Local Governments and PDAMs will get support in identification and preparation of investment projects that are required to expand the services and improve PDAMs' performance, as well as support in preparation of project proposals and feasibility studies. Eligible Local Governments and PDAMs will also be assisted to identify the suitable funding sources including from domestic non-government financing, and will be facilitated to access those funding sources.

**The ESMF only guides the development of the feasibility study including the requirements to incorporate environmental and social recommendations from the feasibility study into the engineering design and bid documents. Component 2B (b) does not provide funding for the implementation of the feasibility study results nor does it fund the construction work.**

116. The feasibility study for activities under Component 2B does not directly extract any water resources from a reservoir and/or dam; all water sources come from surface/river water. There are no complex/ sensitive/diverse/unprecedented environmental impacts. No cumulative impact is expected and all impacts can be managed using practices from existing environmental and social management systems in Indonesia. Nevertheless, all technical assistance funded by the World Bank must refer to the Interim Guidelines on the Application of Safeguard Policies to Technical Assistance (TA) Activities in Bank-Financed Projects and Trust Funds Administered by the Bank (January 2014). There are 4 (four) types of technical assistance as follows:

- Type 1: Client capacity building.

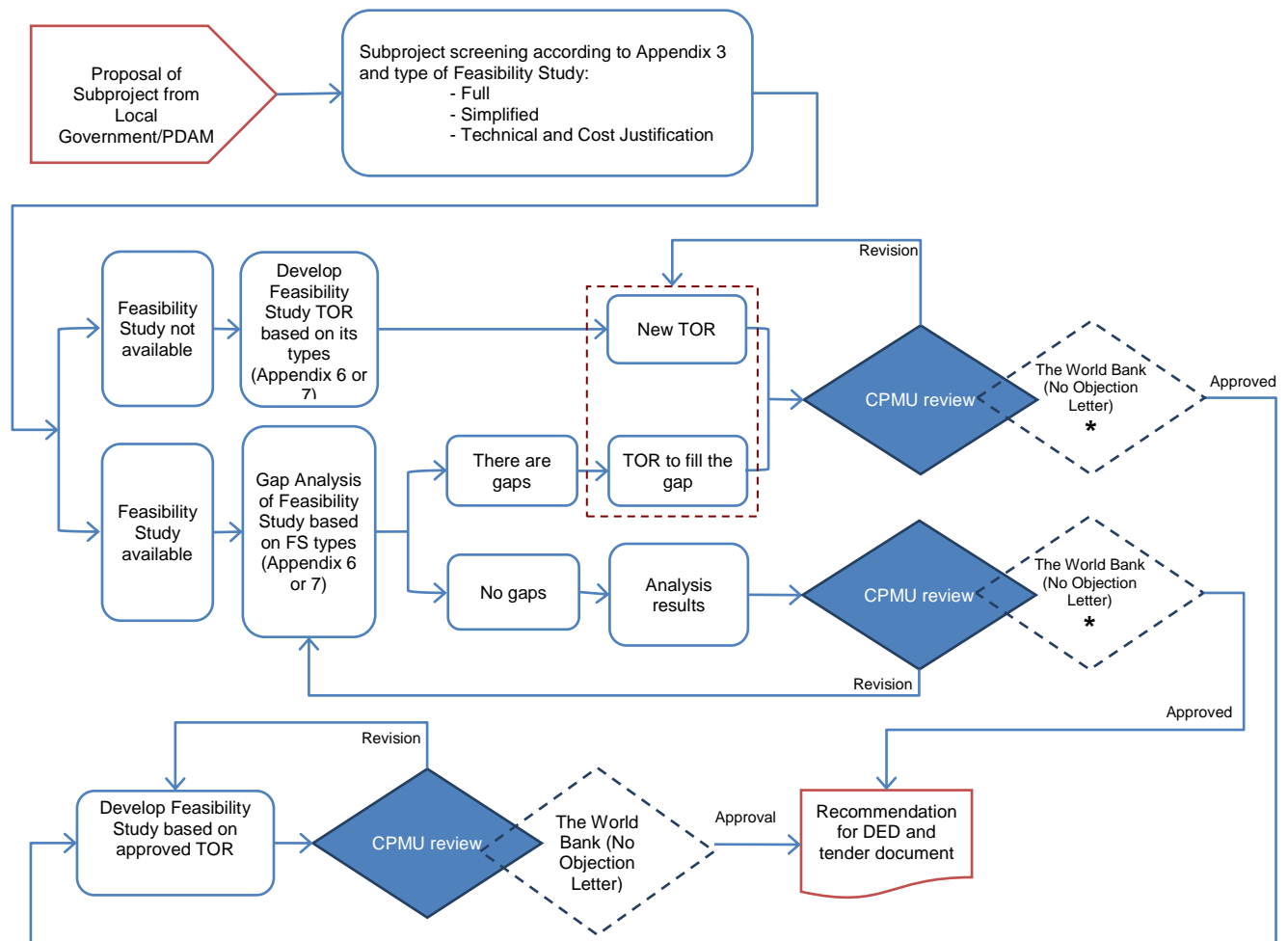
- Type 2: Assistance for assessment of policy, program, plan, strategy or legal framework.
- Type 3: Land use and natural resources plan.
- Type 4: Preparation of feasibility study, engineering design or other activities directly related to the upcoming investment project preparation – either funded or not funded by the World Bank.

117. Activities under Component 2B (a) focus on technical assistance to improve the operation and financial performance. The main objective of this activity is for reduction of NRW, energy efficiency, and creditworthiness assessment based on the proposal. Activities (a) are categorized as Type 1 which does not require any instruments to manage environmental or social impacts.

118. For Component 2B (b), the project only funds the feasibility study that may be followed by infrastructure development which consists of: new water treatment plants, transmission network, water intake, distribution network, house connections, and others that are not funded by the Project. Based on the above analysis, activities in Component 2B (b) are categorized as Type 4. The downstream activities potentially generate environmental and social impacts that might occur directly or indirectly as a result of the induction of subproject activities.

119. The feasibility study preparation procedure for Component 2B (b) is illustrated in Figure 4 below.

**Figure 4 Component 2B (b) Feasibility Study Preparation Procedure.**



\* IBRD loan is provided up to the development of the Feasibility Study

### 4.3.1 Screening

120. All new investment proposals that require technical assistance must go through environmental and social screening process to determine the depth of required assessment. The screening process should be used to (i) screen potential environment and social impacts of the subprojects; (ii) identify which Bank policies are triggered based on screening of potential impacts; (iii) determine environment category of the subprojects; and, (iv) identify the specific safeguard instruments to be prepared based upon potential impacts and environment category (please refer to Appendix 3).

121. Subsequently, the Local Governments/PDAMs perform assessment whether the new feasibility study or the existing study is already in line with the ESMF. If Local Governments/PDAMs has not developed a feasibility study, they should prepare terms of reference (TOR) for the feasibility study depending on the type, with reference to the ESMF. The TOR will be submitted to CPMU for review and forwarded to the World Bank to obtain no objection letter.

122. If feasibility study is already available, Local Governments/PDAMs (DPIU) need to examine whether the content of the study already accommodates requirements outlined in Appendix 5 or 6. Should there be any gap, the gaps should be translated in the form of TOR to improve the available feasibility study. The TOR will be submitted to CPMU for review and forwarded to the World Bank to obtain the no objection letter stated that TOR meets the ESMF requirements.

123. If the available feasibility study already meets ESMF requirements, Local Governments/PDAMs should attach the results of the analysis demonstrating that the required aspects in Appendix 5 or 6 has already been accommodated in the available feasibility study. The attachment of analysis results and feasibility study document are sent to CPMU for review and forwarded to the World Bank to obtain no objection letter that the feasibility study meets the ESMF requirements.

124. TOR for the feasibility study that has been approved by CPMU and the World Bank is the reference for the consultants who will work on a new feasibility study or the revision for improving the existing feasibility study. After the feasibility study is compiled, it will be sent to CPMU and the World Bank to obtain letter of no objection from the World Bank. Subsequently, the results of the feasibility study will serve as the recommendations to be incorporated in the engineering design and bid documents, including the required social and environmental documents.

125. If the analysis of the existing feasibility study is approved by CPMU and the World Bank, Local Governments/PDAMs prepare DED document and bidding documents, including environmental and social documents that are recommended by the feasibility study results.

### **4.3.2 Environmental and Social Framework**

126. The feasibility study results must include the TOR for environmental documents (ESIA or EMP or ECOP) and social document (LARAP and/or IPP) for further preparation. Guidance on the preparation for ESIA and EMP (including the modified RKL-RPL and UKL-UPL) is provided in Appendix 9 and ECOP including the modified SPPL in Appendix 10, while guidance for Land Acquisition and Resettlement Policy Framework (LARPF) is provided in Appendix 11 and Indigenous Peoples Policy Framework (IPPF) is provided in Appendix 12.

### **4.3.3 Approval**

127. The feasibility study TOR and feasibility study documents funded by Component 2B must be sent by the Local Government/PDAM to the CPMU for review and further approval (no objection letter) from the World Bank.

## 5.0 GRIEVANCE REDRESS MECHANISM

128. The Project provides a grievance redress mechanism for stakeholders or the communities who want to express their grievances/complaints during project implementation, including complaints related to environmental and social aspects. All complaints/grievances can be reported directly in all levels including the city/district, province and central government levels. In the district/city level, complaints can be sent to DPIU or directly to PDAM customer service unit. In the province level, complaints can be sent to PPIU and in the central government level, they can be sent to CPMU. Without exception, all complaints/grievances will be logged, verified and handled by the project through the Local Governments/PDAM, PPIU, or CPMU within no more than 14 (fourteen) working days.

129. Grievances/complaints can be sent in writing or verbally, either by visiting the offices of Local Governments/PDAM/PPIU/CPMU, through sms/text messages, WA (WhatsApp), email, or the available website.

130. The objective of grievance redress mechanism is to ensure that all views/complaints/grievances from individuals or groups involved or affected by the Project will be heard, accepted and handled in timely manner.

131. All grievances/complaints and their solutions should be well documented by each complaint handling unit in the district/city/province/central level and will be routinely reported as part of the project implementation report.

132. All grievances/complaints will be handled as much as possible by Local Governments/PDAMs. However, if there are complaints/grievances related to policies that cannot be handled by Local Governments/PDAMs, they can be forwarded to a higher level, namely PPIU (province) and CPMU (central government).

## **6.0 MONITORING, EVALUATION AND REPORTING**

133. The regular project progress monitoring at the city/district, including the environmental and social management, is the responsibility of PPIU and DPIU with assistance from Provincial Coordinator and Local Government Field Assistants. The result of monitoring is used as a basis for project implementation reports (quarterly, annually, mid-term and at the end of the Project) which includes evaluation and corrective actions for improvement.

134. CPMU routinely consolidates all reports from PPIU and DPIU as a project report to be submitted to the Steering Committee (Pokja AMPL) and the World Bank.

135. Project monitoring, evaluation and reporting starts in 2017 until the end of the Project (2021).

## 7.0 TRAINING

136. There will be several trainings for environmental and social management, specifically for topics in the ESMF, to improve the capacity and understanding of all project implementation units and consultants that are involved. The types of trainings required by each target group for Component 1 and Component 2B are presented in Table 12 below.

137. The safeguard training will be started with ESMF Socialization as part of the Project Launching Workshop.

138. The ESMF Socialization will cover, at the minimum, the environment and social screening, introduction of various instruments, safeguard supervision and monitoring, and Grievance Redress Mechanisms.

139. The Environmental and Social Assessment Training will cover in more detail various safeguard instruments and mitigation plan to manage potential environmental and social impacts commensurate to the scale and nature of the sub-project.

**Table 12 Types of Training and Target Group.**

No	Target Group	ESMF Socialization	Type of Training	
			Environmental & Social Assessment (Component 1)	Feasibility Study (Component 2B (b))
<b>A. Central Government Level</b>				
1.	CPMU	√	√	√
2.	CPIU	√		
3.	CMC	√	√	√
<b>B. Provincial Level</b>				
1.	PPIU	√	√	√
2.	RMAC (including PC and FA)	√	√	√
3.	TACT	√	√	√
<b>C District/City Level</b>				
1.	Local Government/DPIU	√	√	√
2.	PDAM/DPIU	√	√	√



## 8.0 TRAINING COST

140. In principle, the costs for environmental and social management training will be provided by the project. The estimated cost of the training is around USD 190,000 and the detail is presented in Table 13 below.

**Table 13 Estimation of Training Cost**

Activity	Estimated Cost (USD)	Source of Financing
ESMF Socialization/Dissemination (screening, preparation of environmental/social documents, monitoring and reporting, and grievances redress mechanism)	150,000	Project
Environmental & Social Assessment (Component 1)	20,000	Project (World Bank Office Jakarta can serve as a resource person in the training)
Feasibility Study (Component 2B)	20,000	Project (World Bank Office Jakarta can serve as a resource person in the training)

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## **APPENDICES**

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**Appendix 1**

**Priority List of 40 Local  
Governments/PDAMs for  
Component 1**

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**APPENDIX 1  
PRIORITY LIST OF 40 LOCAL GOVERNMENTS/  
PDAMS FOR COMPONENT 1**

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## **Appendix 2**

### **Subproject Screening for Component 1**

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ENVIRONMENTAL AND SOCIAL SCREENING CRITERIA	YES OR NO (check ✓)		NUWS PROJECT REQUIREMENT
			with additional activity for Spatial Plan revision (not included in this project).
<p><b>Environmental Assessment</b></p> <p>Identify potential environmental impacts arising from subproject implementation. A significant environmental impact is defined as a diverse and irreversible change in environmental quality that is detrimental to humans and other living things such as air, soil, and water pollution and changes to biodiversity or biota. Land cut and fill, SPAM infrastructure construction, and the development of the piping network have the potential to cause environmental impact in various levels.</p>			
<p>Does the subproject activity have the potential to cause significant, diverse, irreversible, and unprecedented environmental impact so that a new ESIA/AMDAL document needs to be prepared? *)</p> <p>*) The criteria to determine the severity of the impact refers to Appendix I (Minister of Environmental Regulation No. 5/2012)</p>	YES <input type="checkbox"/>	NO <input type="checkbox"/>	<p>If yes (an ESIA/AMDAL is required), the activity does not fulfil requirements for Component 1, considering Component 1 should be simple and not suggested to proceed with ESIA/AMDAL (not included in this Project).</p> <p>If no, determine whether the subproject requires an EMP or ECOP (the modified UKL-UPL or SPPL, and the mitigation plans (See Appendix 9 and 10)</p>
<p>Please describe what are the potential impact from the proposed subproject to air, soil, water and community.</p>			
<p>Please explain in short whether the impacts affect to natural habitat such as river system, lake, mangrove swamps, grass land, wet land, peat land, coastal area, forest, physical cultural resources and its potential magnitude of impacts (severity). Note: the Project will not finance the activities/subproject that cause significant impact as explain above (that will require full environmental and social assessment).</p>			
<p>Please determine what are the appropriate safeguard instruments needed to mitigate and manage the impact, such as partial environmental assessment (EMP or ECOP)</p>			
<p><b>Source of Raw Water</b></p> <p>Determine the type of raw water source to be utilized by subprojects.</p> <p>The Project will exclude water source from existing dams (small or large) or dams under construction. The Project will not finance (i) the activities that take water from an existing dam or a dam under construction; (ii) the activities that rely on the performance of an existing dam or dam under construction; (iii) water supply systems that</p>			

ENVIRONMENTAL AND SOCIAL SCREENING CRITERIA	YES OR NO (check ✓)		NUWS PROJECT REQUIREMENT
<p>draw directly from a reservoir controlled by an existing dam or a dam under construction; diversion dams or hydraulic structures downstream from an existing dam or dam under construction, where failure of the upstream dam could cause extensive damage to or failure of NUWSP subproject; (iv) water supply projects that will depend on the storage and operation of an existing dam or a DUC for their supply of water and could not function if the dam failed.</p> <p>Large dams are 15 meters or more in height. Dams that are between 10 and 15 meters in height are treated as large dams if they present special design complexities—for example, an unusually large flood-handling requirement, location in a zone of high seismicity, foundations that are complex and difficult to prepare, or retention of toxic materials. Dams under 10 meters in height are treated as large dams if they are expected to become large dams during the operation of the facility. Small dams are normally less than 15 meters in height. This category includes, for example, farm ponds, local silt retention dams, and low embankment tanks.</p>			
<p>Is the source of raw water for the subproject coming from a dam or water reservoir as explained above?</p> <p>If not coming from Dam or Water Reservoir, state the source of raw water: .....</p>	<p>YES    <input type="checkbox"/></p>	<p>NO    <input type="checkbox"/></p>	<p>If Yes, the subproject activity does not meet Component 1 requirement.</p>
<p><b>Indigenous Peoples (IP)</b></p> <p>The objective of identifying the presence of IP is to ensure that IP are treated the same as other communities and provided with opportunities to participate and gain access to program benefits in ways that do not threaten the uniqueness of their culture and their welfare. The program must provide accurate and complete information on the activity objectives and plans (design, schedule, etc.) through free, prior and informed consultation with IP before any construction activity is started in the field.</p> <p>Based on Bank Policy OP 4.10, the term “Indigenous peoples” is a general term which describes a sociocultural group with characteristics, in various levels, as follows:</p> <ul style="list-style-type: none"> <li>a) Identify themselves as part of a unique social and cultural group which is also recognized by other parties; and</li> <li>b) Have unique collective relationship with the habitat geographically, by ancestral domain, through seasonal utilization or resident, or through utilization of natural resources in the area; and</li> <li>c) Have unique cultural, economic, social or political institutions which are separated from the general culture or community; and</li> <li>d) Have a unique language or dialect, which is different from the official language or languages of the country or area they live in.</li> </ul> <p>The initial presence of IP refers to the list of IP published by the Social Ministry in 2010 which was compiled by the World Bank.</p>			
<p>Is the proposed subproject location inside a location with a presence of IP based on the list of IP published by the Social Ministry in 2010 by using EGiMap tools (World Bank IPs Screening Study in 2010) and fulfill the a, b, c and d characteristic of IP based on (Appendix 7 of the ESMF)</p>	<p>YES    <input type="checkbox"/></p>	<p>NO    <input type="checkbox"/></p>	<p>If yes, conduct a social assessment by using IPP form (Appendix 4b)</p>
<p><b>Land Acquisition</b></p> <p>The development of distribution/piping network may require land acquisition. Non-land asset or socio-economic activities (e.g plantation, rice field, shop, kiosk) may potentially be temporarily or permanently impacted by the land acquisition. Compensation for assets’ value and economic losses are calculated in accordance with the results based on the assessment by licensed independent appraiser.</p>			



ENVIRONMENTAL AND SOCIAL SCREENING CRITERIA	YES OR NO (check ✓)		NUWS PROJECT REQUIREMENT
Does the subproject need land acquisition?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	<p>If yes, conduct a social assessment by using Abbreviated LARAP form (Appendix 4a)</p> <p>If no, because:</p> <ol style="list-style-type: none"> <li>1) the land is already owned by Local Government/PDAM) more than one year before Loan Effectiveness, then attach the copy of legal land ownership (e.g buying receipt, land certificate) along with this screening results.</li> <li>2) the land is purchased by LG/PDAM one year before Loan Effectiveness, then conduct a simple social assessment by filling out the tracer study form (see Appendix 4a).</li> </ol>
<p><b>Cultural Heritage</b></p> <p>Cultural heritage are sites that have archaeological, paleontological, historical, architectural, religious (including sacred graves, cultural heritage sites, archaeological objects, paleontological objects and/or other objects with cultural values), esthetical values or other cultural artefacts. Initial information on the potential presence of cultural heritage sites can be obtained through the Cultural Heritage Preservation Office in the province. Identify whether there are any potential impacts on cultural heritage sites in the subproject/project location.</p>			
Are there any indications of cultural heritage sites located in the subproject/project area?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	If yes, (there are indication for sacred cultural heritage sites, have an archaeological, paleontological, historical, architectural value), the activities not fulfil Component 1, considering Component 1 should be simple and not suggested to proceed with additional activities for permitting purpose.

ENVIRONMENTAL AND SOCIAL SCREENING CRITERIA	YES OR NO (check ✓)		NUWS PROJECT REQUIREMENT
			Except for public cemetery that could be anticipated with subproject area boundaries changes. If yes, conduct a simple social assessment by using Abbreviated LARAP (Appendix 4)

This form is filled with full responsibility by the Local Government/PDAM and submitted to CPMU for approval before implementation of physical activities.

Prepared by:

..... (location, date)

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## **Appendix 3**

### **Subproject Screening for Component 2b**

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## APPENDIX 3 SUBPROJECT SCREENING FOR COMPONENT 2b

<b>Province:</b>
<b>District/City:</b>
<b>Feasibility Study Name:</b>

Scope of Screening	Safeguard Policies likely to be triggered by the subproject	Type of Feasibility Study (Full/Simplified/Technical and Cost Justification)
<p>(i) Screen subprojects for potential environment and social impact by completing the following information as appropriate:</p> <ul style="list-style-type: none"> <li>○ Construction of distribution network covering ... ha (hectares) and specify the potential environmental and social impacts (refer Ministry of Environment Regulation PerMen LH 5/2012 and Ministry of Public Work Regulation PerMen PU 10/2008)</li> <li>○ Construction of new transmission pipeline covering ... km (kilometers) and specify the potential environmental and social</li> </ul>	<p>Answer Y for yes or N for no as appropriate:</p> <ul style="list-style-type: none"> <li>○ OP/BP 4.01 Environmental Assessment [Y] [N]</li> <li>○ OP/BP 4.04 Natural Habitat [Y] [N]</li> <li>○ OP/BP 4.09 Pest Management [Y] [N]</li> <li>○ OP/BP 4.10 Indigenous People [Y] [N]</li> <li>○ OP/BP 4.11 Physical Cultural Resources [Y] [N]</li> <li>○ OP/BP 4.12 Involuntary Resettlement [Y] [N]</li> <li>○ OP/BP 4.36 Forest [Y] [N]</li> <li>○ OP/BP 4.37 Safety of Dam [Y] [N]</li> </ul>	<p>Select one:</p> <ul style="list-style-type: none"> <li>○ Full Feasibility Study (refer to Appendix 5), if there are potential negative environmental impacts and significant in magnitude and occurrence, diverse and complex, precedented and sensitive, cumulative impacts.</li> <li>○ Simplified Feasibility Study (refer to Appendix 5), if there are potential negative environmental impacts but they are not significant in magnitude and occurrence, not diverse and complex, not unprecedented and not sensitive, only localized to subproject sites and short term in nature or there are potential negative impacts related to social issues that only localized at the subproject site.</li> <li>○ Technical and Cost including environmental and social Justification (refer to Appendix 6), if the subproject has zero or minor potential negative impacts on the environmental and there are no potential social issues.</li> </ul> <p>If the proposed FS would cause significant environmental and social impacts, the TOR will ensure the inclusion of a capacity building assessment and the requirement to develop specific ToRs to address</p>

Scope of Screening	Safeguard Policies likely to be triggered by the subproject	Type of Feasibility Study (Full/Simplified/Technical and Cost Justification)
<p>impacts (refer Ministry of Environment Regulation PerMen LH 5/2012 and Ministry of Public Work Regulation PerMen PU 10/2008)</p> <ul style="list-style-type: none"> <li>○ Rate of raw water extraction from surface water ..... lt/sec</li> <li>○ Water source: .....</li> <li>○ Construction of new water treatment facility with capacity of ...lt/sec</li> <li>○ Rate of groundwater extraction with capacity of ... lt/sec</li> </ul> <p>(ii) Select one:</p> <ul style="list-style-type: none"> <li>○ Water supply coverage &gt; 10.000 individuals</li> <li>○ Water supply coverage ≤ 10.000 individuals</li> <li>○ Water Supply System (partial SPAM) upgrading activities only</li> </ul>		<p>those aspects (see Appendix 5 &amp; 6).</p>

References:

- World Bank Operational Policies

- Ministry of Public Works Regulation Permen PU No. 27/PRT/M/2016 on the Implementation of Drinking Water Supply System Appendix V
- Ministry of Environment Regulation No. 5/2012 on Type of Business Plan and/or Activities mandatory to have AMDAL.
- Permen PU No. 10/PRT/M/2008 regarding Types of Business Activities requiring UKL-UPL.

This form is filled out as references for developing the Term of References (TOR) for Feasibility Study (Full or Simplified or Technical and Cost Justification). TOR will be submitted to CPMU for review to obtain approval (no objection letter) from the World Bank. TOR for Full and Simplified Feasibility Study are developed in accordance to ESMF Document Appendix 5.

Prepared by:

..... (Place, date)

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**Appendix 4a**

**Abbreviated LARAP, Full LARAP  
and Tracer Study**

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## APPENDIX 4a Abbreviated LARAP

This template is the outline of an Abbreviated LARAP that can be further developed based on field conditions and as per characteristic of the proposed subproject activity.

An Abbreviated LARAP should be prepared for subprojects that affects less than 200 families or in cases where the impacts on the entire displaced population are minor. Impacts are considered minor if the affected people are not physically displaced and less than 20% of their productive assets are lost.

An Abbreviated LARAP covers the following minimum elements:

1. *Description of the project.* General description of the project and identification of the project area.
2. *Potential impacts.* Identification of (i) the subproject component or activities that will require land acquisition; and (ii) the zone of impact of such component or activities.
3. *Census of Project Affected Persons (PAPs) and inventory of affected assets.* The results of the census and the inventory of assets, including (i) a list of PAPs, distinguishing between PAPs with land rights and land users without such rights; and (ii) an inventory of plots and structures affected. The information generated by the census should be summarized in a table (see suggested format in Annexes C1 and C2).
4. *Legal analysis.* Descriptions of legal steps to ensure the effective implementation of land acquisition under the subproject, including, as appropriate, a process for recognizing claims to legal rights to land--including claims that derive from customary law and traditional usage.
5. *Eligibility.* Identification of the PAPs who will be eligible for compensation and explanation of the criteria used to determine eligibility.
6. *Valuation of assets and calculation of compensation for losses.* A description of the procedures that will be followed to determine the form and amount of compensation to be offered to PAPs.
7. *Consultations with persons who lose land and other assets.* A description of the activities carried out to (1) inform PAPs about the impacts of the project and the compensation procedures and options and (2) give the PAPs opportunities to express their concerns.
8. *Organizational responsibilities.* A brief description of the organizational framework for implementing land acquisition.
9. *Implementation schedule.* An implementation schedule covering land acquisition, including target dates for the delivery of compensation. The schedule should indicate



how the land acquisition activities are linked to the implementation of the overall project.

10. *Costs and budget.* Cost estimates for land acquisition for the subproject.

11. *Grievance procedures.* Affordable and accessible procedures for third-party settlement of disputes arising from land acquisition; such grievance mechanisms should take into account the availability of judicial recourse and community and traditional dispute settlement mechanisms.

12. *Monitoring.* Arrangements for monitoring land acquisition activities and the delivery of compensation to PAPs.

Note: the information on the schedule of the implementation of the LARAP and the sources of funding may be summarized in a table (see suggested format below).

*Implementation Schedule and Funding Source*

<b>Activity</b>	<b>Responsible institution</b>	<b>Deadline</b>	<b>Cost (Rp)</b>	<b>Source of Funding</b>
1. Consultation with the people in project area on the project and its potential impacts				
2. Identification of affected people and assets				
3. Deliberation on form and amount of compensation				
4. Payment of compensation				
5. Monitoring and evaluation				

## Contents of a Land Acquisition and Resettlement Action Plan (Full LARAP)

The LARAP covers the elements below, as relevant. When any element is not relevant to project circumstances, it should be noted in the LARAP.

1. Description of the subproject activity.
  - a. Identify the location of the subproject activity, including district/city and province
  - b. Components of the subproject that require land acquisition
2. *Potential impacts*. Identification of (a) the subproject component or activities that will require land acquisition or give rise to resettlement; (b) the zone of impact of such component or activities; (c) the alternatives considered to avoid or minimize resettlement; and (d) the mechanisms established to minimize resettlement, to the extent possible.
3. *Objectives*. The main objectives of the LARAP.
4. *Census of Project Affected Persons (PAPs) and inventory of affected assets*. The results of the census and the inventory of assets, including the following information:
  - list of PAPs, distinguishing between PAPs with land rights and occupants without such rights;
  - inventory of plots and structures affected and including the following information:
    - a) Total size of the plot affected, size of the area to be taken for the subproject, and size of the residual land;
    - b) Status ownership of affected land/building and evidence of ownership;
    - c) Function of affected land/building;
    - d) Building condition (permanent, semi permanent, temporary, etc.)
    - e) Other assets affected (trees, crops, wells, fences, etc.)
  - total number of PAPs and Project Affected Households (PAHs)
  - number of PAHs who must relocate, distinguishing between (1) those who will be able to rebuild their homes within the residual land of lots affected by the subproject and (2) those who will be forced to move to another location; and
  - number of PAHs who will lose more than 20% of their productive assets.

The information above should be summarized in a table (see suggested format in Annexes C1 and C2).

5. Socioeconomic study. Findings of a socioeconomic study covering PAHs that lose more than 20% of their productive assets and/or are forced to move to another location. The socioeconomic study should include the following elements:
  - a description of production systems, labor, and household organization;

- the patterns of social interaction in the affected communities, including social networks and social support systems, and how they will be affected by the subproject;
- information on vulnerable groups or persons as provided for in OP 4.12, para. 8, for whom special provisions may have to be made;
- land tenure and transfer systems, including an inventory of common property natural resources from which people derive their livelihoods and sustenance, non-title-based usufruct systems (including fishing, grazing, or use of forest areas) governed by local recognized land allocation mechanisms, and any issues raised by different tenure systems;
- public infrastructure and social services that will be affected;
- social and cultural characteristics of displaced communities, including a description of formal and informal institutions (e.g., community organizations, ritual groups, non-governmental organizations (NGOs)) that may be relevant to the consultation strategy and to designing and implementing the resettlement activities;
- baseline information on livelihoods (including, as relevant, production levels and income derived from both formal and informal economic activities) and standards of living (including health status) of the displaced population; and
- provisions to update information on the displaced people's livelihoods and standards of living at regular intervals so that the latest information is available at the time of their displacement.

6. *Legal analysis.* The results of an investigation of any legal steps necessary to ensure the effective implementation of land acquisition and resettlement activities under the subproject, including, as appropriate, a process for recognizing claims to legal rights to land--including claims that derive from customary law and traditional usage.

7. *Institutional Framework.* The findings of an analysis of the institutional framework covering:

- the identification of agencies responsible for resettlement activities and NGOs that may have a role in project implementation;
- an assessment of the institutional capacity of such agencies and NGOs; and
- any steps that are proposed to enhance the institutional capacity of agencies and NGOs responsible for resettlement implementation.

8. *Eligibility.* Identification of the PAPs who will be eligible for compensation, resettlement assistance and rehabilitation support and explanation of the criteria used to determine eligibility, including relevant cut-off dates.

9. *Valuation of assets and calculation of compensation for losses.* A description of the procedures that will be followed to determine the form and amount of compensation to be offered to PAPs.

10. *Compensation, resettlement assistance and rehabilitation support.* A description of (1) the compensation packages to be offered to PAPs who lose land and/or other assets, (2) resettlement assistance to be offered to physically displaced persons, and (3) rehabilitation support to persons who lose income sources or livelihoods as a result of land acquisition for the subproject. The compensation packages, combined with other assistance and support offered to each category of PAPs should be sufficient to achieve the objectives of World Bank Operational Policy 4.12 on Involuntary Resettlement (see [OP 4.12, para. 6](#)). The relocation options and other assistance offered to the PAPs should be prepared in consultation with them and should be technically and economically feasible, as well as compatible with the cultural preferences of the PAPs.

11. *Site selection, site preparation, and relocation.* Alternative relocation sites considered and explanation of those selected, covering

- institutional and technical arrangements for identifying and preparing relocation sites, whether rural or urban, for which a combination of productive potential, locational advantages, and other factors is at least comparable to the advantages of the old sites, with an estimate of the time needed to acquire and transfer land and ancillary resources;
- any measures necessary to prevent land speculation or influx of ineligible persons at the selected sites;
- procedures for physical relocation under the subproject, including timetables for site preparation and transfer; and
- legal arrangements for regularizing tenure and transferring titles to resettlers.

12. *Housing, infrastructure, and social services.* Plans to provide (or to finance resettlers' provision of) housing, infrastructure (e.g., water supply, feeder roads), and social services (e.g., schools, health services); plans to ensure comparable services to host populations; any necessary site development, engineering, and architectural designs for these facilities.

13. *Environmental protection and management.* A description of the boundaries of the relocation area; and an assessment of the environmental impacts of the proposed resettlement and measures to mitigate and manage these impacts (coordinated as appropriate with the environmental assessment of the main investment requiring the resettlement).

14. *Community participation.* Involvement of resettlers and host communities:

- a description of the strategy for consultation with and participation of resettlers and hosts in the design and implementation of resettlement activities;
- a summary of the views expressed and how these views were taken into account in preparing the resettlement plan;
- a review of the resettlement alternatives presented and the choices made by displaced persons regarding options available to them, including choices related to forms of compensation and resettlement assistance, to relocating as individuals' families or as parts of preexisting communities or kinship groups, to sustaining existing patterns of group organization, and to retaining access to cultural property (e.g. places of worship, pilgrimage centers, cemeteries);
- institutionalized arrangements by which displaced people can communicate their concerns to project authorities throughout planning and implementation, and measures to ensure that vulnerable groups are adequately represented; and
- measures to mitigate the impact of resettlement on any host communities, including consultations with host communities and local governments, arrangements for prompt tendering of any payment due the hosts for land or other assets provided to resettlers, arrangements for addressing any conflict that may arise between resettlers and host communities; and any measures necessary to augment services (e.g., education, water, health, and production services) in host communities to make them at least comparable to services available to resettlers.

15. *Grievance procedures.* Affordable and accessible procedures for third-party settlement of disputes arising from activities included in the LARAP; such grievance procedures should take into account the availability of judicial recourse and community and traditional dispute settlement mechanisms.

16. *Organizational responsibilities.* The organizational framework for land acquisition and resettlement, including identification of agencies responsible for the implementation of the LARAP, the delivery of resettlement measures and provision of services; arrangements to ensure appropriate coordination between agencies and jurisdictions involved in implementation; and any measures (including technical assistance) needed to strengthen the implementing agencies' capacity to design and carry out resettlement activities; provisions for the transfer to local authorities or resettlers themselves of responsibility for managing facilities and services provided under the project and for transferring other such responsibilities from the resettlement implementing agencies, when appropriate.

17. *Implementation schedule.* An implementation schedule covering all resettlement activities, from preparation through implementation, including target dates for the achievement of expected benefits to resettlers and hosts and terminating the various

forms of assistance. The schedule should indicate how the resettlement activities are linked to the implementation of the overall project.

18. *Costs and budget.* Tables showing itemized cost estimates for all resettlement activities, including allowances for inflation, population growth, and other contingencies; timetables for expenditures; sources of funds; and arrangements for timely flow of funds, and funding for resettlement, if any, in areas outside the jurisdiction of the implementing agencies.

19. *Monitoring and evaluation.* Arrangements for monitoring of land acquisition and resettlement activities by the implementing agency, supplemented by independent monitors as considered appropriate by the Bank, to ensure complete and objective information; performance monitoring indicators to measure inputs, outputs, and outcomes for resettlement activities; involvement of the displaced persons in the monitoring process; submission of monitoring reports to the Bank; evaluation of the impact of resettlement for a reasonable period after all resettlement and related development activities have been completed; using the results of resettlement monitoring to guide subsequent implementation.

Note: the information on the schedule of the implementation of the LARAP and the sources of funding may be summarized in a table.

## Appendix 4a

### TRACER STUDY FORM

*(survey tracer for land acquisition that has occurred)*

#### Eligibility and social economic impacts that occurred

Project: NUWS	Village/Kelurahan:
Activity:	District/city:
PDAM City/District:	Province:
Planned commencement date:	Planned date of completion:

The objective of tracing back the compensation process that has taken place is to assess whether the land acquisition process that occurred in accordance with the eligibility of PAP and the procedures set out in the ESMF.

Briefly describe the land acquisition process that has taken place.

- Methods used eg direct purchase,
- Who determines the value of compensation and what is the value of compensation received by the PAPs. Does the price reflect to the market price?
- Who is involved in the land acquisition process?
- When did the compensation payment took place and how the payment method?

Who are the PAPs prior to the land acquisition process? Note: PAPs are not only limited to the owners of land and/or buildings but also those who rent, cultivate or get benefit from the land such as street vendors or kiosks.

Describe the conditions of PAP before and after the land acquisition process, and socio-economic impacts as result of land acquisition?

What were the options of compensation that were received by the PAPs and what are the aspirations of the PAP ?

Are corrective actions required with regards to the land acquisition process that has been completed based on the ESMF (see eligibility table). If yes, please state the corrective action plan

Activity	When/deadline	Cost & source of funding	Responsibility of

Specify the number and names of all the PAPs that were interviewed (90-100%)

Prepared by PDAM/Local Government .....

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**Appendix 4b**  
**Indigenous People Plan**

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## APPENDIX 4b INDIGENOUS PEOPLE PLAN (IPP)

This template is the outline of an IPP. The form can be further developed based on field conditions and as per characteristics of the proposed subproject activity.

	Content
1. Description of the Subproject	
	Summary description of the subproject activity (cover area boundary, location, type of occupation, area size, area of influence, etc)
2. Summary of Social Assessment	
2.1. Baseline Data on IP	
	<ul style="list-style-type: none"> <li>▪ Baseline information on the demographic, social, cultural and political characteristic of the IPs community, the land and territories traditionally owned or customarily used or occupied and the natural resources that they depend.</li> <li>▪ Identification of key project stakeholders and elaboration of culturally appropriate process for consulting with the IPs at each stage of project cycle.</li> </ul>
2.2. Summary result of the free, prior, and informed consultation with the affected IP'communities that was carried out during subproject activity's preparation and led to broad community support for the subproject activity	
	<ul style="list-style-type: none"> <li>▪ Identification of potential adverse and positive effects of subproject activity of the affected IPs within the subproject's area of influence</li> </ul>
	<ul style="list-style-type: none"> <li>▪ Development of measures necessary to avoid adverse effects or identification of measures to minimize, mitigate, or compensate for such effects and ensure that IPs receive culturally appropriate benefits from the subproject activity.</li> </ul>
	<ul style="list-style-type: none"> <li>▪ Mechanism to prepare and implement the public consultation with the IP (consultation concerning the draft subproject plan, etc as relevant), to include: determination of location and schedule of consultation, information dissemination/invitation, etc.</li> </ul>
	<ul style="list-style-type: none"> <li>▪ Public consultation process</li> </ul>
	<ul style="list-style-type: none"> <li>▪ Result/resolution and mutual agreement obtained during consultation meeting.</li> </ul>
	<ul style="list-style-type: none"> <li>▪ Number and representative of organization/institution presented by participants in the said consultation meeting</li> </ul>
2.3. A framework for ensuring the free, prior, and informed consultation with the affected IPs communities during project implementation	
3. Action Plan (input from the result of the social assessment)	

3.1. Activities for IPs to receive social and economic benefits
3.2. Activities to avoid, minimize, mitigate, or compensate for adverse effects
3.3. Measures to enhance the capacity of the project management
3.4 Consultation with the affected IPs on the draft IPP
4. Cost Estimate and Financing Plan  In form of table containing information about: type of activity, party in charge, timeline/milestones, cost, funding source and remarks.
5. Institutional Arrangement to Implement IPP <ul style="list-style-type: none"> <li>▪ Agencies responsible for managing the implementation of the IPP</li> <li>▪ Agencies responsible for reporting and monitoring on the implementation of the IPP</li> <li>▪ Arrangement for monitoring of the implementation of the IPP by the affected IPs</li> </ul>
6. Grievance Redress Mechanism Accesible to the Affected IPs <ul style="list-style-type: none"> <li>▪ Mechanism for managing grievances as suggested by the results of the social assessment results</li> </ul>
7. Project Monitoring, Evaluation and Reporting of IPP Implementation <ul style="list-style-type: none"> <li>▪ Includes arrangement for free, prior, and informed consultation with the affected IPs</li> <li>▪ Explaining the work plan for monitoring implementation of IPs and reporting mechanism</li> <li>▪ Monitoring on progress implementation of IPP</li> <li>▪ Monitoring on process implementation of IPP</li> <li>▪ Reporting on implementation of (report to whom, which format to use, and deadline for submission of the report)</li> </ul>
Attachment
Attach original or copy of documents as relevant to IPP, for example: <ul style="list-style-type: none"> <li>▪ Information about the subproject activity (map)</li> <li>▪ Table containing baseline data of IPs</li> <li>▪ Minutes of dissemination and consultation meetings</li> <li>▪ Minutes of Agreement on compensation plan (if any) based on the consultations</li> <li>▪ Other relevant documentation</li> </ul>

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## **Appendix 5**

### **Example of Terms of Reference (TOR) for Full and Simplified Feasibility Study (FS)**

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## **APPENDIX 5**

### **EXAMPLE OF TERMS OF REFERENCE (TOR) FOR FULL AND SIMPLIFIED FEASIBILITY STUDY COMPONENT 2B (b)**

#### **1. Background**

The Feasibility Study for Component 2B (b) of NUWS Project refers to the Minister of Public Works and Housing Regulation No. 27/PRT/M/2016 about Water Supply System Implementation. In the regulation, there are three types of Feasibility Studies which include:

- 1) **Full Feasibility Study**, is a feasibility study towards the implementation of a full or partial Water Supply System (SPAM) which has an affect or is affected by financial, economical, technical, and environmental development in the study area and the estimated scope of the service is more than 10,000 people;
- 2) **Simplified Feasibility Study**, is a feasibility study towards the implementation of a full or partial Water Supply System (SPAM) which has an affect or is affected by financial, economical, technical, and environmental development in the study area and the estimated scope of the service is up to 10,000 people; and
- 3) **Technical and Cost Justification**, is a technical and cost feasibility study towards an improvement of part of the SPAM.

#### **2. Objective**

The objective of feasibility study is to understand the level of water supply system feasibility of the proposed development in respective service area from the aspect of technology, environmental, social, economy, institution and financial.

#### **3. Scope of Work**

Scope of work describes the feasibility study scope of work coverage, study location, and environmental socio-economic baseline in the study area.

#### **4. Potential Environmental and Social Impacts**

Guidance to develop Feasibility Study TOR with reference to the relevant World Bank Environmental and Social Guidelines. The table below describes the World Bank Environmental and Social Operational Policies that might be the triggered.

**Table 1 World Bank Operational Policy Reference**

No.	Operational Policy	Scope of Assessment
1.	4.01 – Environmental Assessment	<ul style="list-style-type: none"> <li>▪ Identification of environmental and social risks</li> <li>▪ Relevant stakeholder capacity analysis related to environmental and social management and monitoring</li> <li>▪ Planning and implementing public consultation (as required based on project scale and stages)</li> <li>▪ Provision of baseline data on environmental and social aspect (secondary data, and primary data if available)</li> <li>▪ Water quality, hydrogeology and bulk water ecology system (watershed, spring and ground water)</li> <li>▪ Assessment of water balance, conflict potential that may occurs from water usage competition</li> <li>▪ Recommendation on impact and risk mitigation for further detail impact assessment</li> <li>▪ Summary of project feasibility based on environmental and social aspect</li> </ul>
2.	4.04 – Natural Habitat	<ul style="list-style-type: none"> <li>▪ Feasibility study must be accompanied by project location map that showing land coverage and forest status</li> <li>▪ Natural habitat general condition description (region, habitat quality, biodiversity, region status – protected or non-protected areas) critical natural habitat</li> </ul>
3.	4.36 – Forestry	<ul style="list-style-type: none"> <li>▪ Description of forest condition and status, dominant/primary vegetation, secondary</li> <li>▪ Forest management general activities (private or public)</li> <li>▪ Local community access to the forest resources</li> </ul>
4.	4.11 – Physical Cultural Resources	<ul style="list-style-type: none"> <li>▪ Description on physical cultural resources and historical value which become a part of community identity.</li> <li>▪ General risk assessment to the impact cause by project to the cultural heritage sites, if applicable</li> </ul>
5.	4.12 – Involuntary Resettlement	<ul style="list-style-type: none"> <li>▪ Description of the potential residents affected by the project because of the potential land acquisition or involuntary restriction of access to parks and legally protected areas, which in turn may generate negative impact on the living standards of the residents affected by the project.</li> <li>▪ Identification of resident and project impacted asset.</li> <li>▪ Socio economic impact due to land acquisition/resettlement, e.g income lost.</li> <li>▪ Land acquisition and resettlement plan (LARAP).</li> <li>▪ Process framework action plan.</li> </ul>
6.	4.10 – Indigenous Peoples	<ul style="list-style-type: none"> <li>▪ Description about project impacted IP character (if any) within the project’s influenced boundaries (culture, population, income and other community cultural socio economic)</li> <li>▪ Public consultation and transparent to communities about planned activities.</li> <li>▪ Social Analysis</li> <li>▪ IPP development.</li> <li>▪ If there are potential resettlement impact, need to develop document for LARPF (Land Acquisition and Resettlement</li> </ul>

No.	Operational Policy	Scope of Assessment
		Policy Framework)
7.	4.37 – Dam Safety	<ul style="list-style-type: none"> <li>▪ Provision of environmental baseline data related to the nature of disaster, and land use in dam's surrounding area.</li> <li>▪ Dam project health and safety requirement.</li> <li>▪ Dam safety opinions from panel team consisting of independent experts</li> </ul>
8.	7.50 –International Waters	<ul style="list-style-type: none"> <li>▪ Clear border maps between two countries (rivers, canal, lake)</li> <li>▪ Water use assessment, community access to water and water supply.</li> </ul>
9.	Public Consultation	<ul style="list-style-type: none"> <li>▪ Feasibility study document must be publicly consulted.</li> </ul>
10.	Information disclosure	<ul style="list-style-type: none"> <li>▪ Publication of feasibility study document, e.g. Ministry/Local government/PDAM/Donors' website is a must.</li> </ul>

## 5. General Methodology

The general methodologies for environmental and social study in developing full and simplified feasibility study are as follows:

- Desktop study according to updated data from reliable sources e.g scientific researches and literature studies.
- Field survey for data collection.
- Focus group discussion.
- Discussion with the experts.

In the absent of secondary data, primary data collection must be conducted. Primary data collection designed in such way to fulfill the objective of environmental and social feasibility study.

## 6. Outputs

The expected outputs are integrated environmental and social feasibility study as a part of Full Feasibility Study, Simplified Feasibility Study and Technical and Cost Justification, including:

- Overview of law regulations and the World Bank Operational Policy that relevant for subproject and required permits identification;
- Overview of subproject location in conformity within National and Regional Spatial Plan, Protected Area location, which includes recommendation for land clearance or permitting;
- Action plans for required permitting process including expenses needed and person in charge responsible to develop environmental document (AMDAL or UKL-UPL) in order to get the environmental permits;

- Action plans to comply the World Bank Operational Policy, these could be environmental and social potential impact assesment in an addition to the existing regulations requirement, including mitigation plan. This study must include cost estimation and person in charge responsible for impact mitigation plan;
- Stakeholder mapping summary including level of interest description and subproject authority to ensure transparent public consultation process; and
- Land acquisition study, included land ownership, ownership status/land acquisition document evidence, and the need to conduct resettlement plan activities, which includes mitigation plan and its cost estimation.

## 7. Technical Experts

Technical experts' requirement to conduct environmental and social feasibility study as a part of Full Feasibility Study and Simplified Feasibility Study are as follow:

- Environmental expert, including air quality, water quality and biodiversity (flora & fauna) expert;
- Health and safety expert;
- Socio-cultural expert; and
- Land acquisition expert.

Technical and cost justification that require simple environmental and social study may also require technical experts as stated in the above, depending on the potential environmental and social impacts.

## References

- Notes: Updated map for PIPB please visit the link below <http://appgis.dephut.go.id/appgis/petamoratorium.html>, meanwhile for regional spatial plan maps please visit the Ministry of Public Work's website, <http://sigperda.penataanruang.net/> or <http://rtrwn.penataanruang.net/Atribut.aspx>;
- Interim Guidelines on the Application of Safeguard Policies to Technical Assistance (TA) Activities in Bank-Financed Projects and Trust Funds Administered by the Bank, January 2014.
- The regulation of the Ministry of Environment and Forestry (PerMEN LH) No. 05/2012 stated that AMDAL is mandatory for subproject within and/or directly adjacent to the protected areas, and also subproject which include raw water extraction from surface water (river, lake, dam and spring) with water flow  $\geq$  250 liter/second and groundwater extraction with water flow  $\geq$  50 liter/second from 1 or more wells within area of  $<$  10 Ha. Smaller scale of subproject from AMDAL requirement will require UKL-UPL study.

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**Appendix 6**

**Environmental and  
Social Justification Form for  
Technical and Cost Justification**

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## APPENDIX 6 ENVIRONMENTAL AND SOCIAL JUSTIFICATION FORM FOR TECHNICAL AND COST JUSTIFICATION

(Must be based on Available Information and Literature Study)

<b>Province:</b>
<b>District/City:</b>
<b>Name of Technical and Cost Justification:</b>
<b>Subproject Location (District/Subdistrict/Village):</b>

Does the proposed subproject location:	Yes/No	Description
<b>Environmental Aspect</b>		
1. Located inside or near an environmentally sensitive area (for example: protected forest, mangrove forest, wetlands) or endangered species?		If yes, this location is not feasible technically and economically, and an alternative location should be considered for the subproject proposal.
2. Have the potential for landslides?		If yes, this location is not feasible technically and economically, and an alternative location should be considered for the subproject proposal.
3. Produce or increase the production of solid or liquid waste (construction and operational waste for example: IPA sludge, liquid waste)?		If yes, estimate the volume of the waste produced.
4. Affect the quantity and quality of water (for example: river, groundwater/well, lake, etc.)?		If yes, describe the scale of the impact.
5. Affect landscape with historical, cultural or archaeological values?		If yes, this location is not feasible technically and economically, and an alternative location should be considered for the subproject proposal.
Recommendation for the preparation of the modified UKL-UPL and SPPL refers to the result of the Technical Justification and responses to Environmental Aspect questions number 3 and 4.		
<b>Social Aspect</b>		
1. Require new land?		If yes, state the size of the land area required and continue to the next question.
1.a. The affected land owned by: <ul style="list-style-type: none"> <li>▪ Individual</li> <li>▪ Government/BUMD/BUMN</li> <li>▪ Private sector/company</li> </ul>		If yes, state the number of families/persons affected.

Does the proposed subproject location:	Yes/No	Description
1.b. The affected plant/trees owned by <ul style="list-style-type: none"> <li>• Individual</li> <li>• Government/BUMD/BUMN</li> <li>• Private sector/company</li> </ul>		If yes, state the number, type and age of plants/trees affected.
1. c Loss of income and livelihood as result of land acquisition		If yes, estimate the scale of the impact.
2. Is the location of the subproject activity in a location where indigenous peoples are present?		Use the list of IP published by the Social Ministry, 2010 by using EgiMap tools (World Bank IPs Screening Study in 2010) and 4 characteristic of IP (see Appendix 2 and 7 of the ESMF)
If the answer to Social Aspect questions 1 and/or 2 is yes, it is recommended that an Abbreviated LARAP and IPP be conducted (see Appendix 4 a and b of the ESMF document)		

This form is filled with full responsibility by Local Government/PDAM and submitted to CPMU along with Technical and Cost Justification document in order to get approval (No Objection Letter from the World Bank). Furthermore, environmental and social recommendation must be integrated into technical design and tender document, including required environmental and social document.

Prepared by:

..... (location, date)

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**Appendix 7**

**List of Indigenous Peoples in  
Districts/Cities  
(Ministry of Social Affairs 2010)**

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**APPENDIX 7**  
**LIST OF INDIGENOUS PEOPLES IN DISTRICTS/CITIES**  
**(MINISTRY OF SOCIAL AFFAIRS 2010)**

*Example first page from the list of Indigenous peoples is shown below.*

*The list of Indigenous peoples can be obtained from the Directorate General Cipta Karya website ([www.ciptakarya.go.pu.id](http://www.ciptakarya.go.pu.id))*



Daftar KAT MA  
2008.xls

NO	IP CODE	PROVINCE	DISTRICT	SUB-DISTRICT	VILLAGE	LOCATION	INDIGENEOUS	EMPOWERED STATUS	HABITAT
1	93129	BALI	BANGLI	KINTAMANI	TRUNYAN	ALENGKONG VILLAGE	BALI	NOT YET	Highland
2		BALI	BANGLI	KINTAMANI	SONGAN B	PRADI VILLAGE	BALI	NOT YET	
3	40002	BALI	BANGLI	KINTAMANI	SONGAN B	KENDAL VILLAGE	BALI	NOT YET	Highland
4	10003	BALI	BANGLI	KINTAMANI	SONGAN B	KAYU SELEM VILLAGE	BALI	NOT YET	
5		BALI	BANGLI	KINTAMANI	SONGAN B	BATU MEYEH VILLAGE	BALI	NOT YET	
6	80004	BALI	KARANG ASEM	KUBU	BAN	DARMAJI VILLAGE	BALI	NOT YET	Highland
7	50005	BALI	KARANG ASEM	KUBU	BAN	MANIKAJI VILLAGE	BALI	NOT YET	Highland
8	93129	BALI	BANGLI	KINTAMANI	TRUNYAN	BUNUT	BALI	ON GOING	Highland
9		BALI	BANGLI	KINTAMANI	TRUNYAN	MADYA	BALI	ON GOING	
10	20011	BANGKA BELITUNG	BANGKA	BELINYU	GUNUNG PELAWAN	BINTET	MAPUR	NOT YET	Coastal/ Seashore
11	90012	BANGKA BELITUNG	BANGKA	BELINYU	GUNUNG PELAWAN	PESAREM	MAPUR	NOT YET	Coastal/ Seashore
12	90027	BANGKA BELITUNG	BELITUNG TIMUR	GANTUNG	JANGKAR ASAM	PULAU SEKUNYIT	BUGIS	NOT YET	Coastal/ Seashore

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## **Appendix 8**

# **Grievance Recording and Management**

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## APPENDIX 8 GRIEVANCE RECORDING AND MANAGEMENT

The format for documenting community grievances and an example case is shown below:

No.	Name of Complainant and Communication Tool Used	Date and Time of Report	Content and Scope of Grievance	Follow-up and Communication with Complainant	Party conducting Follow-up	Date of Follow-up	Grievance Status (resolved or not)
1.	<i>Paimin through SMS number 08123456789</i>	<i>28 February 2017 at 11.23 AM</i>	<i>Piping excavation caused the village roads to be wet and slippery. Scope: village road safety</i>	<i>Clean leftover soil from the village road with brooms</i>	<i>Piping/soil excavation contractor through PDAM</i>	<i>1 March 2017</i>	<i>Resolved and informed to the reporter</i>
2.							
3.							
4.							
5.							
6.							
7.							
8.							
9.							
10.							

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## **Appendix 9**

### **Outline ESIA and EMP including Modified RKL-RPL and UKL-UPL Framework (acceptable by the World Bank)**

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## APPENDIX 9

### OUTLINE ESIA AND EMP INCLUDING MODIFIED RKL-RPL AND UKL-UPL FRAMEWORK

1. The ESIA report should include the following items (not necessarily in the order shown):
  - a) Executive summary. Concisely discusses significant findings and recommended actions.
  - b) Policy, legal, and administrative framework. Discusses the policy, legal, and administrative framework within which the EA is carried out. Explains the environmental requirements of any co-financiers. Identifies relevant international environmental agreements to which the country is a party.
  - c) Project description. Concisely describes the proposed project and its geographic, ecological, social, and temporal context, including any offsite investments that may be required (e.g., dedicated pipelines, access roads, power plants, water supply, housing, and raw material and product storage facilities). Indicates the need for any resettlement plan or indigenous peoples development plan (see also subparagraph (h)(v) below). Normally includes a map showing the project site and the project's area of influence.
  - d) Baseline data. Assesses the dimensions of the study area and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences. Also takes into account current and proposed development activities within the project area but not directly connected to the project. Data should be relevant to decisions about project location, design, operation, or mitigation measures. The section indicates the accuracy, reliability, and sources of the data.
  - e) Environmental impacts. Predicts and assesses the project's likely positive and negative impacts, in quantitative terms to the extent possible. Identifies mitigation measures and any residual negative impacts that cannot be mitigated. Explores opportunities for environmental enhancement. Identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions, and specifies topics that do not require further attention.
  - f) Analysis of alternatives. Systematically compares feasible alternatives to the proposed project site, technology, design, and operation--including the "without project" situation--in terms of their potential environmental impacts; the feasibility of mitigating these impacts; their capital and recurrent costs; their suitability under local conditions; and their institutional, training, and monitoring requirements. For each of the alternatives, quantifies the environmental impacts to the extent possible, and attaches economic values where feasible. States the basis for selecting the particular project design



proposed and justifies recommended emission levels and approaches to pollution prevention and abatement.

- g) Environmental management plan (EMP). Covers mitigation measures, monitoring, and institutional strengthening; see outline in OP 4.01, Annex C.
- h) Appendixes
- i) List of EA report preparers--individuals and organizations.
- j) References--written materials both published and unpublished, used in study preparation.
- k) Record of interagency and consultation meetings, including consultations for obtaining the informed views of the affected people and local nongovernmental organizations (NGOs). The record specifies any means other than consultations (e.g., surveys) that were used to obtain the views of affected groups and local NGOs.
- l) Tables presenting the relevant data referred to or summarized in the main text.
- m) List of associated reports (e.g., resettlement plan or indigenous peoples development plan).

## 2. Environmental Management Plan.

A project's environmental management plan (EMP) consists of the set of mitigation, monitoring, and institutional measures to be taken during implementation and operation to eliminate adverse environmental and social impact, offset them, or reduce them to acceptable levels. The plan also includes the actions needed to implement these measures.<sup>2</sup> To prepare a management plan, the borrower and its EA design team (a) identify the set of responses to potentially adverse impact; (b) determine requirements for ensuring that those responses are made effectively and in a timely manner; and (c) describe the means for meeting those requirements.<sup>3</sup> More specifically, the EMP includes the following components.

### a) Mitigation

The EMP identifies feasible cost-effective measures that may reduce potentially significant adverse environmental impact to acceptable levels. The

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<sup>2</sup>The management plan is sometimes known as an "action plan." The EMP may be presented as two or three separate plans covering mitigation, monitoring, and institutional aspects, depending on borrowing country requirements.

<sup>3</sup>For projects involving rehabilitation, upgrading, expansion, or privatization of existing facilities, remediation of existing environmental problems may be more important than mitigation and monitoring of expected impacts. For such projects, the management plan focuses on cost-effective measures to remediate and manage these problems.

plan includes compensatory measures if mitigation measures are not feasible, cost-effective, or sufficient. Specifically, the EMP:

- identifies and summarizes all anticipated significant adverse environmental impacts (including those involving indigenous people or involuntary resettlement);
- describes--with technical details--each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate;
- estimates any potential environmental impact of these measures; and
- Provides linkage with any other mitigation plans (e.g., for involuntary resettlement, indigenous peoples, cultural property or other social impacts such as potential issues of violence against women and children resulting from influx of workers in communities in the subproject area etc.) required for the project.

#### b) Monitoring

Environmental monitoring during project implementation provides information about key environmental aspects of the project, particularly its environmental impact, and the effectiveness of mitigation measures. Such information enables the borrower and the Bank to evaluate the success of mitigation as part of project supervision, and allows corrective action to be taken when needed. Therefore, the EMP identifies monitoring objectives and specifies the type of monitoring, with linkages to the impact assessed in the EA report and the mitigation measures described in the EMP. Specifically, the monitoring section of the EMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.

#### c) Capacity Development and Training

To support timely and effective implementation of environmental project components and mitigation measures, the EMP draws on the EA's assessment of the existence, role, and capability of environmental units on site or at the regency, provincial or central level. If necessary, the EMP recommends the establishment or expansion of such units, and the training of staff, to allow implementation of EA recommendations. Specifically, the EMP provides a specific description of institutional arrangements - who is responsible for carrying out the mitigation and monitoring measures (e.g., for

operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training). To strengthen environmental management capability in the agencies responsible for implementation, most EMPs cover one or more of the following additional topics: (a) technical assistance programs, (b) procurement of equipment and supplies, and (c) organizational changes.

d) Implementation Schedule and Cost Estimates

For all three aspects (mitigation, monitoring, and capacity development), the EMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the EMP. These figures are also integrated into the total project cost tables.

## Modified TOR, ANDAL, RKL-RPL and UKL-UPL

### 1. Legal Basis for the Preparation of Environmental Documents (AMDAL/UKL-UPL)

The following regulations are main references, criteria and requirement for environmental document to prepare environmental document (AMDAL/UKL-UPL) for Component 2B (b) Feasibility Study:

- Government Regulation No. 27/2012 on Environmental License;
- Minister of the Environment Decree No. 05/2012 on Types of Businesses and/or Activities that Require an Environmental Impact Analysis (EIA);
- Minister of the Environment Decree No. 16/2012 on Guidelines for the Preparation of Environmental Documents;
- Minister of the Environment Decree No. 17/2012 on Guidelines for Community Involvement in the Environmental Impact Analysis and Environmental Licensing Process (this includes the disclosure of information for the Environmental Impact Analysis);
- Minister of Public Works and Housing Decree No. 10/PRT/M/2008 on the Types of Businesses and/or Activities in the Public Works Sector that Require Environmental Management Efforts and Environmental Monitoring Efforts; and
- Minister of the Environment Decree No. 07/2010 on Certification of EIA Document Composer and Requirements for EIA Document Preparation Training Institutions.

### 2. Environmental Impact Assessment (AMDAL) Document Framework according to Minister of Environment Decree No. 16 year 2012

The ESIA Document consists of (article 4 Minister of the Environment Decree No. 16 Year 2012):

- a. TOR (Term of Reference);
- b. ANDAL; and
- c. RKL-RPL (Environmental Management Plan – Environmental Monitoring Plan

#### The Reference Framework contains:

- d. Introduction: background and objective of the business plan and/or activity and the ESIA study implementation.
- e. Scope: Description of the business and/or activity that will be analyzed which consists of the ESIA study status, conformity of the planned activity location with the regional spatial plan, and a description of the business

plan with a focus on activity components that have the potential to cause environmental impact based on the activity plan and its alternatives.

- f. Study Method: description of the data collection and analysis method that will be used, the method for forecasting significant impacts that will be used, and the holistic method to evaluate environmental impact;
- g. Bibliography: In the bibliography section, the author lists the literature or references that were used to write the TOR document. Use (citing) of references must follow widely known academic etiquettes; and
- h. Appendix: formal proof of principle approval, certification of EIA composer competence, proof of registration for document preparation services (LPJP), letter of ESIA study implementation team formation, biodata of ESIA preparation team personnel, statement letter signed on a stamp which states that the ESIA team member was actually the one preparing the document, other information on activity plans, formal proof that the activity plan conforms with the regional spatial plan, data and information on environmental baselines; proof of ESIA announcement, community involvement results (result of public consultation, discussions with stakeholders, and the result of data analysis of public consultation results), and other data that are considered important.

**Example of summary table for the scoping process**

No.	Description of Planned Activity with the Potential to Cause Environmental Impact	Environmental Management Efforts that have been Planned as part of the Activity Plan	Impacted Environmental Component	Scope			Study Area	Study Time Period (justify why this time period was chosen)
				Potential Impact	Evaluation of Potential Impact	Hypothetical Significant Impact (DPH)		
<b>Pre-construction Stage</b>								
<b>Construction Stage</b>								
<b>Operational Stage</b>								
<b>Post-operation Stage</b>								

**Example study method summary table**

No.	DPH	Impact Forecasting Method	Relevant data and information	Data collection method for forecasting	Data analysis method for forecasting	Evaluation method (not for individual impact but for overall impact)

**ANDAL consists of:**

- a. Introduction: summary of the business and/or activity plan, hypothetical significant impact, limits of study area and study time limit based on scoping in the terms of reference (including any available alternatives);
- b. Detailed description of the initial environmental setting: contains a description of the environmental setting in detail at the proposed business and/or activity location which consists of: environmental components affected by significant impact caused by proposed activities, businesses and/or activities around the proposed activity location;
- c. Hypothetical significant impact: produce information on the scale and characteristic of significant impact for each hypothetical significant impact that was studied;
- d. Holistic evaluation of environmental impact: describe the result of evaluation of the relationship and interaction between hypothetical significant impacts to determine the characteristic of the total environmental impact caused by the proposed business and/or activity;
- e. Bibliography: important data and information which must be supported by updated literature which is listed in a bibliography using standard bibliographical format; and
- f. Appendix: Terms of Reference Agreement or Terms of Reference Administrative Completeness Statement, detailed data and information on the environmental setting (tables, graphs, and photos of the environment if needed), summary of basic theories, assumptions, procedures, processes, and calculations used to forecast impact, summary of theories, assumptions, procedures, processes, and calculations used to holistically evaluate environmental impact, other relevant data and information.

### Example of impact analysis summary table

No.	DPH	Initial Environmental Setting	Impact Forecasting Result	Impact Evaluation Result
Pre-construction Stage				
Construction Stage				
Operation Stage				
Post-operation Stage				



## **RKL – RPL consist of:**

- a. Introduction: RKL-RPL implementation objective in general and clear statement. This statement must be systematically, simple and clear;
- b. Environmental Management Plan (RKL): describe the forms of environmental management conducted on the impact to avoiding, preventing, minimizing and/or controlling the negative impact and improving positive impact.
- c. Environmental monitoring plan (RPL): describe the monitoring plan in matrix or table form for caused impact;
- d. Number and types of required environmental protection and monitoring permits (PPLH): in the case of proposed business and/or activities required PPLH permit, accordingly describe identification and formulation of required number and types of environmental permit list and environmental management based on environmental management plan;
- e. Statement of proponent's commitment to conduct provisions in RKL-RPL: consist of proponent's statement to conduct RKL-RPL signed in stamped paper;
- f. Bibliography: in this part, informs data source and information used for RKL-RPL development, either books, magazine, essay or scientific researches report. All literatures must be written accordingly to literature writing guidance; and
- g. Appendix: significant and relevant data and information.

## ***In order to meet EMP requirements, the RKL-RPL should also describe:***

### a. Implementation Schedule and Cost Estimates

For all three aspects (mitigation, monitoring, and capacity development), the EMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the EMP. These figures are also integrated into the total project cost tables.

### b. Capacity Development and Training

To support timely and effective implementation of environmental project components and mitigation measures, the EMP draws on the EA's assessment of the existence, role, and capability of environmental units on site or at the agency and ministry level. If necessary, the EMP recommends the establishment or expansion of such units, and the training of staff, to allow implementation of EA recommendations. Specifically, the EMP provides a specific description of institutional arrangements - who is responsible for carrying out the mitigation and monitoring measures (e.g., for operation,

supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training). To strengthen environmental management capability in the agencies responsible for implementation, most EMPs cover one or more of the following additional topics: (a) technical assistance programs, (b) procurement of equipment and supplies, and (c) organizational changes.

### Example of environmental management plan (RKL) matrix

No.	Managed Environmental Impact	Source of Impact	Environmental Management Success Indicator	Environmental Management Type	Environmental Management Location	Environmental Management Time Period	Environmental Management Institution
Significant Impact Managed (Result of Management Recommendation from the ANDAL)							
Other Impacts Managed (environmental management that has been planned since the beginning in the activity plan, SOP, government technical guidelines, international standards, etc.)							

### Example environmental monitoring plan (RPL) matrix

No.	Environmental Impact Monitored			Environmental Monitoring Type			Environmental Monitoring Institution		
	Type of Impact Caused (can be ambient or at the source)	Indicator/Parameter	Source of Impact	Data Collection & Analysis Method	Monitoring Location	Time & Frequency	Implementer	Supervisor	Report Recipient

### **3. Environmental Management Effort And Environmental Monitoring Effort (UKL/UPL) (Based on Minister of the Environment Decree No. 16 Year 2012)**

The UKL-UPL form is based on Article 8 from the Minister of the Environment Decree No. 16 Year 2012, which includes:

- a. identity of initiator;
- b. business and/or activity plan;
- c. environmental impact that will occur and the environmental management and monitoring program;
- d. number and type of environmental licenses that is required;
- e. statement of commitment to conduct all provisions in the UKL-UPL form;
- f. bibliography; and
- g. appendix

***In order to meet EMP requirements, the UKL-UPL should also describe:***

a. Implementation Schedule and Cost Estimates

For all three aspects (mitigation, monitoring, and capacity development), the EMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the EMP. These figures are also integrated into the total project cost tables.

b. Capacity Development and Training

To support timely and effective implementation of environmental project components and mitigation measures, the EMP draws on the EA's assessment of the existence, role, and capability of environmental units on site or at the agency and ministry level. If necessary, the EMP recommends the establishment or expansion of such units, and the training of staff, to allow implementation of EA recommendations. Specifically, the EMP provides a specific description of institutional arrangements - who is responsible for carrying out the mitigation and monitoring measures (e.g., for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training). To strengthen environmental management capability in the agencies responsible for implementation, most EMPs cover one or more of the following additional topics: (a) technical assistance programs, (b) procurement of equipment and supplies, and (c) organizational changes.

The format of the UKL-UPL is as follows:

**a) Identity of Initiator**

1.	Initiator Name	
2.	Business Address, postal code, telp. no, fax no, and email	

**b) Business and/or Activity Plan**

1.	Name of business and/or activity plan	
2.	Location of business and/or activity plan. Attach a map that is built in accordance with cartography rules and/or an adequate illustration of the location	
3.	Scale/size of the business and/or activity plan	State the size, volume, capacity, and/or other magnitudes, which can be used to provide an illustration of the scale of the activity.
4.	An outline of the components in the business and/or activity plan	Explain: conformity of the location with regional spatial and the indicative map of new license delays (PIPIB), principle approval and formal proof, description of planned activity components that have the potential to cause social and environmental impact

**c) Environmental Impact caused by Environmental Management Effort and Environmental Monitoring Effort**

This section contains the table/matrix that summarizes the environmental impact caused by the activity, environmental management and monitoring efforts, and information on environmental management and monitoring institutions.

### Example of UKL-UPL Matrix

			Environmental Management Effort			Environmental Monitoring Effort			Environmental Management and Monitoring Institution	Description
Source of Impact	Type of Impact	Scale of Impact	Type of Environmental Management	Location of Environmental management	Time Period of Environmental Management	Type of Environmental Monitoring	Location of Environmental Monitoring	Time Period of Environmental Monitoring		
Write the activity that caused the environmental impact	Write the impact that can occur	Write the unit that can describe the scale of the impact	Write the type of environmental management effort that will be planned for each impact caused by the activity	Write the location of the environmental management effort	Write information on the time period of the environmental management effort	Write information on the method and/or technique used for monitoring of the environmental quality which is used as an indicator of success for environmental monitoring	Write information on the location of the environmental monitoring	Write information on the time/period of the planned environmental monitoring	Write the institutions related to environmental management and monitoring	Write other relevant information

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## **Appendix 10**

### **Environmental Codes of Practice for Construction (ECOP) and Form for Statement of Undertaking Environmental Management and Monitoring (SPPL) – Acceptable by the World Bank**

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## **APPENDIX 10**

# **ENVIRONMENTAL CODES OF PRACTICE FOR CONSTRUCTION (ECOP) AND FORM FOR STATEMENT FOR UNDERTAKING ENVIRONMENTAL MANAGEMENT AND MONITORING (SPPL)**

### **How to use the COP**

The following topics are listed here to guide the preparation of a minimum output-based specification that must be included in both the bidding documents and construction contracts under National Urban Water Supply Program (NUWSP). The output-based specifications prepared from this list will become contractual obligations for Contractors and will be enforced by DPIU and/or Supervision authority.

### **Environmental Duties of Contractor**

- Compliance with all relevant legislative requirements in Indonesia;
- Implement the project for the duration of the construction period;
- Undertake monitoring of the effectiveness of the implementation of the project and keep records;
- Report the monitoring records to DPIU office;
- Employ and train suitably qualified staff to take the responsibility for the project;
- Comply with the Chance Find Procedures for Physical Cultural Resources; and
- Stop construction activities upon receiving instructions from the PIU office, and propose and carry out corrective actions and implement alternative construction method, if required in order to minimize the environmental impacts.

### **Prohibitions**

- Cutting of trees for any reason outside the approved construction area;
- Disturbance to anything with architectural or historical value;
- Indiscriminate disposal of rubbish or construction wastes or rubble;
- Spillage of potential pollutants, such as petroleum products; and
- Burning of wastes and/or cleared vegetation.

### **Dust**

- Use water as often as required to dampen dusty areas during windy conditions.



## **Noise**

- Construction activities shall be scheduled in daytime only (8 am to 6 pm); and
- Any work that must be carried out after hours shall be notified to the community at least one week in advance.

## **Waste Management**

- Establish and enforce daily site clean-up procedures, including maintenance of adequate storage, recycling and disposal facilities for litter, solid waste, soil and construction debris;
- All solid waste that cannot be recycled shall be transported by an approved waste handler, disposed of offsite at an approved/licensed disposal site;
- Waste oil and other hazardous wastes (including contaminated soil and oil spills) shall be stored under cover and separated from other wastes. They shall be removed by a licensed transporter to a licensed disposal facility; and
- Once the job is completed, all construction-generated debris should be removed from the site.

## **Worker Health and Safety**

- The contractor will comply with all Indonesian regulations and Standard Operating Procedures (SOP) for worker exposure to the project; and
- All staff will be provided with suitable personal protective equipment (PPE), i.e. hard hats, ear plugs and high visibility clothing.

## **Clearing of New Sites**

- Land clearance should only begin once all land acquisition activities and/or Transect Walk (LARAP) procedures have been completed;
- Before clearing of vegetation, ensure that all litter and non-organic material is removed from the area to be cleared;
- Stockpile and protect topsoil for reuse in site rehabilitation; and
- The application of chemicals for vegetation clearing shall be avoided.

## **Erosion and Sediment Management**

- Disturb as little ground as possible and stabilize that area as quickly as possible;
- Direct storm water around the work site using temporary drains;
- Install sediment control structures where needed to slow or redirect runoff and trap sediment until vegetation is established. Sediment control structures may include sediment catchment basins, straw bales, brush fences, and fabric silt fences; and

- In areas where construction activities have been completed and where no further disturbance would take place, re-vegetation should commence as soon as possible.

### **Re-Vegetation and Site Restoration**

- The construction site and surrounds shall be landscaped and any necessary remedial works shall be undertaken without delay, to the satisfaction of PI.

## FORM FOR THE MODIFIED STATEMENT OF UNDERTAKING ENVIRONMENTAL MANAGEMENT AND MONITORING (SPPL)

We, the undersigned:

Name: .....  
Title: .....  
Address: .....  
Telp. Number: .....

As the person responsible for the environmental management of:  
Company / activity name: .....  
Company / activity address: .....  
Company telp. number: .....  
Type / nature of business: .....  
Production capacity: .....

With potential environmental impact as follows (*REFER TO ECOP IMPACTS PROVIDED ABOVE such as NOISE, DUST, WASTE, EROSION etc*):

- 1.
  - 2.
  - 3.
- ..... and so on

plan to conduct management and monitoring of the environmental impacts through (*REFER TO ECOP GUIDANCE PROVIDED ABOVE such as LIMITATION ON WORK TIMES, SPRAYING OF WATER TO REDUCE DUST, etc*):

- 1.
  - 2.
  - 3.
- ..... and so on

In principle, I am willing to earnestly carry out all environmental impact management and monitoring efforts as mentioned above, and I am willing to be supervised by authorized institutions.

Date, Month, Year  
Sincerely,  
Stamp and signature  
(.....NAME.....)

Receipt Number by  
Environmental Institution

Date:

Recipient:

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**Appendix 11**

**Land Acquisition and  
Resettlement Policy Framework  
(LARPF)**

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## **APPENDIX 11**

### **LAND ACQUISITION AND RESETTLEMENT POLICY FRAMEWORK (LARPF)**

The Land Acquisition and Resettlement Policy Framework (LARPF) is part of the ESMF. The NUWS Project is developed through a public consultation process held on March 8, 2017.

The purpose of this LARPF is to clarify the principles, procedures, organizational arrangements to be applied to the preparation of LARAP for NUSW Project.

Principles of Land Acquisition and Resettlement:

1. The following principles of land acquisition and resettlement to subproject financed by NUWS Project:

- Land acquisition and resettlement should be avoided where feasible, or minimized, exploring all viable alternative subproject sites and designs;
- Where it is not feasible to avoid land acquisition and resettlement, activities of land acquisition and resettlement should be conceived and executed as sustainable development programs, which provide sufficient investment resources to enable the project affected persons (PAPs) to share the subproject benefits.
- If land acquisition and resettlement is unavoidable, persons displaced by a subproject should be supported in their efforts to gain access to adequate habitation. If the relocation affects their income sources and/or their livelihoods, displaced persons should be offered support for a transition period, based on a reasonable estimate of the time likely to be needed to restore their livelihood and standards of living.
- The PAPs should be meaningfully consulted and should have opportunities to participate in planning and implementing the land acquisition and resettlement programs. Involuntary land acquisition and resettlement options and support shall be designed in consultation with the displaced persons. The consultations should involve a two-way transfer of information between the subproject owner and the displaced persons.
- PAPs should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, in accordance to the condition levels prior to land acquisition or prior to project commencement, whichever level is higher.
- Occupants of state or government land who are displaced by a subproject should be provided with opportunities to resettle at location that can be legally occupied.
- In case of group relocation, public facilities and community infrastructure affected by a subproject will be rebuilt at the resettlement sites if at new

resettlement site have not been provided similar public facilities and community infrastructure.

- The PAP should be provided prompt compensation at replacement cost for loss of assets attributable to the subproject including land, housing, structure, crops, trees, etc. once the negotiation has been completed.

2. This policy framework applies when there is impact caused by projects requiring land and causes loss of assets or loss of income or loss of livelihood regardless of the location the PAP is relocated to and irrespective of the source of funding, which is directly and significantly related to the projects for achieving the project objectives. Component 1 with Matching Grant that activities can be funded by non-IBRD funds from bank loans, loans from PT. Sarana Multi Infrastruktur (PT SMI) and/or RIDF (Regional Infrastructure Development Fund), Public Private Partnerships (KPBU/PPP), Business-to-Business, or utilization of CSR (Corporate Social Responsibility) funds, where these activities, overall, abide to and follow the requirements of the ESMF for the management of environmental and social aspects.

3. Land acquisition for NUWS Project may occur during 2 periods: 1) land purchased by Local Government/PDAM one year before Loan Effectiveness; and 2) land to be acquired during project implementation.

Up to present, the Local Government/PDAM acquired land through direct purchase from the land owners (willing seller and willing buyer arrangement). The preferred land for purchase is empty/unoccupied land where there is no building or settlement on the land. Prioritization of land acquisition for the NUWS Project are vacant land where there are no building or production activity on the land, as what has been done up to the present by PDAM/Local Government. This requirement is to avoid or minimize the impact(s) from land acquisition activities.

The purchase of land is conducted through willing buyer-willing seller scheme. Presidential Regulation No. 148 of Year 2015 allows government bodies to purchase land directly with the seller, if the required land is less than 5 Ha. In accordance with the Law No 2 of 2012, the value of compensation shall be based on the assessment conducted by a licensed appraiser. The average land requirement for PDAMs for Component 1 and 2B subproject activities is less than 1 Ha. Therefore, direct purchase is quite effective by adhering to the applicable regulations. However, the Law does not regulate the provision of compensation for encroachers/sharecroppers/renters/squatters who do not have right on land. As such, OP.4.12 is triggered for land acquisition activities which result in impacts to encroachers/sharecropper/renter/squatters who do not have right on land that may lead to loss of income. In this situation, NUWS Project provides an option for PAPs to improve/recover their income. Such activities may also be incorporated into similar existing programs in the project location.

The project will apply the following principles in undertaking land acquisition through willing buyer-willing seller scheme:

- a. Compensation is paid at replacement value which takes into account the prevalent market prices as determined by a licensed independent appraiser. No administrative cost will be deducted and tax obligations will be covered by the negotiated transaction;
- b. All negotiations with the landowners and users, if any, will be carried out in an accessible location, in an open and consultative manner without any coercion and with sufficient time for consideration of offers;
- c. The documents pertaining to the land acquisition such as map, land registries, sales written records, consultation records, decision records, for the negotiation and development plan is to be disclosed to the entitled parties involved in the negotiated land acquisition.

#### 4. Land Acquisition Procedure

- a) Land has been acquired one year before Loan Effectiveness, requires simple evidence that the land acquisition is done in accordance with this ESMF. DPIU (LG/PDAM) shall conduct social assessment using a tracer study which assesses: a) land acquisition process; b) identification of PAPs who are connected to the land before the land is purchased by the Local Government/PDAM. PAPs are not only limited to the landowners and/or owner of the buildings on the land, but also those who rent, work on the land or benefit from the land such as sharecroppers, street vendors or kiosks; c) the condition of the people before and after the land acquisition process and social impacts as result of land acquisition; d) forms of compensation received by the PAPs and aspirations of the PAP; e) determine whether corrective actions are required with regards to the land acquisition that was conducted with reference to the ESMF.
- b) If the tracer survey finds that the PAPs have not received their rights or PAPs incomes are worse off after they are involuntarily resettled, corrective actions are required to restore their income. For example assistance to obtain access to land that is more feasible and strategic for PAP to cultivate the land or continue their business.
- c) A simple tracer survey is done by filling out Appendix 4a. The results of the form submitted by the DPIU together with the proposed subproject activities to the CPMU for review and approval.
- d) Land acquisition that is executed during the implementation of the project is carried out using an Abbreviated LARAP, Appendix 4a. Given the land acquisition process for the NUWS Project is small impact and the number of PAP of subproject less than 200 people, less than 10% of household productive assets are affected and/or does not involve physical relocation, an Abbreviated LARAP is required.
- e) An Abbreviated LARAP or a Tracer Study or a **Report on the Land Acquisition and/or Resettlement should be disclosed at the affected**

village where PAP lives which easily accessed by PAP and at the relevant office of LG/PDAM.

5. **Legal framework and gap analysis.** There is a gap between Law No. 2/2012 regarding Land Acquisition for Public Development in comparison to OP 4.12. Law No. 2/2012 does not specify in detail the following issues: (1) does not regulate resettlement in detail; (2) does not regulate the improvement/ livelihood restoration of the PAP's to a level prior to land acquisition; (3) compensation is given to the landowner or building owner only and there shall be no compensation for renters, sharecroppers or squatters. As such, LARPF arranges the requirement for livelihood restoration and compensation for those physically displaced by the NUWS Project. Compensation for encroachers/sharecroppers/renters/squatters are not limited to compensate in cash but can be in kind such as facilitation for land for cultivation purposes or providing access for renting land so that PAPs can regain their economic activities and avoid losing their income.

6. **Methods of the valuation of the affected assets.** As required by Law No. 2/2012 and its implementation regulations, values of affected assets is mandatory to be assessed by licensed appraisers. The values defined by the licensed appraisers will be used as a basis for negotiation with the PAPs. The negotiation means to inform PAP the value of affected assets based on the licensed appraiser, options of compensation that are available for PAPs and the payment schedule of compensation as well the payment method.

6. The assessment of the affected assets conducted by the licensed appraisers shall be in accordance with the MAPPI<sup>4</sup> Standard as defined in the MAPPI Guidelines, which refers to international standards.

Object	Basis for valuation
Land	Market price and/or income lost
Building	The cost of making new building with considering the different between compensating new building and deteriorated building
Plant	Market price: The price of one cycle of harvesting The price in the market based on related institution price standard;  Or cost based price: The cost of growing the plant up to present (before harvesting)
Transaction cost	Moving cost Tax Notarial cost
Waiting compensation	Bank deposit/lending interest

<sup>4</sup> Masyarakat Profesi Penilai Indonesia



Object	Basis for valuation
Unutilized residual parcel	Market price
Other damage	Recovery cost
Total	Cannot be less than non speculation market price and based to the existing regulation Reflecting the real value of the property for the owner (PAP)
Premium cost	Premium cost due to unwilling to sell and considering unvaluable cost (20 - 40 % of total physical price estimation)

7. **Options of Compensation.** Essentially, land acquisition is conducted through direct purchase, however there is an option of compensation to be offered to PAP. Options for compensation can be offered in several forms: a) cash; b) land to land, c) relocation/resettlement; or d) other forms of compensation agreed by both parties.

8. Entitlements Matrix for the Project Affected Persons describes in Table below:

**Table 1 Entitlement of Project Affected Persons**

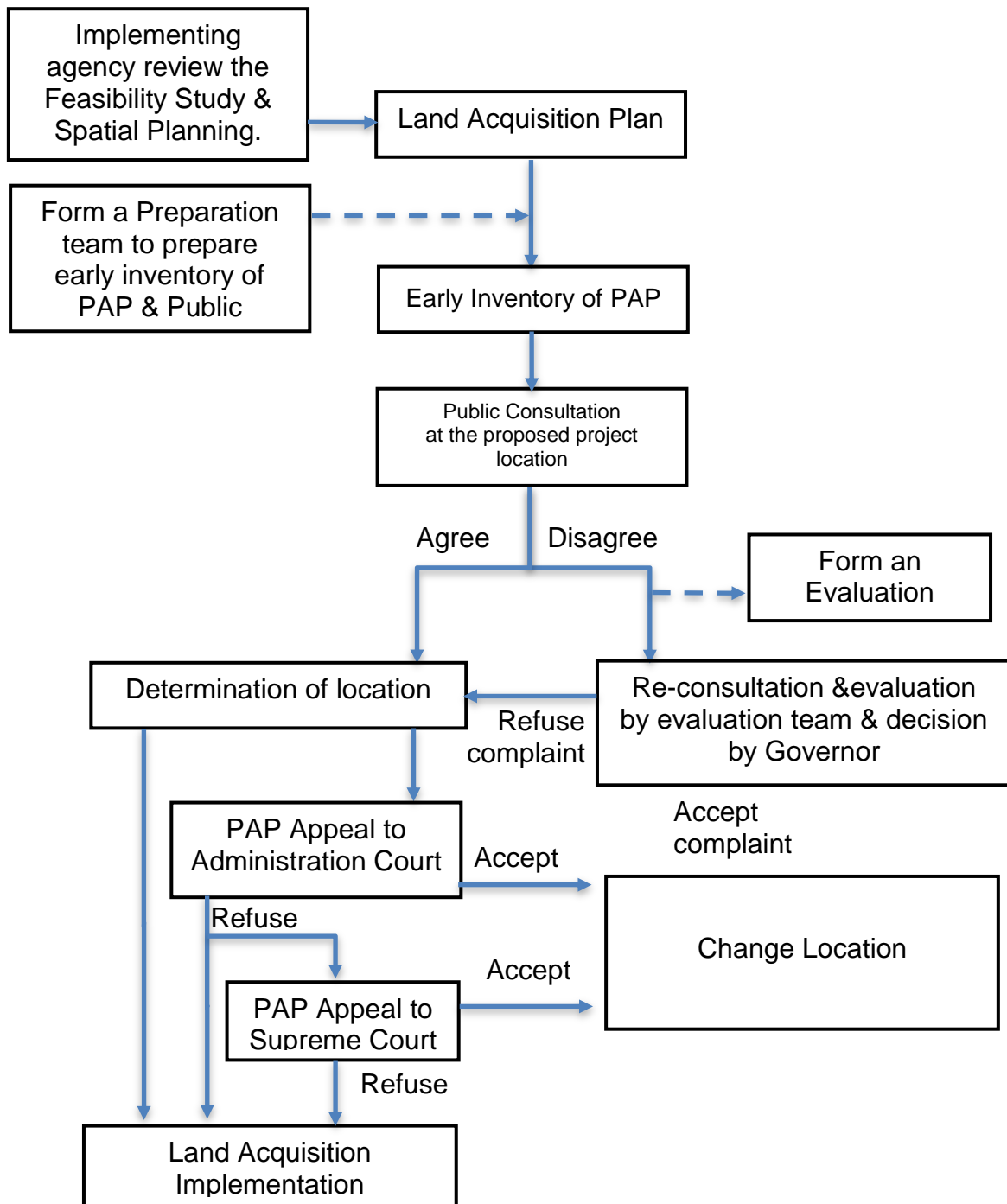
Project Affected Persons	Entitlement	Expected Outcomes
Persons who have entitlement rights or have legal ownership of land and/or assets and accompanied by evidence or legal documents	Receive compensation for loss of land and other assets based on valuation by licensed appraisers	Compensation in cash or land or relocation or other form agreed by both parties.
Persons who owns and/or occupying building constructed on state or government land without evidence of legal ownership or without claim to the land they occupied (such as squatters, encroachers)	Compensation for loss of non-land and other assets based on valuation is performed by a licensed appraiser	Compensation and resettlement assistance to be provided will enable PAPs to recover adequate occupancy in locations that can be legally occupied and land acquisition does not result in PAPs becoming worse of
Renter	The project facilitates rental residential or rental or rent-making space that allows sufficient time (minimum 2 months from the cut-off date/at the time of the census survey) or any other options as agreed by both parties.	Tenants can continue their life in a new place and not lose their income.
Persons who cultivate the land (sharecroppers)	The project facilitates for new cultivated land or other options as agreed by both parties	Compensation for loss of crops and access to new cultivated land.
Persons who manage wakaf land, whether for religious activities, education, or other social activities.	Compensation in the form of replacement of land	The existence of other land that has value equivalent to the acquired wakaf land for the project, and facilitate the administration of the administration to the authorized

<b>Project Affected Persons</b>	<b>Entitlement</b>	<b>Expected Outcomes</b>
		institution.
Those who do not have legal right and entitlement that can be recognized as full ownership.	There is no land rental cost but land will be restored as it was before the subproject or even better.	Valuation conducted by licensed appraiser.
Loss of income, venture and job	Business owner and employees regardless of tenure	Replace the loss of business and the valuation conducted by licensed appraiser.

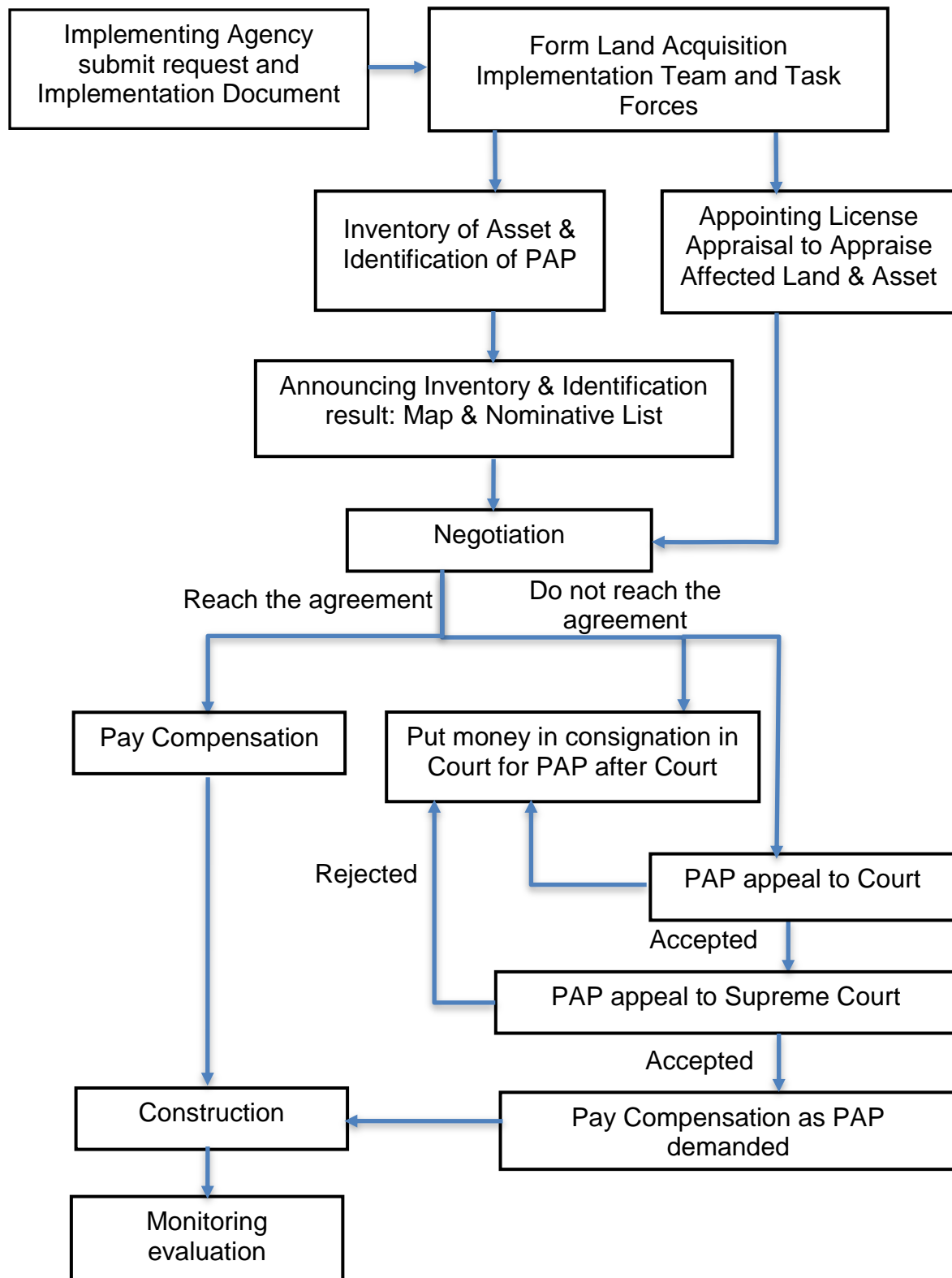
9. **Information disclosure.** The LARAP that is agreed by the parties is provided at the village office where the PAP is located, the PDAM office and the Local Government Office or the Local Government/PDAM web site (if available) and the DitPam website.

10. **Grievance Redress Mechanisms (GRM).** GRM associated with land acquisition process is specified in Law No. 2 Year 2012. Figure 1 illustrates the process of preparing the land acquisition process and management of grievances/complaints regarding the appointed project location. Figure 2 Figure 2 illustrates the process of executing land acquisition and grievance mechanisms when there are objections or issues related to the compensation value or compensation option.

**Figure 1 Process of Land Acquisition at the Preparation Stage based on Law No 2 of 2012**



**Figure 2 Process of Land Acquisition in the Implementation Stage based on Law No 2 of 2012**



11. The NUWS project provides a grievance redress mechanism for parties or community members who wish to report their grievances/complaints during the implementation of the project. The complaints include issues related to environmental and social aspects. All grievances/complaints can be reported directly through various levels both at the district/city levels, or provincial and central levels. At the district/city level, the grievance report can be submitted to DPIU or directly to PDAM's Customer Complaint Unit. At the provincial level, the grievance report can be submitted to PPIU while at the central level submitted to the CPMU. Without exception, all grievances/complaints will be recorded, verified and resolved by the project either through the Local Government/PDAM, PPIU or CPMU not later than 14 (fourteen) working days.

12. Grievances/complaint reports can be submitted in writing or verbal, either directly reporting in person to the Local Government office/PDAM/PPIU/CPMU, through SMS (Short Message Service), WA (Whatsapp), email or available website.

13. The purpose of resolving the grievances/complaints is to ensure that all grievances/complaints raised by individuals or groups involved in or affected by the project are being noticed/heard, reports received and resolved within the predetermined period for resolving grievances.

14. All grievances/complaints and their close out need to be well documented by each of the grievance handling unit at the district/city/provincial/central levels and are reported periodically as part of the project implementation report. All grievances/complaints, as far as possible, should be resolved by the Local Government/PDAM. However, if there are grievances/complaints related to policies that can not be resolved by the Local Government/PDAM, these grievances will be forwarded to the higher level at the PPIU (provincial) and CPMU (central) levels. The project grievance mechanism will be described further in detail in the Project Management Manual.

15. **Monitoring and Reporting.** The implementation of land acquisition shall be regularly monitored and reported quarterly in the project report, covering, among others: (a) the size of land acquired by the Local Government/PDAM and the preferred compensation option selected by the PAPs, the number of PAPs, the status of compensation payment; (b) the types of grievances that are reported and resolved (by whom and when); (d) items that still require follow-up and resolving (by whom and when).

16. **Funding.** The proposed budget will cover the operational costs for land acquisition activities, which include all activities from the planning to implementation processes, and monitoring and evaluation activities. Existing funds can be accessed from the National Revenue and Budget (APBN) and/or Local Government Revenue and Budget (APBD) or a combination of these fund sources

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## **Appendix 12**

### **Indigenous Peoples Policy Framework (IPPF)**

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## APPENDIX 12 INDIGENOUS PEOPLES POLICY FRAMEWORK (IPPF)

### INDIGENOUS PEOPLES POLICY FRAMEWORK

The Indigenous Peoples Policy Framework for the NUWS Project is developed through a public consultation process held on March 8, 2017.

#### *Criteria*

1. There is no universally accepted definition of Indigenous Peoples (IP). IPs may refer to in different countries by such terms as “Indigenous ethnic minorities”, “aboriginals”, “hill tribes”, “minority nationalities”, “scheduled tribes”, or “tribal groups”. This framework refers to OP 4.10<sup>5</sup>, the term “Indigenous Peoples” is used in a generic sense to refer to a distinct social and cultural group possessing the following characteristics in varying degrees:

- a) Self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;
- b) Collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories;
- c) Customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture;
- d) An indigenous language, often different from the official language of the country or region

2. The term “Indigenous Peoples” is often associated with “*Masyarakat Hukum Adat*” (or *MHA*--Customary Law Communities) which is a common terminology used in Indonesian Laws and Regulations to describe groups of people with similar characteristics as those of IPs specified above. Ascertaining whether a particular group is considered as Indigenous Peoples for the purpose of this principle may require technical judgment from a social expert.

#### *Laws and Regulations*

3. Provisions related to Indigenous Peoples (IPs) or “*Masyarakat Hukum Adat*” (MHA) are available in various GOI’s laws and regulations, which all to some extent provide recognition and respect the IPs presence and rights to participate in, to be empowered and to have access to development and manage natural resources. However, implementation of these intentions remains to be strengthened including those of the agencies involved (as specified in the laws and regulations) and the establishment of operational regulations and guidelines, as well as coordination between sectorial ministries and local governments where IPs are located.

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<sup>5</sup> Operational Policy 4.10 is the World Bank’s Operational Policy relating to the policy for addressing impacts on indigenous peoples as result of an activity/project funded by the World Bank.

4. Relevant main laws and regulations are listed below:

- Basic Law 1945 (Amendment) Article 18 Paragraph 2 and Article 281 Paragraph 3;
- Law No. 41 concerning Forestry (*and* the Decree of the Supreme Court No. 35/PUU-X/2012, Footnote No. 4);
- Law No. 6 / 2014 concerning Villages;
- Law No. 18/2013 concerning Prevention and Reducing Forest Cover (UUP3H);
- Decree of Ministry of Home Affairs No. 52/2014 concerning Guidelines for Recognition and Protection of Indigenous Peoples;

Regulation of the Ministry of Environment and Forestry No. P.62/2013 (adjustment of The Regulation No. P.44/2012 concerning Forest Area Establishment);

Joint regulation of Ministry of Home Affairs, Ministry of Environment and Forestry, Ministry of Public Works and Housing and National Land Agency (*BPN*) No. 79/2014 regrading Procedures for Land Conflicts in Forest Area; and

Regulation of the Ministry of Agrarian and Spatial Planning/National Land Agency No. 9/2015 concerning Procedures for the establishment of communal rights of Indigenous Peoples and Communities living in special areas.

5. For the identification on the presence of Indigenous Peoples (IPs), the NUWS Project will use the World Bank study in screening the locations of IPs based on EGiMap 2010 as a tool for identifying the presence of IPs and the four characteristics of IP as above. The IP list is structured in accordance with data on *Kelompok Adat Terpencil* issued by the Ministry of Social Affairs in 2010 that is compiled by the World Bank in the form of EGiMap (see Appendix 7). DPIU will report the results of the screening process on the presence of IPs which will be further assessed in the field by using IPP form.

### **Principles**

6. Avoid and minimize the potential negative effects of the Program on Indigenous Peoples (IPs), and if they cannot be avoided, develop and implement mitigation measures based on the principle of free, prior, informed consultation to gain broad support of IPs before the program activities are conducted at the site, that consists of information on project activities to obtain wide support from the IPs prior to commencement of activities at the location;

7. Minimize adverse impacts and maximize benefit of the project for IPs based on the principle of free, prior, informed consultation leading to broad support from the IPs to ensure that the design and implementation of the project accommodate the aspirations and needs of them.

8. DPIU identifies the existence of IPs at the subproject/project location through initial screening using the IP list.



9. When avoidance is not feasible, the client will minimize, mitigate or compensate for these impacts in a culturally appropriate manner for the local IPs or affected IPs who are part of the group receiving benefits from the water supply service provided by the NUWS Project. The proposed actions will be developed by the DPIU through the informed participation of affected IPs and recorded in the Transect Walk Form that is equivalent to an Indigenous Peoples Plan (IPP).

### ***Information disclosure, consultation and informed participation***

10. The proponent of the downstream activities/investments will establish an ongoing relationship with the affected IP communities from as early as possible in the subproject planning and throughout the life of the subproject. The consultation process ensures that the IPs are informed in advance to obtain broad community support for the proposed project and the project can receive participatory information from the IPs on matters directly affecting their existence, such as proposed mitigation measures, the sharing of development benefits and opportunities, and implementation issues. The process of community engagement will be culturally appropriate and commensurate with the risks and potential impacts to the IPs. In particular, the process will include the following steps.

- Involve IPs' representative bodies (for example, councils of elders or village councils, among others)
- Be inclusive of both women and men and of various age groups in a culturally appropriate manner
- Provide sufficient time for Indigenous Peoples' collective decision-making processes
- Facilitate the Indigenous Peoples' expression of their views, concerns, and proposals in the language of their choice, without external manipulation, interference, or coercion, and without intimidation
- Ensure that the grievance reporting mechanism is established for the program, is culturally appropriate and accessible for IPs

### ***Screening and identification of IPs presence***

11. DPIU carries out a screening process to determine whether IPs are present in the project location, or have collective attachment to, the subproject area. Initial screening will be done with reference to the EGiMap 2010 (list of IPs are of existence is available on the DGCK web), and seeking optional technical judgments from qualified social scientists with expertise on the social and cultural groups in the subproject area. DPIU or the investment proponent of the downstream activities/investments also consults with the IPs communities concerned and the local government. Further confirmation and verification of the IPs presence will be done once the footprint and area of influence of the downstream activities/investments are defined, by visiting the area, gather information from the village, sub-district, and local government, NGOs and universities who have worked with or have the interest in protecting IPs communities.

12. The scale of NUWS Project activities is relatively small and there are no unprecedented impacts, no sensitive impacts, no diverse impacts and no complex impacts. It is also envisaged that there is no significant cumulative impacts. The residual impacts can be managed effectively using the modified Indonesia's social assesment system, complies with Bank requirements.

13. Subproject activities/NUWS Project are located in urban areas or already developed areas. If the IP screening results indicate the presence of Indigenous Peoples, then they are very likely to be beneficiaries and not affected parties. To identify potential social impacts, DPIU uses IPP form (see Appendix 5).

### ***A Social Assessment***

14. DPIU conducts a social assessment to evaluate the subproject's potential positives and adverse effects on the IPs and to examine subproject alternatives where adverse effects may be significant. The assessment should generate the necessary baseline information on the demographic, social cultural and political characteristics of the affected IPs communities as well as the land and territories that they have traditionally owned or customarily used or occupied and the natural resources on which they depend. Potential adverse and positive effects of the subproject will be identified through free, prior, informed consultation with the affected IP communities. In assessing these impacts, the IPs will be engaged in a participatory mapping activity through a free, prior, informed consultation to identify subproject location and potential impacts. In effect, the assessment should in the end identify and recommend the necessary measures to avoid adverse effects and enhancement or maximizations of positive impacts. If avoidance is not possible, mitigation activities or alternatives will have to be mutually developed with IP communities through meaningful free, prior, informed consultation, to ensure that IPs receive culturally appropriate benefits under the subproject. Suggested outline of Social Assessment to develop IPP presented in Appendix 4b.

### ***Disclosure***

15. DPIU have to disclose the IPP to the LG and PDAM office, the relevant affected village which IP communities live and CPMU web through DGCK web. develop or use the existing complaint handling system that allow the public and the IP communities to file complaints, raise issues and/or convey their aspirations on the downstream activities/investments.

16. The Indigenous Peoples Policy Framework (IPPF) requires widespread dissemination among affected IPs using locally appropriate methods and locations in accordance with cultural values. The project/project investor will disclose the Indigenous Peoples Policy Framework information, to the affected IPs, in ways and language appropriate to the local social and cultural values of the IP.

### ***Grievance Redress Mechanism***

17. The NUWS project provides a grievance redress mechanism for parties or community members who wish to report their grievances/complaints during the

implementation of the project. The complaints include issues related to environmental and social aspects. All grievances/complaints can be reported directly through various levels both at the district/city levels, or provincial and central levels. At the district/city level, the grievance report can be submitted to DPIU or directly to PDAM's Customer Complaint Unit. At the provincial level, the grievance report can be submitted to PPIU while at the central level submitted to the CPMU. Without exception, all grievances/complaints will be recorded, verified and resolved by the project either through the Local Government/PDAM, PPIU or CPMU not later than 14 (fourteen) working days.

18. LG/PDAM have develop or use the existing complaint handling system that allow the public and the IP communities to file complaints, raise issues and/or convey their aspirations on the downstream activities/investments. Grievances/complaint reports can be submitted in writing or verbal, either directly reporting in person to the Local Government office/PDAM/PPIU/CPMU, through SMS (Short Message Service), WA (Whatsapp), email or available website.

19. All grievances/complaints and their close out need to be well documented by each of the grievance handling unit at the district/city/provincial/central levels and are reported periodically as part of the project implementation report.

20. All grievacnes/complaints, as far as possible, should be resolved by the Local Government/PDAM. However, if there are grievances/complaints related to policies that can not be resolved by the Local Government/PDAM, these grievances will be forwarded to the higher level at the PPIU (provincial) and CPMU (central) levels.

### ***Monitoring and Reporting***

21. Implementation of the IPP is regularly monitored and reported quarterly as part of the project report. If the IP is considered to be PAP who is impacted by the land acquisition process, then the monitoring report should include: (a) the area of land that is acquired by the Local Government/PDAM and the compensation option selected by the PAP, the number of PAPs, the status of compensation payment; (b) the types of greivances/complaints received and resolved (by whom, when); (d) items that still require follow-up and advice for closure (by whom and when). If the IP is considered as PAP who receives project benefits, the monitoring report includes: (a) the socio-economic benefits that the IP has obtained; (b) the types of grievances/complaints received and resolved (by whom, when); (d) items that still require follow-up and advice for closure (by whom and when).

### ***Funding***

22. The proposed budget will cover the cost of performing IPP including monitoring and evaluation. Existing funds can be accessed from the National Revenue and Budget (APBN) and/or Local Government Revenue and Budget (APBD) or a combination of these fund sources.

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**Appendix 13**  
**Chance Find Procedure (CFP)**

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## APPENDIX 13 CHANCE FIND PROCEDURE (CFP)

1. **Definition.** Chance find procedure (CFP) or cultural heritage finding procedure outlines the follow up for finding object with archaeological, historical, cultural, and remaining materials encountered unexpectedly during project construction or operation. CFP is a project-specific procedure which will be followed if previously unknown cultural heritage is encountered during project activities. Such procedure generally includes a requirement to notify relevant authorities of found objects or sites by cultural heritage experts; to fence off the area of finds or sites to avoid further disturbance; to conduct an assessment of found objects or sites by cultural heritage experts; to identify and implement actions consistent with the requirements of the World Bank and Indonesian Law; and to train project personnel and project workers on chance find procedures.
2. **Objectives.** To protect physical cultural resources from the adverse impacts of project activities and support its preservation.
3. **Procedure.** If the proposed activity discovers archeological sites, historical sites, remains and objects, including graveyards and/or individual graves during excavation or construction, shall:
  - a. Halt the construction activities in the area of the chance find;
  - b. Delineate and fence the discovered site or area;
  - c. Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a night guard shall be arranged until the responsible local authorities or the District/Provincial Department of Culture, or the local Institute of Archaeology if available to take over;
  - d. Forbid any take of the objects by the workers or other parties;
  - e. Notify all subproject personnel of the finding and take the preliminary precaution of protection;
  - f. Record the chance find objects and the preliminary actions;
  - g. Notify the responsible local authorities and the relevant Institute of Archeology immediately (within 1x24 hours);
  - h. Responsible local authorities would be in charge of protecting and preserving the site before deciding on subsequent appropriate procedures. This would require a preliminary evaluation of the findings to be performed by the local Institute of Archaeology. The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage; those include the aesthetic, historic, scientific or research, social and economic values;

- i. Decisions on how to handle the finding shall be taken by the responsible authorities. This could include changes in the subproject layout (such as when finding an irremovable remain of cultural or archeological importance) conservation, preservation, restoration and salvage;
- j. Implementation for the authority decision concerning the management of the finding shall be communicated in writing by relevant local authorities;
- k. The mitigation measures could include the change of proposed project design/layout, protection, conservation, restoration, and/or preservation of the sites and/or objects;
- l. Construction work at the site could resume only after permission is given from the responsible local authorities concerning safeguard of the heritage; and
- m. The subproject proponent responsible to cooperate with the relevant local authorities to monitor all construction activities and ensure that the adequate preservation actions already taken and hence the heritage sites protected.

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**Appendix 14**

**Minutes of Public Consultation  
and Attendance List**

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# PUBLIC CONSULTANCY DRAFT OF ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF) DOCUMENT FOR THE NATIONAL URBAN WATER SUPPLY PROJECT (NUWSP)

## 1.0 INTRODUCTION

The draft document of this *Environmental and Social Management Framework-ESMF* is compiled to be a project operational document that would be used as a guidance to analyze the potential impact and to compile a management plan of environmental and social impact that may occur due to NUWSP.

The draft document of ESMF is obliged to consult to the public, to gain responds and inputs in the process of the finalization of ESMF final document. Before the implementation of the Public Consultancy, the ESMF draft has been published in the Ditjen Cipta Karya's website, through [www.ciptakarya.pu.go.id](http://www.ciptakarya.pu.go.id) (Indonesian version) and the World Bank (WB) website, through [www.worldbank.org](http://www.worldbank.org) (English version).

## 2.0 PURPOSES

The purposes of Public Consultancy for ESMF draft document are as follows:

- To disseminate the ESMF and NUWSP documents;
- To explain about the activities and the potential impact of environment and social on the four-component of NUWSP;
- To disseminate the process of NUWSP implementation;
- To disseminate the process of environmental and social analysis; and
- To gain respond and inputs from many parties, for the completion of ESMF draft document for NUWSP as a final document of ESMF.

## 3.0 IMPLEMENTATION TIME

The place and time for the Public Consultancy of ESMF Document for NUWSP are:

Day/date	: Wednesday, March 8, 2017
Time	: 08.30 to 12.00
Place	: Kridangga Ballroom, Hotel atlet Century Park Jl. Pintu Satu Senayan, Gelora, Jakarta pusat



## 4.0 AGENDA

The agenda for Public Consultancy of the ESMF document for NUWSP document is:

No.	Hour	Activities/Agenda	PIC
1	08.30-09.00	Registration	Committee
2	09.00-09.15	Opening of Public Consultancy	Director of PSPAM, DJCK
3	09.15-09.45	Description of ESMF draft	Consultant (PT Hatfield Indonesia)
4	9.45-10.45	Discussion and Question and Answer for Component 1	Dit. PSPAM, Hatfield Consultant, World Bank
5	10.30-10.40	Coffee Break	Committee
6	10.40-11.40	Question and Answer for Component 2B (B)	Dit. PSPAM, Hatfield Consultant, World Bank
7	11.40-12.00	Conclusion Result of Public Consultancy and Closing	Dit. PSPAM

## 5.0 THE MINUTES OF PUBLIC CONSULTANCY

### 5.1 THE OPENING OF PUBLIC CONSULTANCY EVENT

Briefing from the Director of PSPAM DJCK to the participants of Public Consultancy was represented by Mrs. Meike Kencana Wulan (Head of Sub Directorate of PSPAM Technical Planning, Directorate General of Human Settlements), as following:

- The access of drinking water supply is a basic need and people's right that should be fulfilled by the Government (regional and central), as mandated in the 1945 Constitution of the Republic of Indonesia and has been put into the Medium Term Plan 2015-2019, mandating that 100% access of drinking water for people in 2019;
- To reach the target, it needs strong commitment from all stakeholders, either in the capacity of human resources or effective and precisely targeted funding support from various funding resources, among other things from the government (APBN and APBD - State Budget and Regional Budget), internal budget of PDAM (Local Water Enterprise), roles of private companies including banks, and others;
- The proposed activities should be right on target and provide more benefit;
- In order to increase the effective funding to PEMDA (the Regional Government), the central government compiles NUWAS as a budget platform of National Urban Water Supply (NUWAS), to be a guidance in formulating the support for urban drinking water, so it can be more effective and right on target;
- The Government is in collaboration with World Bank through NUWSP to increase the performance of PDAM and PEMDA to supply drinking water, especially in urban area; The collaboration consists of 4 components (see the Executive Draft of ESMF Document);

- The World Bank with its Safeguard Policy obliges that for any activities funded by the World Bank must have an Environmental and Social Management Framework (ESMF) document. This ESMF Document is a guidance for the potential impact assessment and for developing the management plan of environmental and social impact that may occur due to the implementation of the project, especially the impact assessment on the environment, indigenous people, cultural heritage and the impact on the resettlement;
- The ESMF is applied to identify the potential impact and to develop the mitigation efforts and the monitoring, to minimize environmental and social impact, especially in Component 1 and 2 B;
- The ESMF Document is a technical guidance for the central or regional stakeholders in the process of screening, assessment and supporting the development of social document, monitoring and evaluation, and the finalization of any grievance management during the implementation of the project;
- The development of ESMF Document has been composed in accordance with the applicable regulations in Indonesia and safeguard policy of the World Bank, related to the environmental and social management;
- The ESMF document has to be disseminated and consulted to the public, including the related stakeholders, involving the Central and Regional Government, the practitioners of drinking water supply, universities, NGOs and donor organizations, related to the sector of urban drinking water supply, to gain input or respond for the finalization of the ESMF document; and
- It is expected that the participants are able to provide constructive input for the finalization of the document.

## 5.2 PRESENTATION ON THE ESMF DRAFT DOCUMENT

The presentation of ESMF draft document is delivered by Mr. Bambang Tri Sasongko Adi of PT Hatfield Indonesia, a consultant who helps in the composing of ESMF document. The presentation of the ESMF Documents includes:

- The Document (Indonesian version) can be downloaded at Ditjen Cipta Karya's website, through [www.ciptakarya.pu.go.id](http://www.ciptakarya.pu.go.id) and World Bank's: [www.worldbank.org](http://www.worldbank.org) (English version);
- The structure of ESMF Document (Chapter 1-8);
- The aim and purpose of ESMF as a framework to manage the environmental and social impact;
- The references to compose the ESMF;
- The potential impact of environment and social;
- The management policy of environment and social;

- The flowchart of NUWSP implementation;
- The flowchart of environmental and social assessment for Component 1 of NUWSP;
- The flowchart of environmental and social assessment for Component 2B of NUWSP; and
- The grievance mechanism;

## 5.2.1 Presentation Material

**KEMENTERIAN PEKERJAAN UMUM & PERUMAHAN RAKYAT**  
**DIREKTORAT JENDERAL CIPTA KARYA**  
**DIREKTORAT PENGEMBANGAN SISTEM PENYEDIAAN AIR MINUM**

**KERANGKA KERJA PENGELOLAAN LINGKUNGAN DAN SOSIAL (ESMF) NATIONAL URBAN WATER SUPPLY PROJECT (NUWSP)**

Hotel Century, Jakarta  
 7-8 Maret 2017



**OUTLINE PRESENTASI**

- Pendahuluan
- Maksud dan Tujuan ESMF
- Referensi penyusunan ESMF dan Outline Laporan ESMF
- Potensi dampak lingkungan dan sosial NUWSP
- Rerangka kebijakan nasional dan Bank Dunia terkait
- Alur Proses Komponen yang memiliki potensi dampak
- Penanganan keluhan
- Kebutuhan pelatihan



**Maksud dan Tujuan ESMF**

- **Maksud:** untuk memastikan komponen NUWSP dikelola secara berkelanjutan sesuai Kebijakan Indonesia dan Bank Dunia.
- **Tujuan:** sebagai panduan teknis bagi pemangku kepentingan di tingkat pusat, provinsi maupun daerah dalam pengelolaan lingkungan dan sosial mulai dari perencanaan (penapisan, pengkajian dan penyusunan dokumen) sampai pelaksanaan (monitoring - evaluasi, penanganan aduan dan pelaporan).



**REFERENSI PENYUSUNAN ESMF**

- Dokumen (design) Proyek: Readiness Criteria (Dokumen Pemijam/DJCK), Project Appraisal Document/PAD (Dokumen Bank Dunia);
- Peraturan perundangan Indonesia terkait dengan pengelolaan lingkungan dan sosial: UU, PerPres, PerMen dll;
- Kebijakan Operasional Bank Dunia terkait dengan pengelolaan lingkungan dan sosial;
- Konsultasi publik;
- Publikasi: website DJCK, Infoshop Bank Dunia.




**SISTEMATIKA ESMF**

- Bab I Pendahuluan
- Bab II Deskripsi Proyek
- Bab III Analisis Kesenjangan Kebijakan Indonesia dan Bank Dunia
- Bab IV Kerangka Pengelolaan Lingkungan dan Sosial
- Bab V Penyelesaian Keluhan/Aduan
- Bab VI Pemantauan, Evaluasi dan Pelaporan
- Bab VII Pelatihan
- Bab VIII Biaya Pelatihan
- Lampiran-Lampiran



**POTENSI DAMPAK LINGKUNGAN DAN SOSIAL**

Komponen	Risiko	Potensi Dampak
<b>KOMPONEN I: Administrasi</b>	Perbaikan dan optimalisasi prosedur dan mekanisme yang sudah ada	Ada potensi dampak dari kegiatan konstruksi, awal lokasi lahan air, awal dan selanjutnya, kualitas udara, kebisingan, lalu lintas/mobilisasi (lingkungan), pengalihan tanah, masyarakat lokal, kondisi raga budaya (mita)
<b>KOMPONEN II: Pelatihan dan peningkatan kapasitas</b>	- Jasa konsultan - Pengembangan modul - Pelatihan	Tidak ada dampak terhadap lingkungan dan sosial. Materi pelatihan dapat mengacu pada ESMF
<b>KOMPONEN III: Bantuan Teknis</b>	Bantuan teknis untuk dalam pemantauan dan pengujian kualitas sumber proyek (studi kelayakan)	Studi Kelayakan mengkaji mengenai potensi dampak lingkungan & sosial untuk seluruh kegiatan di site



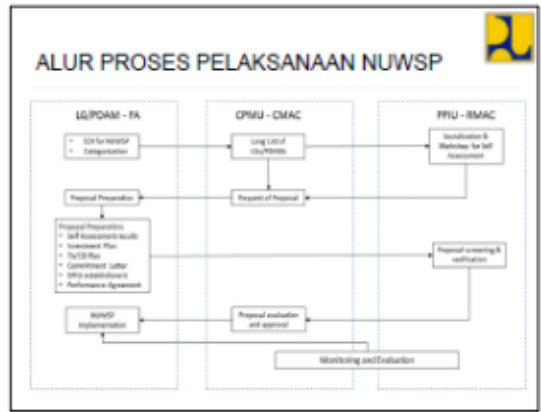
### POTENSI DAMPAK LINGKUNGAN DAN SOSIAL

Komponen	Kegiatan	Potensi Dampak
KOMPONEN 3-TA untuk pengembangan kebijakan & penyesuaian kepada Pusat	<ul style="list-style-type: none"> <li>Penelitian kepada CPMU &amp; Pihak AMPK</li> <li>Pemetaan &amp; evaluasi berbasis web</li> <li>Peringatan Kampanye NUWAS</li> </ul>	Tidak ada dampak lingkungan dan sosial
KOMPONEN 4-TA untuk manajemen & pelaksanaan Proyek	Konsep di 16 provinsi untuk membantu operasional CPMU, CPU dan PPIU di lapangan.	Tidak ada dampak lingkungan dan sosial



### KEBIJAKAN PENGELOLAAN LINGKUNGAN DAN SOSIAL

Indonesia	Berkas Denda
<ul style="list-style-type: none"> <li>UU No. 32/2004 Perlindungan &amp; Pengelolaan Lingkungan UU No. 27/2012 Pengadaan Tanah, dll.</li> <li>PP No. 21/2018 (Jn Lingkungan, PP No. 12/2018) Engkolasi Sumber Daya Air, dll.</li> <li>Peraturan Presiden No. 148/2013 Pengaliran Tanah secara langsung - SD, dll.</li> <li>Peraturan Menteri Lingkungan Hidup No. 18/2013. Peraturan AMDAL, UKL-UPL, SPP, Keputusan Menteri Energi dan Sumberdaya Mineral No 1481 s/20/2006; PerMENDPTN no 27/2015 tentang Penyelenggaraan SPMK, dll.</li> </ul>	<ul style="list-style-type: none"> <li>OP 4.01 Kajian Lingkungan</li> <li>OP 4.10 Masyarakat Adat</li> <li>OP 4.11 Berada Cagar Budaya</li> <li>OP 4.12 Pengaliran tanah dan/atau Perencanaan Kersahil (untuk kepentingan umum)</li> </ul>

### PENANGANAN KELUHAN/ADUAN (LAMPIRAN 8)

- Semua keluhan/aduan dicatat, diterima dan diselesaikan sesuai dengan tenggat waktu (14 hari)
- Keluhan/aduan: tertulis atau lisan ke kantor Pemda/PDAM/PPIU/CPMU, SMS (pesan pendek), WA (whatsapp), email, ataupun website
- Semua keluhan/aduan dan penyelesaiannya didokumentasikan secara baik oleh masing-masing penanggung jawab subproyek
- Jika keluhan/aduan tidak dapat diselesaikan oleh Pemda/PDAM setempat, dituskan ke tingkat yang lebih tinggi yaitu PPIU (provinsi) dan CPMU (pusat).



### PELATIHAN

- Sasaran: Pemda/PDAM (Komponen 1 dan 2 B), Unit-unit Proyek (CPMU, PPIU, DPIU), Konsultan (Komponen 3 & 4)
- Kapan? Sebelum dan setelah dana pinjaman efektif
- Materi: Pemahaman isi ESMF dan prosedur operasionalisasinya (penapisan, pengkajian, pemantauan dan pelaporan)



### DISKUSI DAN TANYA JAWAB





### 5.3 MINUTES OF MEETINGS (COMPONENT 1 AND COMPONENT 2B)

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#### Input

#### Respond

##### Mr. Didik. W – Satker PSPAM Bali

In the process of screening, besides spatial planning, we also need to consider the masterplan of drinking water. In terms of the spatial planning, generally if the drinking water masterplan is available, therefore the master plan has complied with the spatial planning.

In addition, it should also consider potential permits, for example, from PT. KAI to use railway access, to get permit from the Ministry of Public Works to use the national road, permit from related ministries/agencies, to use the route of river catchment area.

##### Mr. Zulkifli – PERPAMSI Medan

Medan has had AMDAL, FS and DED document funded by regional budget. Is it possible if NUWSP uses the existing AMDAL document for the expansion of distribution network?

##### Mr. Dodi – the Ministry of Finance

There are many issues about land acquisition. Has this study identified all issues related to land acquisition and the location? Many projects have slow progress because of the land acquisition problems that take time and its complexity. Project should be implemented rapidly, thus it could provide significant benefit to the community.

In the screening form, the conformity with the spatial planning needs to be questioned, considering that the time for updating spatial planning and master plan of drinking water are not synchronized.

It is agreed that the permitting could be a challenge. In one side, NUWSP is an activities that emphasize the prompt outcome, which it means that the proposal from PEMDA/PDAM does not need the land acquisition process or permitting from other instances that takes time.

Good inputs will be considered during filtering of PEMDA/PDAM's suggestions.

Based on ESMF, the existing document still needs to be assessed whether it is in accordance with the standard of ESMF. To be clarified that Component 1 is for simple physical activity that does not need long process to prepare its environmental and social document. For example, the activity with UKL-UPL or SPPL.

NUWAS is a platform. NUWSP is a initiation/implementation project from NUWAS in the limited scope whose categorization is decided by the performance of PDAM. In the project preparation part, the World Bank, also Indonesia's regulations, oblige a document of environmental and social study. Examples that need mitigation: raw water that is located in forest area or in people's land. ESMF facilitates how to identify the potential impact and mitigation impact as a form of project impact anticipation.

It is right that land acquisition often becomes an issue.

Under ESMF's template there are identification, needs, and potential impact that may occur.

NUWSP Component 1 will focus on the fast outcome, it will focus on an idle capacity so it is expected the lands are available for those activities.

For the expansion, the scope of focus would be more on the permitting of distribution network, not on the land acquisition.

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**Input****Respond**

Considering the scope of project activities, the issue of land acquisition should not be the problem in the project. If AMDAL is required for the activities in Component 2b, then the study of AMDAL or other existing applicable environmental studies should be the reference.

Usually, PDAM's projects do not need large areas but tend to use the existing land owned by PEMDA/PDAM. If land is needed then usually it is obtained by direct land selling, as it is only under 5 ha. The most important thing is, since the beginning it is identified by completing the available form under ESMF.

If the land acquisition is considered takes a long time/process then the proposal is not prioritized to be funded through NUWSP.

In the ESMF document there is a template to use if there is a need for land acquisition. In appendix 4 there is a method called Transect Walk, that facilitates the identification of land requirement. Upon completing the Transect Walk form, there is another form to confirm the transect walk result. The point is, how PEMDA/PDAM identifies and agrees the mitigation plan, together with the community. The land acquisition should be agreed in the local level. In addition, the implementation how to prepare UKL/UPL, SPPL are included in the ESMF.

**Mr. Sudi Purnomo – BAPPEDA East Java**

Following the Letter of Intent, PDAM should prepare a proposal. Will there any official answer from the Central government and any supporting consultant provided to prepare a proposal? PEMDA/PDAM has not had capacity yet to prepare the proposal.

NUWSP will conduct formal socialization after the *Green Book*. After the ratification of *Greenbook* there are some steps of Project Preparation still need to be performed and more intensive communication with PEMDA/PDAM is needed. NUWSP will help PEMDA/PDAM to prepare the proposal document. The Letter of Intent from PEMDA should be followed with a good commitment that does not always about budget but can be in other administration aspect. This will be discussed further with PEMDA/PDAM.

There are only 4 PDAM/PEMDAs are invited in the consultancy, how about the other PEMDA/PDAM in East Java? Will they also have opportunity?

NUWAS is a platform that will be applied in all the urban drinking water supplies. NUWSP is an initiation of NUWAS implementation. In this NUWSP, not all PDAMs can be the priority of funding, it depends on the interest and commitment. The opportunity is open for all, however, there is a screening become the focus of NUWSP. The aim is to make healthier PDAM. There are some strategic areas.

How about the proposal that needs to be prepared? Is it the 5-year program or 1-year program? And when NUWSP is started?

It still needs time related to some steps in the level of the Indonesian Government and the World Bank, for example, for the Indonesian Government, the project should be identified in the *Blue Book* and *Green Book*. The next step in the World Bank is appraisal and negotiation, the target of negotiation is on May. Then the Board Approval from the World Bank, continued with the legal assessment from the Indonesian Government. After that

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## Input

## Respond

If ESMF and the proposal are approved, when will ESMF be composed?

then the project can be effective. For the time being all the preparation is in the process in order to be implemented directly when the project is effective. The target is, before the end of the year there are activities to be executed, e.g. the Technical Assistance-TA; and the physical activities will start on 2018.

Has socialization of NUWSP been held to PEMDA/PDAM? It could be through a Work Unit.

PDAM/PEMDA does not need to prepare ESMF. The PDAM/PEMDA just need to prepare environmental documents such as UKL/UPL, SPPL or social documents which the forms are available in ESMF. To obtain approval, the preparation should be done along with the preparation of the proposal (combined with the proposal). The proposal document including the environmental and social document is sent to DitPam as CPMU.

ESMF is the central's domain, while PDAM/PEMDA will compose UKL-UPL or SPPL, or any social documents that will be implemented when the project is effective.

This is the first socialization. There will be official socialization by the Central, after the *green book* is ratified by the BAPPENAS.

The program preparation is done parallelly so during the project implementation, the activities are known.

Formally there is no official socialization yet, however some PDAM has been assessed for self-assessment, for those that already submitted the Letter of Intent. It is expected that when it is effective, all plans can be directly implemented. The formal socialization will be hold after the project is included in the *Green Book*.

### Mr. Mustafa – YLKI

If we're talking about the World Bank investment, YLKI often holds advocacy for the right of water for the people. The industries of drinking water supply are still far from healthy. What is the basic consideration of the World Bank to invest in SPAM sector?

The World Bank is not an investor, it is a development bank or donor organization providing loan for the government, it is different with other banks. The World Bank is not a profit organization, its main goal is to decrease poverty in the world and to promote equality. The World Bank in collaboration with Indonesian Government help the development of drinking water and sanitation sectors that are the basic needs and basic infrastructures for the community and are the focus of the government, since these are related to the social and economic development.

In terms of grievance mechanism in NUWSP operational. What will the grievance mechanism look like? YLKI evaluates that there is no grievance centre yet, for example in Jakarta, though the system is good enough but it is still overwhelm in handling all the grievance.

All projects funded by the World Bank require a GRM (Grievance Redress Mechanism), where anyone can propose grievance and have rights to get response back. NUWSP opens the door for every level to accept complaints from the community. The existing Grievance Unit in PDAM and PEMDA is used, so there is no need to develop a new unit. The unit should be able to record, verify and solve all the complains, timely and targeted. Some good PDAMs even have been able to develop their grievance process through a better system,



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**Input****Respond**

YLKI encourages the empowerment of alternative/potential resources, is it possible that this investment explores the overall of water resources, such as sea water.

One of the complicated problems is the capital ownership of PEMDA, especially if there is any local political change where PDAM is often intervened by PEMDA. Has this kind of problem anticipated in NUWSP?

such as by website. As a community-service instance, the grievance units in PDAM and PEMDA are the vanguard to service consumers well. From the 4 components of NUWSP, it is predicted that the component 1 related to the physical activities will be the most related to arise grievance.

In the central level, under DitPam as the CPMU, it will develop a grievance mechanism through *website* to record type of complains and how many complains have been/not solved in every level.

The initial step has not performed the investment for alternative water resources yet. However gradually the World Bank will help with the policy of advocacy or through TA. Usually, the alternative water resources is still expensive.

There is a challenge in raw water supply in relate to climate change, the change of watershed, and others. The alternative water resources has been included in the agenda of DJCK in coordination with Balitbang PUPR and Direktorat SDA. However the operational of alternative water resources usage needs skills and high cost.

NUWSP aims to build the same perspective with PEMDA/PDAM and to provide advocacy. The activity of drinking water supply development should be the responsibility and focus of the regional leaders (Regent/Mayor). Thus all the proposal should be proposed by the regional leaders. The trainings provided by NUWSP are not only for PDAM but also for PEMDA. PEMDA and PDAM are one unit that should be work closely for developing the service of drinking water supply.

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## 5.4 CONCLUSION AND CLOSING

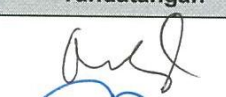

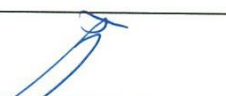
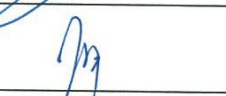
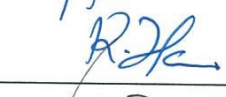
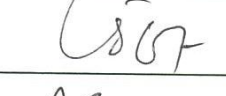




The conclusion of this Public Consultancy result is concluded and delivered by Meike Kencana Wulan (Kasubdit Perencanaan Teknis PSPAM Direktorat Jenderal Cipta Karya), as following:

- NUWAS is a platform while NUWSP is one of the project/implementation of NUWAS.
- ESMF Document is a draft of environment and social management for NUWSP, to identify the environmental and social potential impact and to prepare their mitigation plans. The implementation is related to Component 1 (physical activities) and Component 2B (Technical Assistance to prepare the feasibility study as a part of the sub-project proposed document. The environmental and social documents (conform with the form in ESMF) should be included when delivering the proposed document from PEMDA to DitPam as a CPMU (executing agency);
- The inputs and responds from the Public Consultancy, hold in March 8, 2017, will be accommodated in the final document of ESMF, that will be published through [www.ciptakarya.pu.go.id](http://www.ciptakarya.pu.go.id) (Indonesian version) and Infoshop Bank Dunia (English version) through [www.worldbank.org](http://www.worldbank.org);
- Most likely the NUWSP project is implemented or effective on the third semester, September 2017, such as for the implementation of Technical Assistance – TA, while the physical activities are started on 2018.

## 6.0 ATTENDANCE LIST

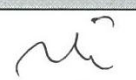





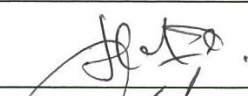

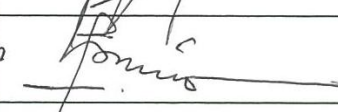
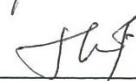
The Public Consultancy is attended by 95 participants from the central and regional governments, PDAM, NGOs, private companies, and donor organizations related to the urban water supply sector. The complete participants' attendance list can be seen below:

**Daftar Hadir Peserta**  
**Konsultasi Publik Dokumen Environmental and Social Management Framework (ESMF)**  
**untuk National Urban Water Supply Project (NUWSP)**  
**Jakarta, 8 Maret 2017**

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**Daftar Hadir Peserta**  
**Konsultasi Publik Dokumen Environmental and Social Management Framework (ESMF)**  
**untuk National Urban Water Supply Project (NUWSP)**

Jakarta, 8 Maret 2017

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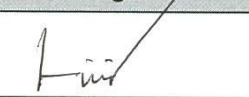
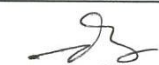

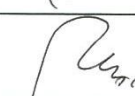
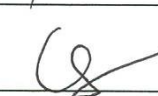

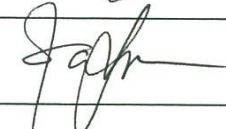
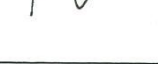


**Daftar Hadir Peserta**  
**Konsultasi Publik Dokumen Environmental and Social Management Framework (ESMF)**  
**untuk National Urban Water Supply Project (NUWSP)**

Jakarta, 8 Maret 2017

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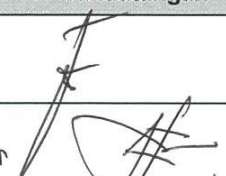


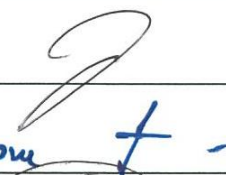
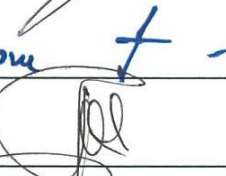

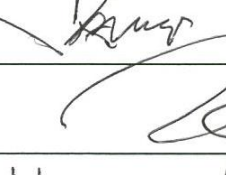

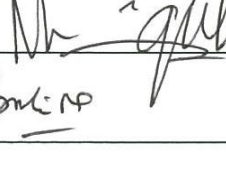
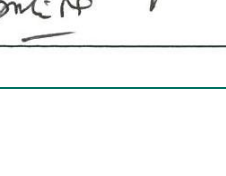
**Daftar Hadir Peserta**  
**Konsultasi Publik Dokumen Environmental and Social Management Framework (ESMF)**  
**untuk National Urban Water Supply Project (NUWSP)**

Jakarta, 8 Maret 2017

No	Nama	Instansi	No Telpon	Email	Tandatangan
30.	Paskalis Lasa	PDAM KAB - Ngada	081339317093	paskalislasameo@gmail.com	
31	Dyah Budi	Dit. PSPAM	72796207	am-investasi@yahoo.co.id	
32.	KUMALA SARI	WB	08128185353	ksari@worldbank.org	
33	BAMBANGS. M.	PU KOTA JEMBER	081340306608	bengzmarbes@gmail	
34.	Imam Syafid	PU Pacitan	081332190355	plabpct@gmail.com	
35.	JAMUS KUNTO	D. PKP	08123446410	jamuskunto@gmail.com	
36.	SYAIFUL DJAFAR	PDAM TTE	082188620111	syiaifuldjafar@gmail.com	
37.	KARIM TAHIR	PSPAM MU	681284001162	karim.tahir@yaho.co.id	
38.	MAT HASYIM	PDAM Sukoharjo	081228818537	hasyim_hs@yaho.co.id	
39.	IKA WORO	PSPAM JATENG	085226274698	spamsatery@gmail.com	



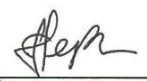

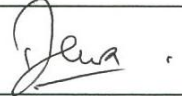




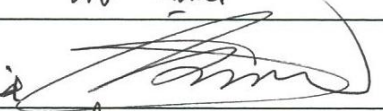
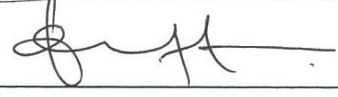
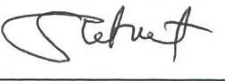
**Daftar Hadir Peserta**  
**Konsultasi Publik Dokumen Environmental and Social Management Framework (ESMF)**  
**untuk National Urban Water Supply Project (NUWSP)**  
**Jakarta, 8 Maret 2017**

No	Nama	Instansi	No Telpn	Email	Tandatangan
40.	DJUSRI SALEH	DINAS - PU. PR TJE	081740092186	djustrisaleh@yahoo.co.id	
41.	Galuh Tantri	Dinas PUPR Banjar	0811550412	tantrinandinra@gmail.com	
42.	Mediansari	PALKAJA	081034114948	meidiason.sosanti@palaja.co.id	
43.	ABDUL MALIK GUSMIDA	Bappida	081803370587	gusmida88@gmail.com	
44.	Sumarno	Banjur	081335901212	sumarno1212@ymail.com	
45.	SUROSO	PDAM	08562535880	paulekita.negsel@egait.com	
46.	Pangjiyo	PDAM	08156878676	djiowinadi@gmail.com	
47.	Tri Atmaja	PRM Suralaba	082135158415	tri-atmaja@yahoo.com	
48.	Mustafa	YUKI	082298425459	mustafa-binboro@gmail.com	
49.	Randi RS	SATKER PSPAM-SU	082166313166	randi_rs@yahoo.com	

Daftar Hadir Peserta







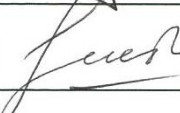

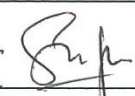

Konsultasi Publik Dokumen Environmental and Social Management Framework (ESMF)  
untuk National Urban Water Supply Project (NUWSP)

Jakarta, 8 Maret 2017

No	Nama	Instansi	No Telpon	Email	Tandatangan
50.	Dewi Septiani	PDAM Kab. Bogor	087770248002	dewisepiani43@gmail.com	
51.	Fermi Vladimir	— " —	087781888841	fermi.vladimir@yahoo.com	
52.	Didik W.	PSPAM Bali	0361-288172	psbam-bali11@yahoo.com	
53.	Erdi. al	PDAM KOTA BOGOR	08774401028	erdiboy@ymail.com	
54.	Herry Iswahyudi	PDAM Kota Payakumbuh	081374598308	pdam_pyk@yahoo.com	
55.	Peni Lusiantoro	Satker kalsel	085248491945	penilusiantoro@yahoo.co.id	
56.	W. Sektianto	Dinas Perkim Kota Magelang	08157948708	perkim.kotamagelang@gmail.com	
57.	Sumito	pdam Cmp	081332649729	pdamamropan@yahoo.co.id	
58.	Bahrul ALAM	PDAM TIRTA PATRIOT KOTABEKASI	081311333113	lambahrul@gmail.com	
59.	MUHAMMAD SALEH	DDU KOTA & PENATAAN RUANG JAYAPURA	082399397105	salehmohammed@gmail.com	






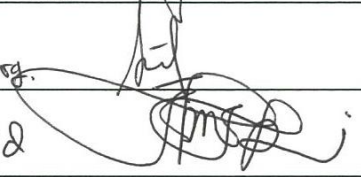





**Daftar Hadir Peserta**  
**Konsultasi Publik Dokumen Environmental and Social Management Framework (ESMF)**  
**untuk National Urban Water Supply Project (NUWSP)**  
**Jakarta, 8 Maret 2017**

No	Nama	Instansi	No Telpon	Email	Tandatangan
60.	BUDIMAN. SUPARDI	PDAM KAB BOGOR	08787472288	supardi_budiman@yahoo.co.id	
61.	SAUL PARANDAY	PLPAM HIT	08114862226	saul.paranday60@gmail.com	
62.	Puji lestari	PDAM Kota Bogor	0812 18206606	pujikdini@yahoo.com	
63.	P. POPPI. RUSTANTI	- - -	08111142848	pretanti@yahoo.com	
64.	DODI	Kemenkeu	085219323373	dodi.erhade@gmail.com	
65.	YASRI	DINCS PUPR PTR	08126695232	yasri_myn@yahoo.com	
66.	M. M. Faza	PDAM Sukoharjo			
67.	Einstegen F.	Seater PSPAM Papua	085251005281	airminum_papua@yahoo.co.id	
68.	Suprianto	DPUPR Sukoharjo	08998484648	ck.dpusunukoharjo@yahoo.com	
69.	Dulfan	Bappea Kota Blujai	08116021337	ipau.dulfan@ptm.com	

**Daftar Hadir Peserta**  
**Konsultasi Publik Dokumen Environmental and Social Management Framework (ESMF)**  
**untuk National Urban Water Supply Project (NUWSP)**

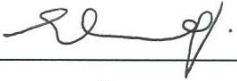







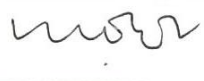
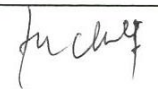
Jakarta, 8 Maret 2017

No	Nama	Instansi	No Telpn	Email	Tandatangan
70.	M. MAKSUM	PDAM Cury	081288334382		
71.	IRYANTO.S	DIT. PSPAM	081180283		
72.	Redho Indah Pornama,	Dinas PUPR	082165126372	rdoy_nrez@yahoo.com	
73.	Mulyadi	PDAM DEPOK	0822-132-0859	smodyadi06@gmail.com	
74.	A.R.E. Bharoto	PALYJA	0818-654-655	eddy.bharoto@PALYJA.co.id	
75.	Arief Maulana S.	World Bank	087878460143	asyamsani@worldbank.org	
76.	ADE PERMANA	PDAM TABALONG	08125017182	hafizrokan@yahoo.co.id	
77.	Gery M.	Bappenas	081224726026	gerly.margana@gmail.com	
78.	DANIFANSEN	Multi-Bappenas	081396392442	danifansens@gmail.com	
79.	M IONAIL	LUWASHT PLUS	081316588630	Muhammad_Ionail@ptai.com	

Daftar Hadir Peserta

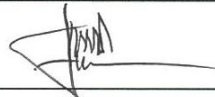

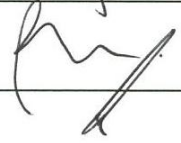



Konsultasi Publik Dokumen Environmental and Social Management Framework (ESMF)  
untuk National Urban Water Supply Project (NUWSP)

Jakarta, 8 Maret 2017

No	Nama	Instansi	No Telpon	Email	Tandatangan
80.	Elvi Kristina	Dinas PU PR Binjai	0811639950	lvkri@yahoo.com	
81.	SUCI PURNOMO	Bappeda Prov Jatim	08123178301	psuetji@yahoo.co.id	
82.	ENRICO P.	WORLD BANK	081322615885	edjonoputro@worldbank.org	
83.	Pepi Oktapiyann	Posantab, Ditjen SDA		pepintab.p@gmail.com	
84.	M. Anwar Juma.	Bappeda Kota MLE	0817534525	barenlitbang@malangkota.go.id	
85.	Fajar D	PDAM DEROK	082115352333	fajar_ditapermai@gmail.com	
86.	Adi Rahman	IUWASTI PLUS	081362998999	adi_rahman@daa.com	
87.	Devira Suzon	Biro PUPR PAKLN	7246248		
88.	Novira	WB		nasra@worldbank.org	
89	Wky RA	Dit. ISPAK	72796908		



**Daftar Hadir Peserta**  
**Konsultasi Publik Dokumen Environmental and Social Management Framework (ESMF)**  
**untuk National Urban Water Supply Project (NUWSP)**  
**Jakarta, 8 Maret 2017**

No	Nama	Instansi	No Telpn	Email	Tandatangan
90.	Lamp	Pu. Pusat Dit. PAM	085778384488	NUW-Letip@gmail.com	
91.	DEWI AMBARSARI	Dit. KIP - DEHS	081285905428	dewiambarsari36@yahoo.co.id	
92.	Risma	Perpamsi	0818434479	rismaapriandy@yahoo.com	
93.	MEKAWANAD IDHAM	PAM BIJAI	081375504979	idham_nasution@yahoo.com	
94.	Dian Suci Hastuti	Dit. PSPAM	081295330532	subditpp.dihpan@gmail.com	
95.	Fajar Dwingroh	Dit. PSPAM	08336381022	pandjck@yahoo.co.id	

## 7.0 PHOTOS OF PUBLIC CONSULTANCY ACTIVITY

Picture 1 The opening of Public Consultancy, by Kasubdit Perencanaan Teknis PSPAM, representing the Director of PSPAM



Picture 2 Participants of the Public Consultancy of ESMF Document for NUWSP





**Picture 3** Description of ESMF Document for NUWSP, by PT Hatfield Indonesia



**Picture 4** Question and Answer Session for Component 1 NUWSP



**Picture 5 Question and Answer Session for Component 2B NUWSP**



**Picture 6 Responds for the Input of Public Consultancy Result of ESMF Document**



**for NUWSP**



## 8.0 INVITATION FOR PUBLIC CONSULTANCY



**KEMENTERIAN PEKERJAAN UMUM & PERUMAHAN RAKYAT  
DIREKTORAT JENDERAL CIPTA KARYA  
DIREKTORAT PENGEMBANGAN SISTEM PENYEDIAAN AIR MINUM**

JL. PATTIMURA NO. 20, KEBAYORAN BARU - JAKARTA 12110 TELP. 021 - 72796823, FAX. 021-7279 6904

Nomor : um.02-06-ca/44  
Lampiran : 1 lembar

Jakarta, Februari 2017

Kepada Yth. :

(daftar terlampir)  
di-

**Tempat**

Perihal : **Workshop Penyiapan *National Urban Water Supply Project* (NUWSP) dan Konsultasi Publik Dokumen *Environmental and Social Management Framework* (ESMF) untuk *National Urban Water Supply Project* (NUWSP)**

### UNDANGAN

Dalam rangka untuk meningkatkan efisiensi dan efektivitas investasi air minum di perkotaan guna mengejar target akses 100% air minum pada akhir tahun 2019, Pemerintah melalui Direktorat Pengembangan Sistem Penyediaan Air Minum, Direktorat Jenderal Cipta Karya (DJCK), Kementerian Pekerjaan Umum dan Perumahan Rakyat (Kemen. PUPR), dengan dukungan dari Bank Dunia sedang menyusun platform penyelenggaraan air minum perkotaan atau dikenal dengan *National Urban Water Supply* (NUWAS).

Sebagai inisiasi penerapan platform tersebut, akan dilaksanakan *National Urban Water Supply Project* (NUWSP) melalui dukungan pendanaan dari Bank Dunia. Kegiatan NUWSP diarahkan untuk mendukung peningkatan kinerja PDAM dan Pemda dalam penyelenggaraan air minum. Secara garis besar NUWSP meliputi kegiatan investasi untuk infrastruktur SPAM, bantuan teknis dan peningkatan kapasitas Pemda dan PDAM, dukungan bagi Pemerintah Pusat dalam pengembangan kebijakan dan strategi peningkatan pelayanan air minum, serta dukungan manajemen dan pelaksanaan proyek.

Sebagai bagian dari proses penyiapan NUWSP, dengan hormat kami mengundang Bapak/Ibu untuk hadir pada acara Workshop Penyiapan NUWSP dan Konsultasi Publik Dokumen ESMF untuk NUWSP, yang akan diselenggarakan pada:

Hari, tanggal : Selasa, 7 Maret 2017  
Waktu : Pukul 13.30 s.d 17.00 WIB  
Agenda : Workshop Penyiapan NUWSP (susunan acara terlampir)

Hari, tanggal : Rabu, 8 Maret 2017  
Waktu : Pukul 08.30 s.d 12.00 WIB  
Agenda : Konsultasi Publik Dokumen ESMF untuk NUWSP (susunan acara terlampir)

Tempat : Kridangga Ballroom, Hotel Atlet Century Park  
Jl. Pintu Satu Senayan, Gelora, Jakarta Pusat

Mengingat pentingnya acara tersebut, diharapkan kehadiran Bapak/Ibu sesuai waktu yang telah ditetapkan. Konfirmasi kehadiran dapat disampaikan kepada Siti Alna Meidina alamat *e-mail* [nuwspworldbank@gmail.com](mailto:nuwspworldbank@gmail.com) atau fax (021)72796904 paling lambat pada tanggal 3 Maret 2017. Konsep dokumen ESMF dapat di-download di [www.ciptakarya.go.id](http://www.ciptakarya.go.id).

Demikian undangan ini disampaikan, atas perhatian dan kehadirannya diucapkan terima kasih.

Direktur Pengembangan  
Sistem Penyediaan Air Minum

Ir. Mochammad Natsir, M.Sc.  
NIP. 195901221986031002

Tembusan disampaikan kepada Yth:

1. Direktur Jenderal Cipta Karya



Lampiran 1 : Daftar Undangan  
Perihal : Workshop Penyiapan National Urban Water Supply Project (NUWSP) dan Konsultasi Publik  
Dokumen *Environmental and Social Management Framework (ESMF) untuk National Urban Water Supply Project (NUWSP)*

**Kepada Yth.:**

Kementerian Dalam Negeri:

1. Direktur Pengembangan Daerah, Direktorat Jenderal Bina Pembangunan Daerah
2. Direktur Keuangan Daerah, Direktorat Jenderal Keuangan Daerah

Kementerian Keuangan:

3. Direktur Pengelolaan Utang dan Hibah
4. Direktur Utang dan Hibah Daerah
5. Direktur Sistem Manajemen Investasi

BAPPENAS:

6. Direktur Perkotaan, Perumahan dan Permukiman
7. Direktur Pendanaan Multilateral

Kementerian PUPR:

8. Kepala Biro Perencanaan Anggaran dan KLN
9. Kepala Pusat Air Tanah dan Air Baku, DJSDA
10. Direktur Keterpaduan Infrastruktur Permukiman, Ditjen Cipta Karya
11. Kasubdit Keterpaduan Pembiayaan, Dit. KIP, Ditjen Cipta Karya
12. Kasubdit Keterpaduan Pelaksanaan, Dit. KIP, Ditjen Cipta Karya
13. Kasubdit Perencanaan Teknis, Dit. PSPAM, Ditjen Cipta Karya
14. Kasubdit SPAM Perkotaan, Dit. PSPAM, Ditjen Cipta Karya
15. Kasubdit SPAM Perdesaan, Dit. PSPAM, Ditjen Cipta Karya
16. Kasubdit SPAM Khusus, Dit. PSPAM, Ditjen Cipta Karya
17. Kasubdit Standardisasi dan Kelembagaan, Dit. PSPAM, Ditjen Cipta Karya
18. Ketua BPPSPAM

Satker PSPAM Provinsi:

19. Kasatker PSPAM Sumatera Utara
20. Kasatker PSPAM Sumatera Barat
21. Kasatker PSPAM Jawa Timur
22. Kasatker PSPAM Provinsi Kalimantan Selatan
23. Kasatker PSPAM Provinsi Sulawesi Selatan
24. Kasatker PSPAM Provinsi Bali
25. Kasatker PSPAM Provinsi Nusa Tenggara Timur
26. Kasatker PSPAM Provinsi Maluku Utara
27. Kasatker PSPAM Provinsi Papua

Pemerintah Provinsi:

28. Bappeda Provinsi Sumatera Utara
29. Bappeda Provinsi Sumatera Barat
30. Bappeda Provinsi Jawa Timur
31. Bappeda Provinsi Provinsi Kalimantan Selatan
32. Bappeda Provinsi Provinsi Sulawesi Selatan
33. Bappeda Provinsi Provinsi Bali
34. Bappeda Provinsi Provinsi Nusa Tenggara Timur
35. Bappeda Provinsi Provinsi Maluku Utara
36. Bappeda Provinsi Provinsi Papua

Pemerintah Kabupaten/Kota:

37. Kepala Bappeda Kota Payakumbuh
38. Kepala Bappeda Kota Magelang

39. Kepala Bappeda Kota Surakarta
40. Kepala Bappeda Kabupaten Sukoharjo
41. Kepala Bappeda Kabupaten Ponorogo
42. Kepala Bappeda Kabupaten Pacitan
43. Kepala Bappeda Kabupaten Lamongan
44. Kepala Bappeda Kota Malang
45. Kepala Bappeda Kota Banjarmasin
46. Kepala Bappeda Kabupaten Banjar
47. Kepala Bappeda Kabupaten Tabalong
48. Kepala Bappeda Kabupaten Mamuju
49. Kepala Bappeda Kota Makassar
50. Kepala Bappeda Kabupaten Bantaeng
51. Kepala Bappeda Kabupaten Jeneponto
52. Kepala Bappeda Kota Denpasar
53. Kepala Bappeda Kabupaten Badung
54. Kepala Bappeda Kabupaten Gianyar
55. Kepala Bappeda Kabupaten Ende
56. Kepala Bappeda Kabupaten Ngada
57. Kepala Bappeda Kabupaten Manggarai
58. Kepala Bappeda Kota Ternate
59. Kepala Bappeda Kota Jayapura
60. Kepala Bappeda Kabupaten Jayapura
61. Kepala Dinas PU Cipta Karya Kota Payakumbuh
62. Kepala Dinas PU Cipta Karya Kota Magelang
63. Kepala Dinas PU Cipta Karya Kota Surakarta
64. Kepala Dinas PU Cipta Karya Kabupaten Sukoharjo
65. Kepala Dinas PU Cipta Karya Kabupaten Ponorogo
66. Kepala Dinas PU Cipta Karya Kabupaten Pacitan
67. Kepala Dinas PU Cipta Karya Kabupaten Lamongan
68. Kepala Dinas PU Cipta Karya Kota Malang
69. Kepala Dinas PU Cipta Karya Kota Banjarmasin
70. Kepala Dinas PU Cipta Karya Kabupaten Banjar
71. Kepala Dinas PU Cipta Karya Kabupaten Tabalong
72. Kepala Dinas PU Cipta Karya Kabupaten Mamuju
73. Kepala Dinas PU Cipta Karya Kota Makassar
74. Kepala Dinas PU Cipta Karya Kabupaten Bantaeng
75. Kepala Dinas PU Cipta Karya Kabupaten Jeneponto
76. Kepala Dinas PU Cipta Karya Kota Denpasar
77. Kepala Dinas PU Cipta Karya Kabupaten Badung
78. Kepala Dinas PU Cipta Karya Kabupaten Gianyar
79. Kepala Dinas PU Cipta Karya Kabupaten Ende
80. Kepala Dinas PU Cipta Karya Kabupaten Ngada
81. Kepala Dinas PU Cipta Karya Kabupaten Manggarai
82. Kepala Dinas PU Cipta Karya Kota Ternate
83. Kepala Dinas PU Cipta Karya Kota Jayapura
84. Kepala Dinas PU Cipta Karya Kabupaten Jayapura

Penyelenggara SPAM:

85. Ketua PERPAMSI
86. Direktur PDAM Kota Payakumbuh
87. Direktur PDAM Kota Magelang
88. Direktur PDAM Kota Surakarta
89. Direktur PDAM Kabupaten Sukoharjo
90. Direktur PDAM Kabupaten Ponorogo

91. Direktur PDAM Kabupaten Pacitan
92. Direktur PDAM Kabupaten Lamongan
93. Direktur PDAM Kota Malang
94. Direktur PDAM Kota Banjarmasin
95. Direktur PDAM Kabupaten Banjar
96. Direktur PDAM Kabupaten Tabalong
97. Direktur PDAM Kabupaten Mamuju
98. Direktur PDAM Kota Makassar
99. Direktur PDAM Kabupaten Bantaeng
100. Direktur PDAM Kabupaten Jeneponto
101. Direktur PDAM Kota Denpasar
102. Direktur PDAM Kabupaten Badung
103. Direktur PDAM Kabupaten Gianyar
104. Direktur PDAM Kabupaten Ende
105. Direktur PDAM Kabupaten Ngada
106. Direktur PDAM Kabupaten Manggarai
107. Direktur PDAM Kota Ternate
108. Direktur PDAM Jayapura

Perbankan:

109. Direktur Bank Jabar Banten
110. Direktur Bank Rakyat Indonesia
111. Direktur Bank Mandiri
112. Direktur Bank Nasional Indonesia

Lembaga Donor:

113. USAID
114. DFAT
115. JICA
116. KfW
117. AFD
118. UNICEF
119. IUWASH PLUS
120. InII/KIAT
121. Task Team Bank Dunia.

- Lampiran 2 : Susunan Acara  
 Perihal : Workshop Penyiapan National Urban Water Supply Project (NUWSP) dan Konsultasi Publik Dokumen *Environmental and Social Management Framework (ESMF)* untuk National Urban Water Supply Project (NUWSP)

#### WORKSHOP PENYIAPAN NATIONAL URBAN WATER SUPPLY PROJECT (NUWSP)

WAKTU	KEGIATAN/AGENDA	PEMBICARA/PENANGGUNG JAWAB
<b>Seasa, 7 Maret 2017</b>		
12.00-13.30	Makan Siang dan Registrasi	Kementerian PUPR
13.30-14.00	Pembukaan Workshop Penyiapan NUWSP	Kementerian PUPR/Cipta Karya
14.00-15.30	<b>Sesi 1</b>	
	RPJMN 2015-2019 dan SDGs terkait Air Minum	BAPPENAS
	Peran dan Tanggung Jawab Pemerintah Daerah dalam Penyediaan Air Minum	Kementerian Dalam Negeri
	Kebijakan Nasional Pengembangan SPAM untuk mencapai 100% Akses Pelayanan Aman	Kementerian PUPR
	Diskusi dan Tanya Jawab	Moderator
15.30-15.45	<i>Coffee Break</i>	
15.45-16.30	<b>Sesi 2</b>	
	Penjelasan <i>National Urban Water Supply Project</i> (NUWSP)	Kementerian PUPR dan Bank Dunia
	Diskusi dan Tanya Jawab	Moderator
16.30-16.50	Penutupan	

#### KONSULTASI PUBLIK DOKUMEN ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF) UNTUK NATIONAL URBAN WATER SUPPLY PROJECT (NUWSP)

WAKTU	KEGIATAN/AGENDA	PEMBICARA/PENANGGUNG JAWAB
<b>Rabu, 8 Maret 2017</b>		
08.30-09.00	Registrasi	Panitia
09.00-09.15	Pembukaan Konsultasi Publik	Direktur PSPAM, DJCK
09.15-09.45	Paparan Draft ESMF	Konsultan
09.45-10.45	Diskusi dan Tanya Jawab untuk Komponen 1	Dit. PSPAM, Hatfield Consultant, Bank dunia
10.45-11.00	<i>Coffee Break</i>	Panitia
10.40-11.40	Tanya jawab untuk Komponen 2B (b)	Dit. PSPAM, Hatfield Consultant, Bank dunia
11.40-12.00	Kesimpulan Hasil Konsultasi Publik dan Penutupan	Dit. PSPAM

- Lampiran 3 : Lembar Konfirmasi  
 Perihal : Workshop Penyiapan *National Urban Water Supply Project* (NUWSP) dan Konsultasi Publik Dokumen *Environmental and Social Management Framework (ESMF)* untuk *National Urban Water Supply Project* (NUWSP)

### LEMBAR KONFIRMASI PESERTA

Nama Lengkap	:	
Jenis Kelamin	:	
Instansi	:	
Jabatan	:	
Alamat Kantor	:	
No. Tlp/Fax Kantor	:	
No. HP	:	
E-mail	:	

Dengan ini menyatakan “bersedia” hadir pada acara “Workshop Penyiapan *National Urban Water Supply Project* (NUWSP)” dan “Konsultasi Publik Dokumen *Environmental and Social Management Framework (ESMF)* untuk *National Urban Water Supply Project* (NUWSP)”.

....., ..... Maret 2017

(.....)